



Department Level Exhibits and Schedules



**Interim
Executive
Director**
Marshall Stranburg

**Child Support
Enforcement**
Ann Coffin
Director

**General Tax
Administration**
Maria Johnson
Director

**Property Tax
Oversight**
James McAdams
Director

**Information
Services**
Tony Powell
Director

October 15, 2012

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

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, the Legislative Budget Request for the Department of Revenue 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. As interim executive director of the Department of Revenue, I have approved this plan, pending review and approval by the Governor and Cabinet.

The Department appreciates the support of the Governor, the Cabinet, and the Legislature as we strive to carry out our mission for the benefit of our state and its citizens. If you have any comments or questions, please call Lia Mattuski, Director of Financial Management (850-717-7059), or me (850-617-8950).

Sincerely,

Marshall Stranburg

Marshall Stranburg



Schedule IV-C – Recurring Information Technology Budget Planning

Non-Strategic IT Service: Network Service				
Dept/Agency: Department of Revenue (DOR) Prepared by: Peter Queirolo Phone: (850)717-7239		# of Assets & Resources Apportioned to this IT Service in FY 2013-14		
Service Provisioning -- Assets & Resources (Cost Elements)				Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
	Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	
A. Personnel				
A-1.1		7.13		\$414,436
A-2.1		7.13		\$414,436
A-2.1		0.00		\$0
A-3.1		0.00		\$0
B. Hardware				
B-1		0	0	\$0
B-2		0	0	\$0
B-3	1	438	23	\$102,354
B-4		12818		\$0
B-5		32208		\$0
B-6	2			\$143,990
C. Software				
	3			\$66,540
D. External Service Provider(s)				
D-1				\$1,137,600
D-2	5			\$1,080,000
E. Other (Please describe in Footnotes Section below)				
	4			\$192,600
F. Total for IT Service				\$3,137,520
G. Please identify the number of users of the Network Service				9,650
H. How many locations currently host IT assets and resources used to provide LAN services?				55
I. How many locations currently use WAN services?				60
J. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.				
1	This cost increase compared to last FY is due to costs that were given to SSRC during FST and they have given back to the agency			
2	Networked copiers and leases; UPS; Networked Printers and maintenance; and video conferencing systems			
3	Software costs for Siemens, Citrix, Netbackup, Whatsup Gold, Netwrix			
4	Aircards for the agency costs approximately \$16,050/mo.			
5	VOIP for the agency costs approximately \$90,000/mo.			
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Non-Strategic IT Service:		E-Mail, Messaging, and Calendaring Service			
Agency: Department of Revenue (DOR)		# of Assets & Resources			
Prepared by: Peter Queirolo		Apportioned to this IT Service in FY 2013-14			
Phone: (850)717-7239					
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			0.72		\$30,502
A-1	State FTE		0.72		\$30,502
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware					\$11,100
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.)	1	42	32	\$11,100
B-4	Online Storage (indicate GB of storage)		973		\$0
B-5	Archive Storage (indicate GB of storage)		7000		\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)				\$0
C. Software		2			\$317,692
D. External Service Provider(s)					\$0
D-1	Southwood Shared Resource Center				\$0
D-2	Northwood Shared Resource Center				\$0
D-3	Northwest Regional Data Center				\$0
D-4	Other Data Center External Service Provider (specify in Footnotes below)				\$0
E. Other (Please describe in Footnotes Section below)					\$0
F. Total for IT Service					\$359,294
G. Please provide the number of user mailboxes.					5,041
H. Please provide the number of resource mailboxes.					246
I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	Agency iphone costs are 22 @ \$45/each				
2	This software cost includes: Novell, Tumbleweed, Brightmail, Fiberlink and saas				
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8	..				
9					

Non-Strategic IT Service: Desktop Computing Service					
Agency: Department of Revenue (DOR) Prepared by: Peter Queirolo Phone: (850)717-7239			# of Assets & Resources Apportioned to this IT Service in FY 2013-14		
Service Provisioning -- Assets & Resources (Cost Elements)				Footnote Number	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel					
A-1	State FTE				\$882,628
A-2	OPS FTE				\$0
A-3	Contractor Positions (Staff Augmentation)				\$0
B. Hardware					
B-1	Servers				\$0
B-2	Server Maintenance & Support				\$500
B-3.1	Desktop Computers				\$910,522
B-3.2	Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)				\$193,336
B-3.3	Other Hardware Assets (Please specify in Footnote Section below)			1	\$5,766
C. Software				2	\$56,272
D. External Service Provider(s)					\$0
E. Other (Please describe in Footnotes Section below)				3	\$13,726
F. Total for IT Service					\$2,062,750
G. Please identify the number of users of this service.					5,671
H. How many locations currently use this service?					55
I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	Printers and projectors				
2	Flexera Admin Studio, Insti-micaree for desktops, Sareboot, netzoom visio stencils, ARCGIS,ARCVIEW, SPSS, SAS, IAD Solutions for Audit Leverage, Access Data, Eviews, Stata				
3	Peripherals				
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Non-Strategic IT Service:		Helpdesk Service			
Agency: Department of Revenue (DOR)		# of Assets & Resources			
Prepared by: Peter Queirolo		AppORTioned to this IT Service in FY 2013-14			
Phone: (850)717-7239		Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)			
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			2.13		\$116,071
A-1	State FTE		2.13		\$116,071
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware			2.13	2.13	\$0
B-1	Servers		2.13	2.13	\$0
B-2	Server Maintenance & Support		0.00	0.00	\$0
B-3	Other Hardware Assets (Please specify in Footnote Section below)		0.00	0.00	\$0
C. Software		1			\$4,000
D. External Service Provider(s)		2	0	0	\$145,000
E. Other (Please describe in Footnotes Section below)					\$0
F. Total for IT Service					\$265,071
G. Please identify the number of users of this service.					21,447
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?					4,000
J. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	SM7 software				
2	SaaS - HP for SM7				
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Non-Strategic IT Service: IT Security/Risk Mitigation Service						
Agency: Department of Revenue (DOR) Prepared by: Peter Queirolo Phone: (850)717-7239			# 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				4.72		\$264,952
A-1	State FTE			4.72		\$264,952
A-2	OPS FTE			0.00		\$0
A-3	Contractor Positions (Staff Augmentation)			0.00		\$0
B. Hardware				20	0	\$16,000
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)		1	20	0	\$16,000
C. Software			2			\$451,850
D. External Service Provider(s)				0	0	\$0
E. Other (Please describe in Footnotes Section below)						\$0
F. Total for IT Service						\$732,802
G. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.						
1	Infoblox and RSA device maintenance					
2	Novell Access Mgr, RSA, Checkpoint, McAfee,Controlpoint, Websense(will be replaced), HP Webinspect, Spector360, Nessus					
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Non-Strategic IT Service: Agency Financial and Administrative Systems Support Service				
Agency: Department of Revenue (DOR) Prepared by: Peter Queirolo Phone: (850)717-7239			# 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		1.14		\$59,959
A-1 State FTE		1.14		\$59,959
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	1			\$55,548
D. External Service Provider(s)		0	0	\$0
E. Other (Please describe in Footnotes Section below)				\$0
F. Total for IT Service				\$115,507
G. Please identify the number of users of this service.				5,500
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	Crystal Reports & Business Objects ent pro, this maintenance was given back to DOR by SSRC, Learning Management System & Inquisite Software Maintenance Agreement; License for eForms; License for Strategic Systems (property scanning system); Toolbook maintenance			
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Non-Strategic IT Service: IT Administration and Management Service							
Agency: Department of Revenue (DOR) Prepared by: Peter Queirolo Phone: (850)717-7239			# 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					10.41		\$706,085
A-1	State FTE				10.41		\$706,085
A-2	OPS FTE				0.00		\$0
A-3	Contractor Positions (Staff Augmentation)				0.00		\$0
B. Hardware					0	0	\$9,300
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)			1	0	0	\$9,300
C. Software				2			\$87,000
D. External Service Provider(s)				3	0	0	\$108,000
E. Other (Please describe in Footnotes Section below)							\$0
F. Total for IT Service							\$910,385
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	Dept. of Fin annual property insurance (isp's portion)						
2	HP BAC, Sitescope, Asset Mgr, PMO and PPM licenses						
3	SaaS - HP for PPM & AM						
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Non-Strategic IT Service: Web/Portal Service					
Dept/Agency: Department of Revenue (DOR) Prepared by: Peter Queirolo Phone: (850)717-7239		# of Assets & Resources Apportioned to this IT Service in FY 2013-14			
Service Provisioning -- Assets & Resources <i>(Cost Elements)</i>		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		\$145,551
A-1.1	State FTE		2.50		\$145,551
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 <i>(Please specify in Footnotes Section below)</i>		0	0	\$0
C. Software		1			\$615,000
D. External Service Provider(s)			0	0	\$0
E. Other <i>(Please describe in Footnotes Section below)</i>					\$0
F. Total for IT Service					\$760,551
G. Please identify the number of Internet users of this service.					3,350,000
H. Please identify the number of intranet users of this service.					5,500
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	Sharepoint, Constant Contact, FL-newhire.com domain registration and verisign licenses				
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Non-Strategic IT Service: Data Center Service					
Dept/Agency: Department of Revenue (DOR)		# of Assets & Resources Apportioned to this IT Service in FY 2013-14			
Prepared by: Peter Queirolo					
Phone: (850)717-7239					
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.)			17.00		\$734,521
A-1.1	State FTE		17.00		\$734,521
A-2.1	OPS FTE		0.00		\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware					\$290,975
B-1	Non-Mainframe Servers (including single-function logical servers not assigned to another service)	9	47	0	\$0
B-2	Servers - Mainframe		0	0	\$0
B-3	Server Maintenance & Support	8	21	0	\$9,975
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)	1			\$281,000
C. Software		2			\$18,250
D. External Service Provider(s)					\$3,781,922
D-1	Southwood Shared Resource Center (indicate # of Board votes)	3	1		\$3,261,922
D-2	Northwood Shared Resource Center (indicate # of Board votes)		0		\$0
D-3	Northwest Regional Data Center (indicate # of Board votes)	4	1		\$520,000
D-4	Other Data Center External Service Provider (specify in Footnotes below)				\$0
E. Plant & Facility					\$361,832
E-1	Data Center/Computing Facilities Rent & Insurance	5			\$354,902
E-2	Utilities (e.g., electricity and water)				\$0
E-3	Environmentals (e.g., HVAC, fire control, and physical security)	6			\$6,510
E-4	Other (please specify in Footnotes Section below)	7			\$420
F. Other (Please describe in Footnotes Section below)					\$0
G. Total for IT Service					\$5,187,500
H. Please provide the number of agency data centers.					0
I. Please provide the number of agency computing facilities.					4
J. Please provide the number of single-server installations.					56
H. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	Publishing leases at Huntley Park				
2	Xerox software licenses and Solimar licenses (SSRC gave this cost back to the agency)				
3	Estimated SSRC costs				
4	Estimated NWRDC cost for Tallahassee, Atlanta (DR) and Bldg. L				
5	Huntley Park Rent, rent includes utilities.				
6	Georgia-Florida security monitoring; Bldg. L UPS				
7	Security Monitoring for Bldg L				
8	GTA servers located in Bldg L and maintenance				
9	These are field servers, will be replacing and putting in the data centers				



Schedule VII – Agency Litigation Inventory

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Chicago Title Ins. Co. v. Florida Department of Revenue		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	10-CA-3539		
Summary of the Complaint:	The taxpayer writes title insurance which is subject to the Florida insurance premium tax. The taxpayer alleges the Department incorrectly determined the taxpayer's insurance premium tax liability by including the gross premium written for title insurance instead of the net premiums received by the taxpayer.		
Amount of the Claim:	\$935,441		
Specific Statutes or Laws (including GAA) Challenged:	Section 624.509(1), F.S.		
Status of the Case:	The matter is in discovery.		
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).	N/A		

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Chicago Title Ins. Co. v. Florida Department of Revenue		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	11-CA-1669		
Summary of the Complaint:	The taxpayer writes title insurance which is subject to the Florida insurance premium tax. The taxpayer alleges the Department incorrectly determined the taxpayer’s insurance premium tax liability by including the gross premium written for title insurance instead of the net premiums received by the taxpayer.		
Amount of the Claim:	\$1,681,000		
Specific Statutes or Laws (including GAA) Challenged:	Section 624.509(1), F.S.		
Status of the Case:	The matter is in discovery.		
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).	N/A		

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Circle K Enterprises Inc. v. Florida Department of Revenue		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	CV 10-1353		
Summary of the Complaint:	Circle K is a member of an affiliated group that conducts business in Florida and other states. Circle K receives payments from a related company doing business in Florida that pays a royalty to Circle K for the use of its trade marks. The issues presented are: (1) whether Circle K has nexus with Florida and is subject to the Florida corporate income tax (2) whether the receipts from the royalty income is included in the sales factor of the apportionment formula.		
Amount of the Claim:	Refund of \$2,995,533		
Specific Statutes or Laws (including GAA) Challenged:	Sections 220.15(5) and 220.152, F.S.		
Status of the Case:	The parties executed a settlement agreement and the case is closed.		
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	
		Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A
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Office of Policy and Budget – July, 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 Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Fidelity National Title Ins. Co. v. Florida Department of Revenue		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	07-CA-2894		
Summary of the Complaint:	The taxpayer writes title insurance which is subject to the Florida insurance premium tax. The taxpayer alleges the Department incorrectly determined the taxpayer’s insurance premium tax liability by including the gross premium written for title insurance instead of the net premiums received by the taxpayer.		
Amount of the Claim:	\$1,700,972.23		
Specific Statutes or Laws (including GAA) Challenged:	Section 624.509(1), F.S.		
Status of the Case:	The matter is in discovery.		
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).	N/A		

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Agency:	Department of Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Fidelity National Title Ins. Co. v. Florida Department of Revenue		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	10-CA-3540		
Summary of the Complaint:	The taxpayer writes title insurance which is subject to the Florida insurance premium tax. The taxpayer alleges the Department incorrectly determined the taxpayer’s insurance premium tax liability by including the gross premium written for title insurance instead of the net premiums received by the taxpayer.		
Amount of the Claim:	\$627,030		
Specific Statutes or Laws (including GAA) Challenged:	Section 624.509(1), F.S.		
Status of the Case:	The matter is in discovery.		
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).	N/A		

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	HCA, Inc. v. Florida Department of Revenue		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	03-440		
Summary of the Complaint:	Challenge to Corporate Income Tax assessment on the following issues: (1) Commerce Clause violation re wage subtraction; (2) nonbusiness income issue re dividends, interest, and capital gains received from affiliated members; and (3) whether interest, dividends and capital gain income from intangible assets should be included in sales factor of the Florida apportionment factor.		
Amount of the Claim:	\$1,614,292.76		
Specific Statutes or Laws (including GAA) Challenged:	Sections 220.13(1)(b)3, 220.03(1)(r), 220.16, 220.15, and 220.152, F.S.		
Status of the Case:	The parties executed a settlement agreement and the case is closed.		
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).	N/A		

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

Agency:	Department of Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	HCA Squared, LLC v. Florida Department of Revenue		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	CV 08-4143		
Summary of the Complaint:	<p>The taxpayer was audited by the IRS for its 1987 and 1988 federal income tax liability and agreed to federal audit changes on October 4, 2004. On December 3, 2004, the taxpayer filed amended Florida corporate income tax returns amending their 1987 and 1988 liability pursuant to section 220.23, F.S., to reflect the federal audit changes and paid additional tax to Florida. Sections 220.23 and 220.809, F.S., were amended in 2002 by the Florida Legislature to address the decision in <u>Barnett Banks, Inc. v. Department of Revenue</u>, 738 So. 2d 502 (Fla. 1st DCA 1999), to require a taxpayer to pay interest from the original due date of the return for amended returns filed pursuant to Section 220.23, F.S. The amendment became effective January 1, 2003. The taxpayer alleges that it is not required to pay interest from the original due date of the returns (4/1/88 and 4/1/89), because this would be a retroactive application of law.</p>		
Amount of the Claim:	\$1,796,421.89		
Specific Statutes or Laws (including GAA) Challenged:	Sections 220.23 and 220.809, F.S.		
Status of the Case:	The parties executed a settlement agreement and the case is closed.		
Who is representing (of		Agency Counsel	

record) the state in this lawsuit? Check all that apply.	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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 Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	HCA - The Healthcare Company v. Florida Department of Revenue		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	CV 01-74		
Summary of the Complaint:	Challenge to Corporate Income Tax assessment on the following issues: (1) Commerce Clause violation re wage subtraction; (2) nonbusiness income issue re dividends, interest, and capital gains received from affiliated members; and (3) whether interest, dividends and capital gain income from intangible assets should be included in sales factor of the Florida apportionment factor.		
Amount of the Claim:	\$1,883,430.91		
Specific Statutes or Laws (including GAA) Challenged:	Sections 220.13(1)(b)3, 220.03(1)(r), 220.16, 220.15, and 220.152, F.S.		
Status of the Case:	The parties executed a settlement agreement and the case is closed.		
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).	N/A		

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Mortgage Guaranty Insurance Corporation v. Florida Department of Revenue		
Court with Jurisdiction:	13 th Circuit		
Case Number:	08-27215		
Summary of the Complaint:	<p>The taxpayer is an insurance company that is required to apportion its income to Florida pursuant to section 220.151, F.S., using a single factor for apportionment based upon direct premiums written. The taxpayer also owns an interest in a limited liability company (LLC) whose income is included on the taxpayer's return. Section 220.15, F.S., the general apportionment statute provides a three factor formula based upon payroll, property and sales, permits a taxpayer (other than insurance companies and transportation companies) to include the LLC's payroll, property and sales as part of the taxpayer's payroll, property and sales. There is no statute which permits the conversation of the LLC's payroll, property and sales into direct written premium. The taxpayer alleges that it is entitled to apportionment relief, because the income from the LLC is included in the taxpayer's income without representation in the apportionment formula.</p>		
Amount of the Claim:	\$1,163,180.11		
Specific Statutes or Laws (including GAA) Challenged:	Sections 220.15 and 220.151, F.S.		
Status of the Case:	The parties executed a settlement agreement and the case is closed.		
Who is representing (of		Agency Counsel	

record) the state in this lawsuit? Check all that apply.	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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 Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-9347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Mortgage Guaranty Insurance Corporation v. Florida Department of Revenue		
Court with Jurisdiction:	13 th Circuit		
Case Number:	11-40		
Summary of the Complaint:	<p>The taxpayer is an insurance company that is required to apportion its income to Florida pursuant to section 220.151, F.S., using a single factor for apportionment based upon direct premiums written. The taxpayer also owns an interest in a limited liability company (LLC) whose income is included on the taxpayer’s return. Section 220.15, F.S., the general apportionment statute provides a three factor formula based upon payroll, property and sales, permits a taxpayer (other than insurance companies and transportation companies) to include the LLC’s payroll, property and sales as part of the taxpayer’s payroll, property and sales. There is no statute which permits the conversation of the LLC’s payroll, property and sales into direct written premium. The taxpayer alleges that it is entitled to apportionment relief, because the income from the LLC is included in the taxpayer’s income without representation in the apportionment formula.</p>		
Amount of the Claim:	\$4,025,141		
Specific Statutes or Laws (including GAA) Challenged:	Sections 220.15 and 220.151, F.S.		
Status of the Case:	The parties executed a settlement agreement and the case is closed.		
Who is representing (of		Agency Counsel	

record) the state in this lawsuit? Check all that apply.	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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 Revenue		
Contact Person:	Isabel Nogues	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Consolidated cases of Ogborn, Marcus & Patricia, on behalf of themselves and others similarly situated v. Jim Zingale, acting in his official capacity as the Director of the Florida Department of Revenue (Ogborn); DirecTV, Inc., and EchoStar Satellite, LLC, v. State of Florida, Department of Revenue (DirecTV). (The Florida Cable Telecommunications Association (FCTA) is an intervenor in the case.)		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	05-CA-1354 (Ogborn); 05-CA-1037 (DirecTV)		
Summary of the Complaint:	The Plaintiffs are requesting refunds of communications services tax. Issue: Constitutionality of communication services tax imposed on direct-to-home satellite service providers under Commerce Clause and Equal Protection Clause. Pre-emption under federal law. DirecTV and EchoStar Satellite challenge the statute as service providers, while the Ogborns raise their challenge on behalf of a class of subscribers. (Class has not been certified.) The Ogborns request damages and attorney fees.		
Amount of the Claim:	Refund potential of \$47 million annual recurring. (Plaintiffs have not substantiated the refund amounts claimed.)		
Specific Statutes or Laws (including GAA) Challenged:	Chapters 202 and 203, F.S.		

Status of the Case:	The Department and FCTA filed respective motions to dismiss DirecTV's Amended Complaint. The motions to dismiss were heard on October 14, 2009. On April 6, 2010, the Judge issued an order converting the motions to dismiss to motions for summary judgment and allowing parties to take discovery to develop a full factual record. A case management conference took place on June 15, 2010. Several depositions of parties and non parties have taken place, as well as hearings regarding discovery. Due to a judge rotation, this case was reassigned to a different judge on or about October 1, 2010. Discovery is ongoing.	
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
		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).	Counsel for the Ogborns: The Barnett Law Firm; Joel L. Terwilliger, Esq.	

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 Revenue		
Contact Person:	Isabel Nogues	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Home Depot USA, Inc. v. Florida Department of Revenue		
Court with Jurisdiction:	13 th Circuit		
Case Number:	08-14990		
Summary of the Complaint:	Home Depot filed a refund application, requesting a refund of sales tax paid on balances due a third-party bank that were written off by the third-party bank for federal income tax purposes. The Department denied the refund claim on the grounds that Home Depot did not own and write off the accounts for federal income tax purposes, as required, pursuant to s. 212.17, F.S.		
Amount of the Claim:	\$5,063,984.78 (Home Depot has not substantiated the refund amount claimed.)		
Specific Statutes or Laws (including GAA) Challenged:	Section 212.17, F.S.		
Status of the Case:	Plaintiff filed a notice of voluntary dismissal in the case on March 9, 2012, and the Department has since closed its file on the case.		
Who is representing (of		Agency Counsel	

record) the state in this lawsuit? Check all that apply.	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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 Revenue		
Contact Person:	Isabel Nogues	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Home Depot USA, Inc. v. Florida Department of Revenue		
Court with Jurisdiction:	13 th Circuit		
Case Number:	07-CA-004335		
Summary of the Complaint:	Home Depot filed four refund claims for a refund of sales tax paid on balances due a third-party bank that were written off by the third-party bank for federal income tax purposes. The Department denied those refund claims on the grounds that Home Depot did not own and write off the accounts for federal income tax purposes, as required, pursuant to s. 212.17, F.S.		
Amount of the Claim:	\$17,486,467.08 (Home Depot has not substantiated the refund amount claimed.)		
Specific Statutes or Laws (including GAA) Challenged:	Section 212.17, F.S.		
Status of the Case:	Plaintiff filed a notice of voluntary dismissal in the case on March 9, 2012, and the Department has since closed its file on the case.		
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).	N/A
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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 Revenue		
Contact Person:	Isabel Nogues	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Marianna Mobil, Inc. v. Department of Revenue		
Court with Jurisdiction:	Division of Administrative Hearings		
Case Number:	09-6639		
Summary of the Complaint:	The taxpayer is contesting the Department’s sales and use tax assessment. The taxpayer claims that it did not own and operate during the audit period the business locations that are involved in the case. The taxpayer claims that these businesses were independent of the taxpayer		
Amount of the Claim:	\$1.4 million		
Specific Statutes or Laws (including GAA) Challenged:	Sections 212.05, 212.06, 212.18, F.S.		
Status of the Case:	The Division of Administrative Hearings has temporarily closed its files to give the parties time to obtain and review documents.		
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).	N/A		

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Revenue		
Contact Person:	Isabel Nogues	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	RTG Furniture Corp. v. Florida Department of Revenue; Roomstogo.com, Inc. v. Florida Department of Revenue; Ormond Atlantic Corporation v. Florida Department of Revenue; RTG Interstate Corporation v. Florida Department of Revenue		
Court with Jurisdiction:	N/A		
Case Number:	N/A		
Summary of the Complaint:	<p>These cases involve separate Petitions. The taxpayers are challenging refund denials of sales tax previously paid on retail sales. These sales were financed by third-party banks and pertain to transactions with balances that were due the banks and later written off by the banks for federal income tax purposes. These taxpayers had received a discounted amount from the banks as payment for these retail sales. Then, the taxpayers deducted the difference between the sales price and the discounted amount received from the bank on these transactions as a discount (business expense) on their federal income tax return. The Department denied the refund claims on the grounds that amounts deducted by these taxpayers on their federal income tax returns do not constitute bad debts for federal income tax purposes, as required by s. 212.17, F.S.</p>		
Amount of the Claim:	\$29.3 million (The Taxpayers have not substantiated the refund amounts claimed.)		
Specific Statutes or Laws (including GAA) Challenged:	Chapter 212, F.S.		
Status of the Case:	The taxpayers filed their Petitions, but requested that the case be held in abeyance, awaiting the outcome of Home Depot USA, Inc.		
Who is representing (of	Agency Counsel		

record) the state in this lawsuit? Check all that apply.	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	<u>N/A</u>	

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 Revenue		
Contact Person:	Isabel Nogues	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Sprint Communications Company, LP. v. State of Florida, Department of Revenue		
Court with Jurisdiction:	2 nd Judicial Circuit		
Case Number:	08-CA-2234		
Summary of the Complaint:	<p>The taxpayer is challenging the Department’s refund denial of sales tax remitted for the period 1/1/99-9/30/01. The taxpayer claims that telecommunication services that it sold, during the period, to telecommunication service dealers for their internal use in connection with their business of providing telecommunication services were excluded from sales tax, pursuant to paragraph 212.05(1)(g), F.S.(2000). This paragraph imposed sales tax on the actual cost of operating a substitute telecommunication system for a person’s own use, but did not impose sales tax on the use by any local telecommunications company or any telecommunications carrier of its telecommunications system to provide telecommunications services for hire. The taxpayer also asserts that, because the Legislature, in replacing the sales tax with the communications services tax, indicated that there would be no fiscal impact from the replacement of the “old” sales tax on telecommunication services and, because subparagraph 202.11(13)(b)6., F.S., (which became effective on 10/1/01) exempts from communications services tax a dealer’s internal use of communications services in connection with its business of providing communications services (the type of transactions at issue), then, necessarily, paragraph 212.05(1)(g), F.S., in effect for the applicable period, excluded sales tax paid by the other entities to the taxpayer. The taxpayer refers to these other entities as being related to the taxpayer. However, these entities are separate legal entities for sales tax purposes.</p>		

Amount of the Claim:	\$2,190,645.60 (The taxpayer has not substantiated the refund amount claimed.)	
Specific Statutes or Laws (including GAA) Challenged:	Section 212.05(1)(g), F.S.	
Status of the Case:	Discovery is ongoing.	
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).	N/A	

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 Revenue		
Contact Person:	Isabel Nogues	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Verizon Business Purchasing, LLC. v. State of Florida, Department of Revenue		
Court with Jurisdiction:	2 nd Judicial Circuit		
Case Number:	11-CA-1498		
Summary of the Complaint:	<p>The taxpayer is challenging the Department’s sales and use tax assessment on purchases of tangible personal property and leases of real property. The taxpayer claims that the assessment is invalid in its entirety and must be abated, because the taxpayer claims that it was issued after the 3-year statute of limitations for issuing an assessment. The taxpayer claims that the Notice of Proposed Assessment (NOPA) is only a “proposed assessment” and not an “assessment” for limitation purposes under section 95.01(3), F.S., until after the expiration of the 60-day period during which the taxpayer may file an informal protest. The taxpayer argues that although the NOPA was issued within 60 days of the date provided in a Consent to extend the statute of limitations to issue an assessment, the 60-day period expired after the date provided in a Consent and, therefore, the assessment is invalid. (The taxpayer relies on provisions outlined in Chapter 220, F.S.) Furthermore, the taxpayer makes vague arguments in the Complaint as to why the underlying sales and use tax assessment on purchases and leases is incorrect.</p>		
Amount of the Claim:	\$3.2 million		
Specific Statutes or Laws (including GAA) Challenged:	<p>Sections 72.011(2), 95.091(3), 212.031, 212.05, 213.21, 213.23, 220.703(2), 220.709, 220.711, 220.713 and 220.717, F.S.</p> <p>Rule 12-6.003, F.A.C.</p>		

Status of the Case:	The parties' cross motions for summary judgment were heard on April 24, 2012. In May 2012, the Judge entered an order granting the Department's partial motion for summary judgment and denying the taxpayer's motion for summary judgment. Plaintiff filed a motion for entry of partial final judgment on July 27, 2012. Discovery is ongoing.	
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
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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 Revenue		
Contact Person:	Richard Robinson	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	CC-Investors 1997-11 v. Florida Department of Revenue		
Court with Jurisdiction:	12 th Circuit		
Case Number:	06-3514		
Summary of the Complaint:	Petitioner owns commercial real property in Florida that it leases to a third party. The issue is whether sales tax is due upon the lease payments, when petitioner alleges that it is a synthetic lease, or a capital lease, which constitutes a mortgage and not a true lease.		
Amount of the Claim:	\$1,387,280.29		
Specific Statutes or Laws (including GAA) Challenged:	s. 212.031, F.S.		
Status of the Case:	The case was settled after mediation and the amount agreed to has been paid. The case is closed.		
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).	N/A
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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 Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Ticor Title Ins. Co. v. Florida Department of Revenue		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	09-CA-1707		
Summary of the Complaint:	The taxpayer writes title insurance which is subject to the Florida insurance premium tax. The taxpayer alleges the Department incorrectly determined the taxpayer’s insurance premium tax liability by including the gross premium written for title insurance instead of the net premiums received by the taxpayer.		
Amount of the Claim:	\$798,388		
Specific Statutes or Laws (including GAA) Challenged:	Section 624.509(1), F.S.		
Status of the Case:	The matter is in discovery.		
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).	N/A		

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Revenue		
Contact Person:	Benjamin Jablow	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Vodafone Americas Inc. v. Florida Department of Revenue		
Court with Jurisdiction:	2 nd Circuit		
Case Number:	11-CA-3496		
Summary of the Complaint:	The taxpayer owns a 45% interest in a Florida partnership. The taxpayer alleges that: (1) it does not have nexus with Florida and (2) the Department cannot attribute the partnership's payroll, property and sales to the taxpayer pursuant to Rule 12C-1.015(10), F.A.C.		
Amount of the Claim:	\$14,000,000 refund claim in tax		
Specific Statutes or Laws (including GAA) Challenged:	Rule 12C-1.015(10), F.A.C.		
Status of the Case:	The matter is in discovery.		
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	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Revenue		
Contact Person:	George Hamm	Phone Number:	(850) 617-8347
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Florida Department of Revenue v. General Motors LLC		
Court with Jurisdiction:	First DCA		
Case Number:	1D12-0784 (lower tribunal 2004-CA-2739, 2 nd Circuit)		
Summary of the Complaint:	Whether use tax should be imposed when GM makes repairs to vehicles which fall outside the contractual terms and conditions of the new vehicle warranty or extended warranty period under special programs, known as Special Policy Adjustments, Goodwill Policy Adjustments, Dealer Product Campaign Bulletins, or Recalls.		
Amount of the Claim:	\$45,706,031.00		
Specific Statutes or Laws (including GAA) Challenged:	Section 212.02 (14), (15), (16), and (20), F.S.		
Status of the Case:	The lower court ruled in favor of GM on summary judgment; the Department appealed and the matter is now being briefed in the First DCA		
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).	N/A		



Schedule IX – Major Audit Review Findings and Recommendations

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20__ - __

Department: Revenue

Chief Internal Auditor: Teresa Wood

Budget Entity: All

Phone Number: 717-7598

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AG 2011-167 - FA 10-042	FY 2009-10	Child Support Enforcement	FDCFS did not timely impose FDOR Child Support Enforcement (CSE) sanctions on clients who were receiving TANF benefits.	The DCF has implemented new cooperation procedures for their staff. Additionally, a new automated workflow to support cooperation has been implemented with CAMS and FLORIDA - PA	
AG 2011-167- FA 10-044	FY 2009-10	Child Support Enforcement	Deficiencies continued to exist regarding the timeliness of FDOR's establishment of support obligations or commencement of proceedings to establish support obligations and, if necessary, paternity.	CAMS proactively identifies cases needing actions to establish paternity and/or support orders. CAMS also provides a reporting capability that is being tested needing paternity and/or support order establishment. The FLORIDA System does not currently include this level of functionality.	
AG 2011-167 - FA 10-045	FY 2009-10	Child Support Enforcement	For interstate cases, deficiencies continued to exist in the provision of required child support services within specified time frames.	CAMS will provide proactive identification of interstate cases requiring actions. CAMS also provides a reporting capability that is being tested. The interstate functionality is being phased into production.	
AG 2011-167 - FA 10-046	FY 2009-10	Child Support Enforcement	Deficiencies in FDOR procedures for ensuring adequate oversight of State Disbursement Unit (SDU) collection and disbursement of child support payments and reporting thereof continued to exist during the 2009-10 fiscal year.	FDOR engaged a vendor to conduct an SAS 70 Type II audit to address the operations effectiveness of the controls reviewed in the Type I audit. The vendor conducted its fieldwork during the June–July 2011 time frame. The Department approved the final SAS 70 Type II audit report on August 3, 2011. A final monitoring report was issued in June 2011 addressing the February–March 2011 monitoring results. On-site monitoring of SDU operations is ongoing.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20__ - __

Department: Revenue

Chief Internal Auditor: Teresa Wood

Budget Entity: All

Phone Number: 717-7598

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AG 2011-192 - Finding 1	11/2010-3/2011	General Tax Administration	The Department did not timely disable the SUNTAX, IMS operating system, and network access privileges of some former employees and contractors. Additionally, the Department did not conduct periodic reviews of former employee and contractor access privileges in the IMS operating system or the IMS database. Some of these issues were also noted in prior audits of the Department, most recently our report No. 2009-199.	The Department is in the process of adding all contractors to the internal phonebook. In the case of periodic reviews, a follow-up monthly termination report is provided from the Executive Program that contains a listing of all employees that have separated from the Department. These notifications are reviewed as received to ensure access to SUNTAX, IMS has been removed. A yearly review of all access to SUNTAX, IMS is performed by the security administrator to ensure that employees that transfer or leave the Department no longer have access. The process to add contractors to the phonebook is still	
AG 2011-192 - Finding 2	11/2010-3/2011	General Tax Administration	Some inappropriate SUNTAX and IMS access privileges existed.	GTA, in conjunction with ISP Security, has completed a supervisory review of role assignments and adjusted or eliminated privileges as necessary. This review will be conducted periodically to strengthen controls.	
AG 2011-192 - Finding 3	11/2010-3/2011	General Tax Administration	Certain Department logical access controls, security logging and monitoring practices, and data transmission controls were deficient or needed improvement. Some of the issues were also noted in prior audits of the Department, most recently our report No. 2009-199.	The Department will, based on available system functionality, funding, and human resources implement appropriate security controls in the areas of logical access controls, security logging and monitoring practices, and data transmission controls. See the confidential findings document for further details.	

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Chief Internal Auditor: Teresa Wood

Budget Entity: All

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AG 2011-192 - Finding 4	11/2010-3/2011	General Tax Administration	As similarly noted in prior audits of the Department, most recently our report No. 2009-199, program change controls over SUNTAX and IMS needed improvement.	In July of 2011, the Information Services Program (ISP) fully implemented their Release and Deployment process. This implemented new controls and strengthened existing ones. This now ensures greater compliance with program change control procedures and adequately ensures that all program changes are properly approved, documented, and implemented.	
AG 2011-192 - Finding 5	11/2010-3/2011	General Tax Administration	Some of the Department's written IT policies and procedures were outdated and contained inaccuracies. The Department also lacked written procedures for some important IMS program change controls.	RevTrac has not been completely implemented into the IMS change process as of this time. Procedures have been updated to reflect the current change/testing process. This procedure update is being reviewed by ISP and GTA for accuracy and clarity. Once RevTrac has been completely implemented the procedures will be	
AG 2011-192 - Finding 6	11/2010-3/2011	General Tax Administration	As similarly noted in our report No. 2009-199, some Department employees were granted unnecessary physical access privileges to the rooms that housed the Department's IMS servers.	GTA computer room security audits are on track. The consolidation of the ISP and GTA computer room was completed during the fourth quarter of 2011. ISP/GTA computer room security audits will begin this quarter.	
AG 2011-192 - Finding 7	11/2010-3/2011	General Tax Administration	Contrary to the requirements of the State of Florida, General Records Schedule for the retention of access control records, the Department did not retain some IMS operating system access control records.	We will determine the logistics (available funds, storage infrastructure and resources) involved in adequately ensuring that access control records are kept according to the standards provided by General Records Schedule.	

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AG 2011-194 - Finding 1	03/2010-11/2010	General Tax Administration	The Department did not have procedures in place to compare information on authorized insurers to the Department's records showing insurers with insurance premium tax (IPT) accounts.	Periodic matching of Office of Insurance Regulation (OIR) and Department information and the timely update of IPT business partners continues. Information on authorized insurers is received quarterly from OIR. The information is reviewed by Return Reconciliation, who consults with Technical Assistance and Dispute Resolution regarding questions related to the OIR data. Subsequently, Registration updates SUNTAX with new accounts, deletions, and changes to	
AG 2011-194 - Finding 2	03/2010-11/2010	General Tax Administration	Insurer filing statuses were not timely updated and proper documentation was not required to evidence the reasons for changes in an insurer's filing status from "Active - required to file" to "Canceled - not required to file."	All filing status changes continue to be documented. Documents and correspondence received from insurance companies separate from the tax returns are being imaged and can be accessed via SUNRISE image retrieval on the intranet using company name and their Federal Employer Identification Number (FEIN). In addition, periodic matching of OIR and Department information and the timely update of IPT business partners continues. Information on authorized insurers is received quarterly from OIR. The information is reviewed by Return Reconciliation, who consults with Technical Assistance and Dispute Resolution regarding questions related to the OIR data. Subsequently, Registration updates SUNTAX with new accounts, deletions, and changes to social information.	

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AG 2011-194 - Finding 3	03/2010-11/2010	General Tax Administration	We found instances in which incorrect premium amounts and taxes due were reported on returns and accepted and approved by the Department.	<p>The Department continues to examine every insurance premium tax return. Additional documentation continues to be routinely requested from insurers whose returns are incomplete. Data on reported premiums will continue to be received in May from the Office of Insurance Regulation (OIR), and used in the examination of the returns.</p> <p>The Department continues to pursue the collection of taxes from insurers who underpay. Insurers will continue to be set up for audit as a result of subsequent review of insurance premium tax returns. Documents and correspondence received from insurance companies separate from the tax returns are now being imaged and can be accessed via SUNRISE image retrieval on the intranet using company name and their Federal Employer Identification Number (FEIN).</p>	
AG 2011-194 - Finding 4	03/2010-11/2010	General Tax Administration	The Department does not have the statutory authority to audit insurance premium excise taxes.	This is a policy decision of the Florida Legislature.	

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AG 2011-194 - Finding 5	03/2010-11/2010	General Tax Administration	A department-provided database, used by insurers to report the amounts of insurance premium excise taxes due to participating jurisdictions, was found to be incomplete in several instances.	The Department is working on replacing its current jurisdictional database to make it easier to use by local representatives. The Department has been involved in conferences and meetings with the impacted police and fire pension fund representatives to ensure they contact and remind their local representative to actively update their respective database for changes and new development in their area.	
AG 2012-002 - Finding 1	July 2010 - March 2011	Child Support Enforcement	Authorization documentation for FLORIDA System CSE Component and CAMS access privileges for some users was missing, incomplete, or inaccurate.	The Department has created an electronic version of the CAMS access request form. The form has a built-in work flow for approvals and signatures, and the data will be retained electronically. This eliminates the problem of a misplaced form	
AG 2012-002 - Finding 2	July 2010 - March 2011	Child Support Enforcement	The access privileges of some FLORIDA System CSE Component and CAMS users were not appropriate for their job responsibilities.	The Department reviewed the existing CAMS security role assignments and role content in order to split them into more defined job duties. CAMS security roles have been redesigned to be targeted to specific job duties. Users have the capability to request more than one security role based on job duties. Department-authorized FLORIDA users now have view-only access.	

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				The Department has implemented a process that allows supervisors look up access privileges for each CAMS user. CAMS and FLORIDA access privileges are reviewed with the employee as part of the employee's annual evaluation process and whenever the employee changes job duties.	
AG 2012-002 - Finding 3	July 2010 - March 2011	Child Support Enforcement	Some access privileges in the FLORIDA System CSE Component and CAMS did not enforce an appropriate separation of incompatible duties.	A review of CAMS and FLORIDA privileges was completed, identifying all users that had Separation of Duties (SOD) issues between systems. Users having SOD issues were required to change roles in CAMS or profiles in FLORIDA to eliminate these conflicts, or have documented exceptions to policy. Production role assignments were analyzed for SOD issues and all SOD combinations were removed. SOD checks will be performed for each access request for two or more roles (individual roles have been tested and are free of SODs). The Department will conduct separation of duties verification on CAMS at least quarterly.	
AG 2012-002 - Finding 4	July 2010 - March 2011	Child Support Enforcement	The Department did not timely remove FLORIDA System CSE Component and CAMS access privileges of some former employees and contractors.	The CSE contract managers are entering all contracted staff into the Department's electronic termination notification process.	

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AG 2012-002 - Finding 5	July 2010 - March 2011	Child Support Enforcement	The Department's review of the appropriateness of CAMS user access privileges was not conducted on a sufficiently frequent basis.	The Program reviewed the frequency of user reviews for CAMS access. All users were reviewed in preparation for implementation of CAMS Phase II. The Program has implemented a requirement to review user access at initial hire, mid-point probationary review, annually thereafter, and anytime their job duties change.	
AG 2012-002 - Finding 6	July 2010 - March 2011	Child Support Enforcement	The Department did not document its evaluation of network vulnerability scans or subsequent actions to mitigate vulnerabilities.	Vulnerability scanning procedures have been documented and implemented. The process was put in use in April 2011 and the procedural document completed in June 2011. A verification process to validate the completion of mitigations was documented and implemented in June 2011. The process has been identified and the procedures are being revised to refine mitigation process to include vetting the solution to ensure compatibility with Revenue systems and coordination with primary data centers.	
AG 2012-002 - Finding 7	July 2010 - March 2011	Child Support Enforcement	Certain Department security controls related to user authentication needed improvement.	The implementation of CAMS improved user authentication security controls.	
AG 2012-002 - Finding 8	July 2010 - March 2011	Child Support Enforcement	The Department's CAMS Disaster Recovery Plan was not complete and up-to-date and had not been thoroughly tested.	The B301, Disaster Recovery Plan is now in effect. CSE will conduct a disaster recovery test of the CAMS system this year.	

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AG 2012-002 - Finding 9	July 2010 - March 2011	Child Support Enforcement	Because of limitations in CAMS access control functionality, many CAMS users inappropriately had the ability to perform enforcement override transactions on cases. Additionally, the Department did not monitor enforcement override transactions to ensure that such users had not performed unauthorized overrides.	The Department prioritized the overrides enhancement to occur with the implementation of CAMS Phase II. The request will be further prioritized based on other identified CAMS changes.	
AG 2012-002 - Finding 10	July 2010 - March 2011	Child Support Enforcement	The Department had not resolved some issues with address information in CAMS.	The issues identified in the finding are related to residential addresses and the FLORIDA to CAMS interface was resolved with the implementation of CAMS.	
AG 2012-002 - Finding 11	July 2010 - March 2011	Child Support Enforcement	Although the Department had an informal process in place, the Department did not have written procedures for supervisor monitoring and follow-up of unprocessed CAMS tasks. Furthermore, the Department did not maintain a record of the tasks reviewed or the related decisions made during the monitoring process.	Procedures addressing the frequency of review and the use of the Business Warehouse report by region management in monitoring tasks for their service sites were approved and signed by the director on March 25, 2011. These procedures were posted to the CSE Policy and Procedure intranet site on April 6, 2011.	
AG 2012-002 - Finding 12	July 2010 - March 2011	Child Support Enforcement	The Department's service-level agreement with Northwest Regional Data Center(NWRDC) lacked certain provisions required in State law.	The Department is in the process of negotiating with the NWRDC about the missing provisions.	

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AG 2012-002 - Finding 13	July 2010 - March 2011	Child Support Enforcement	Contrary to State law and rules, the Department did not timely notify the Agency for Enterprise Information Technology, Office of Information Security (AEIT/OIS) of an interruption in CAMS processing.	The Department is now reporting significant CSIRT incidents to AEIT that fall outside of the SLA. The ISM has worked with the Service Desk and Problem Management to determine a way to identify incidents so that notifications could be automated. The Department is in the process of revising the CSIRT procedures to be current with the revised AEIT CSIRT procedures.	
AG 2012-142 - Finding FA 11-010	FY 2010-11	General Tax Administration	FDOR's contract with a service provider did not include provisions requiring the provider to deliver to FDOR an independent service auditor's report describing the provider's internal controls and opining on the effectiveness of those controls related to the collection of data for unemployment taxes.	The requirement for an SSAE 16 will be included in the contract, which is anticipated to be executed in August 2012. The contractor awarded will have up to one year for full implementation.	

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AG 2012-142 - Finding FA 11-011	FY 2010-11	General Tax Administration	<p>FDOR is responsible for processing tax collections and tax returns. Among the systems used by FDOR for tax processing are the System for Unified Taxation (SUNTAX) and the Imaging Management System (IMS). SUNTAX is a single, unified tax system used by FDOR to record tax collections and tax returns. IMS is a front-end system that initiates the process of tax collection and tax return processing.</p> <p>The SUNTAX and IMS systems are utilized by FDOR to process employer paid unemployment taxes. In audit report No. 2011-192, dated June 2011, we disclosed deficiencies related to the SUNTAX and IMS systems.</p> <p>We consider finding Nos. 1 through 4 regarding access privileges, logical access controls, security logging and monitoring practices, data transmission controls, and program change controls each to be significant deficiencies. Details of the findings and recommendations are included in that report.</p>	<p>AG Report 2011-192 Response to Finding 1: The Department is in the process of adding all contractors to the internal phonebook. In the case of periodic reviews, a follow-up monthly termination report is provided from the Executive Program that contains a listing of all employees that have separated from the Department. These notifications are reviewed as received to ensure access to SUNTAX, IMS has</p> <p>A yearly review of all access to SUNTAX, IMS is performed by the security administrator to ensure that employees that transfer or leave the Department no longer have access. The process to add contractors to the phonebook is still ongoing.</p> <p>AG Report 2011-192 Response to Finding 2: GTA, in conjunction with ISP Security, has completed a supervisory review of role assignments and adjusted or eliminated privileges as necessary. This review will be conducted periodically to strengthen controls.</p> <p>AG Report 2011-192 Response to Finding 3: The Department will, based on available system functionality, funding, and human resources, implement appropriate security controls in the areas of logical access controls, security logging and monitoring practices, and data transmission controls. See the confidential findings</p>	

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				<p>AG Report 2011-192 Response to Finding 4: In July of 2011, the Information Services Program (ISP) fully implemented their Release and Deployment process. This implemented new controls and strengthened existing ones. This now ensures greater compliance with program change control procedures and adequately ensures that all program changes are properly approved, documented, and implemented.</p>	
<p>AG 2012-142 - Finding FA 11-052</p>	<p>FY 2010-11</p>	<p>Child Support Enforcement</p>	<p>Deficiencies continued to exist regarding the timeliness of FDOR's establishment of support obligations or commencement of proceedings to establish support obligations and, if necessary, paternity.</p>	<p>The Department has implemented a new computer system that will assist workers in meeting the required time frames. The system proactively identifies cases needing actions and provides reporting capability for staff to monitor progress on cases.</p>	
<p>AG 2012-142 - Finding FA 11-053</p>	<p>FY 2010-11</p>	<p>Child Support Enforcement</p>	<p>Deficiencies continued to exist for interstate cases regarding the provision of required child support services within specified time frames.</p>	<p>The Department is in the process of implementing a revised interstate process on a new computer system that will assist workers in meeting the required time frames. The system, when the revised process has been implemented, will proactively identify cases needing actions and provide reporting capability for staff to monitor progress on cases.</p>	

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AG 2012-142 - Finding FA 11-054	FY 2010-11	Child Support Enforcement	<p>FDOR is designated as the State agency responsible for the administration of Florida's CSE program under Title IV-D of the Federal Social Security Act. Pursuant to Title 45, Section 302.85(a), Code of Federal Regulations, states are required to have in effect a computerized child support enforcement system.</p> <p>The Florida Online Recipient Integrated Data Access (FLORIDA) System, operated and maintained by the Florida Department of Children and Family Services, was the Title IV-D system that automated case management. FDOR developed the Child Support Enforcement Automated Management System (CAMS) to enhance case management and replace the FLORIDA System's CSE Component. CAMS interfaces with the FLORIDA System CSE Component to maintain the synchronization of data between the two systems. In audit report No. 2012-002, dated July 2011, we disclosed in findings Nos. 1 through 13, deficiencies related to the FLORIDA System CSE Component and CAMS system.</p>	<p>AG Report 2012-002 Response to Finding 1: The Department has created an electronic version of the CAMS access request form. The form has a built-in work flow for approvals and signatures, and the data will be retained electronically. This eliminates the problem of a misplaced form.</p> <p>AG Report 2012-002 Response to Finding 2: The Department reviewed the existing CAMS security role assignments and role content in order to split them into more defined job duties. CAMS security roles have been redesigned to be targeted to specific job duties. Users have the capability to request more than one security role based on job duties. Department-authorized FLORIDA users now have view-only access. The Department has implemented a process that allows supervisors look up access privileges for each CAMS user. CAMS and FLORIDA access privileges are reviewed with the employee as part of the employee's annual evaluation process and</p>	

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			<p>We consider finding Nos. 1 through 5, 7, 9 and 10, regarding access privileges, user authentication, inappropriate enforcement override, and issues with addresses, respectively, each to be significant deficiencies. Details of the findings and recommendations are included in that report.</p>	<p>AG Report 2012-002 Response to Finding 3: A review of CAMS and FLORIDA privileges was completed, identifying all users that had Separation of Duties (SOD) issues between systems. Users having SOD issues were required to change roles in CAMS or profiles in FLORIDA to eliminate these conflicts, or have documented exceptions to policy. Production role assignments were analyzed for SOD issues and all SOD combinations were removed. SOD checks will be performed for each access request for two or more roles (individual roles have been tested and are free of SODs). The Department will conduct separation of duties verification on CAMS at least quarterly.</p> <p>AG Report 2012-002 Response to Finding 4: The CSE contract managers are entering all contracted staff into the Department's electronic termination notification process.</p> <p>AG Report 2012-002 Response to Finding 5: The Program reviewed the frequency of user reviews for CAMS access. All users were reviewed in preparation for implementation of CAMS Phase II. The Program has implemented a requirement to review user access at initial hire, mid-point probationary review, annually thereafter and anytime their job duties change.</p>	

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				<p>AG Report 2012-002 Response to Finding 7: The implementation of CAMS improved user authentication security controls.</p> <p>AG Report 2012-002 Response to Finding 9: The Department prioritized the overrides enhancement to occur with the implementation of CAMS Phase II. The request will be further prioritized based on other identified CAMS changes.</p> <p>AG Report 2012-002 Response to Finding 10: The issues identified in the finding are related to residential addresses and the FLORIDA to CAMS interface was resolved with the implementation of CAMS.</p>	
OIG 2009-0116-A Findng 2	07/2009-03/2010	General Tax Administration	Payments received in cash (currency) at GTA service centers from taxpayers are not timely deposited in the State Treasury.	The procedures regarding cash collections posted to service center accounts are a part of the cash desk procedure revision project. Due to the implementation of collection analytics, finalization of the revised cash collection procedures has been delayed until completion of the implementation. All in-state service centers have implemented the Remote Capture of sales tax remittances. The conversion of cash payments into Remote Capture, however, has not been completed due to higher priority projects pulling ISP resources off of the project. We hope to accomplish this cash "conversion"	

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OIG 2009-0116-A Findng 4	07/2009-03/2010	General Tax Administration	GTA Imaging System and SAP SUNTAX validation dates do not always accurately reflect the actual date of validation for Sales and Use Tax Returns.	<p>We have changed our practice as recommended and are now capturing the actual processing date as the validation date with one exception. When remittances received during a month are not processed by the end of that month, they will be validated to the last day of the month of receipt. This practice will maintain the balance between month of receipt and validation month.</p> <p>To alter this would require a significant programming investment and would also distort the established revenue trends that are utilized in revenue estimation models. In addition, we are creating a second instance of batch manager which will effectively double the capacity available for processing runs.</p>	
OIG 2009-0116-A Findng 5	07/2009-03/2010	General Tax Administration	Cash (currency) collections posted to service center accounts were not always cleared timely.	The procedures regarding cash collections posted to service center accounts are a part of the cash desk procedure revision project. Due to the implementation of collection analytics, finalization of the revised cash collection procedures has been delayed until completion of the implementation.	

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OIG 2009-0120-A Finding 1	06/2009-06/2010	General Tax Administration	GTA's contract management did not ensure deliverables are received, received timely, meet contract specifications, and are cost-effective.	A contract manager for this contract was designated beginning October 15, 2009. Since we do not have the resources or budget to limit our contract managers solely to contract management activities, this individual does have other duties. We will continue to engage our legal and purchasing departments to ensure that any task orders or contract amendments comply with the provision of the current contract. We will perform a cost benefit analysis when we consider any change that has a cost impact. We will further strengthen this process by removing any ambiguity in the definition of services provided.	
OIG 2009-0120-A Finding 2	06/2009-06/2010	General Tax Administration	GTA contract monitoring needs improvement to ensure compliance with applicable laws, rules, and best practices.	We believe co-location of this equipment in the state facility will negatively impact the process in the following areas: redundancy of operations for contingency situations, remote mirroring of data collected to recover from data loss, system up-time, vendor response time when the system is down, and vendor liability in the event of system error. We will provide and maintain proper documentation on future purchases.	

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OIG 2009-0120-A Finding 3	06/2009-06/2010	General Tax Administration	GTA contract management procedures are not effective to ensure invoices for deliverables are properly verified.	The current ITN expected to be completed in August 2012 and the subsequent contract will clearly articulate all deliverables and include verbiage to ensure systems are designed with a means for verifying invoices for deliverables. IT staff will review any new task order.	
OIG 2009-0120-A Finding 4	06/2009-06/2010	General Tax Administration	Contract language found in the BSWA contract is not adequate to ensure that deliverables provide maximum value for the taxpayer and performance measures are not in place to monitor the efficiency and effectiveness of the contractor's performance.	Performance measures will be included in the new contract to be awarded. We will continue to engage our legal and purchasing departments to ensure that any future contracts clearly articulate important provisions.	
OIG 2010-0110-A Finding 1	01/2007-12/2009	General Tax Administration	GTA Receivables Management procedures and internal controls are not sufficient to ensure Revenue has performed all possible collection activities before determining a receivable is uncollectible.	GTA has implemented online policies and procedures for collectors. GTA provides information on three websites for collectors to go and obtain information. GTA is in the process of implementing collections analytics. Once implemented, dunning levels are expected to no longer exist and will be replaced with dunning activities. One of the recommendations will be for accounts to follow a work flow with a supervisor sign-off on accounts that have been deemed uncollectable.	

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OIG 2010-0110-A Finding 2	01/2007-12/2009	General Tax Administration	GTA staff did not always follow Receivables Management procedures and GTA staff does not always record complete and accurate information into SAP for collection and enforcement activities. Actions performed are not sufficient to demonstrate compliance with procedures to determine if all possible collection activities were performed prior to escalating a taxpayer account to DL-17.	A new timeline is being established with the implementation of collection analytics. Conversion to collection analytics has taken place and the new dunning process is being used. Collection analytics is designed to present the next best available case to the collector for resolution. Dunning level 17 is being replaced with dunning step H014 (No Further Action). By design, those accounts that have a low propensity to file and pay will automatically be placed in H014 after they have moved down the appropriate dunning strategy path.	
OIG 2010-0110-A Finding 3	01/2007-12/2009	General Tax Administration	GTA management is not adequately identifying and writing-off uncollectible receivables.	Modifications to the program used for calculating the allowance for doubtful accounts have been made. We will review the materiality of these numbers and determine if posting of the allowance is appropriate.	

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Phone Number: 717-7598

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
OIG 2010-0110-A Finding 4	01/2007-12/2009	General Tax Administration	Performance data for Receivables Management was not always accurately reported.	The LBR submission was completed and submitted in September 2011 with revised performance measures data. The implementation of collection analytics has impacted how data is drawn for several of the legislative measures. Once collection analytics has been fully implemented, we will review how data is processed and finalize our documentation of how information is reported. We are still in the process of documenting procedures for extraction and calculation of all legislative measures.	
OIG 2010-0113-A Finding 1	09/2008 - 12/2010	Child Support Enforcement	Vendor performance data is not independently verified by the Program (for the measure "Average number of days for test results to be received").	A Change Request (CR 439) has been submitted to correct the validation of payment; until this is completed we will not have the tool to independently validate the average 14-day turnaround time for the genetic testing report. The CR has been through the post go-live prioritization process and received a priority 6 within the BW report.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20____ - ____

Department: Revenue

Chief Internal Auditor: Teresa Wood

Budget Entity: All

Phone Number: 717-7598

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
OIG 2010-0113-A Finding 4	09/2008 - 12/2010	Child Support Enforcement	There is no independent verification by CSE of the qualifications, experience, or certifications of vendor staff.	Contract amendment to remove subject requirements was executed on 9/09/2011. Contract amendment to add the requirement that the contractor submit a listing of current phlebotomists to include date of certification, issuer, and years of experience, and to provide the listing quarterly has been executed and the first required submission was received on 9/23/2011.	
OIG 2010-0105-A Finding 1	7/1/2007-10/31/2010	General Tax Administration	Some Out-of-State Service Center audits where travel costs were incurred resulted in no change to the taxpayers' tax liabilities.	<p>We do not foresee an elimination of compliance audits where no additional tax is due. Our focus with no change audits is ensuring the auditor reaches that decision as early as possible in the audit process, which reduces costs to both the taxpayer and the Department. Service centers do attempt to schedule audits in proximity to each other in one trip, where possible.</p> <p>We will communicate the need to have an inventory mix that supports this effort with the Lead Development process. With all audits, we will continue to encourage the service center management team to review the assignment for potential prior to travel.</p> <p>Auditors need to balance the cost of the audit, in terms of both time and travel, with the likelihood of identifying additional tax due.</p>	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20__ - __

Department: Revenue

Chief Internal Auditor: Teresa Wood

Budget Entity: All

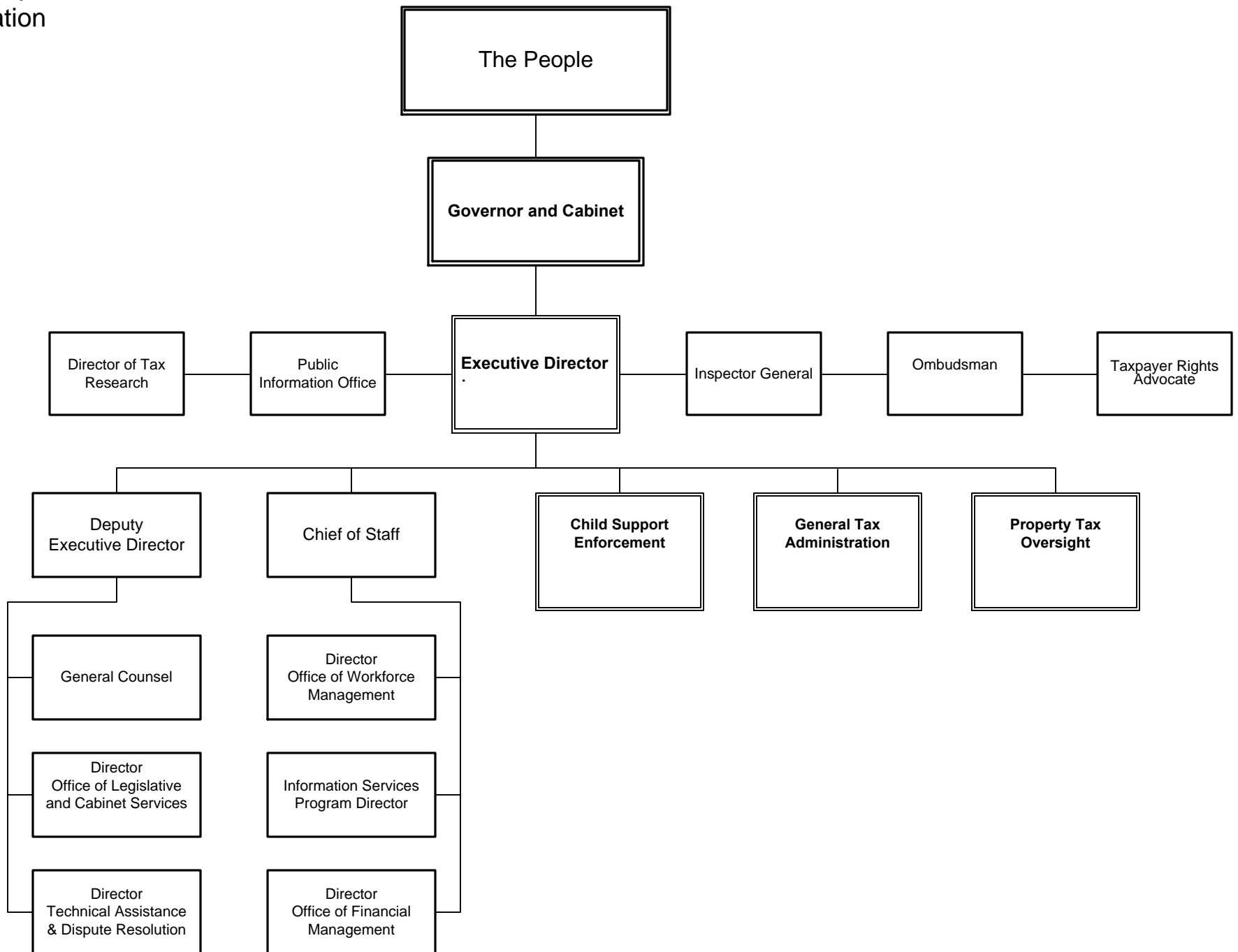
Phone Number: 717-7598

(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>We don't want auditors to assess a relatively small amount of tax just to ensure they have an assessment associated with any travel. And we don't want issues to be left on the table, or an audit non-pursued, for fear there won't be any recovery. It's a balance of cost, in both time and travel dollar, and fair administration of the tax statutes. We will continue to monitor our program-wide performance to ensure we are achieving an appropriate balance. We feel that the current percentage of no change audits is reasonable.</p>	

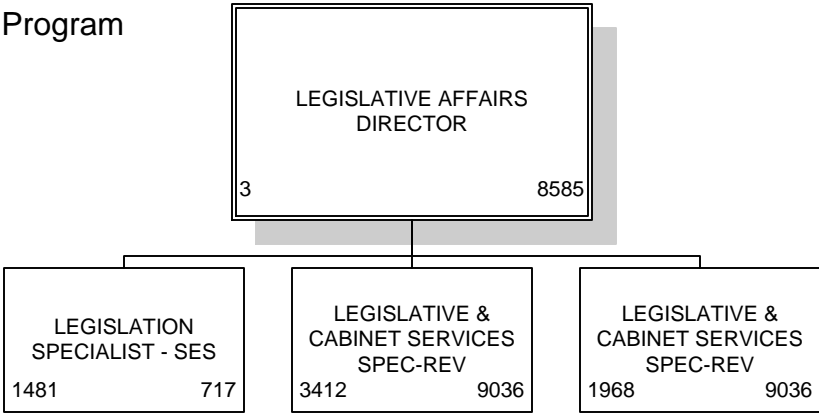


Schedule X – Organization Structure

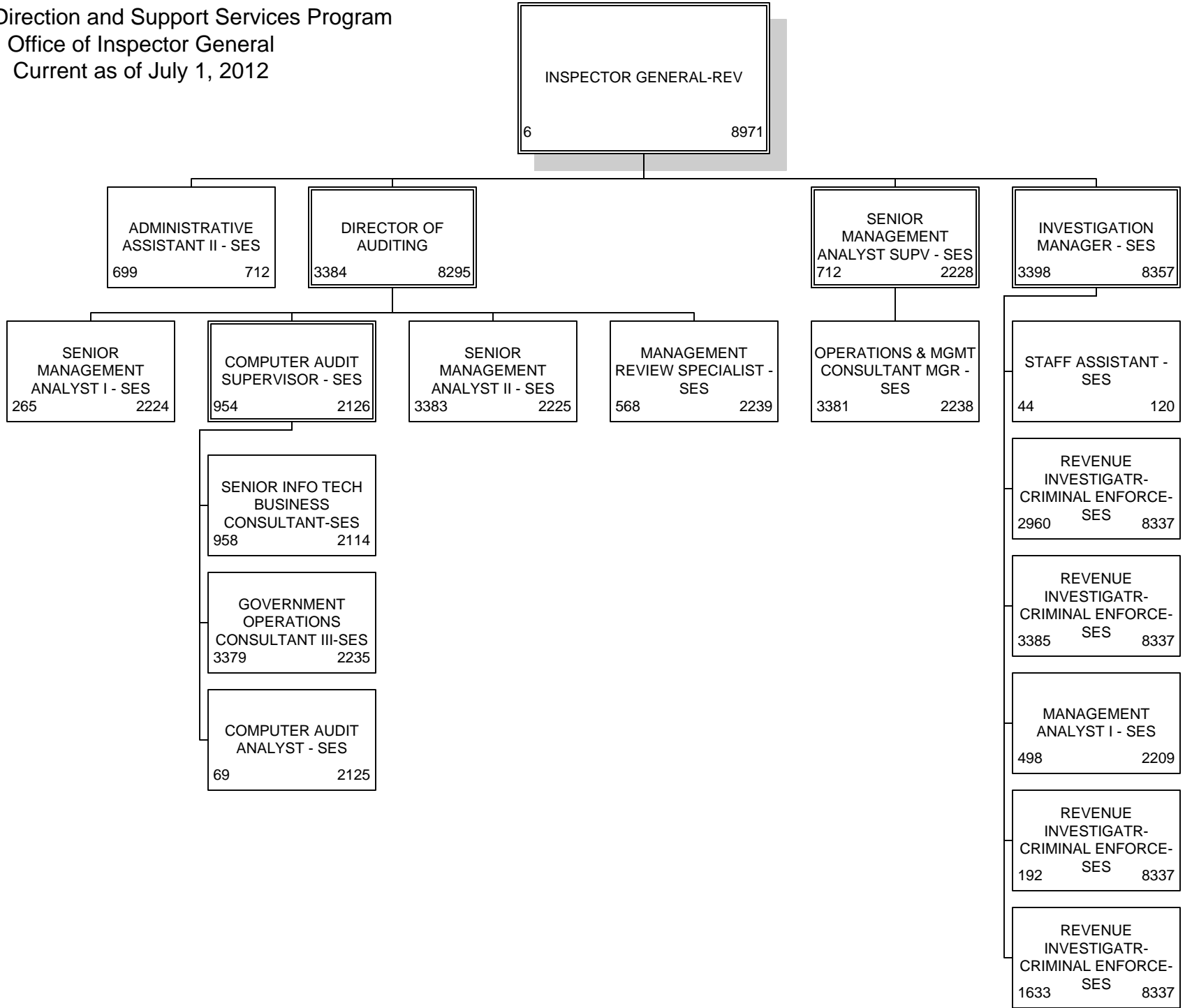
Florida Department of Revenue
Organization
July 2012



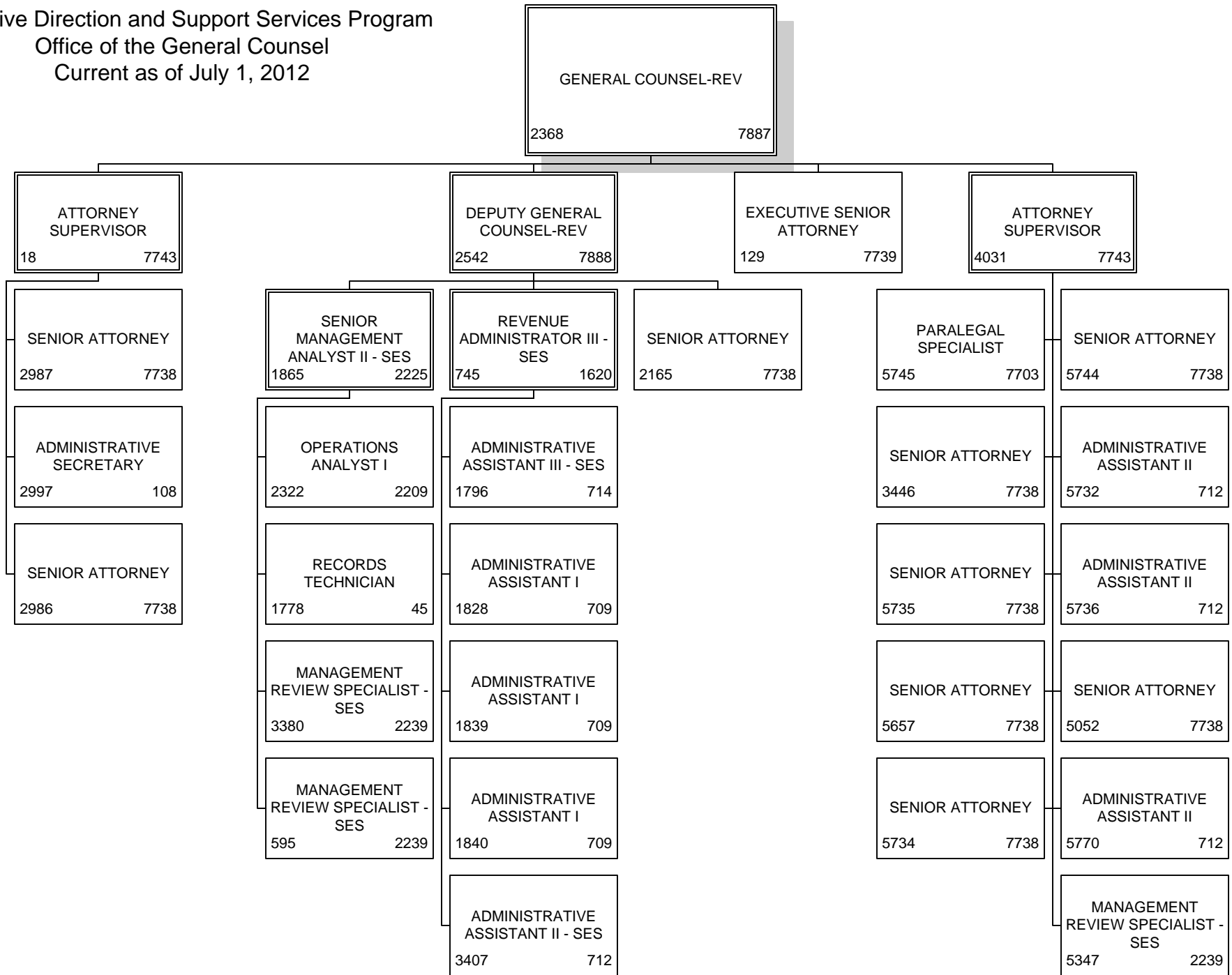
Executive Direction and Support Services Program
Legislative & Cabinet Services
Current as of July 1, 2012



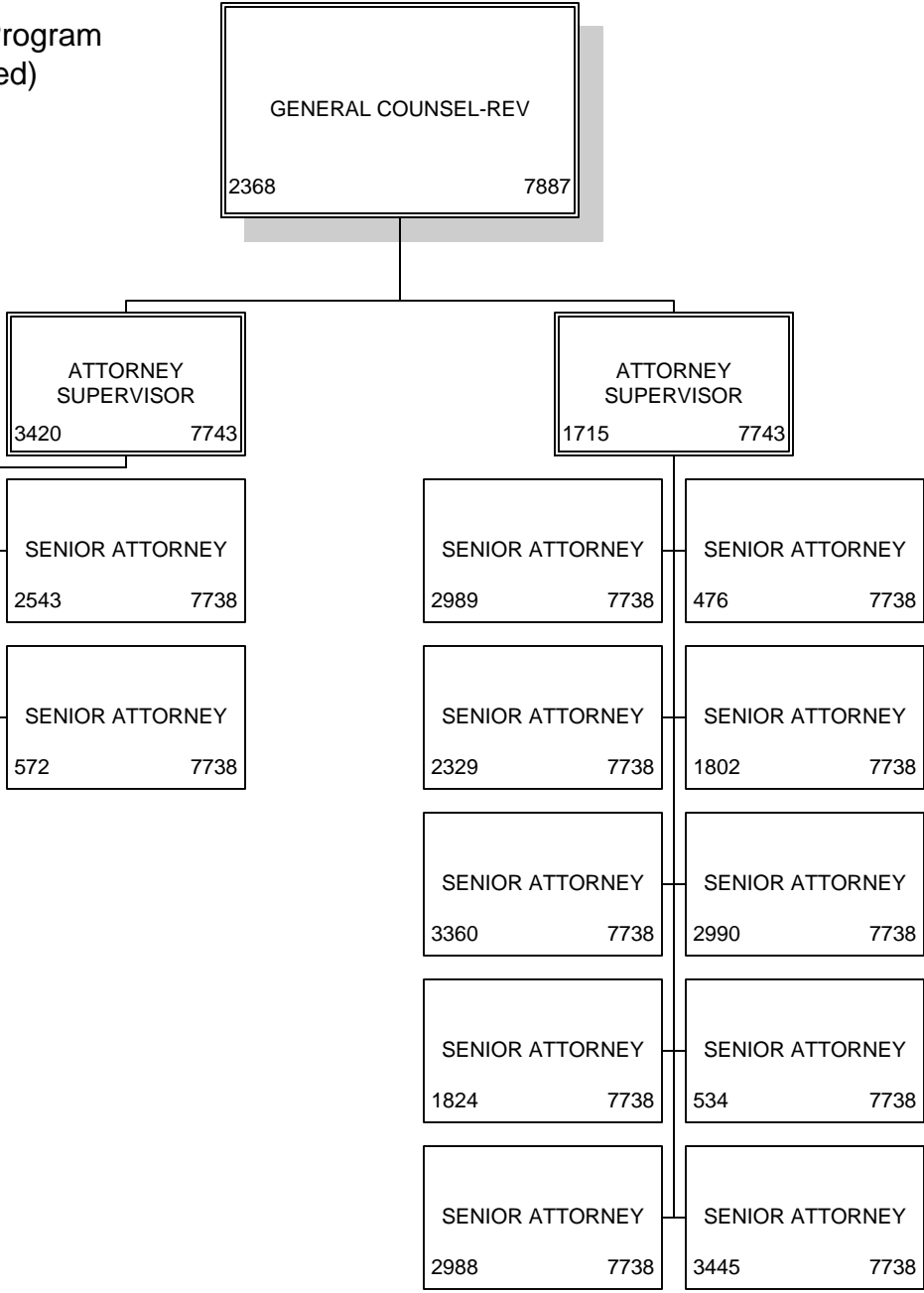
Executive Direction and Support Services Program
 Office of Inspector General
 Current as of July 1, 2012



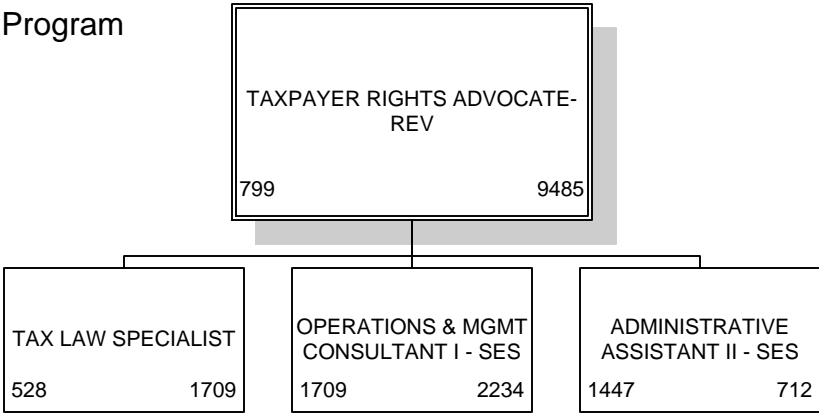
Executive Direction and Support Services Program
 Office of the General Counsel
 Current as of July 1, 2012



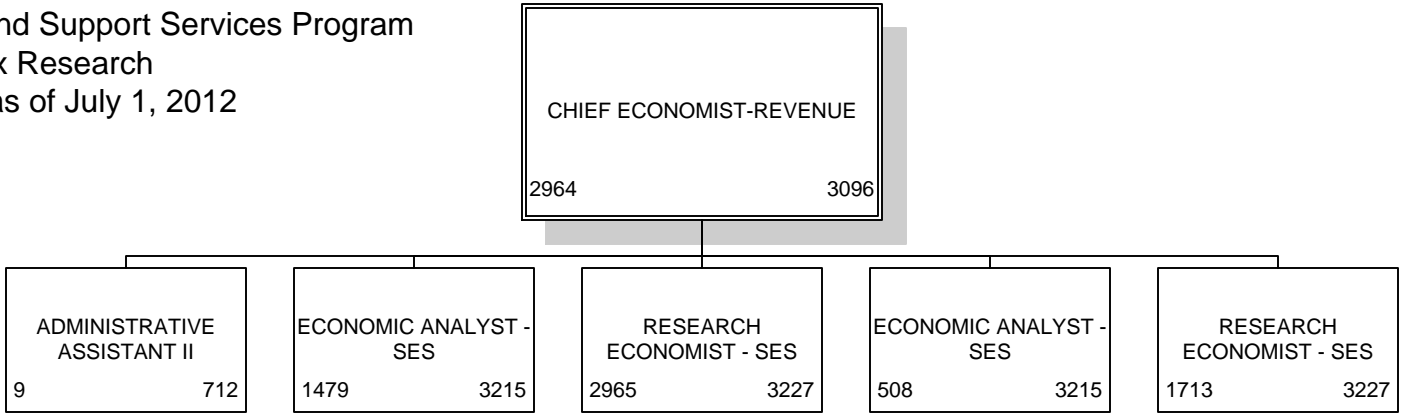
Executive Direction and Support Services Program
Office of the General Counsel (continued)
Current as of July 1, 2012



Executive Direction and Support Services Program
Taxpayer Rights
Current as of July 1, 2012



Executive Direction and Support Services Program
Tax Research
Current as of July 1, 2012



Executive Direction and Support Services Program
 Technical Assistance & Dispute Resolution
 Current as of July 1, 2012

DIR OF TECH ASST&DISPUTE
 RESOLUTION-REV
 16 8568

ADMINISTRATIVE
 ASSISTANT III - SES
 603 714

DEPUTY DIRECTOR
 TECH ASST &
 DISPUTE RES
 3353 9030

REVENUE PROGRAM
 ADMINISTRATOR II -
 SES
 612 1708

REVENUE PROGRAM
 ADMINISTRATOR I -
 SES
 616 1707

TAX LAW SPECIALIST
 1799 1709

REVENUE PROGRAM
 ADMINISTRATOR I -
 SES
 1271 1707

REVENUE PROGRAM
 ADMINISTRATOR I -
 SES
 1202 1707

TAX LAW SPECIALIST
 2756 1709

TAX LAW SPECIALIST
 613 1709

TAX LAW SPECIALIST
 3364 1709

SENIOR TAX
 SPECIALIST
 919 1705

TAX LAW SPECIALIST
 417 1709

TAX LAW SPECIALIST
 6793 1709

TAX LAW SPECIALIST
 1159 1709

TAX LAW SPECIALIST
 1712 1709

STAFF ASSISTANT
 929 120

OPERATIONS
 ANALYST I
 2330 2209

SENIOR ATTORNEY
 1214 7738

TAX LAW SPECIALIST
 3351 1709

SENIOR ATTORNEY
 601 7738

TAX LAW SPECIALIST
 515 1709

ADMINISTRATIVE
 ASSISTANT I
 2994 709

TAX LAW SPECIALIST
 1833 1709

SENIOR WORD
 PROCESSING
 SYSTEMS OPERATOR
 1409 93

SENIOR ATTORNEY
 615 7738

SENIOR ATTORNEY
 2325 7738

SENIOR ATTORNEY
 2754 7738

REVENUE PROGRAM
 ADMINISTRATOR I -
 SES
 426 1707

TAX LAW SPECIALIST
 1203 1709

TAX LAW SPECIALIST
 722 1709

SENIOR TAX
 SPECIALIST
 1845 1705

TAX LAW SPECIALIST
 1798 1709

TAX LAW SPECIALIST
 3359 1709

TAX LAW SPECIALIST
 3352 1709

TAX LAW SPECIALIST
 359 1709

TAX LAW SPECIALIST
 731 1709

SENIOR TAX
 SPECIALIST
 1711 1705

SENIOR WORD
 PROCESSING
 SYSTEMS OPERATOR
 1201 93

TAX LAW SPECIALIST
 710 1709

TAX LAW SPECIALIST
 1832 1709

SENIOR ATTORNEY
 3350 7738

TAX LAW SPECIALIST
 3363 1709

TAX LAW SPECIALIST
 3365 1709

TAX LAW SPECIALIST
 1794 1709

TAX LAW SPECIALIST
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TAX LAW SPECIALIST
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TAX LAW SPECIALIST
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SENIOR TAX
 SPECIALIST
 6840 1705

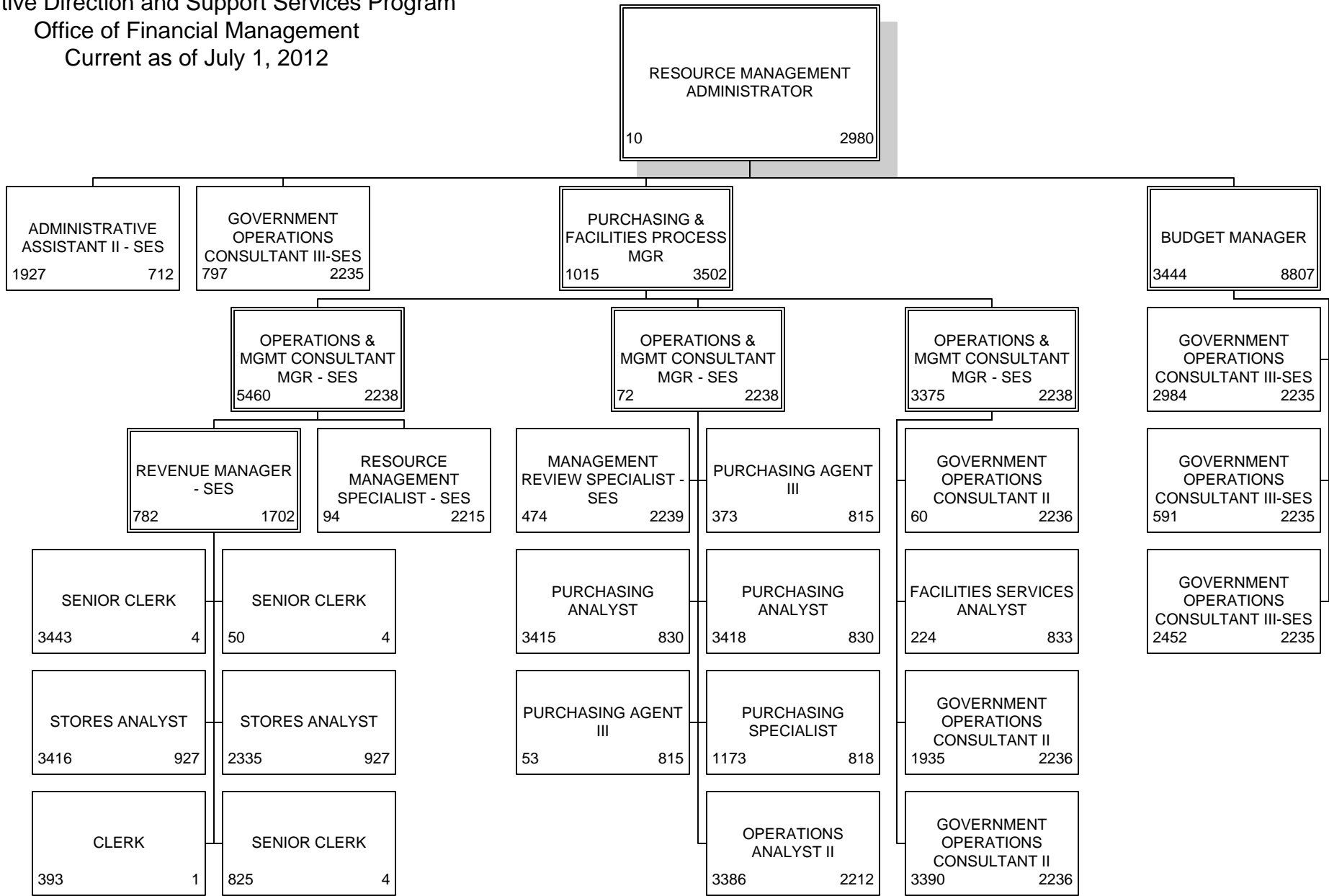
TAX LAW SPECIALIST
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TAX LAW SPECIALIST
 505 1709

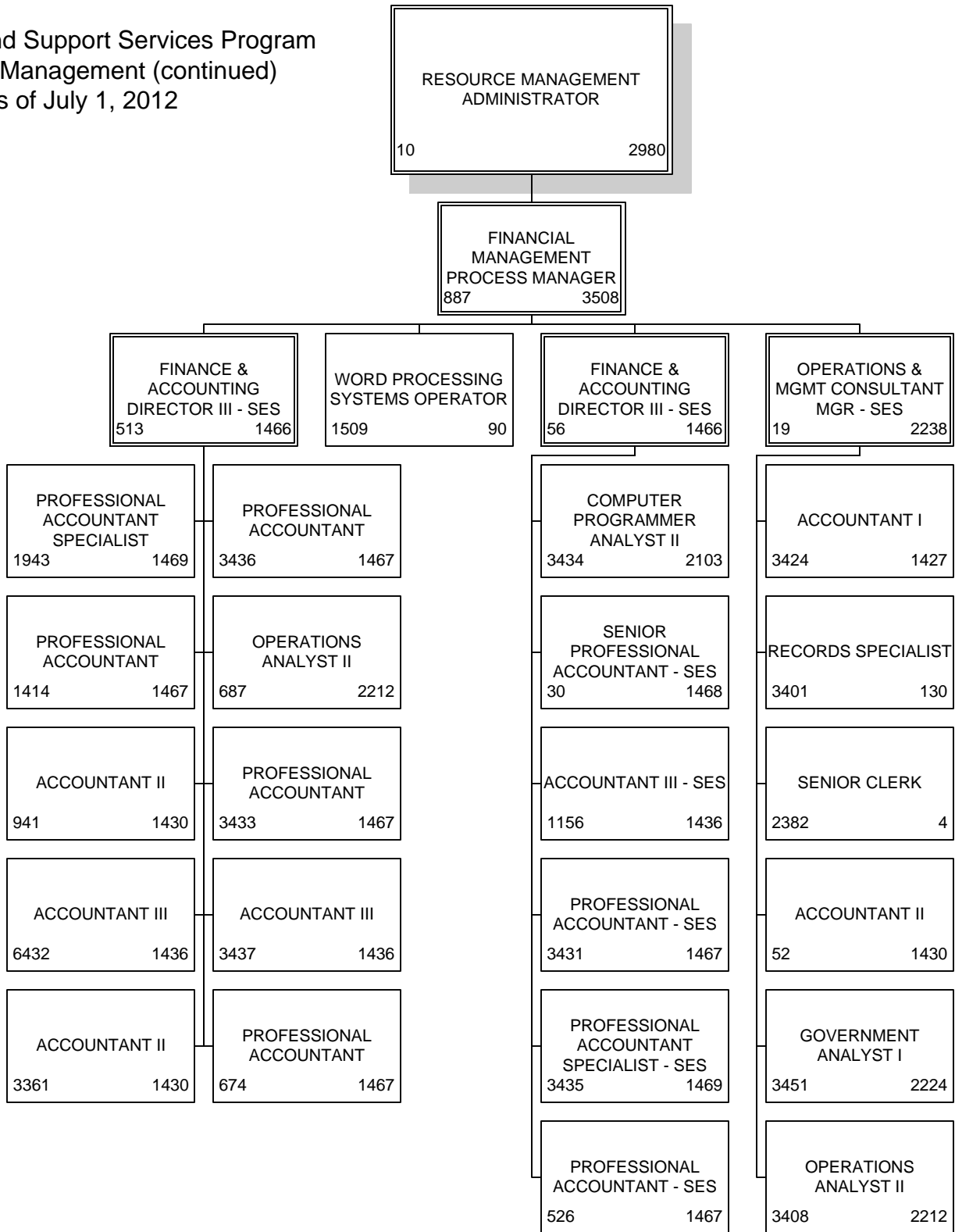
TAX LAW SPECIALIST
 505 1709

SENIOR TAX
 SPECIALIST
 1800 1705

Executive Direction and Support Services Program
 Office of Financial Management
 Current as of July 1, 2012



Executive Direction and Support Services Program
 Office of Financial Management (continued)
 Current as of July 1, 2012



Executive Direction and Support Services Program
 Office of Workforce Management
 Current as of July 1, 2012

RESOURCE MANAGEMENT
 ADMINISTRATOR
 1137 2980

SENIOR
 MANAGEMENT
 ANALYST SUPV - SES
 12 2228

SENIOR
 MANAGEMENT
 ANALYST SUPV - SES
 116 2228

OFFICE OPERATIONS
 MANAGER II - SES
 879 165

HUMAN RESOURCE
 PROCESS MANAGER
 21 8570

SENIOR
 MANAGEMENT
 ANALYST II - SES
 554 2225

GOVERNMENT
 OPERATIONS
 CONSULTANT I
 2741 2234

SENIOR
 MANAGEMENT
 ANALYST II - SES
 5878 2225

HUMAN RESOURCE
 CONSULTANT -SES
 1413 1024

HUMAN RESOURCE
 CONSULTANT -SES
 3397 1024

HUMAN RESOURCE
 CONSULTANT -SES
 305 1024

HUMAN RESOURCE
 CONSULTANT -SES
 3399 1024

SYSTEMS PROJECT
 ADMINISTRATOR -
 SES
 1122 2109

SENIOR
 MANAGEMENT
 ANALYST II - SES
 645 2225

OPERATIONS & MGMT
 CONSULTANT I - SES
 218 2234

MANAGEMENT
 ANALYST II - SES
 4134 2212

OPERATIONS & MGMT
 CONSULTANT I - SES
 444 2234

SENIOR
 MANAGEMENT
 ANALYST I - SES
 2085 2224

SENIOR
 MANAGEMENT
 ANALYST II - SES
 3423 2225

SENIOR
 MANAGEMENT
 ANALYST II - SES
 1558 2225

OPERATIONS & MGMT
 CONSULTANT I - SES
 286 2234

RECORDS SPECIALIST
 - SES
 3089 130

OPERATIONS & MGMT
 CONSULTANT I - SES
 800 2234

SENIOR
 MANAGEMENT
 ANALYST I - SES
 2966 2224

OPERATIONS REVIEW
 SPECIALIST
 868 2239

ADMINISTRATIVE
 ASSISTANT II
 3391 712

OPERATIONS & MGMT
 CONSULTANT I - SES
 975 2234

RECORDS SPECIALIST
 - SES
 2598 130

OPERATIONS & MGMT
 CONSULTANT I - SES
 611 2234

OPERATIONS & MGMT
 CONSULTANT I - SES
 546 2234

MANAGEMENT
 ANALYST II - SES
 4297 2212

OPERATIONS & MGMT
 CONSULTANT II - SES
 3382 2236

MANAGEMENT
 ANALYST II - SES
 303 2212

OPERATIONS & MGMT
 CONSULTANT I - SES
 2602 2234

OPERATIONS & MGMT
 CONSULTANT I - SES
 1965 2234

GOVERNMENT
 OPERATIONS
 CONSULTANT III
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SENIOR
 MANAGEMENT
 ANALYST I - SES
 1008 2224

OPERATIONS & MGMT
 CONSULTANT I - SES
 45 2234

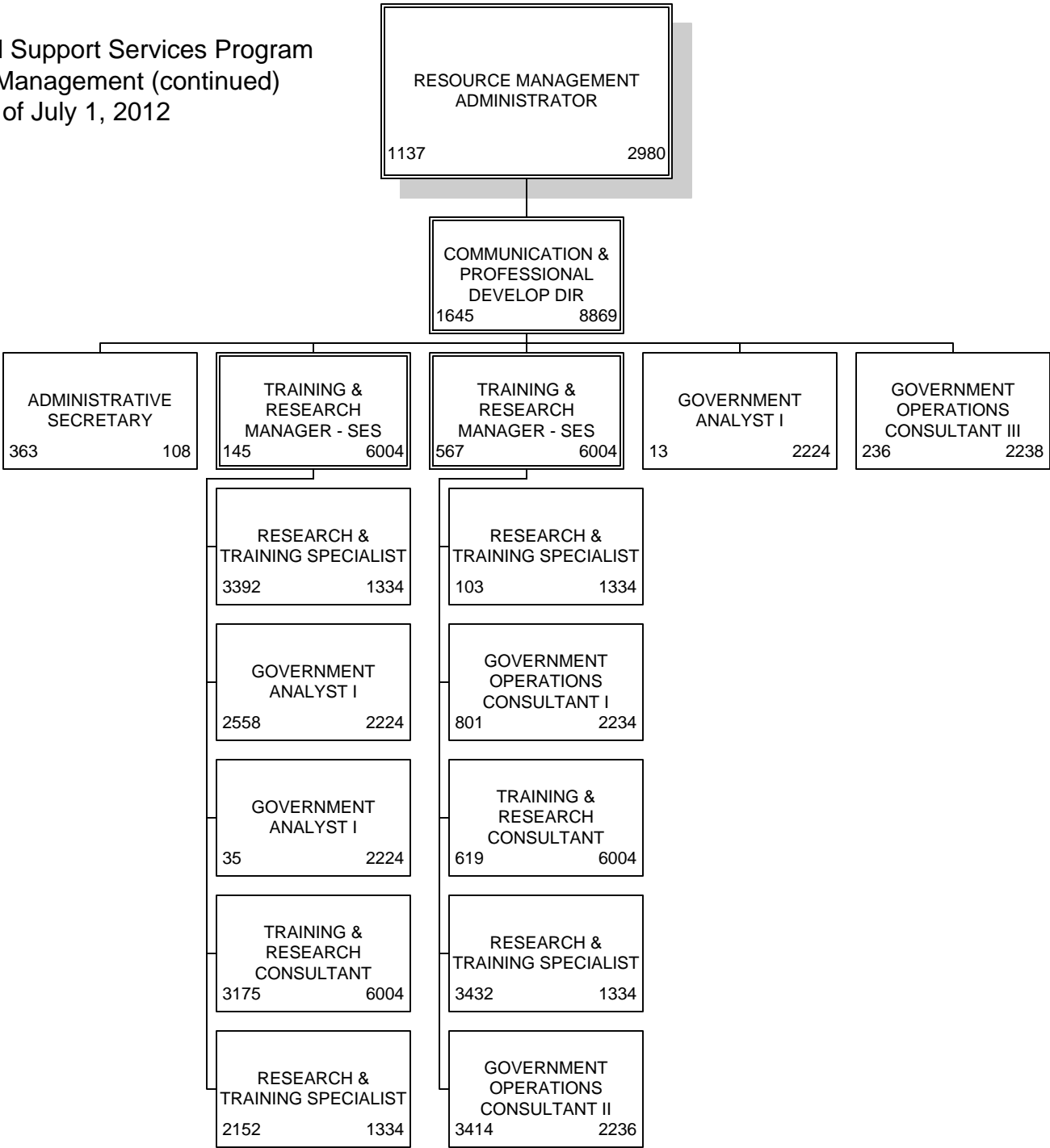
OPERATIONS & MGMT
 CONSULTANT I - SES
 3396 2234

ADMINISTRATIVE
 ASSISTANT II
 3393 712

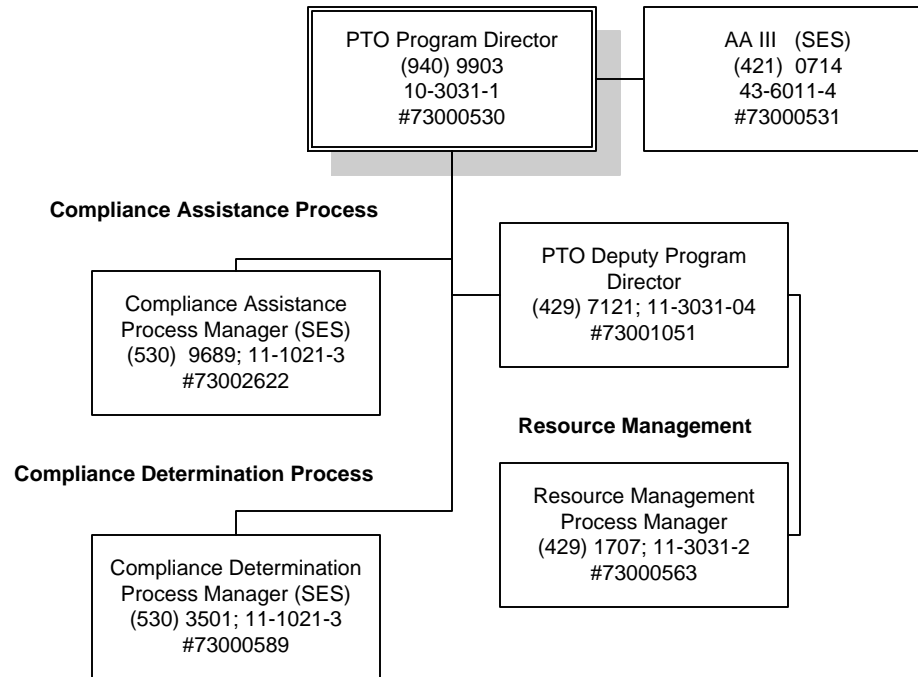
MANAGEMENT
 ANALYST I - SES
 635 2209

OPERATIONS & MGMT
 CONSULTANT I - SES
 252 2234

Executive Direction and Support Services Program
 Office of Workforce Management (continued)
 Current as of July 1, 2012

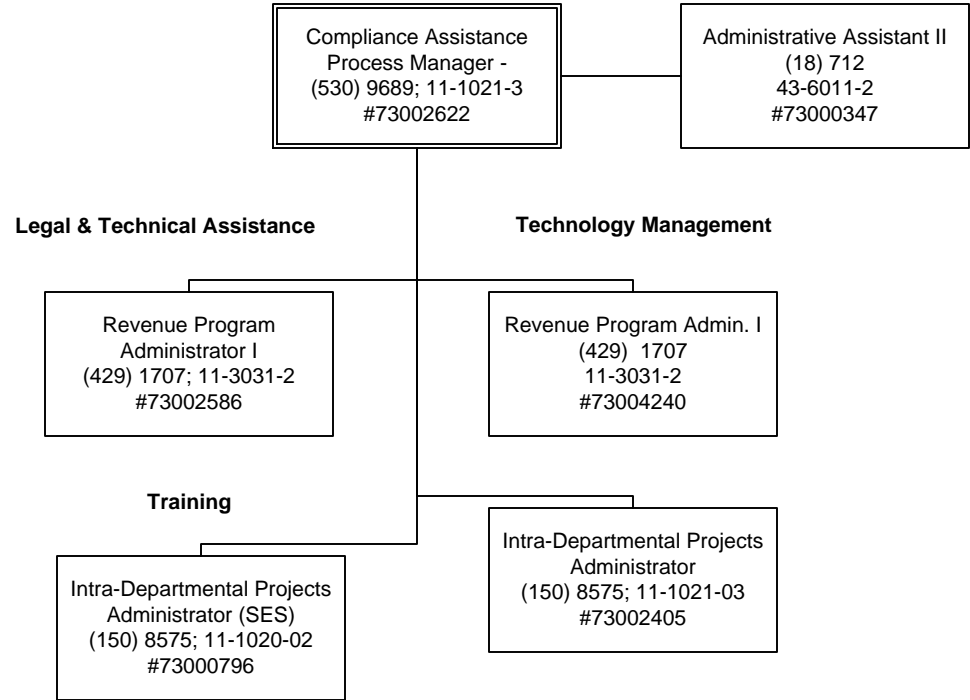


Florida Department of Revenue (FDOR) Property Tax Oversight (PTO)



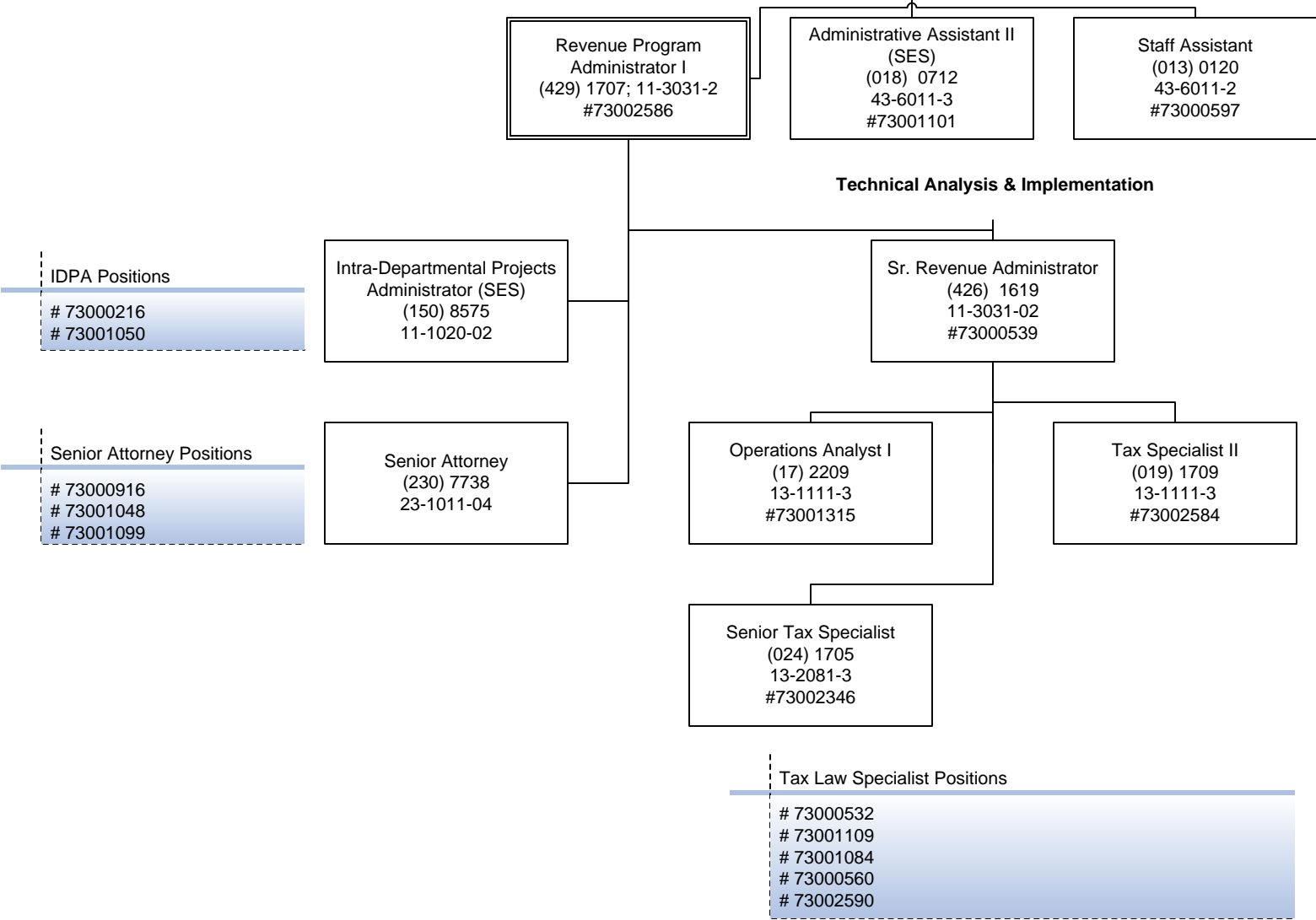
FDOR - PTO

Compliance Assistance Process (CA)



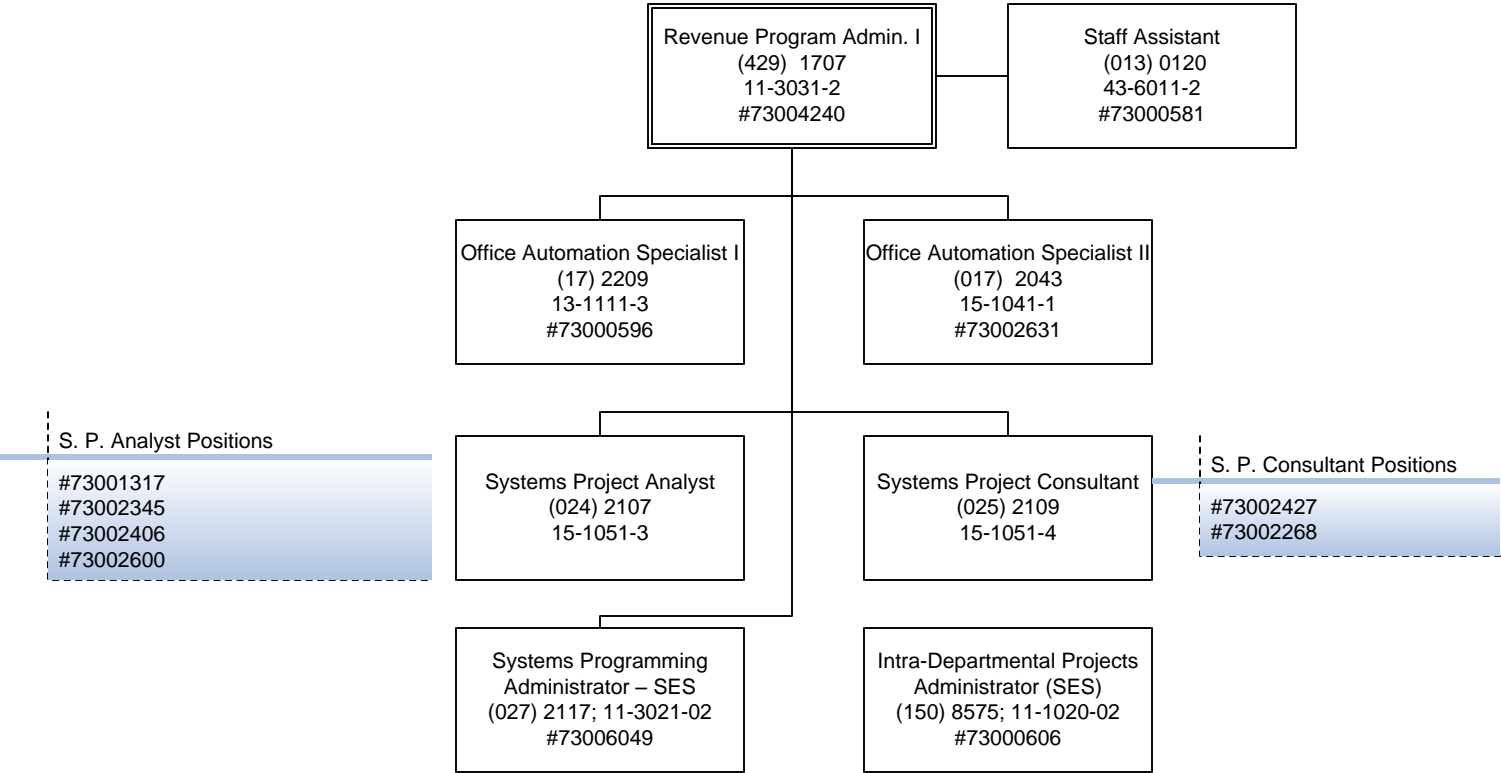
FDOR - PTO

CA - Technical Assistance

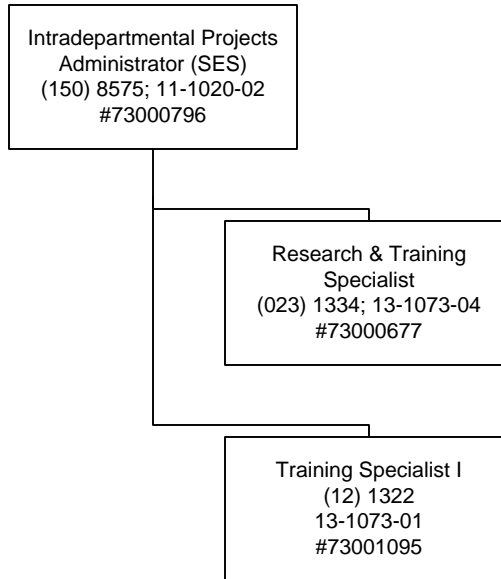


FDOR - PTO

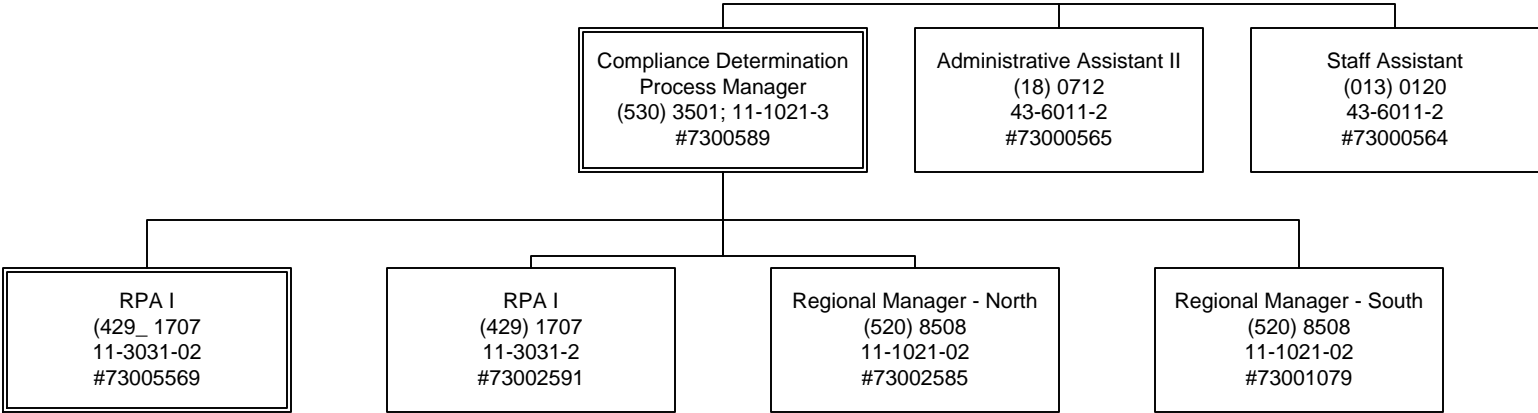
CA - Technology Management



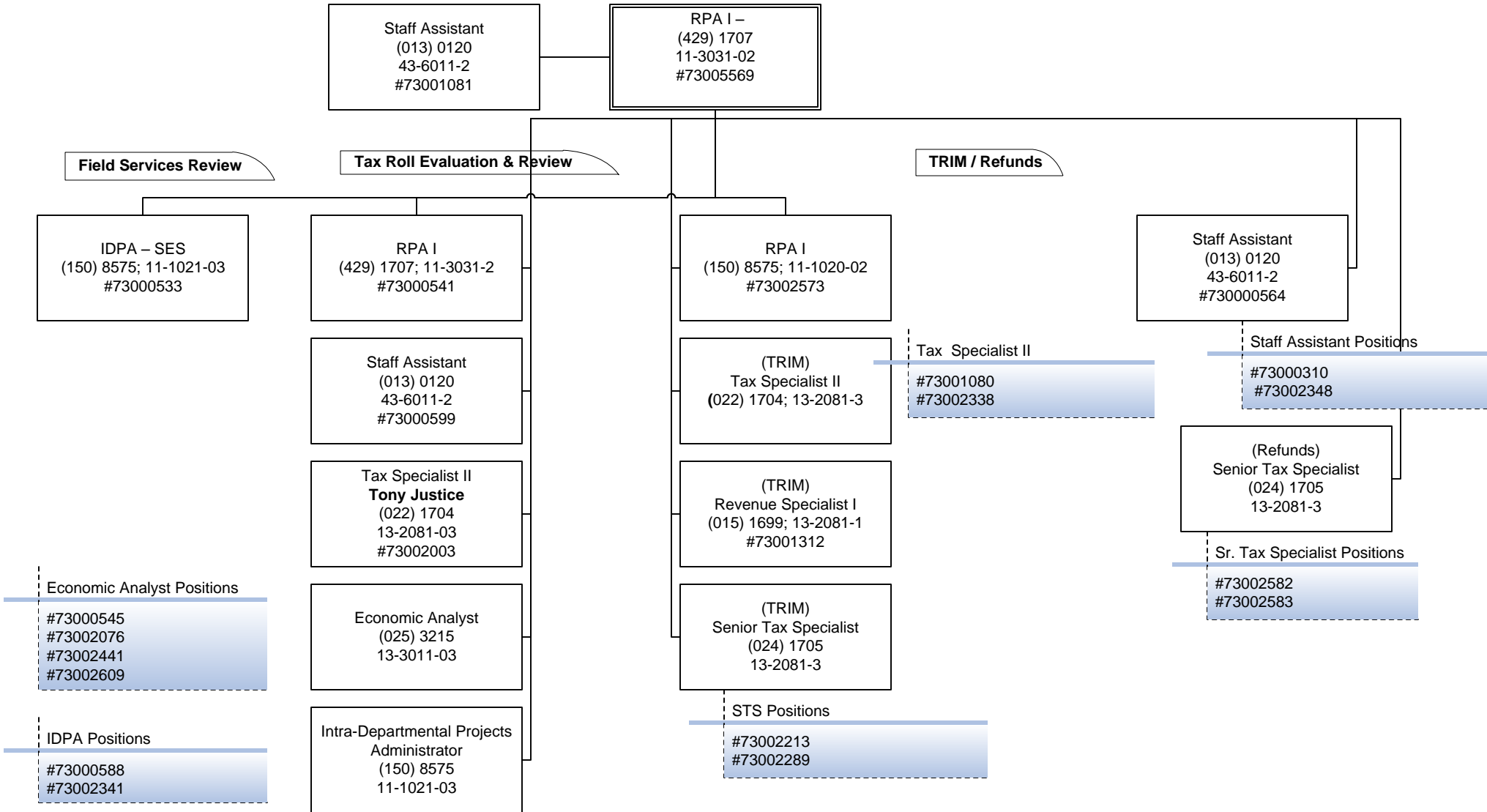
FDOR - PTO CA - Training



FDOR – PTO Compliance Determination (CD)

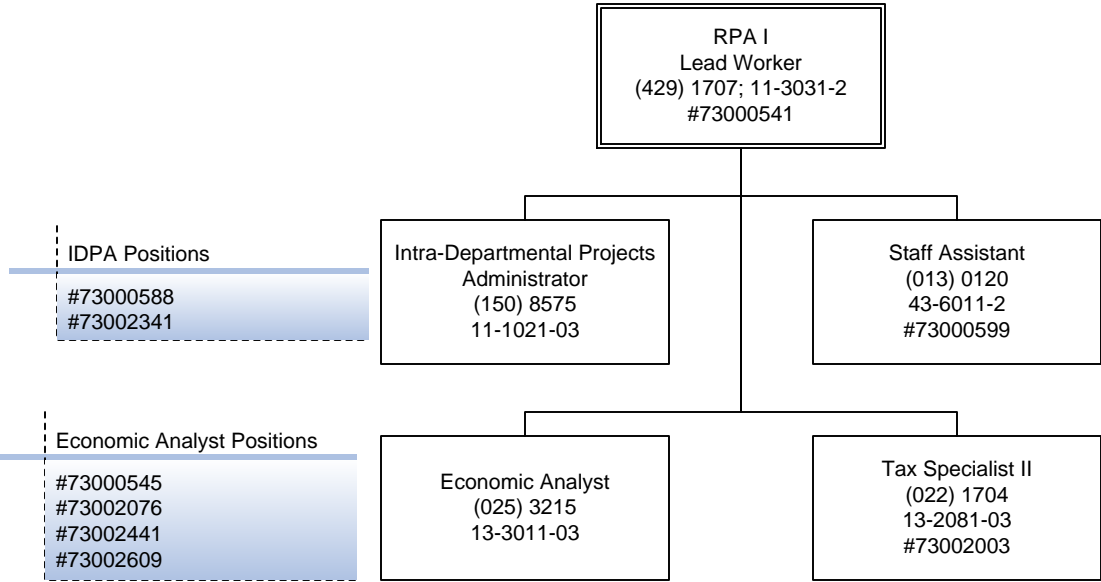


FDOR – PTO CD – Quality Assurance



FDOR – PTO

CD – Tax Roll Evaluation & Review



FDOR PTO CD - TRIM / Refunds

RPA I
Lead Worker
(429) 1707; 11-3031-2
#73002573

Staff Assistant
(013) 0120
43-6011-2
#73002348

TRIM

Refunds

Revenue Specialist I
(015) 1699
13-2081-1
#73001312

Senior Tax Specialist
(024) 1705
13-2081-3

Sr. Tax Specialist Positions
#73002582
#73002583

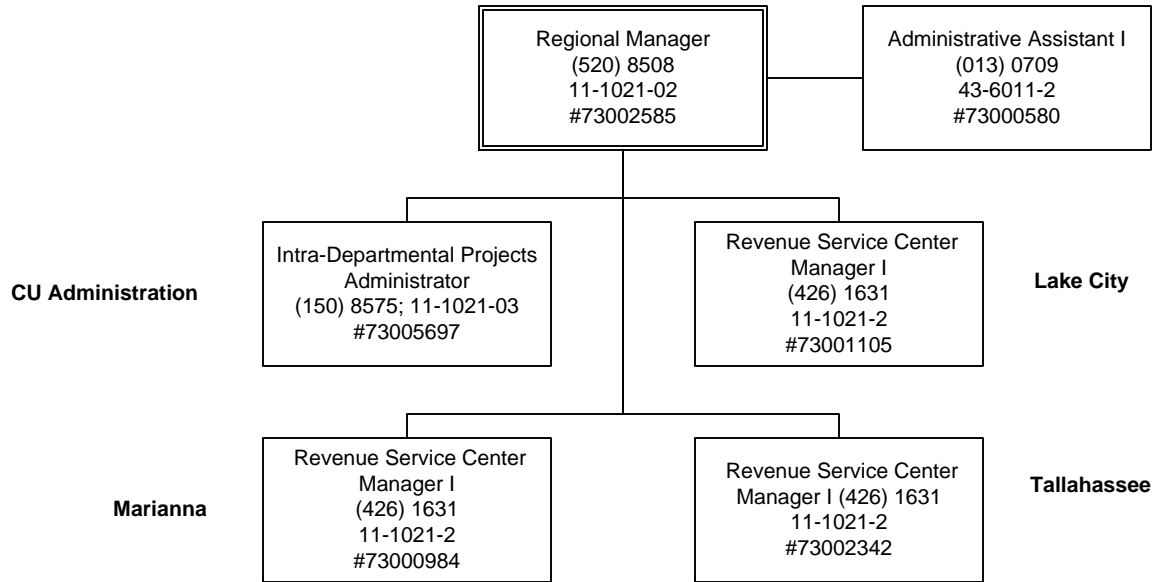
Staff Assistant
(021) 1703
13-2081-3
#73000310

Tax Specialist II
(022) 1704
13-2081-3
#73002338

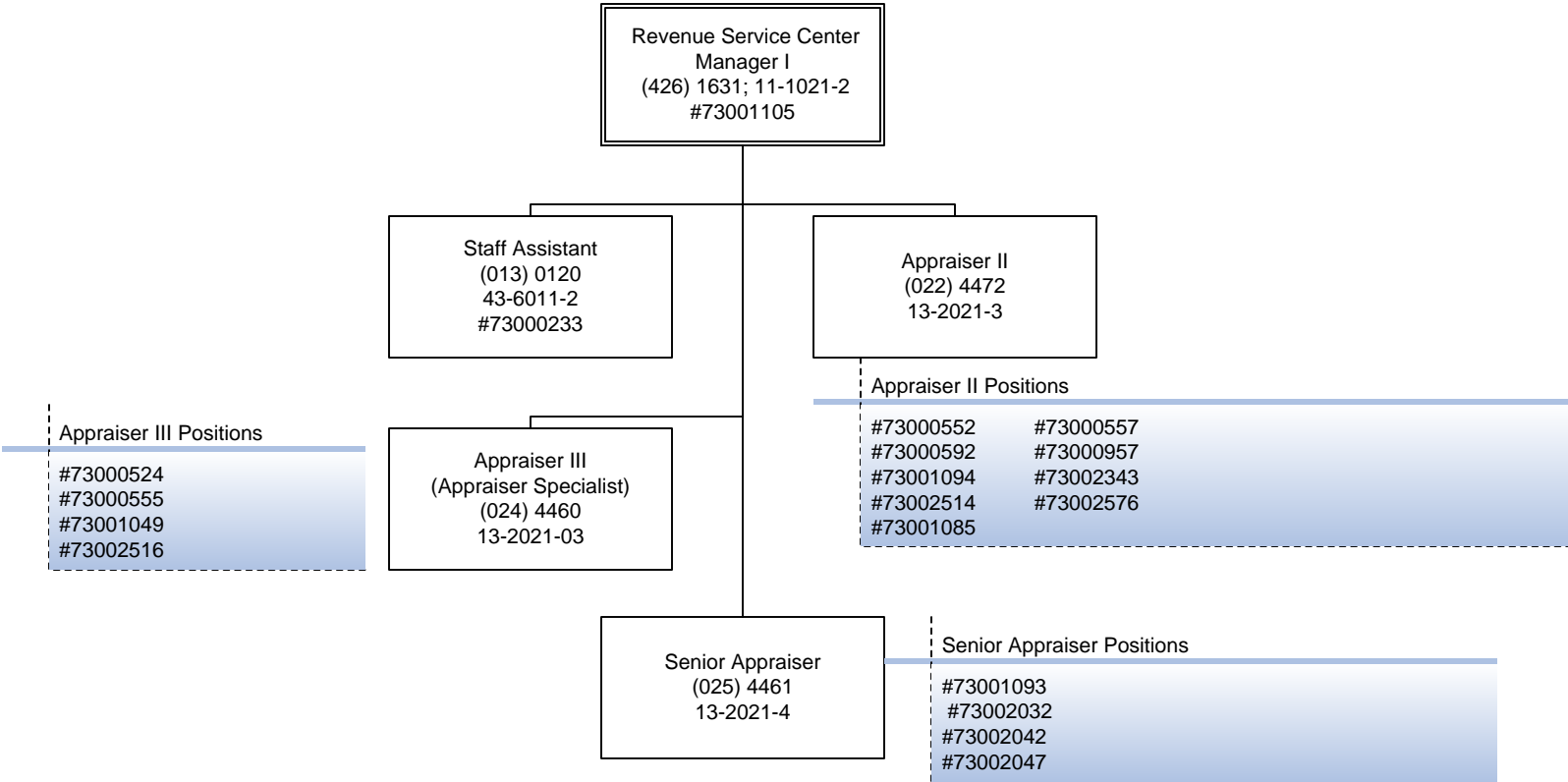
STS Positions
#73002213
#73002289

Senior Tax Specialist
(024) 1705
13-2081-3

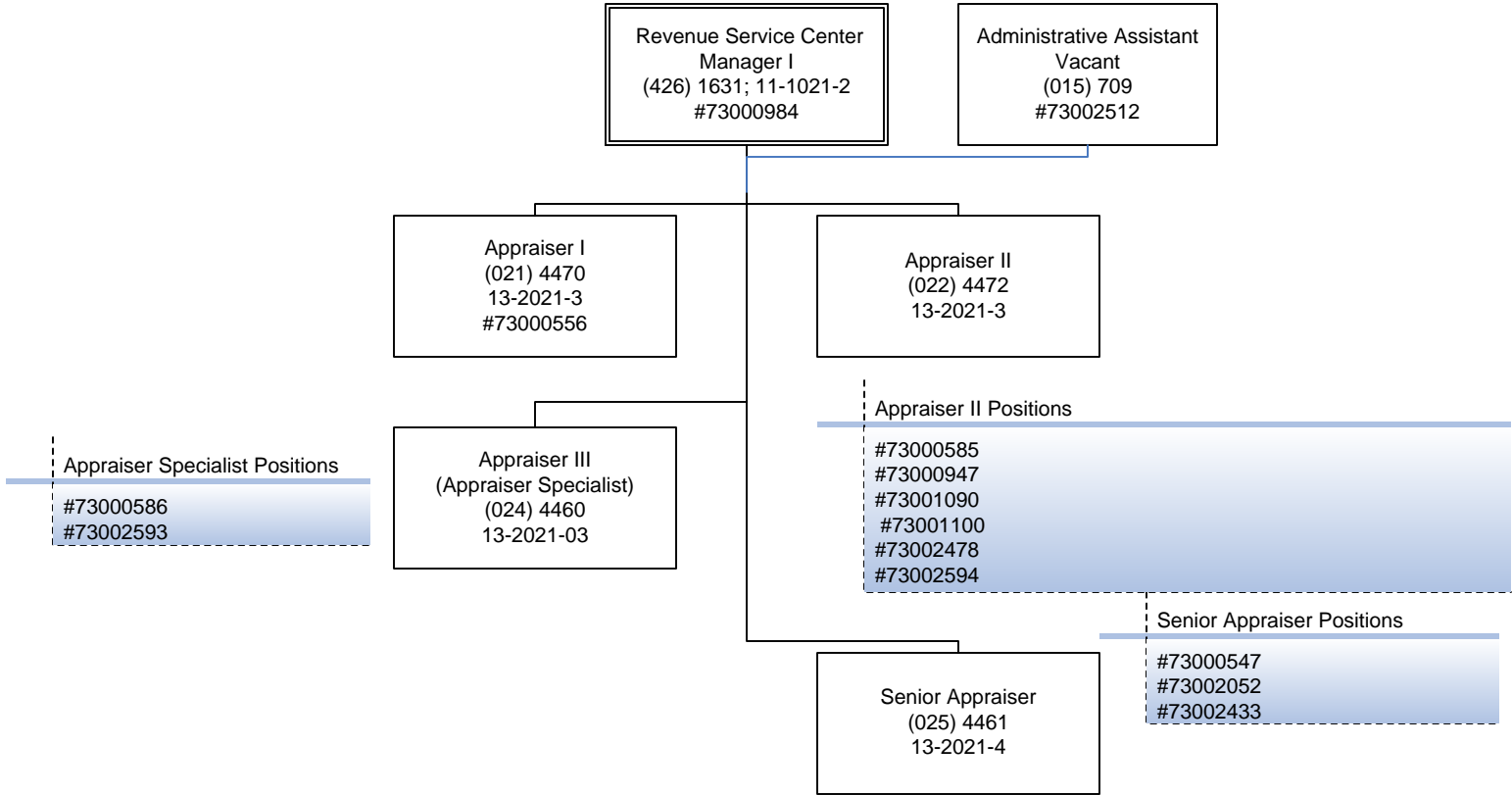
FDOR - PTO CD - In-Depth Review North



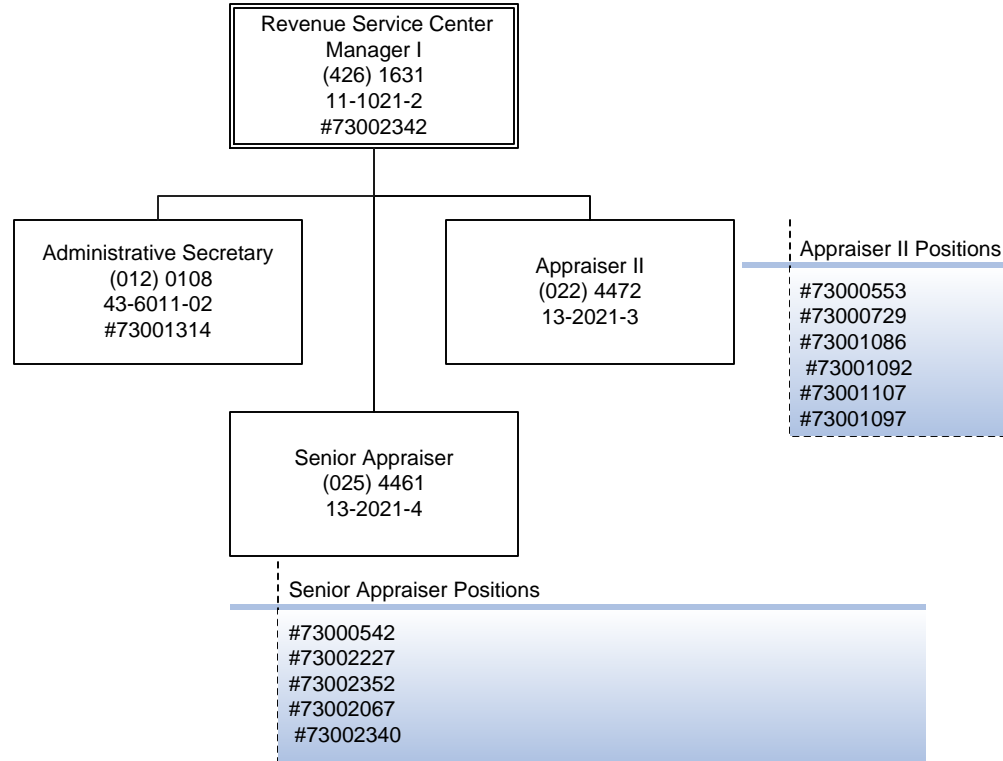
FDOR - PTO CD - Lake City



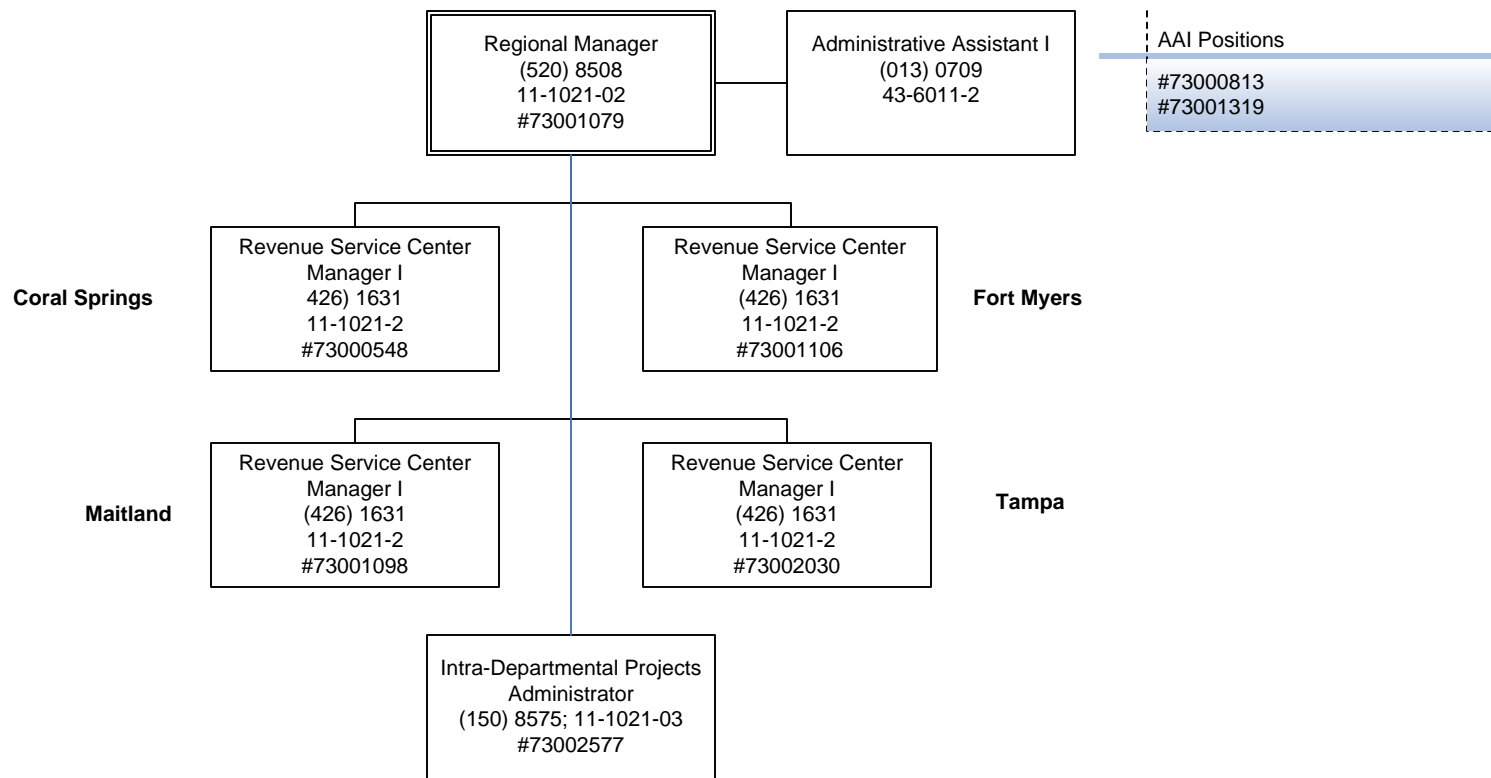
FDOR - PTO CD - Marianna



FDOR - PTO CD - Tallahassee



FDOR - PTO CD - In-Depth Review South



FDOR - PTO CD - Coral Springs

Revenue Service Center
Manager I
(426) 1631
11-1021-2
#73000548

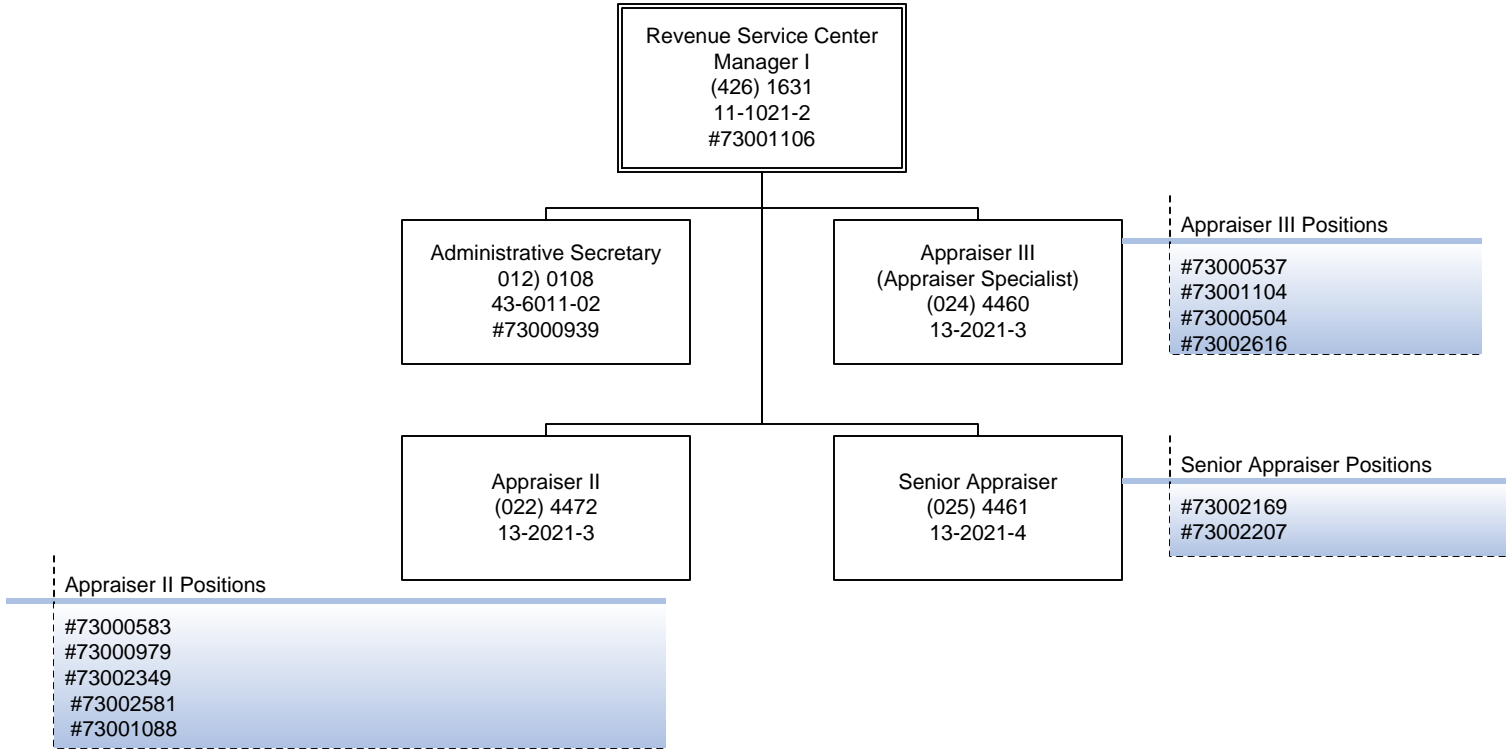
Appraiser II
(022) 4472
13-2021-3
#73000483

Senior Appraiser
(025) 4461
13-2021-4

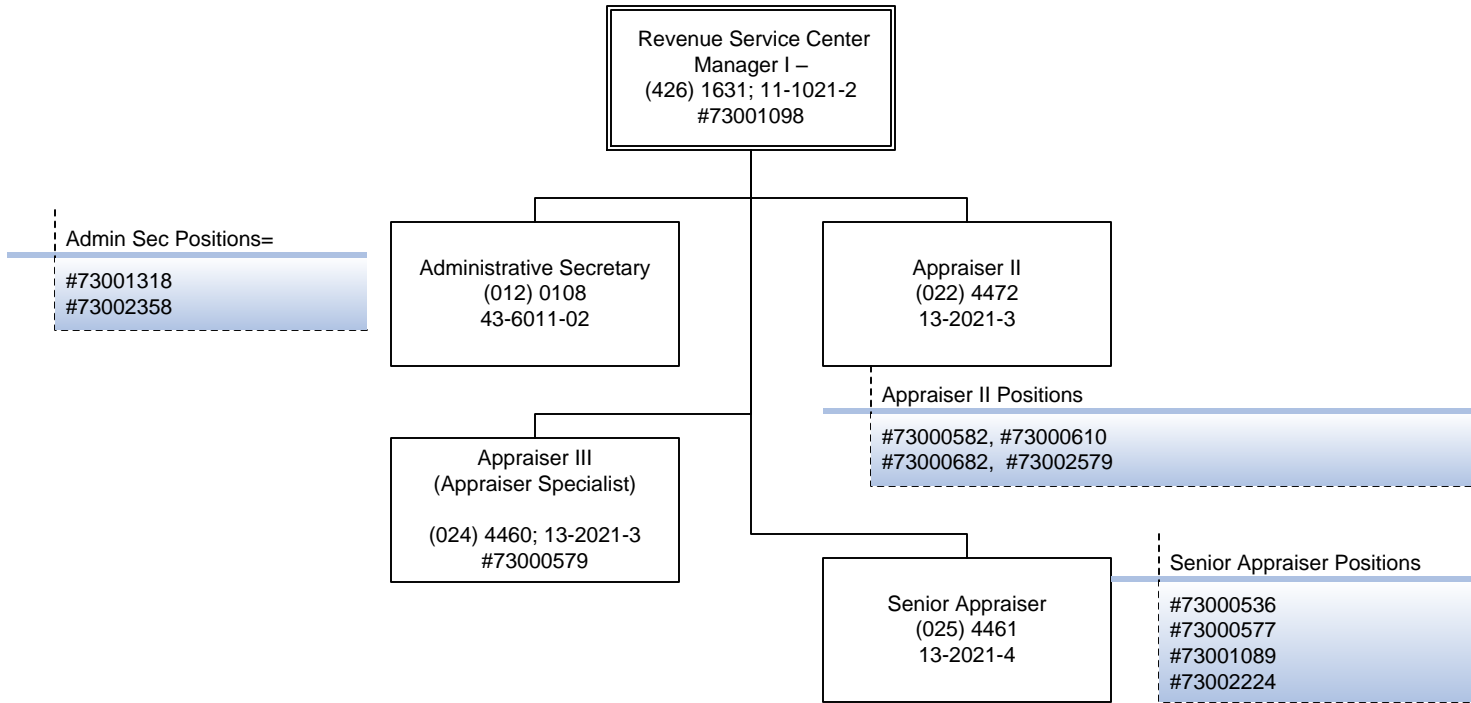
Senior Appraiser Positions

- #73002081
- #73002088
- #73002337

FDOR – PTO CD - Fort Myers



FDOR – PTO CD - Maitland



FDOR – PTO CD - Tampa

Revenue Service Center
Manager I –
(426) 1631
11-1021-2
#73002030

Admin Sec Positions
#73000558
#73002411

Administrative Secretary
(012) 0108
43-6011-02

Appraiser II
(022) 4472
13-2021-3

Appraiser II Positions
#73001083
#73002575

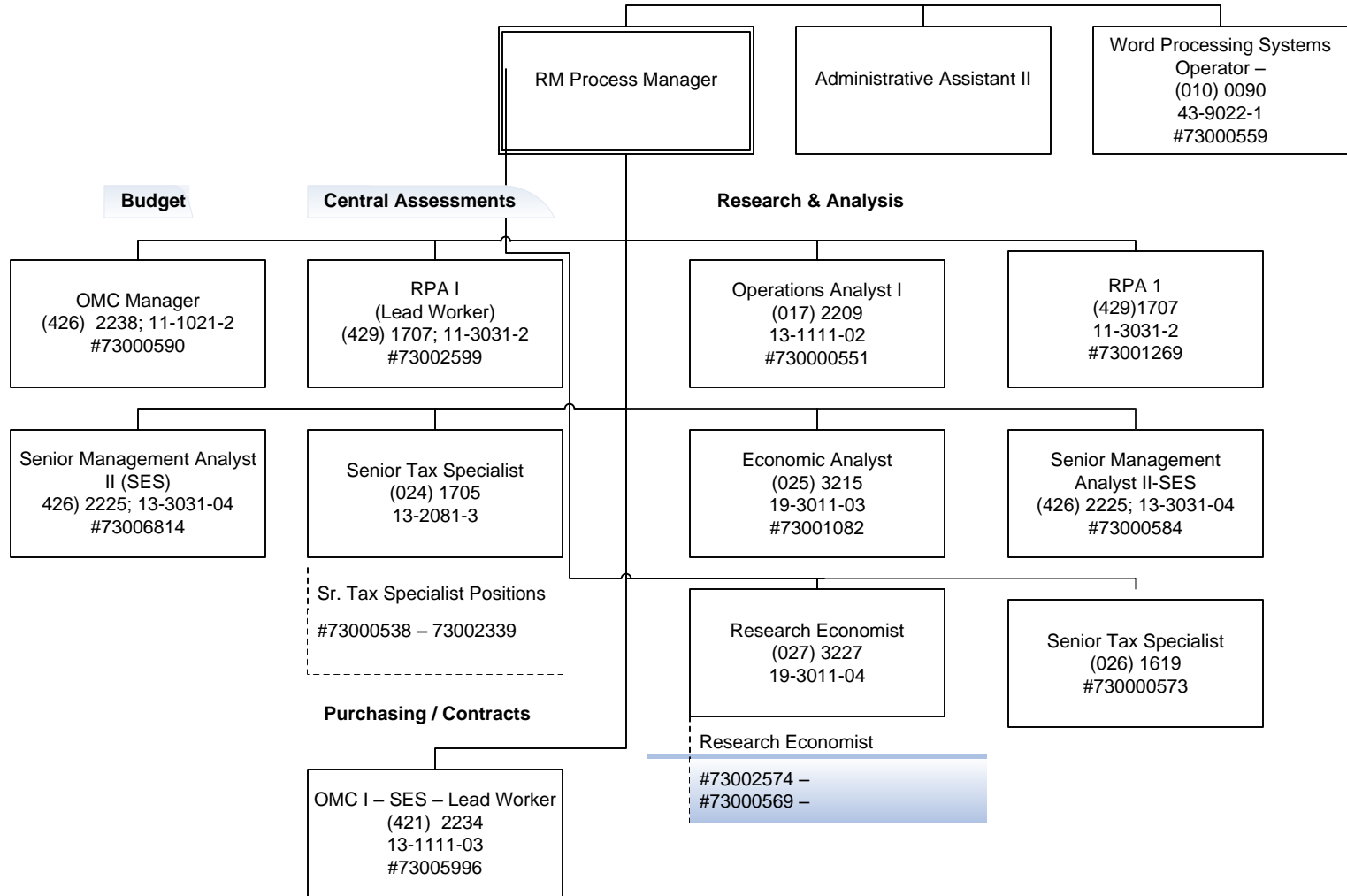
Appraiser III Positions
#73000486
#73000956
#73001102t

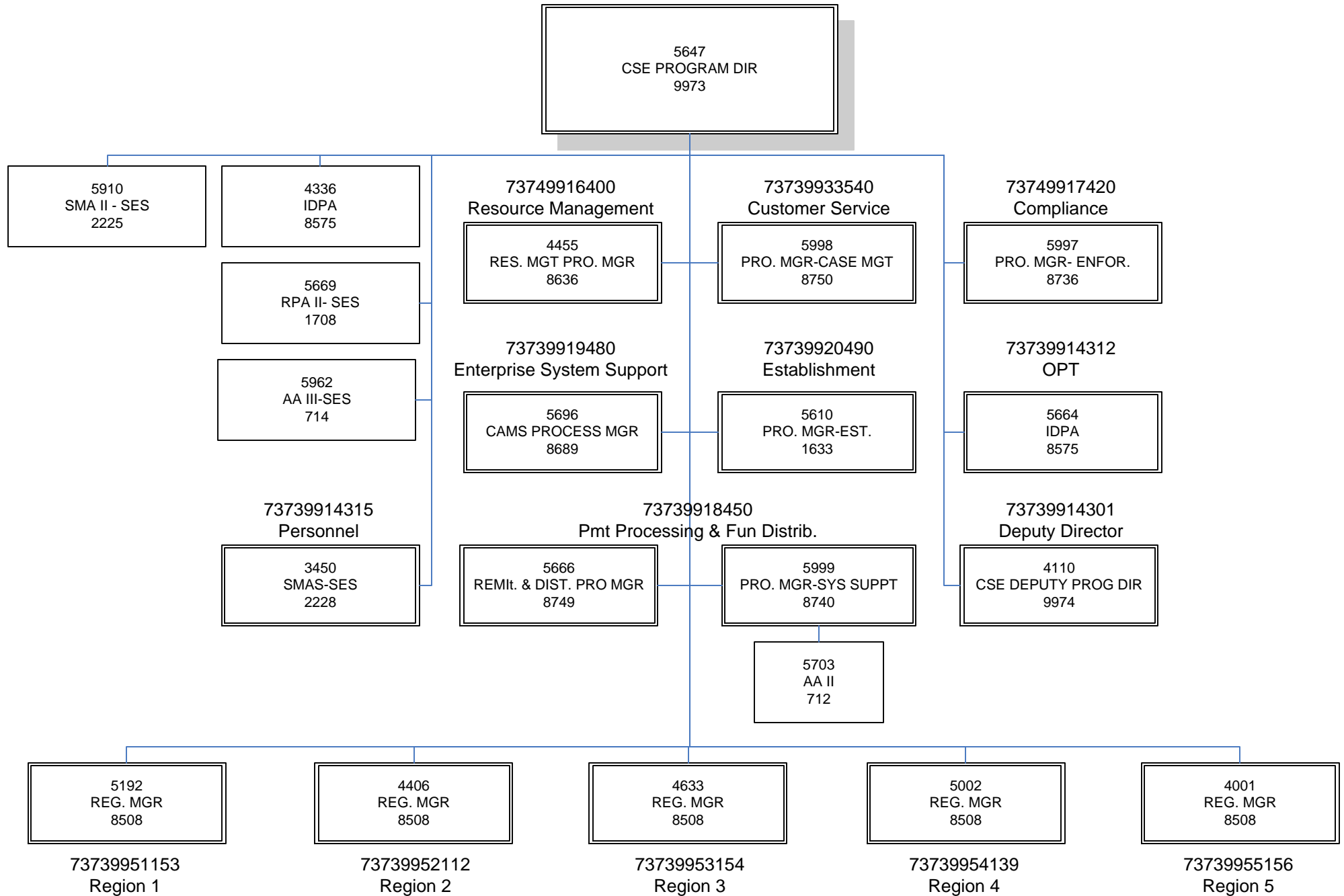
Appraiser III
(Appraiser Specialist)
(024) 4460
13-2021-3

Senior Appraiser
(025) 4461
13-2021-4

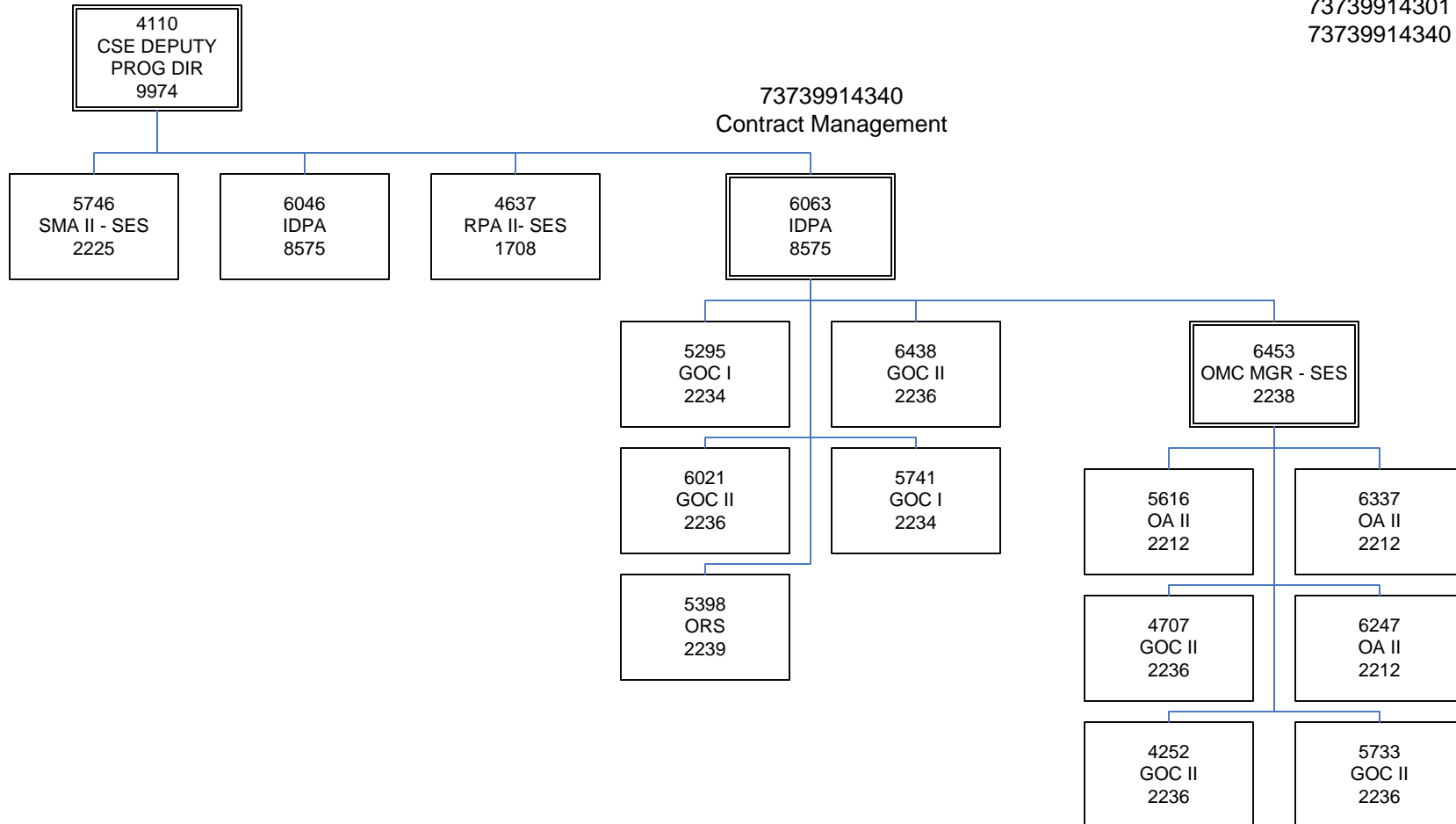
Senior Appraiser Positions
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#73001091
#73002641

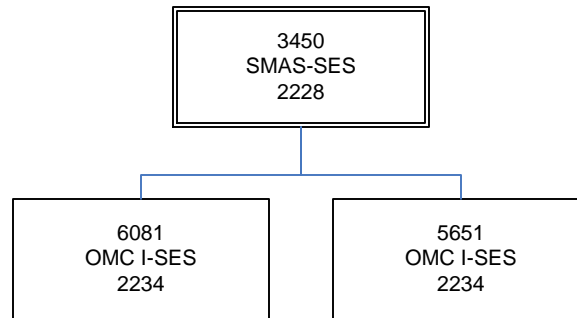
FDOR – PTO Resource Management (RM)



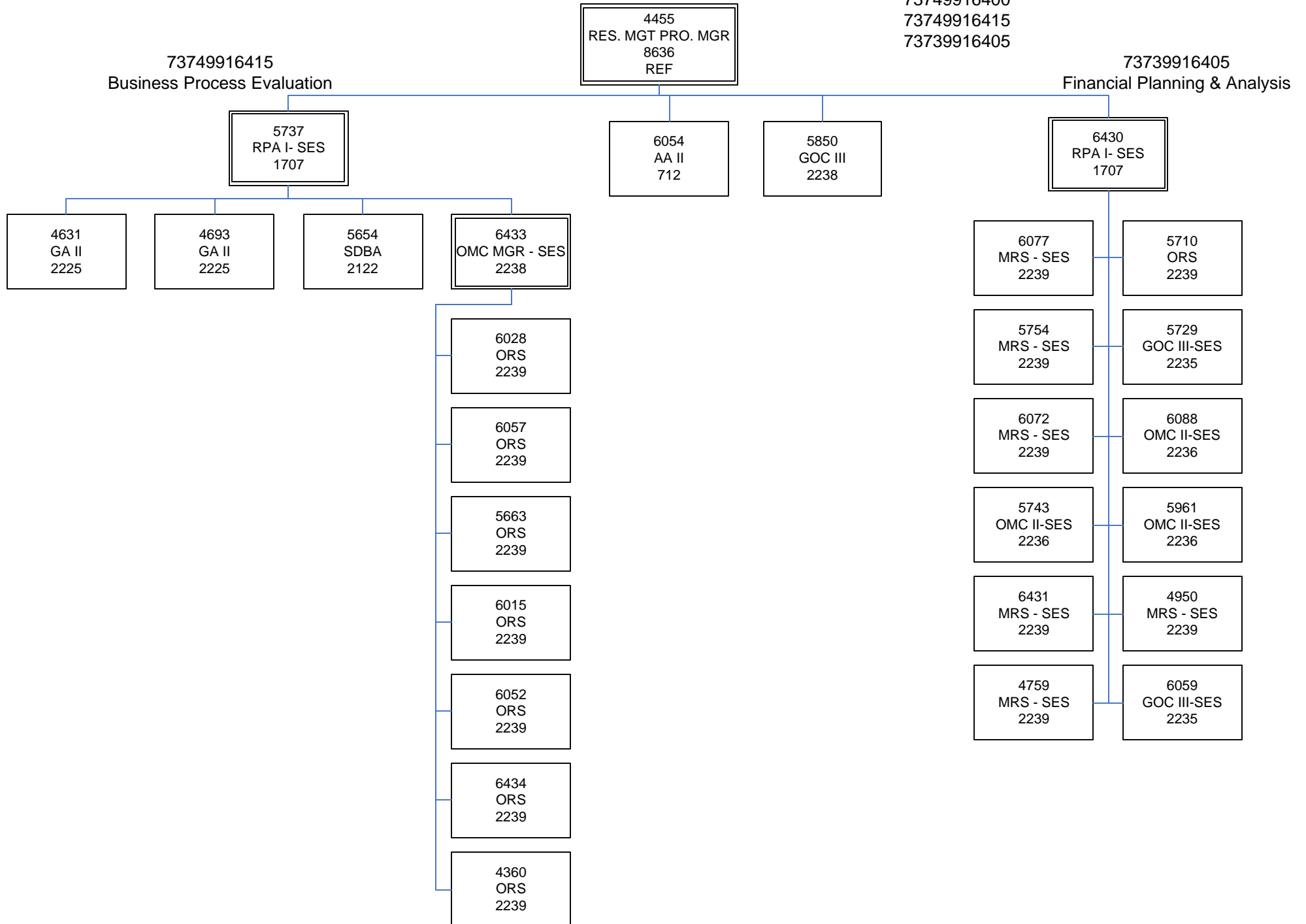


Child Support Enforcement
Process: Director
Deputy Director
As of July 01, 2012
73739914301
73739914340



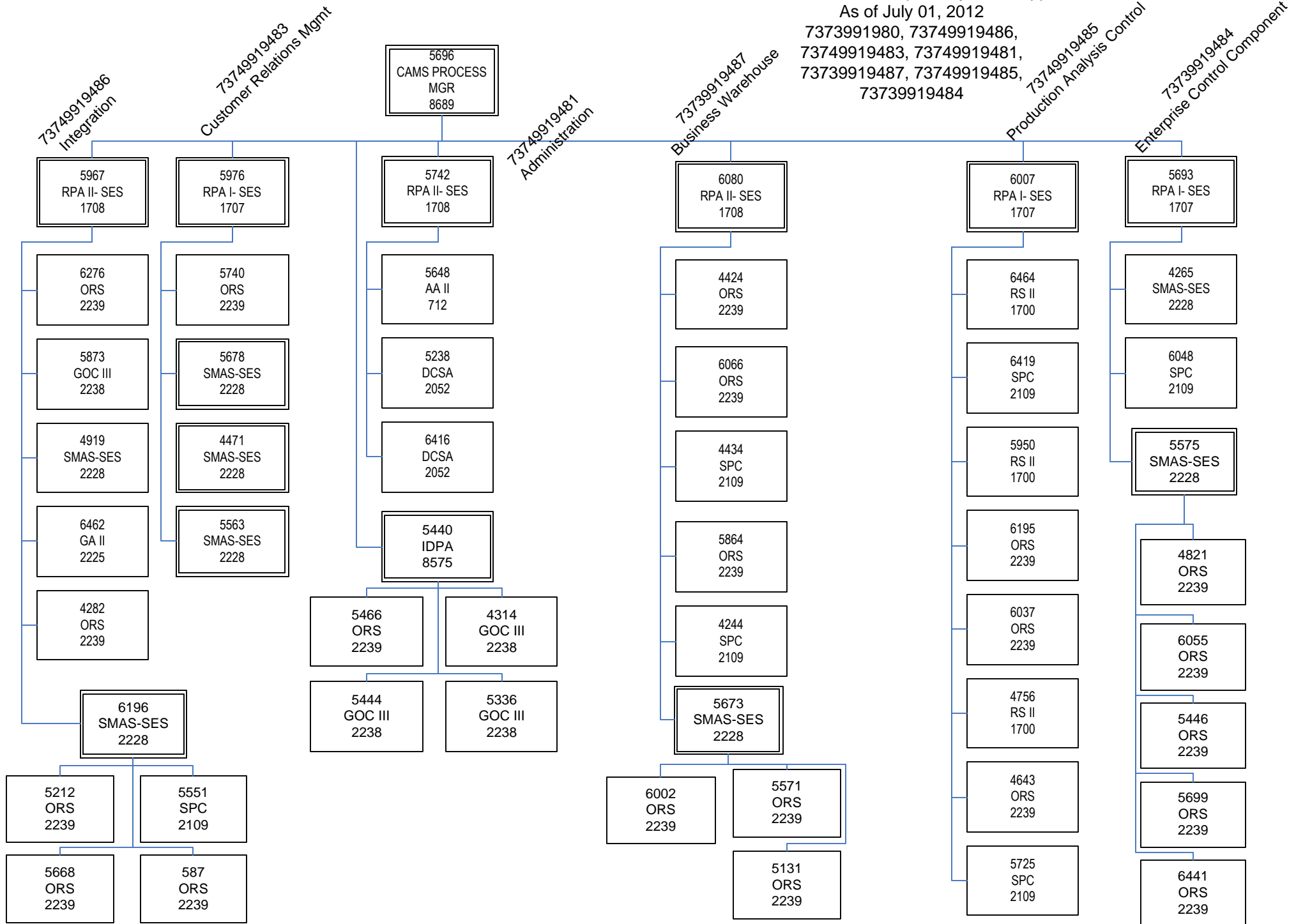


Child Support Enforcement
Process: Director
Resource Management
As of July 01, 2012
73749916400
73749916415
73739916405

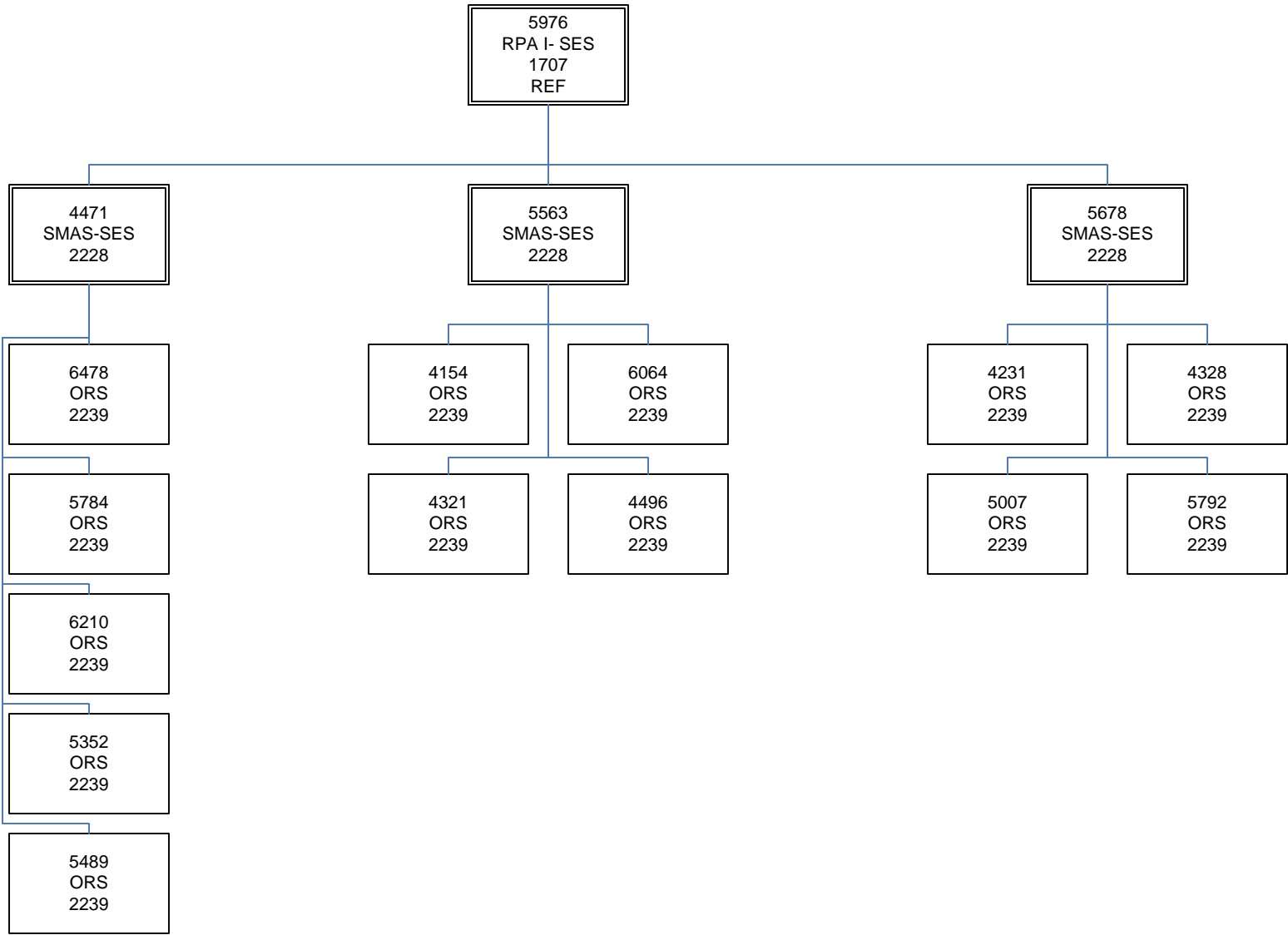


Child Support Enforcement
 Process: Director
 Sub Process: Enterprise System Support
 As of July 01, 2012

7373991980, 73749919486,
 73749919483, 73749919481,
 73739919487, 73749919485,
 73739919484



Child Support Enforcement
Process: Director
Sub Process: Enterprise System Support
As of July 01, 2012
73749919483



Positions on Loan to ISP

6027
ORS
2239

4674
SPC
2109

5026
CPA II
2103

5228
RPA I
1707

6329
SP III
2115

5506
CPS II
2103

4581
ORS
2239

5662
SPA
2107

4724
EDP QT
2016

5097
EDP QT
2016

5277
OAS II
2043

4098
OAS II
2043

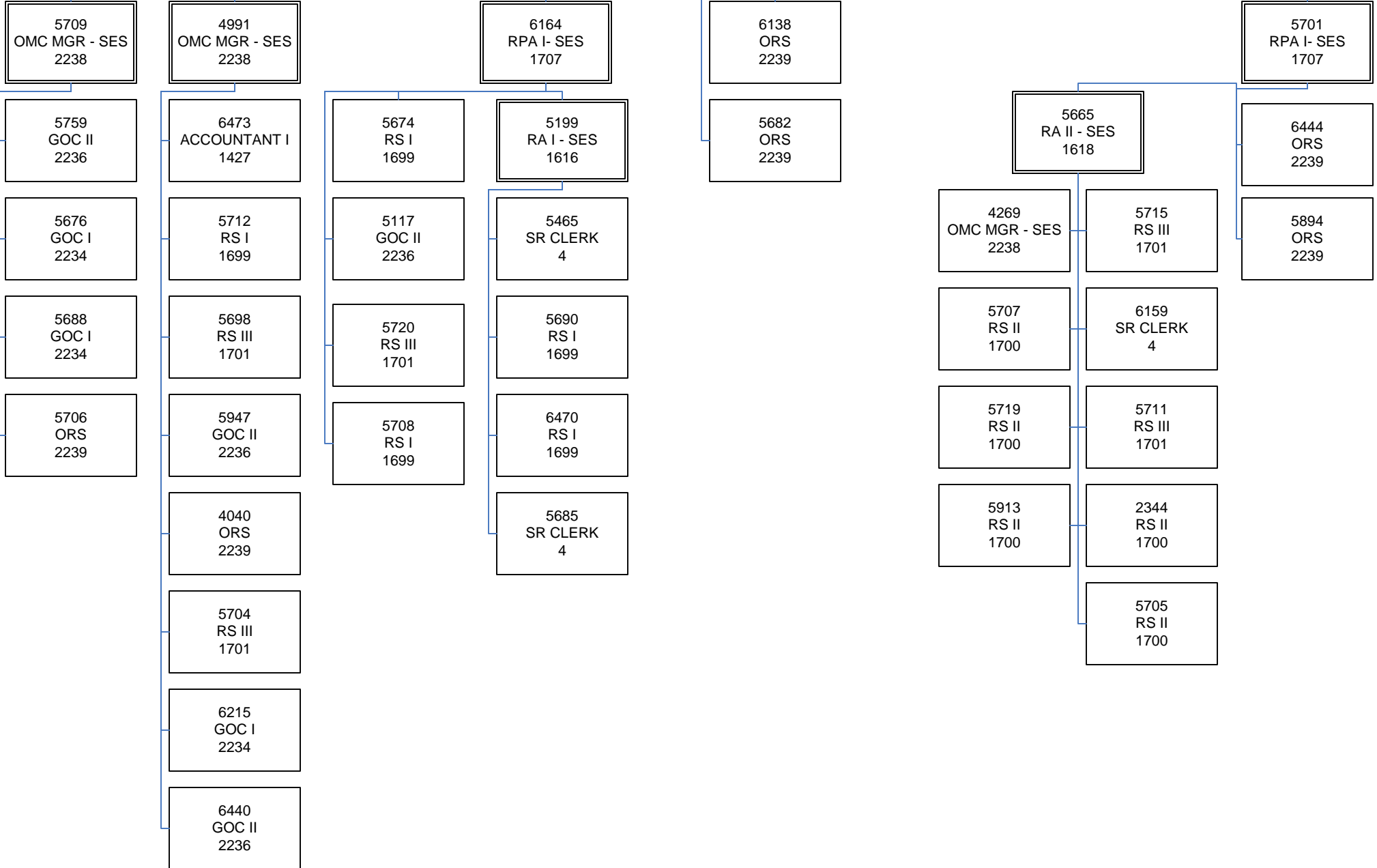
Child Support Enforcement
 Process: Director
 Sub Process: Payment Processing & Fund Distribution
 As of July 01, 2012
 73739918450, 73729918475,
 73729913460, 73719913455

5666
 REMit. & DIST. PRO
 MGR
 8749
 REF

73729918475
 SDU Support

73729918460
 Special Services

73719918455
 Distribution



73739933540
 Program Administration

5998
 PRO. MGR-CASE
 MGT
 8750

4208
 RPA II- SES
 1708

5689
 ORS
 2239

5652
 ORS
 2239

4820
 OA II
 2212

73719933542
 Customer Contact Center

6056
 RA III - SES
 1620

5860
 RA III - SES
 1620

4862
 RA III - SES
 1620

5586
 AA II
 712

6455
 SMAS-SES
 2228

73749933540
 Program Administration

5966
 REV MGR - SES
 1702

4528
 REV MGR - SES
 1702

4483
 RS III
 1701

4097
 RS III
 1701

4548
 OA II
 2212

5986
 ADMIN. SEC.
 108

4464
 REV MGR - SES
 1702

5985
 REV MGR - SES
 1702

5004
 RS III
 1701

5076
 RS III
 1701

4558
 STAFF ASST.
 120

5649
 ADMIN. SEC.
 108

5609
 REV MGR - SES
 1702

4042
 REV MGR - SES
 1702

5432
 REV MGR - SES
 1702

4815
 RS III
 1701

5717
 GOC I
 2234

5718
 GOC I
 2234

5376
 RS III
 1701

5010
 REV MGR - SES
 1702

4498
 GOC I
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 GOC I
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4025
 RS III
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 RS III
 1701

5721
 GOC I
 2234

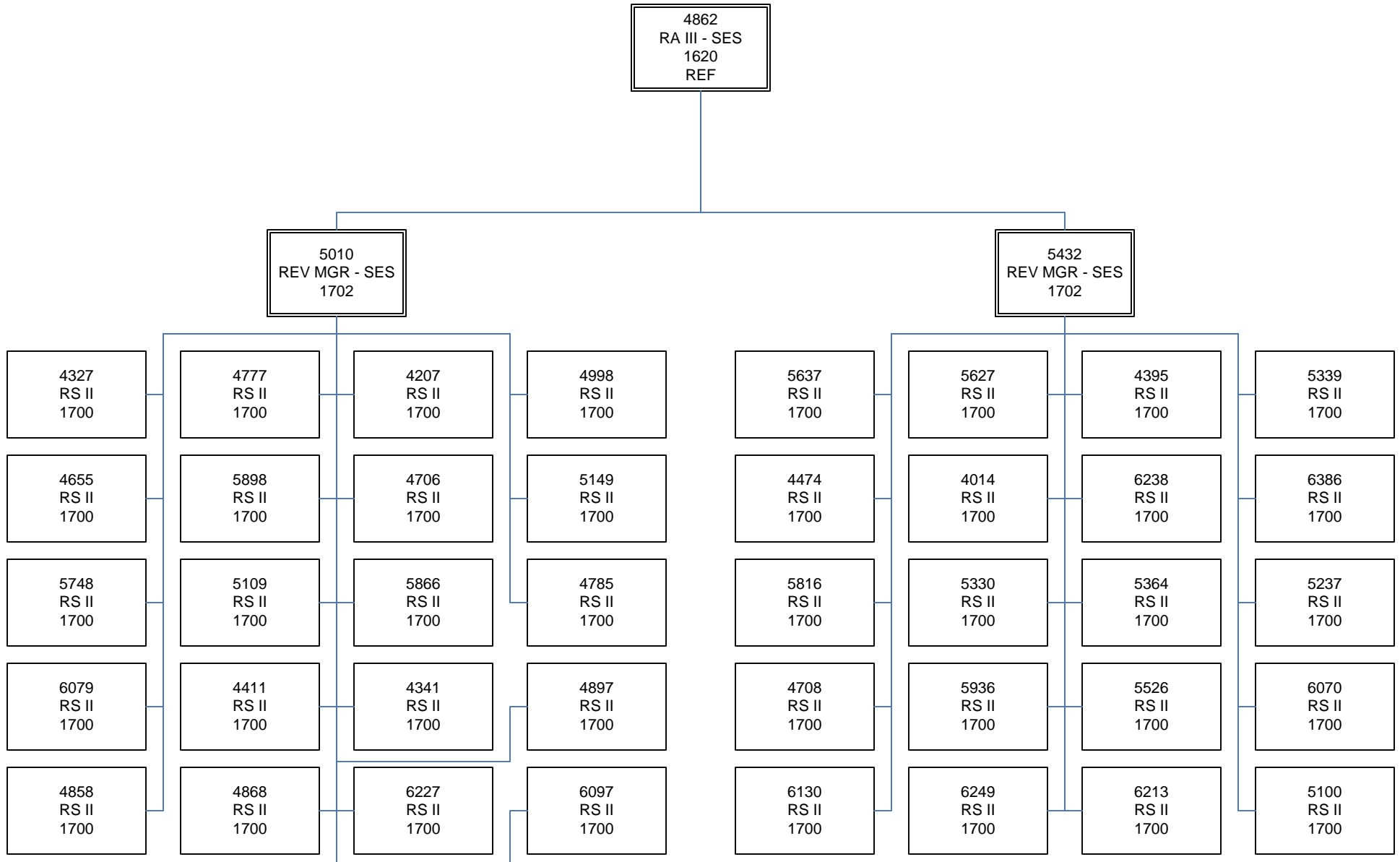
6285
 GOC I
 2234

4129
 RS III
 1701

4023
 SDTC
 1332

Child Support Enforcement
Process: Director
Sub Process: Customer Service/Customer Contact Center
As of July 01, 2012
73719933542

73719933542
Customer Contact Center



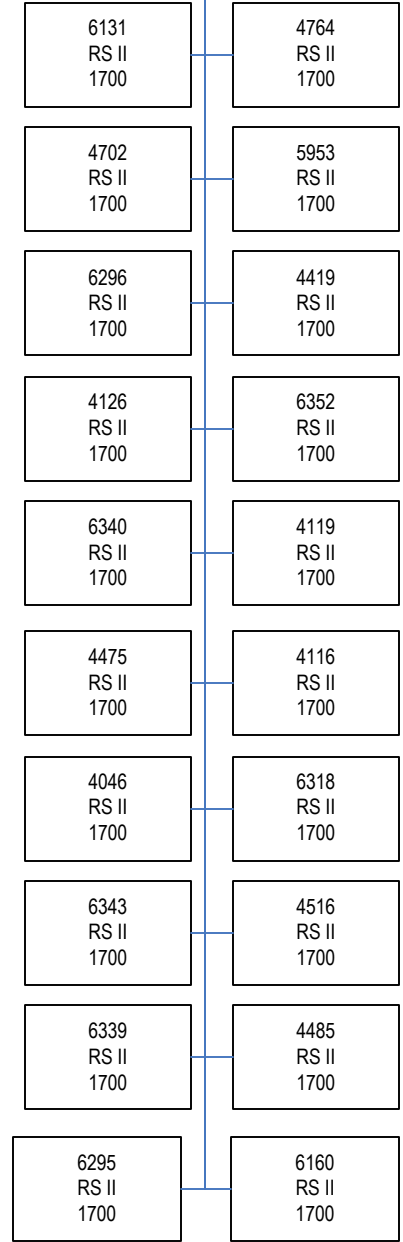
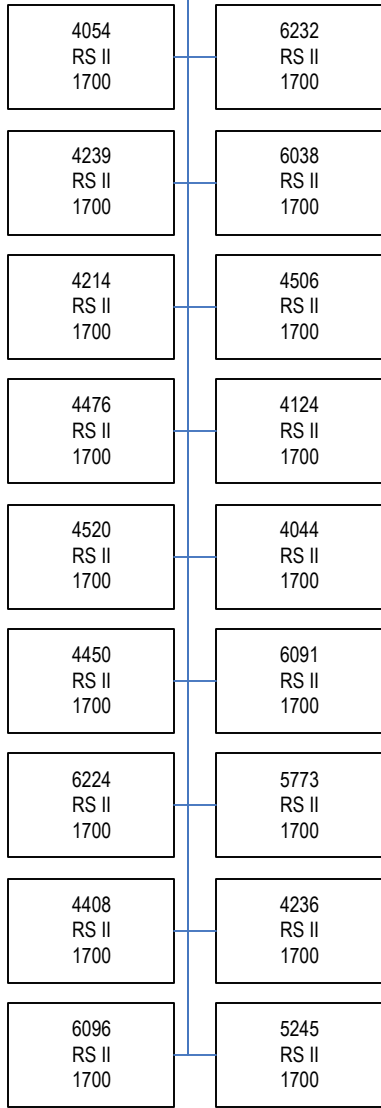
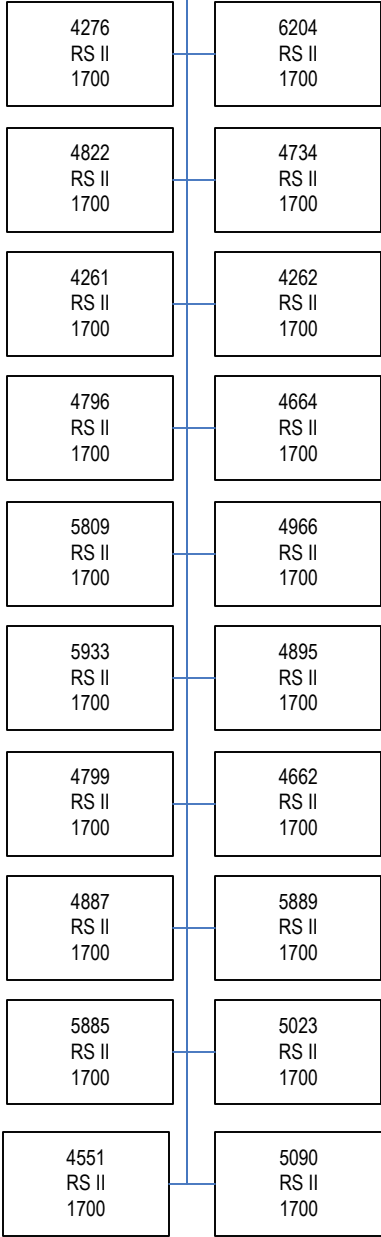
Child Support Enforcement
 Process: Director
 Sub Process: Customer Service/Customer Contact Center
 As of July 01, 2012
 73719933542

5860
 RA III - SES
 1620
 REF

5985
 REV MGR - SES
 1702

4528
 REV MGR - SES
 1702

4042
 REV MGR - SES
 1702



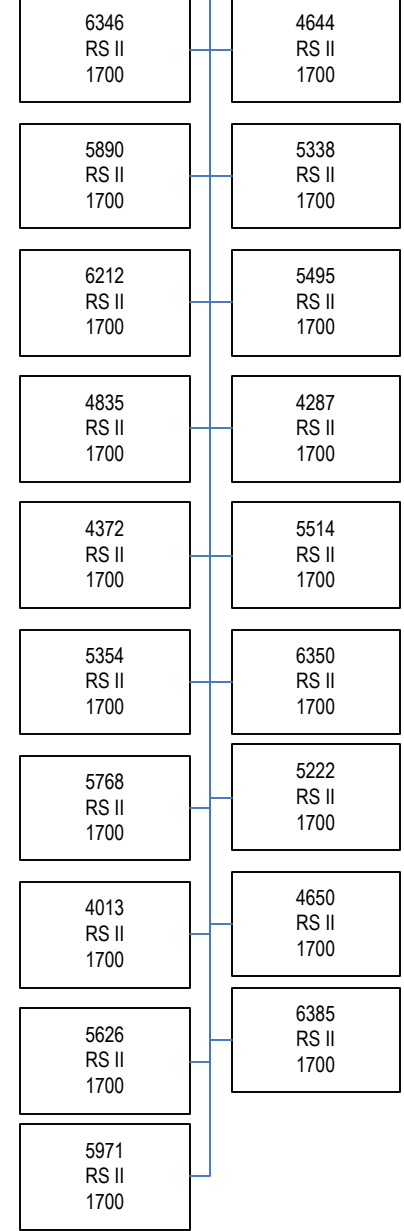
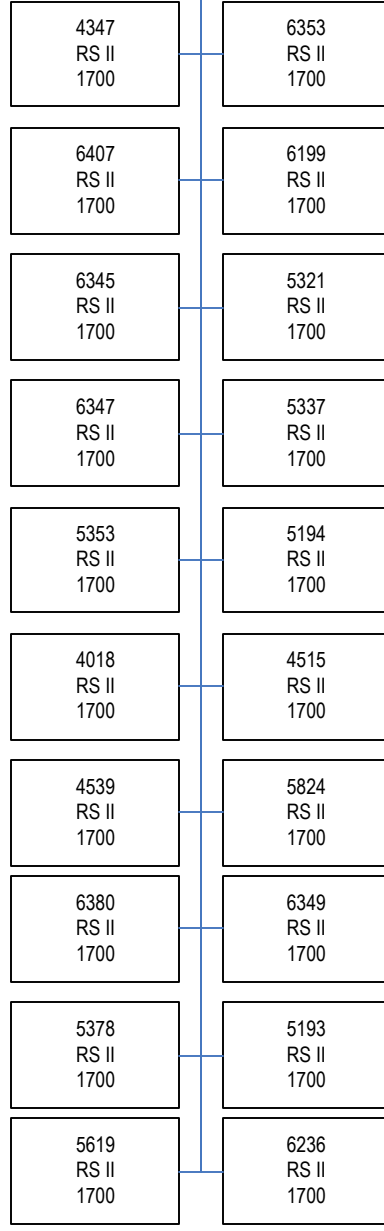
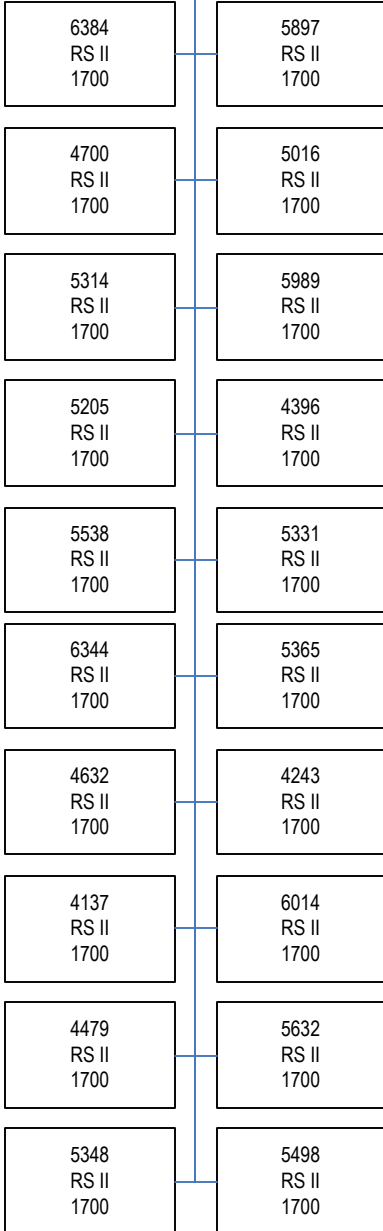
Child Support Enforcement
 Process: Director
 Sub Process: Customer Service/Customer Contact Center
 As of July 01, 2012
 73719933542

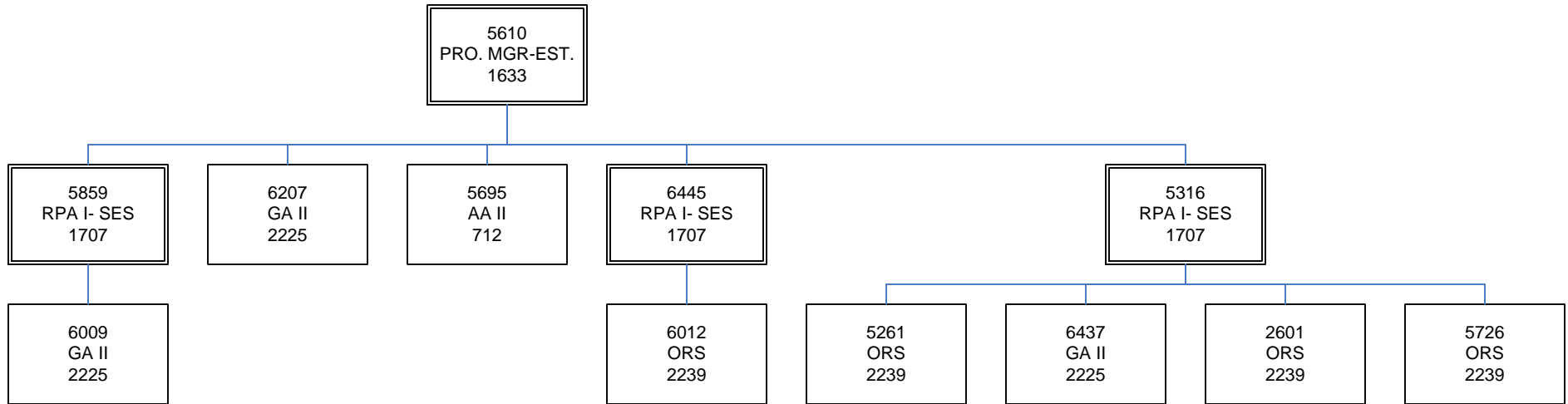
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 RA III - SES
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 REF

4464
 REV MGR - SES
 1702

5966
 REV MGR - SES
 1702

5609
 REV MGR - SES
 1702





73749917425
Compliance Process Mgmt.

73749917420
Process Manager

5997
PRO. MGR- ENFOR.
8736

73749917435
Compliance Operations

4053
RPA I- SES
1707

6078
AA II
712

6033
RPA II- SES
1708

6235
ORS
2239

5723
ORS
2239

6458
CPA II
2103

6071
ORS
2239

5650
STAFF ASST.
120

6389
ORS
2239

6454
GA II
2225

73719932530
Employer Services

6098
RA II - SES
1618

5937
STAFF ASST.
120

6812
RS I
1699

5700
RS I
1699

5419
RS I
1699

4253
RS I
1699

6810
RS I
1699

6004
RS I
1699

5369
RS I
1699

5042
RS I
1699

5142
RS I
1699

6809
RS III
1701

5731
RS II
1700

5891
RS II
1700

5724
RS II
1700

5909
RS II
1700

6476
RS III
1701

6484
RS III
1701

6461
RS II
1700

5311
RS II
1700

4846
RS II
1700

5236
RS II
1700

5144
RS II
1700

6459
RA II - SES
1618

5941
RS II
1700

4105
RS II
1700

5727
RS II
1700

4736
RS II
1700

6452
RS II
1700

5749
RS II
1700

5730
RS III
1701

5686
SR CLERK
4

4061
RS II
1700

6140
RS II
1700

6140
RS II
1700

6140
RS II
1700

6140
RS II
1700

6140
RS II
1700

6140
RS II
1700

73749934550
Task Resolution Team

6003
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6811
RS I
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4212
RS I
1699

5874
RS II
1700

4093
RS III
1701

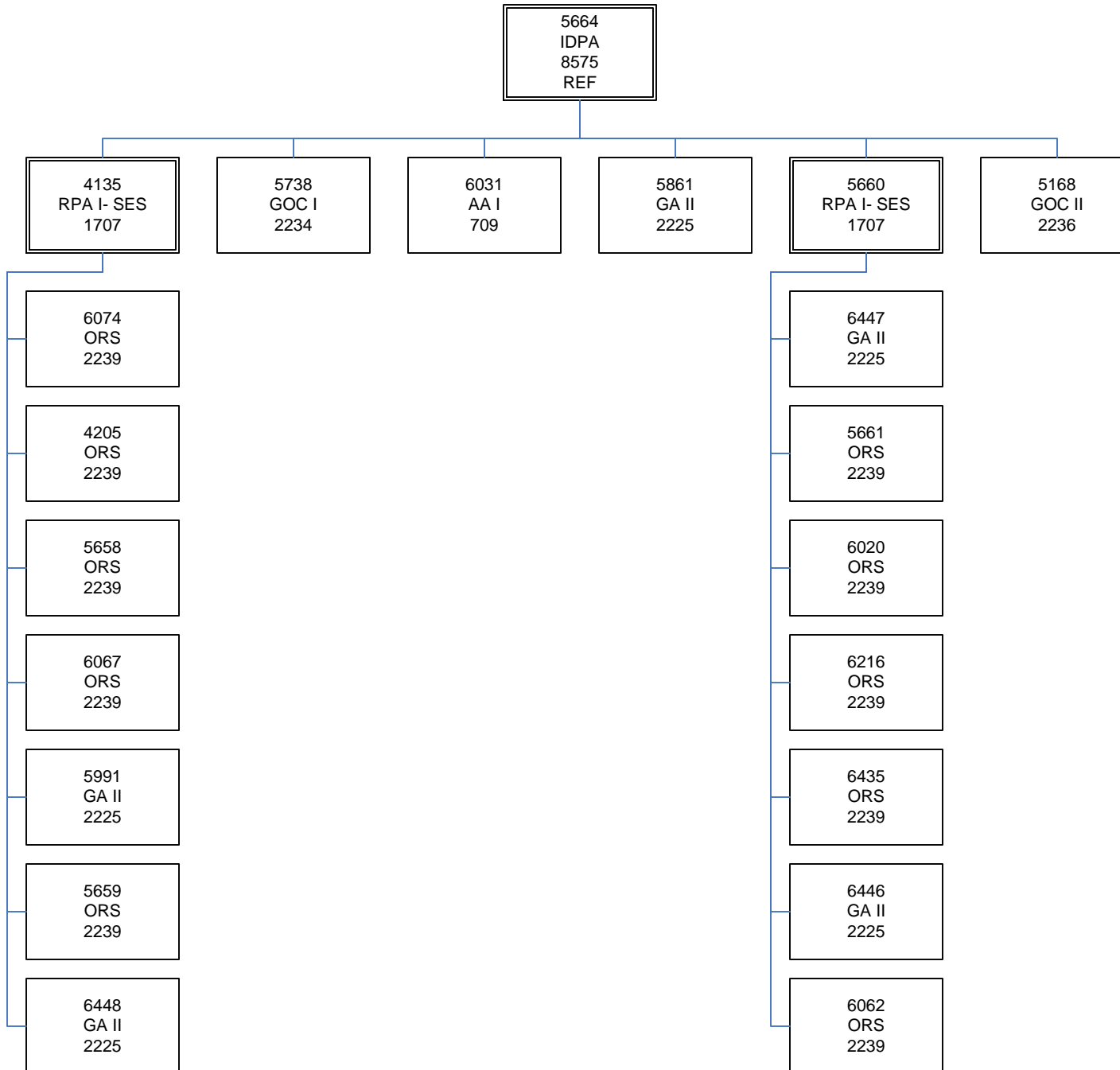
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6460
RS II
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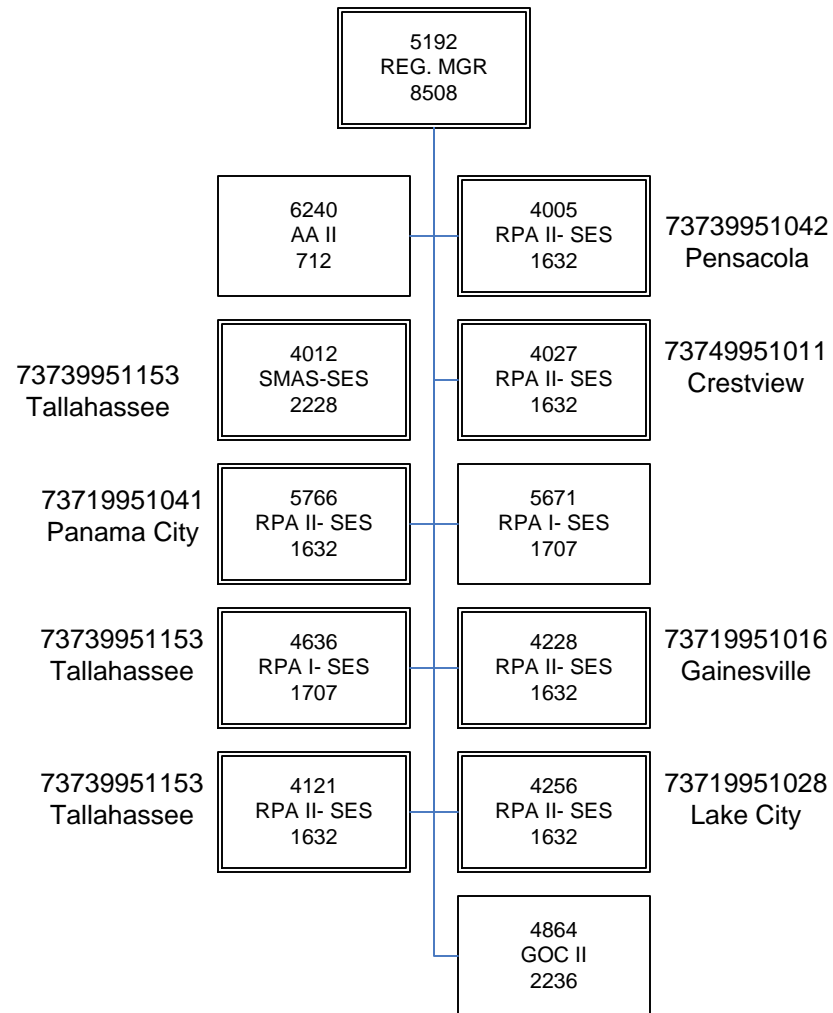
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Child Support Enforcement
Process: Director
Sub Process: Compliance
As of July 01, 2012
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73749917435

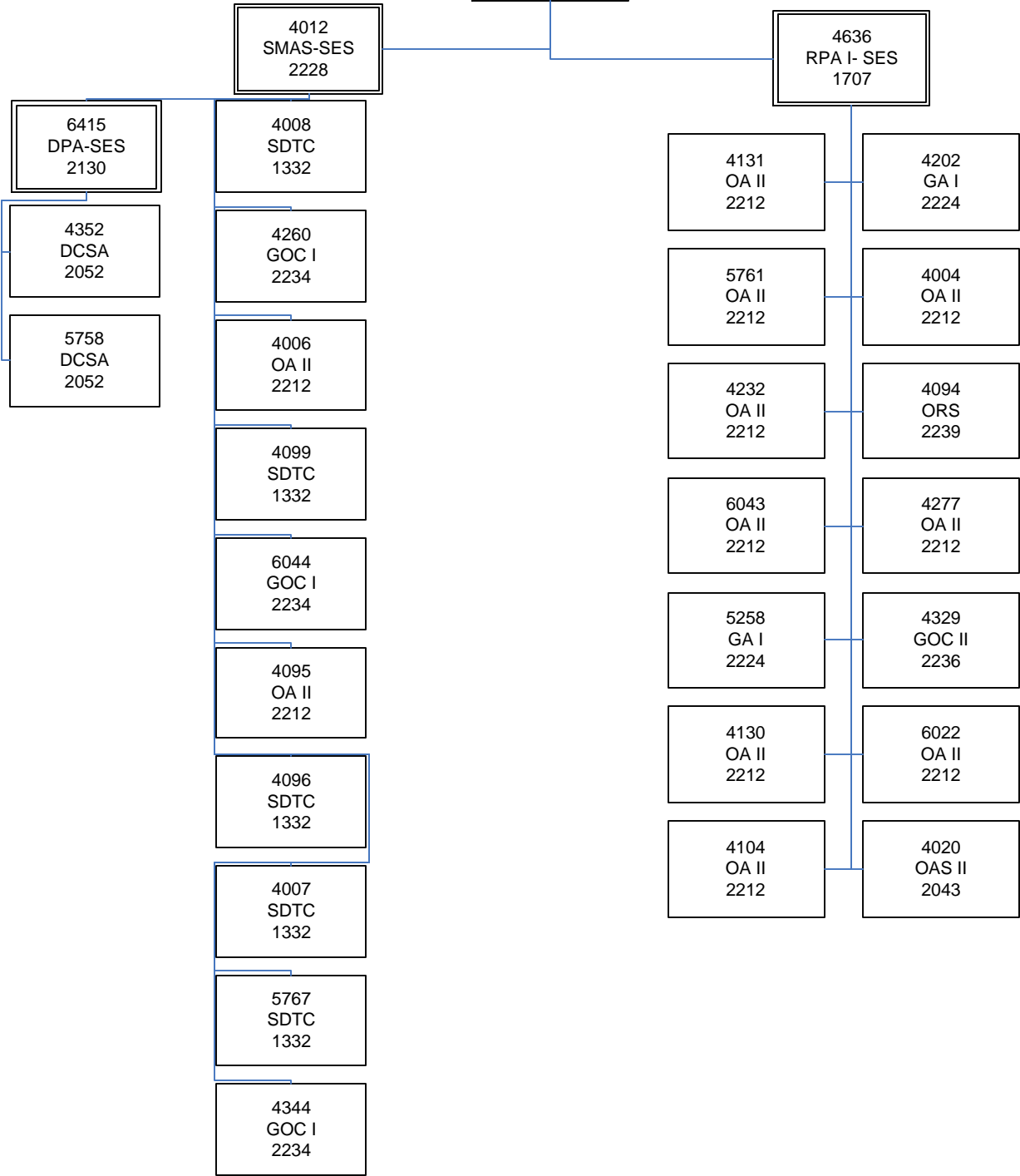


Child Support Enforcement
Process: Director
Region 1 Admin
As of July 01, 2012
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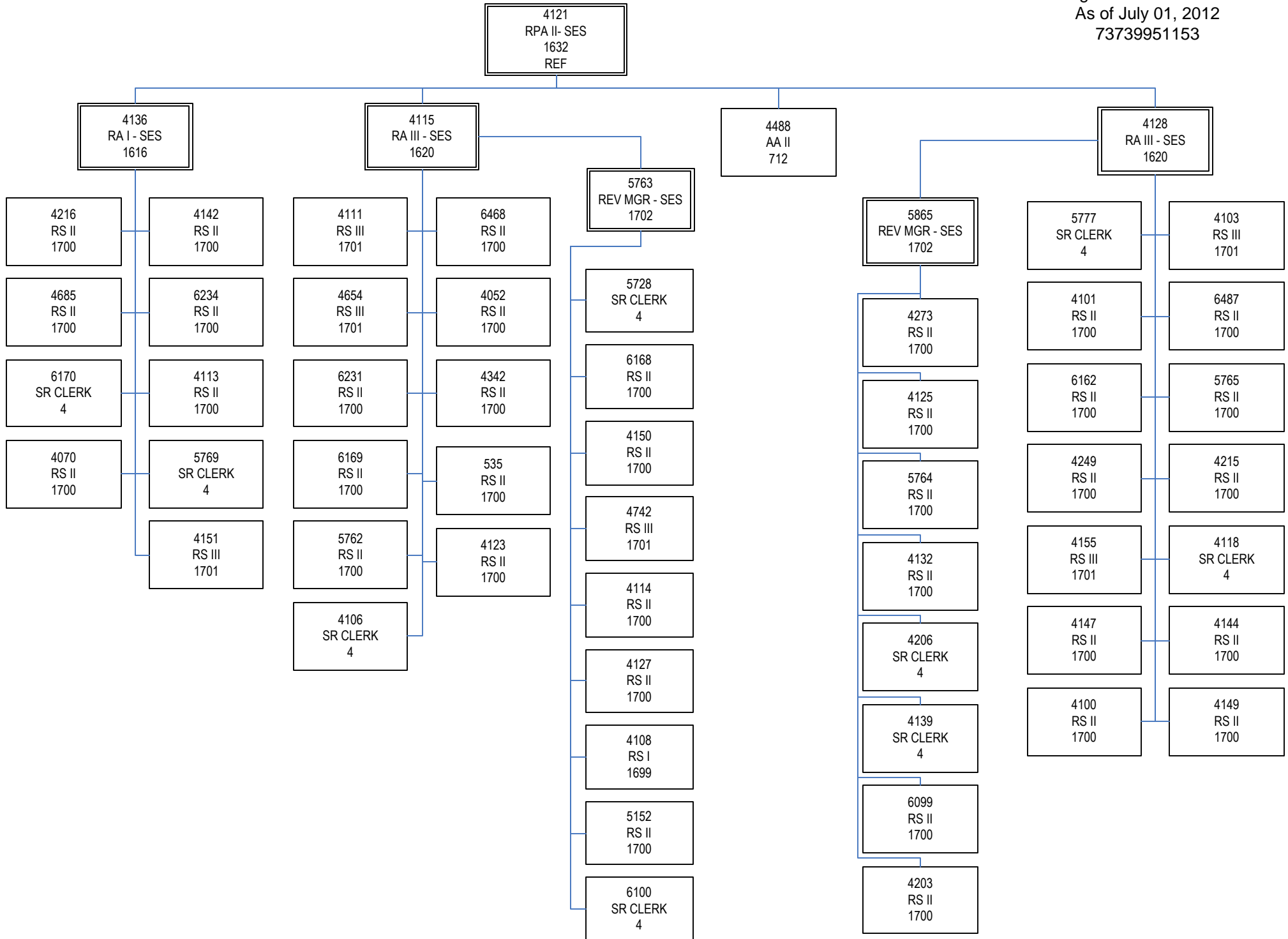
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73739951153
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Child Support Enforcement
Process: Director
Region 1 Establishment
As of July 01, 2012
73739951153



73739951153
Tallahassee

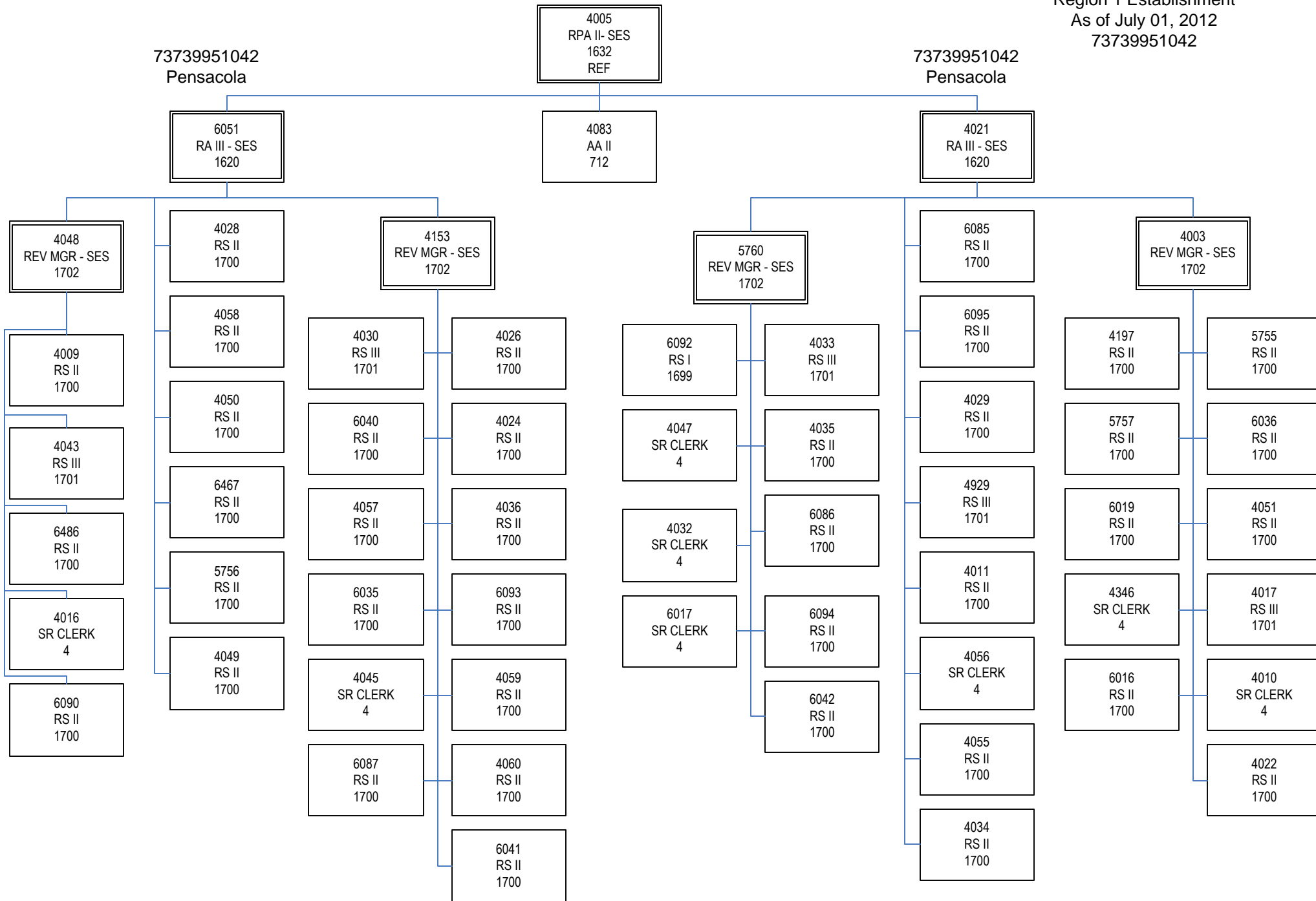
Child Support Enforcement
Process: Director
Region 1 Establishment
As of July 01, 2012
73739951153



Child Support Enforcement
 Process: Director
 Region 1 Establishment
 As of July 01, 2012
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73739951042
 Pensacola

73739951042
 Pensacola



4027
 RPA II - SES
 1632
 REF

73749951011
 Crestview

73739951011
 Crestview

4085
 RA II - SES
 1618

6039
 AA II
 712

4067
 RA II - SES
 1618

73739951011
 Crestview

73749951011
 Crestview

4230
 REV MGR - SES
 1702

4075
 RS II
 1700

6220
 RS II
 1700

4078
 REV MGR - SES
 1702

4140
 SR CLERK
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4143
 RS II
 1700

4071
 RS II
 1700

4091
 SR CLERK
 4

4068
 RS II
 1700

6205
 RS II
 1700

4156
 RS II
 1700

4089
 RS III
 1701

4069
 RS III
 1701

4072
 RS II
 1700

4066
 SR CLERK
 4

4074
 RS III
 1701

4092
 RS II
 1700

4038
 RS II
 1700

4090
 RS II
 1700

4073
 SR CLERK
 4

4086
 RS II
 1700

4084
 RS II
 1700

4077
 RS II
 1700

4064
 RS II
 1700

6219
 RS II
 1700

4062
 RS II
 1700

4088
 RS II
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6222
 RS II
 1700

6233
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4080
 RS II
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6221
 RS I
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4258
 RS II
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4081
 RS II
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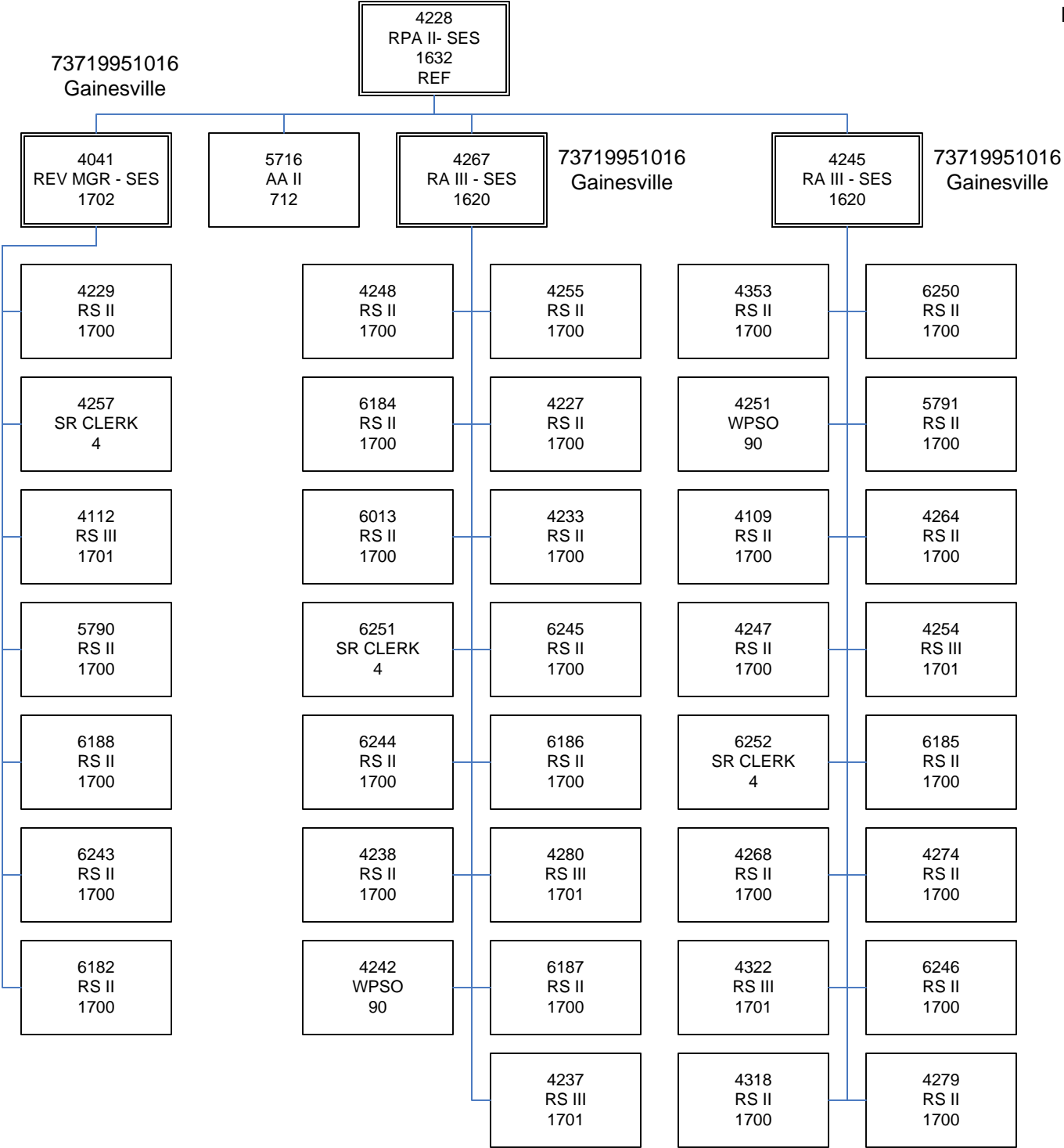
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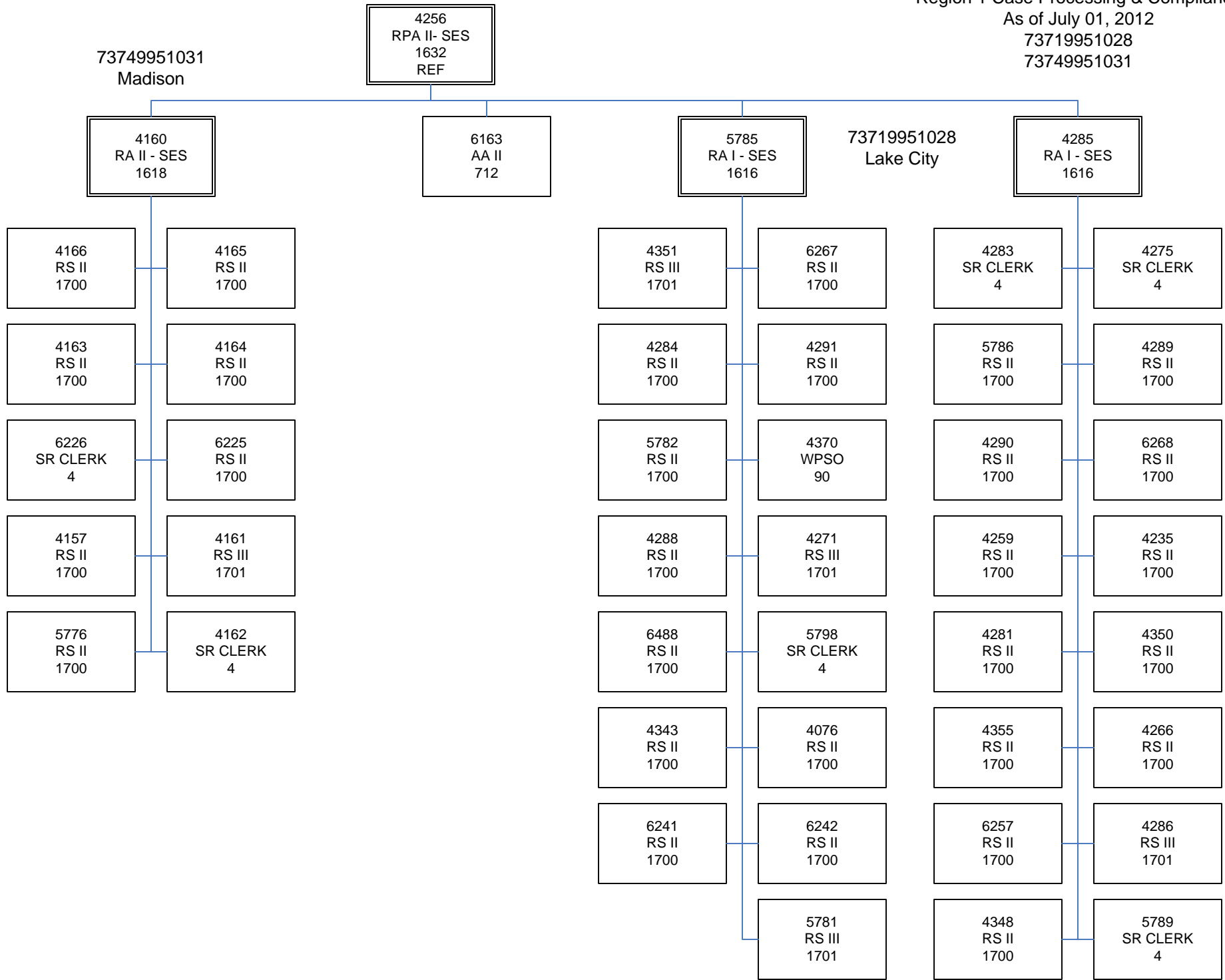
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6223
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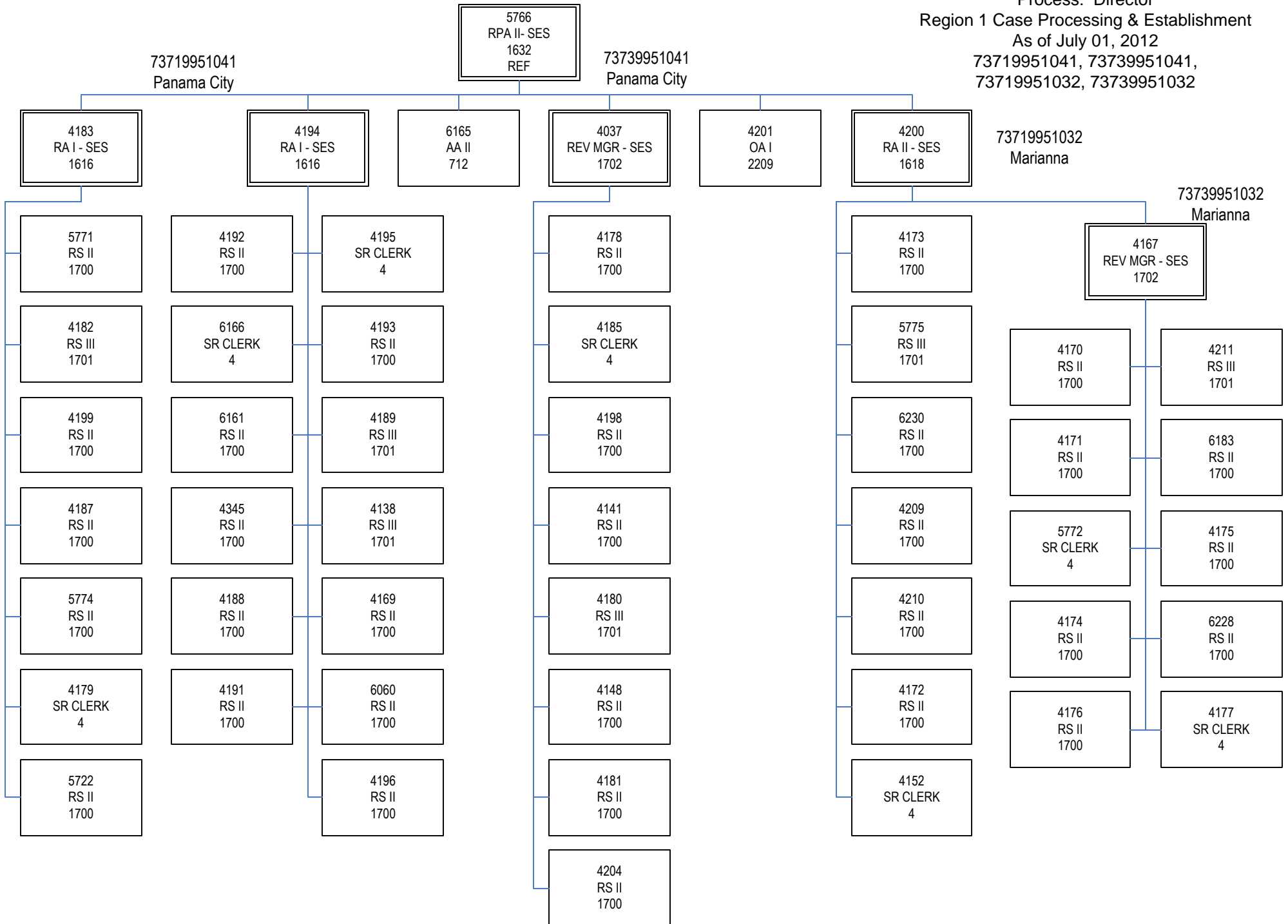
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4087
 RS II
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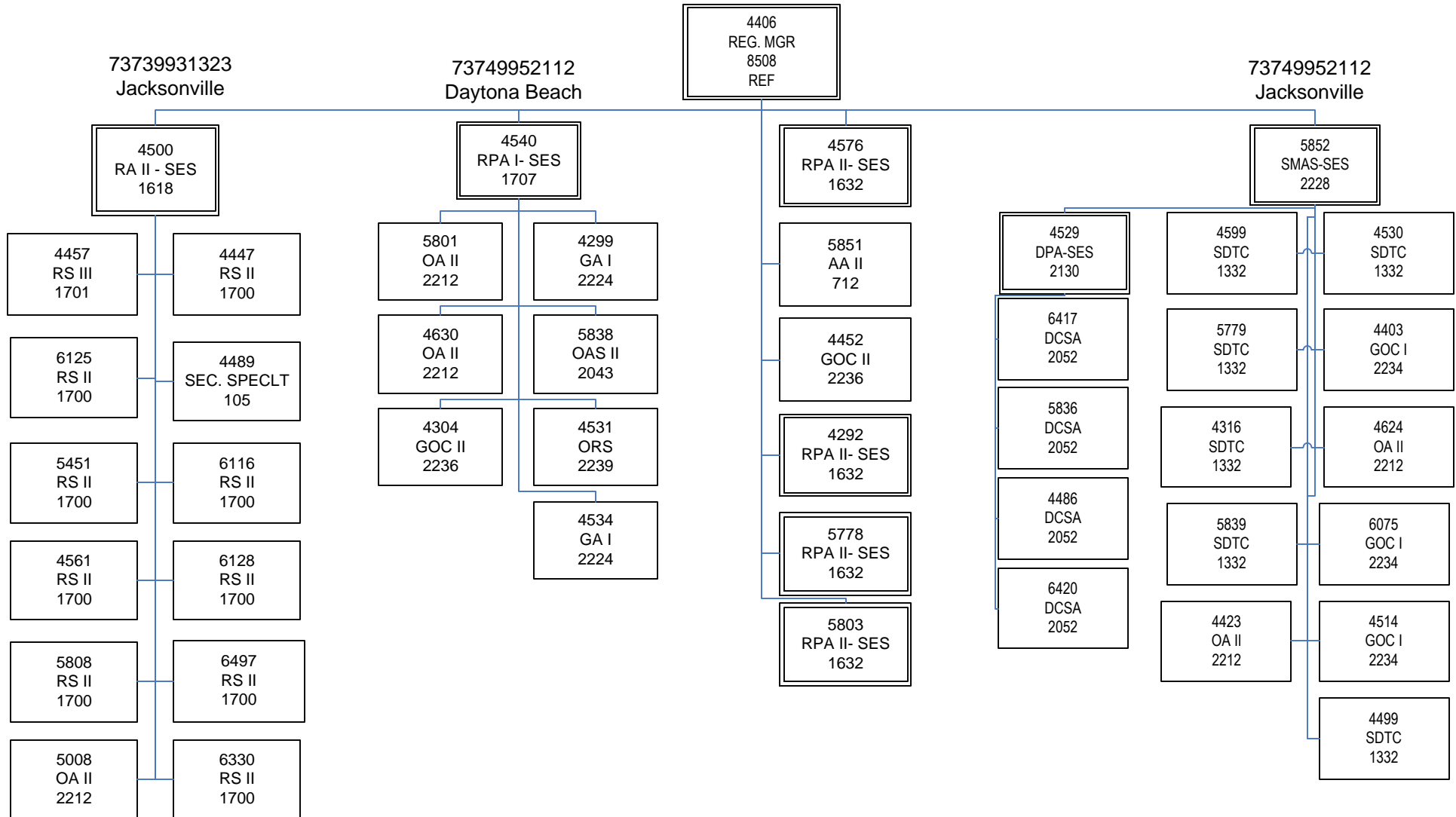


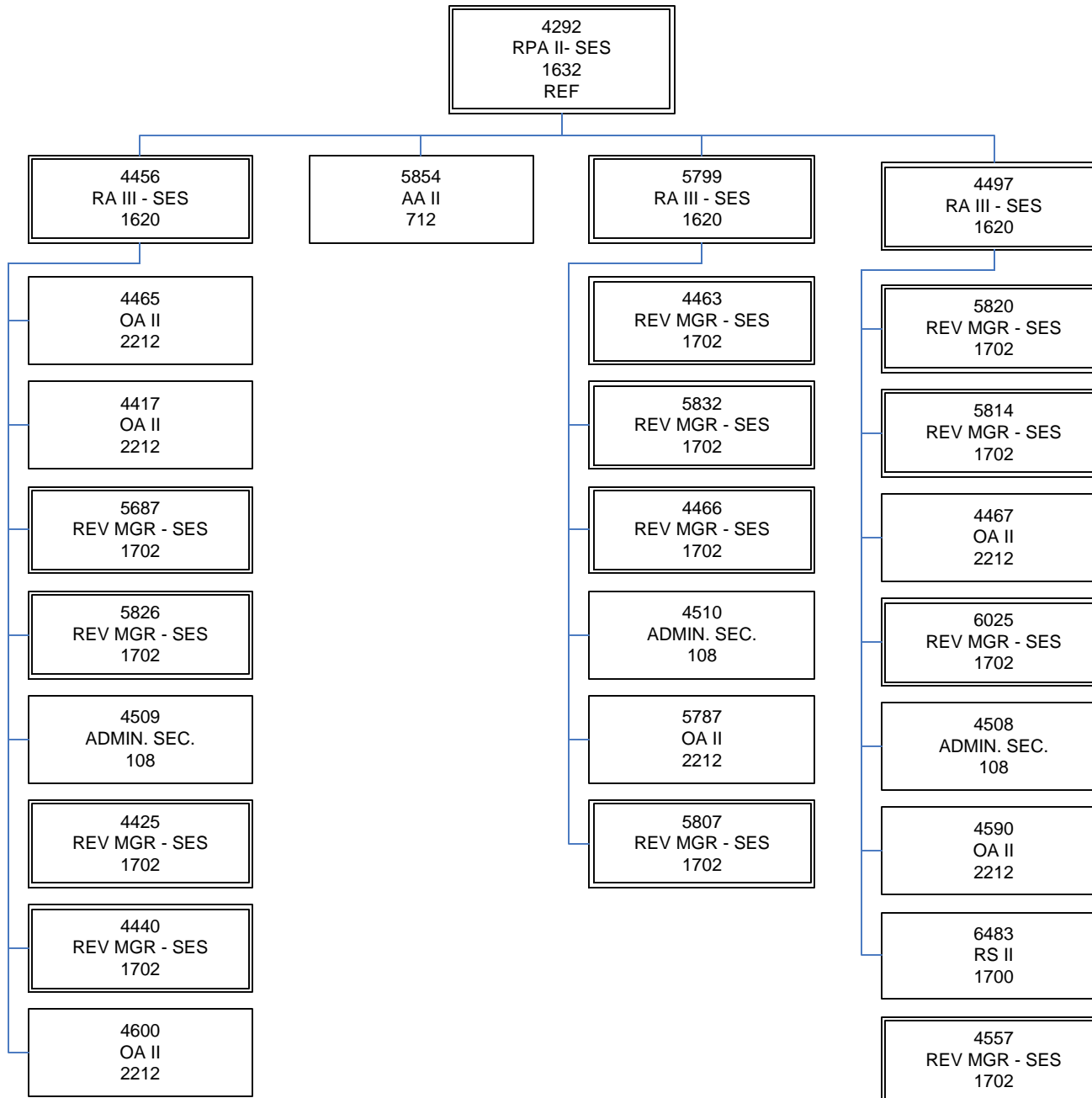


Child Support Enforcement
 Process: Director
 Region 1 Case Processing & Establishment
 As of July 01, 2012
 73719951041, 73739951041,
 73719951032, 73739951032



Child Support Enforcement
 Process: Director
 Region 2 Admin.
 As of July 01, 2012
 73739952112,73719952037,
 73749952030,73739931323,
 73729952023,73749952112,
 73719952012,73749952112





Child Support Enforcement
 Process: Director
 Region 2 Case Processing & Establishment
 As of July 01, 2012
 73739952023
 73719952023

4456
 RA III - SES
 1620
 REF

73719952023
 Jacksonville

73739952023
 Jacksonville

73739952023
 Jacksonville

73739952023
 Jacksonville

4425
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5826
 REV MGR - SES
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5687
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4440
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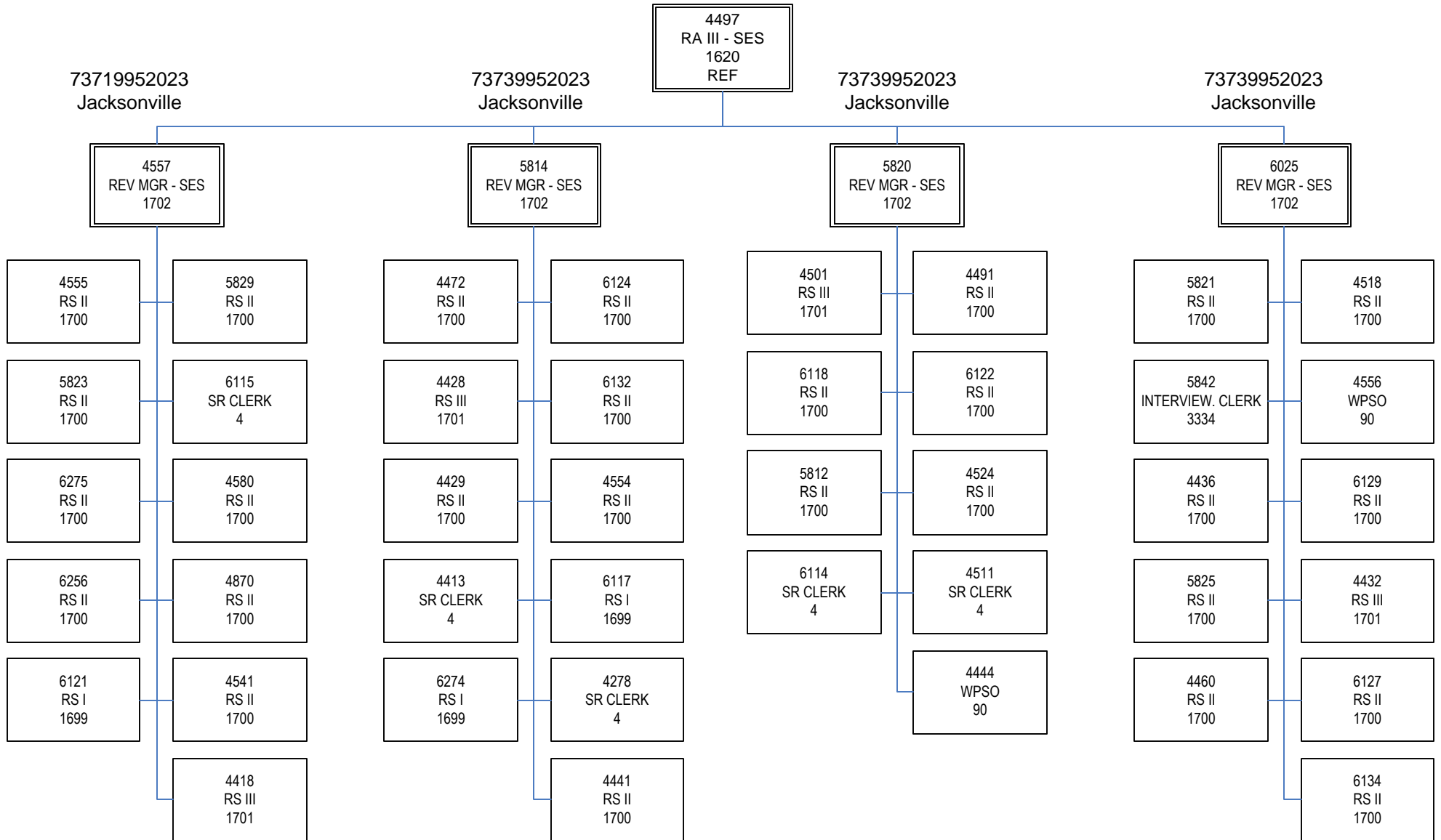
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6133 RS II 1700	4480 RS III 1701
4493 WPSO 90	4400 RS II 1700
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4545 RS II 1700	6113 SR CLERK 4
	4587 RS III 1701

5841 SR CLERK 4	4549 RS II 1700
4459 RS III 1701	4453 RS II 1700
4519 RS II 1700	4533 RS II 1700
5793 RS II 1700	4507 RS II 1700
5827 RS II 1700	

4546 SR CLERK 4	4458 RS III 1701
4430 RS II 1700	5818 RS II 1700
4443 RS II 1700	5796 RS II 1700
5810 RS II 1700	4525 RS II 1700
4404 RS II 1700	4553 RS II 1700
	4416 RS III 1701

4469 RS II 1700	6029 RS III 1701
6083 SR CLERK 4	6489 RS II 1700
5806 SR CLERK 4	4526 RS III 1701
5815 RS II 1700	6472 RS II 1700
	4538 RS II 1700

Child Support Enforcement
 Process: Director
 Region 2 Case Processing & Establishment
 As of July 01, 2012
 73739952023
 73719952023



5799
 RA III - SES
 1620
 REF

73739952023
 Jacksonville

73739952023
 Jacksonville

73739952023
 Jacksonville

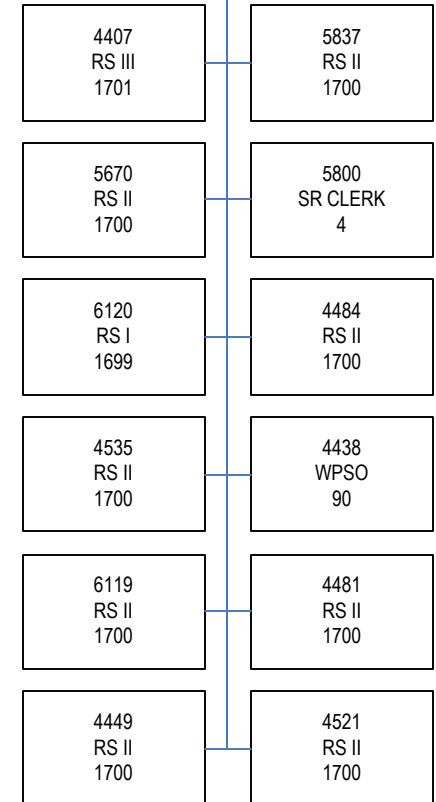
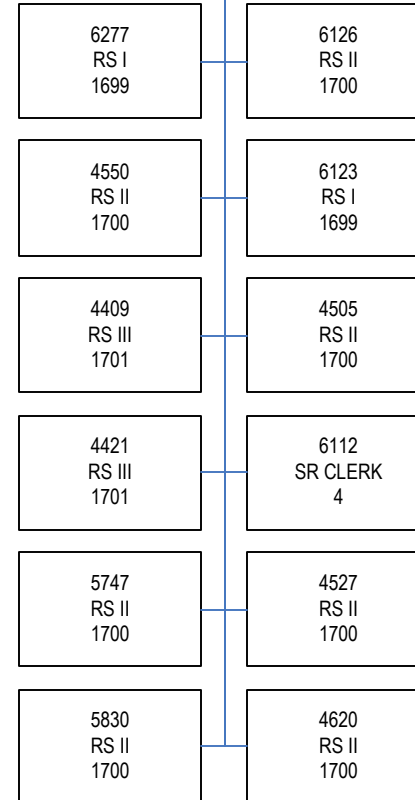
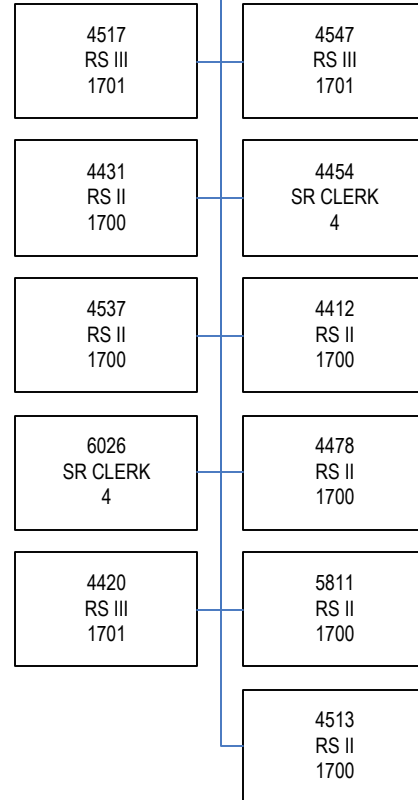
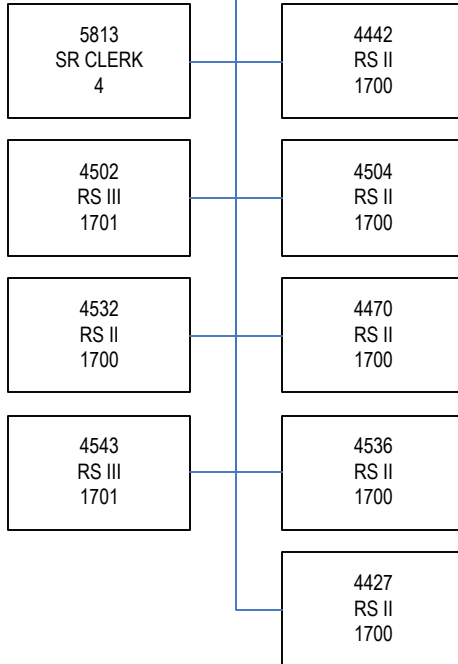
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 Jacksonville

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 REV MGR - SES
 1702

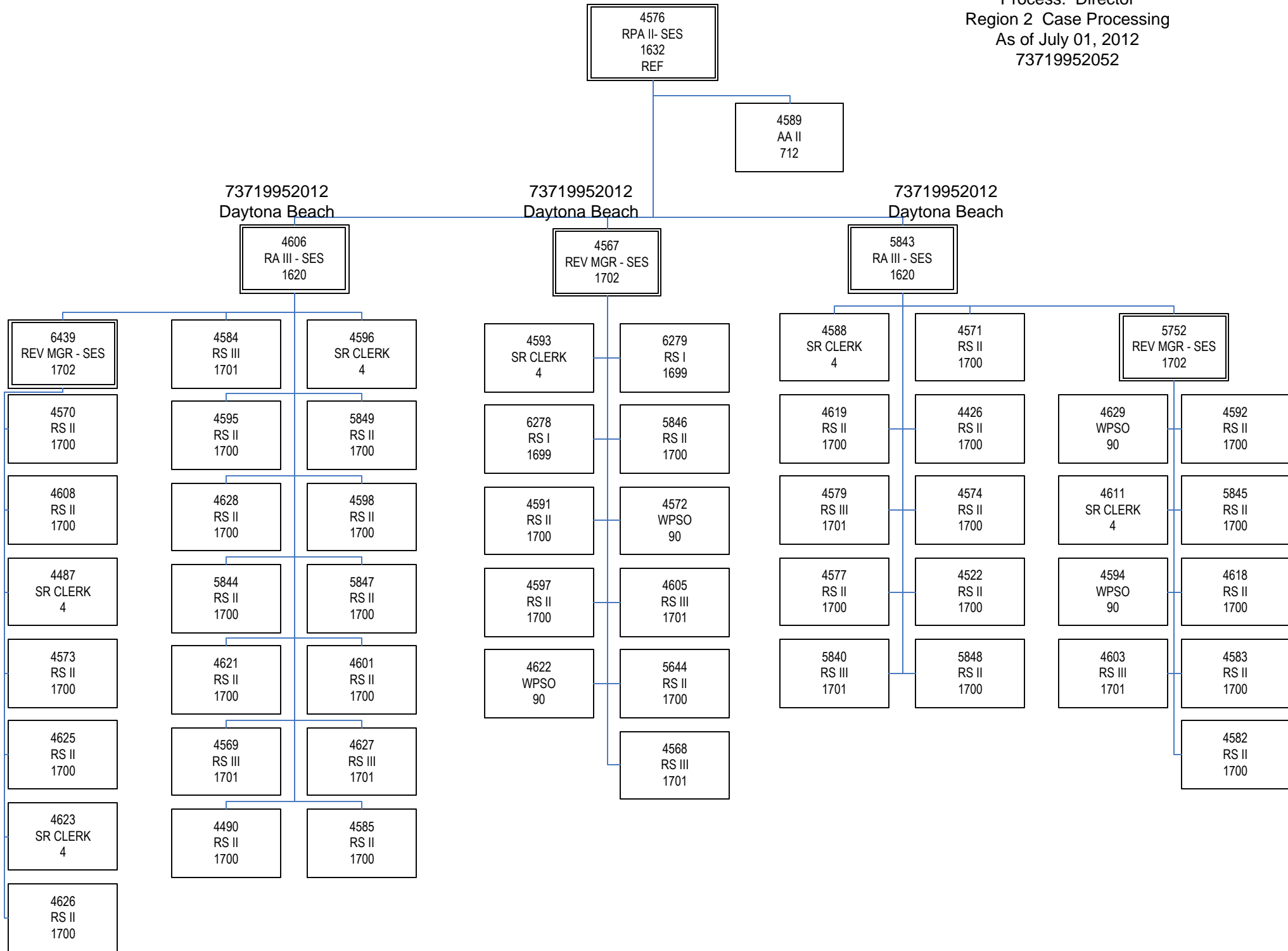
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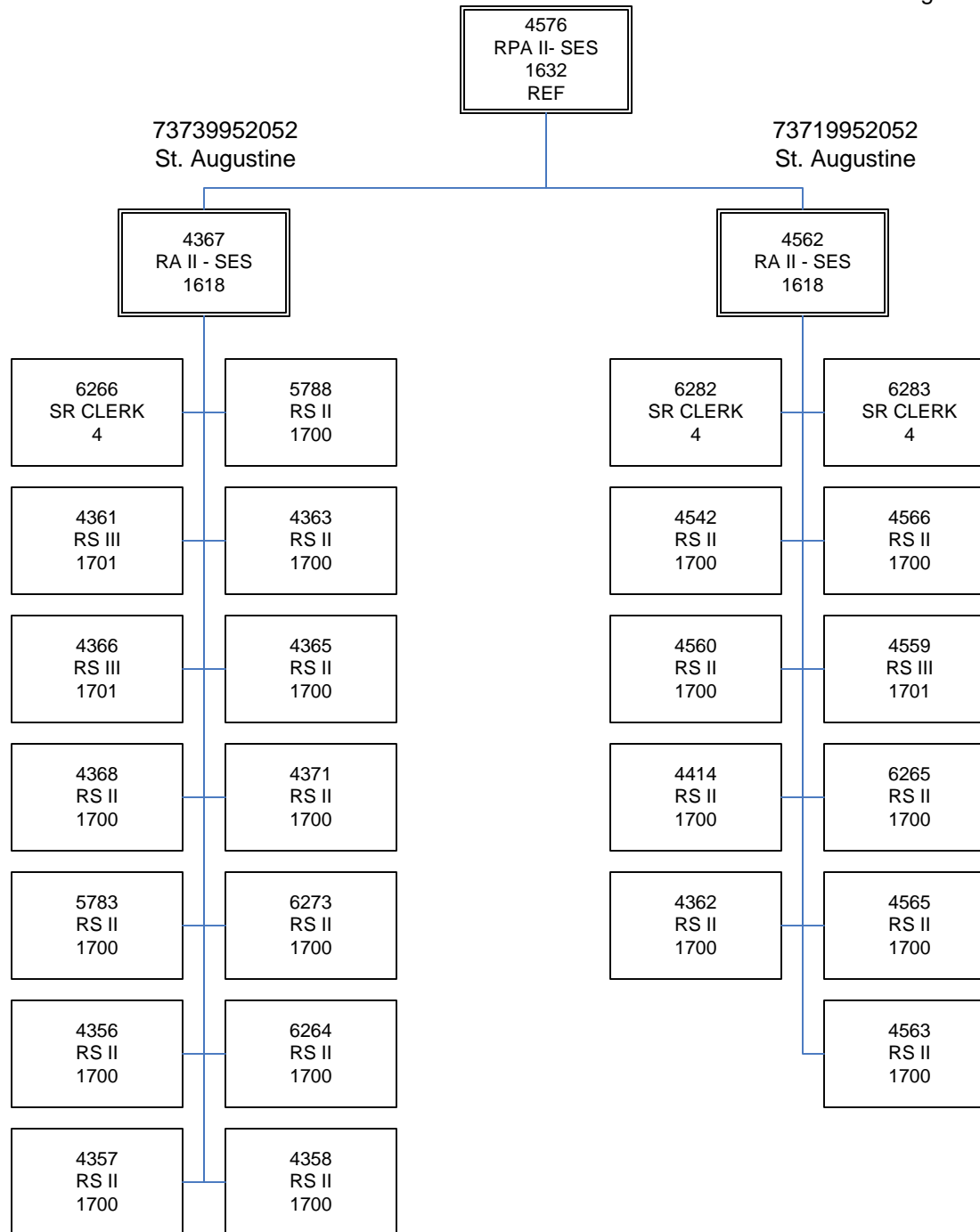
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 1702

5832
 REV MGR - SES
 1702



Child Support Enforcement
 Process: Director
 Region 2 Case Processing
 As of July 01, 2012
 73719952052





Child Support Enforcement
 Process: Director
 Region 2 Case Processing & Compliance
 As of July 01, 2012
 73719952021
 73719952005
 73749952030

73719952021
Lecanto

73719952005
Brooksville

5778
RPA II - SES
1632
REF

73749952030
Leesburg

73749952030
Leesburg

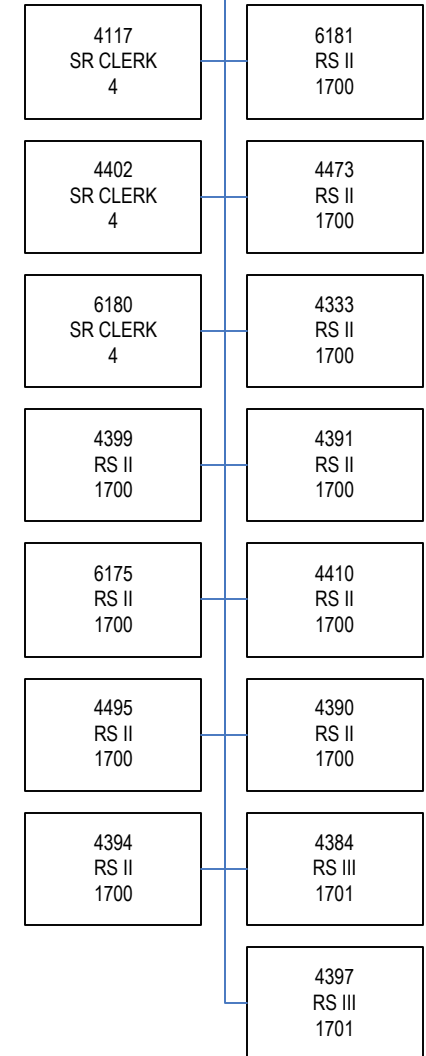
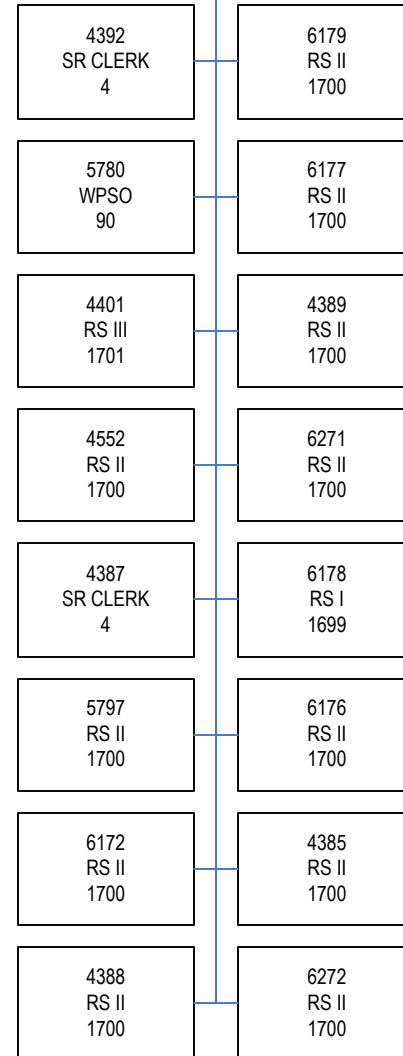
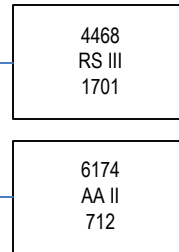
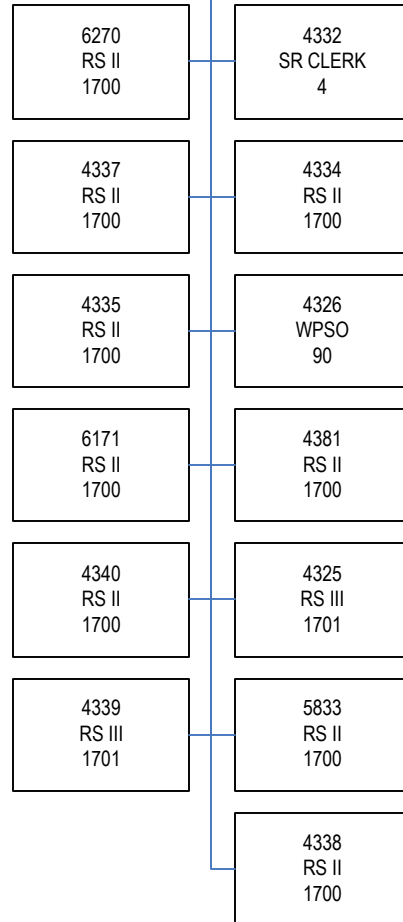
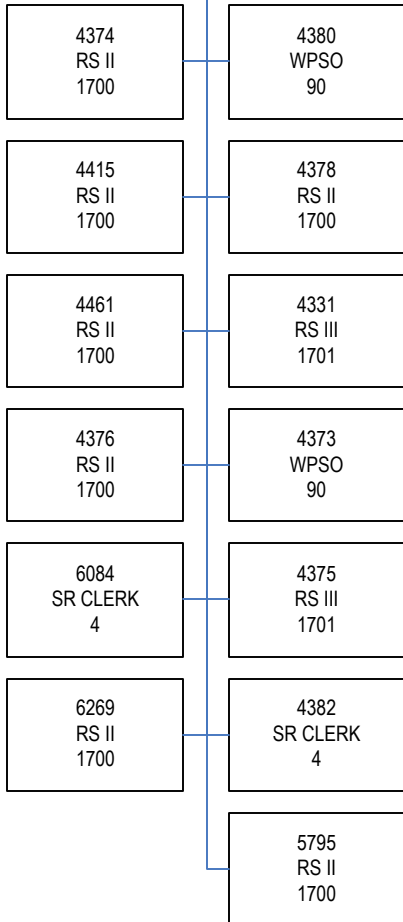
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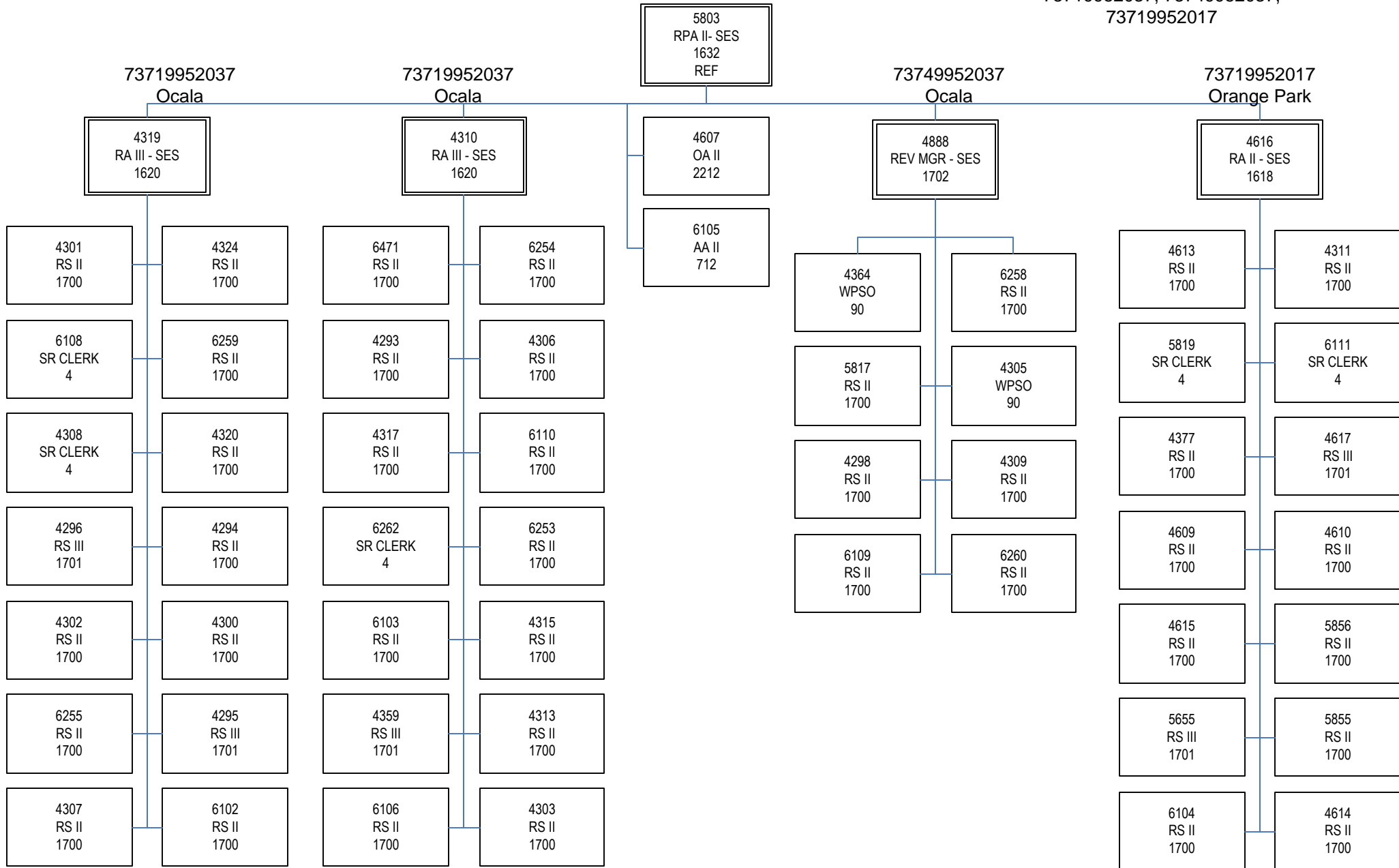
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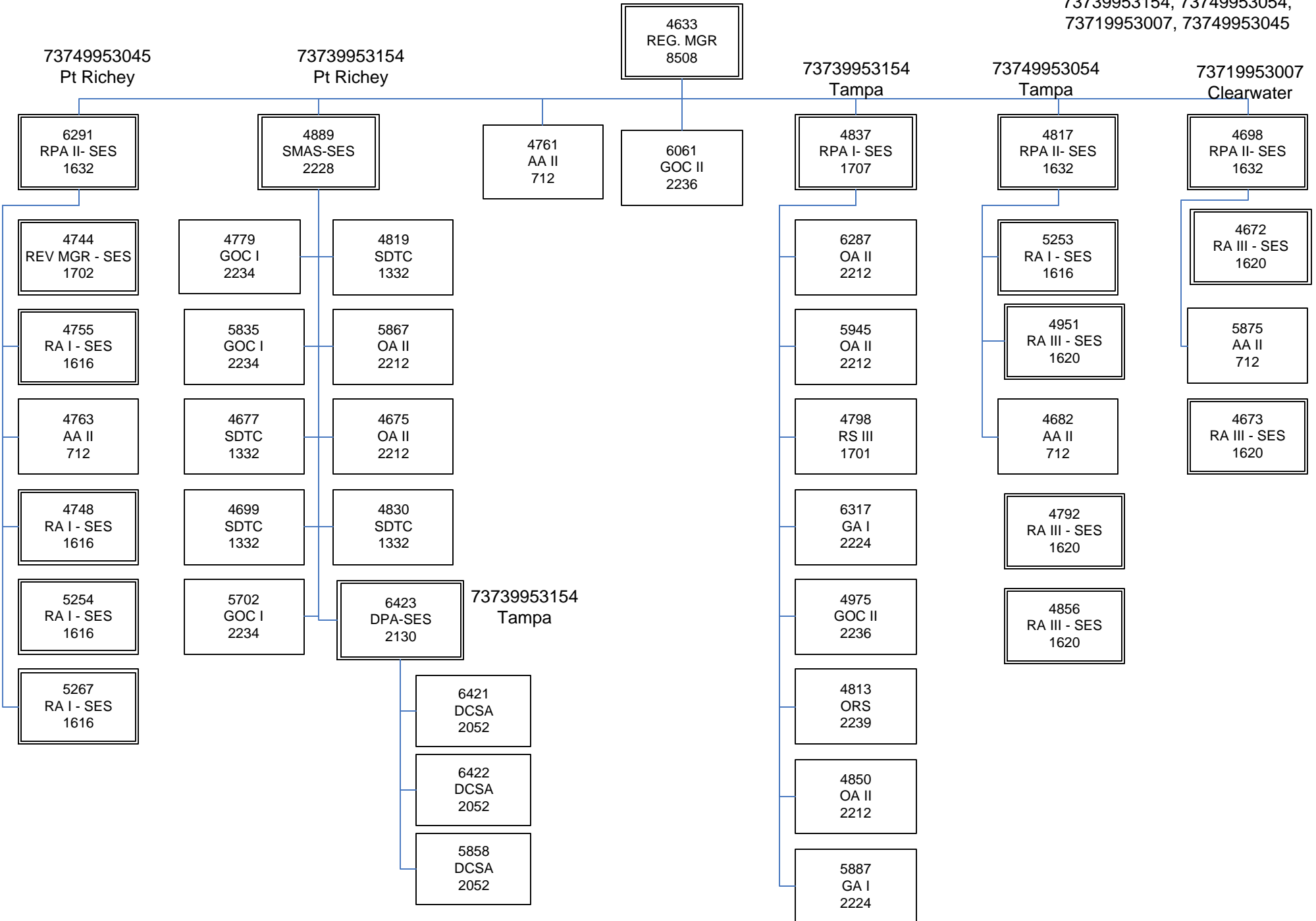
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RA I - SES
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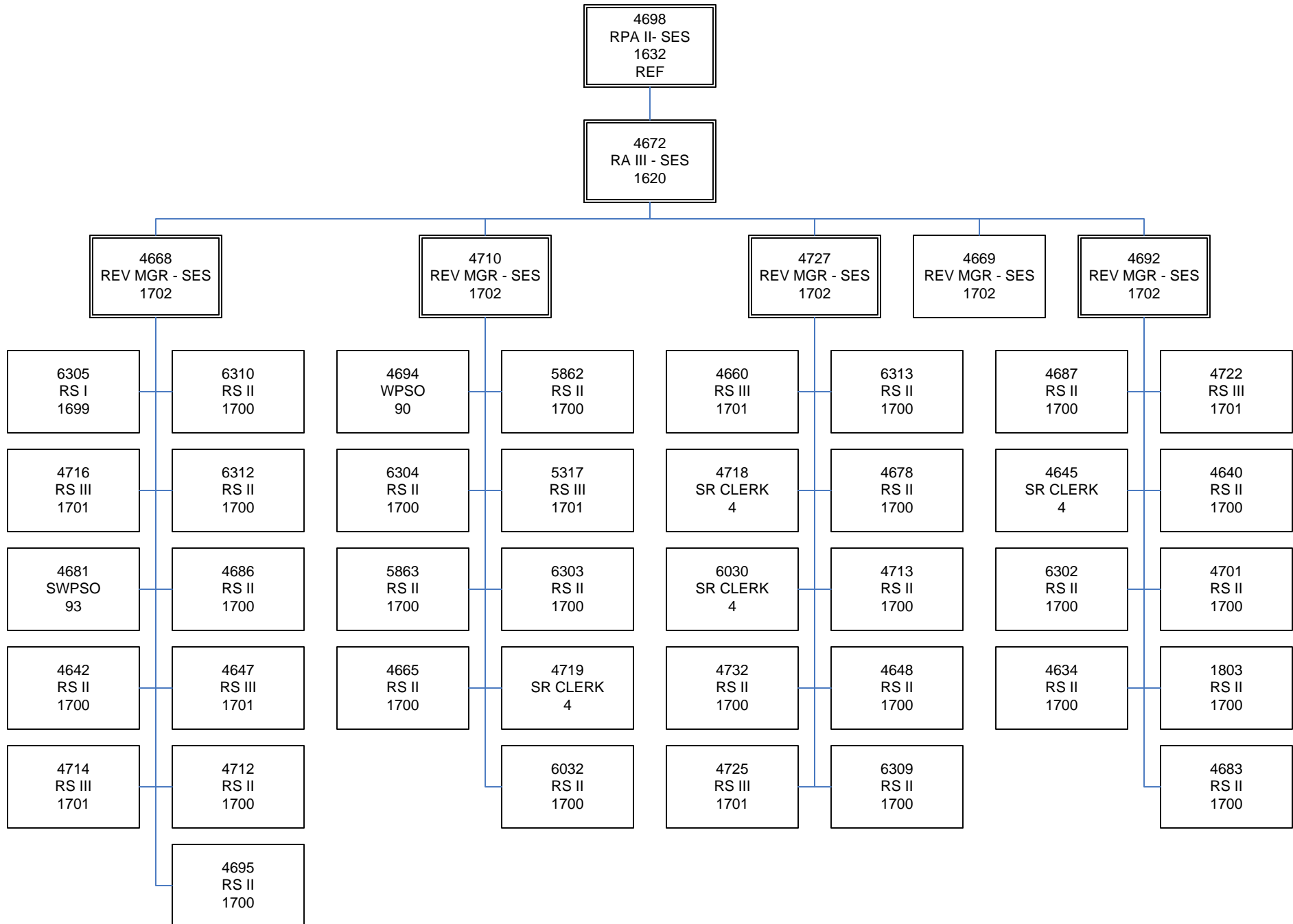


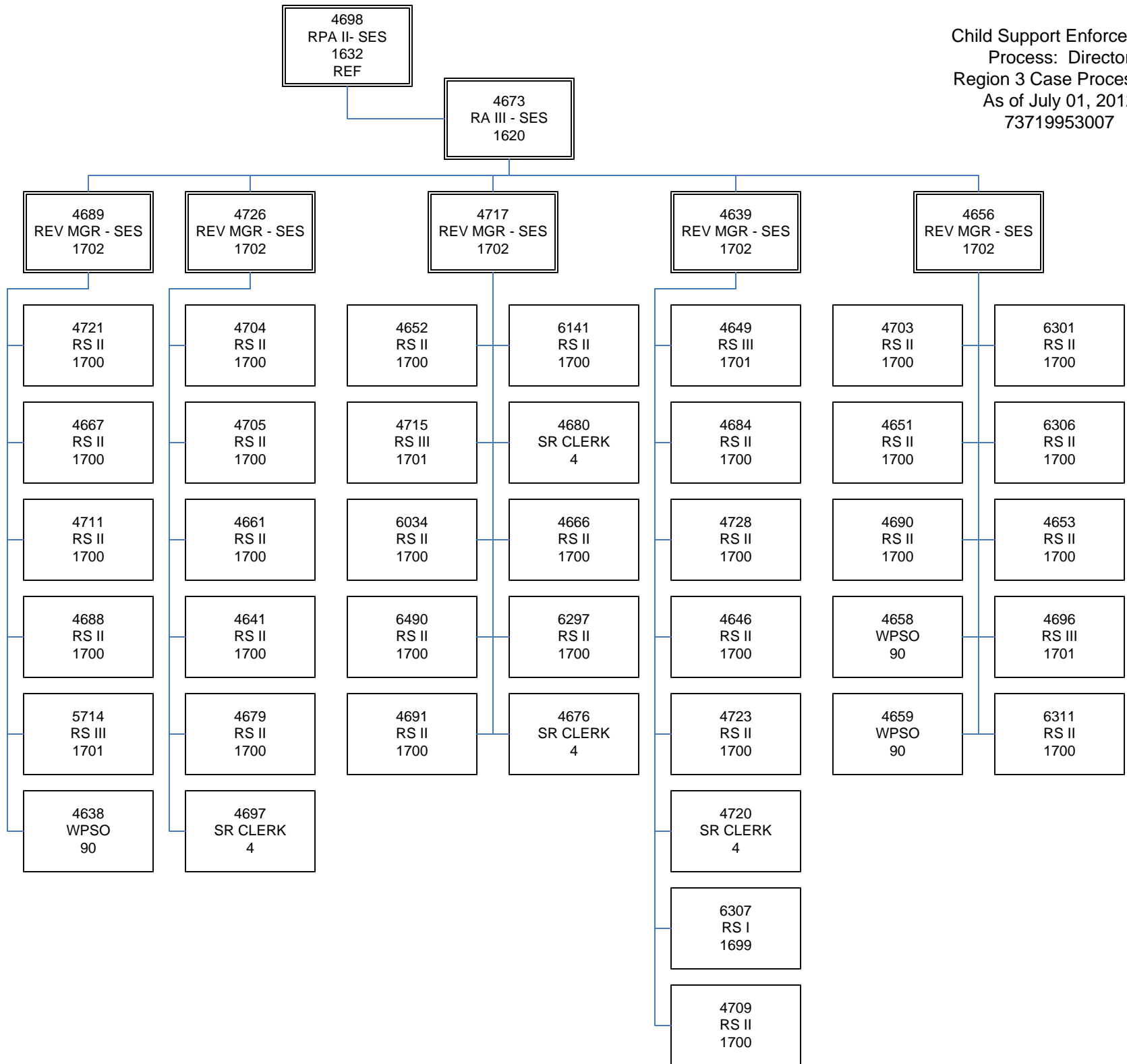
Child Support Enforcement
 Process: Director
 Region 2 Case Processing & Compliance
 As of July 01, 2012
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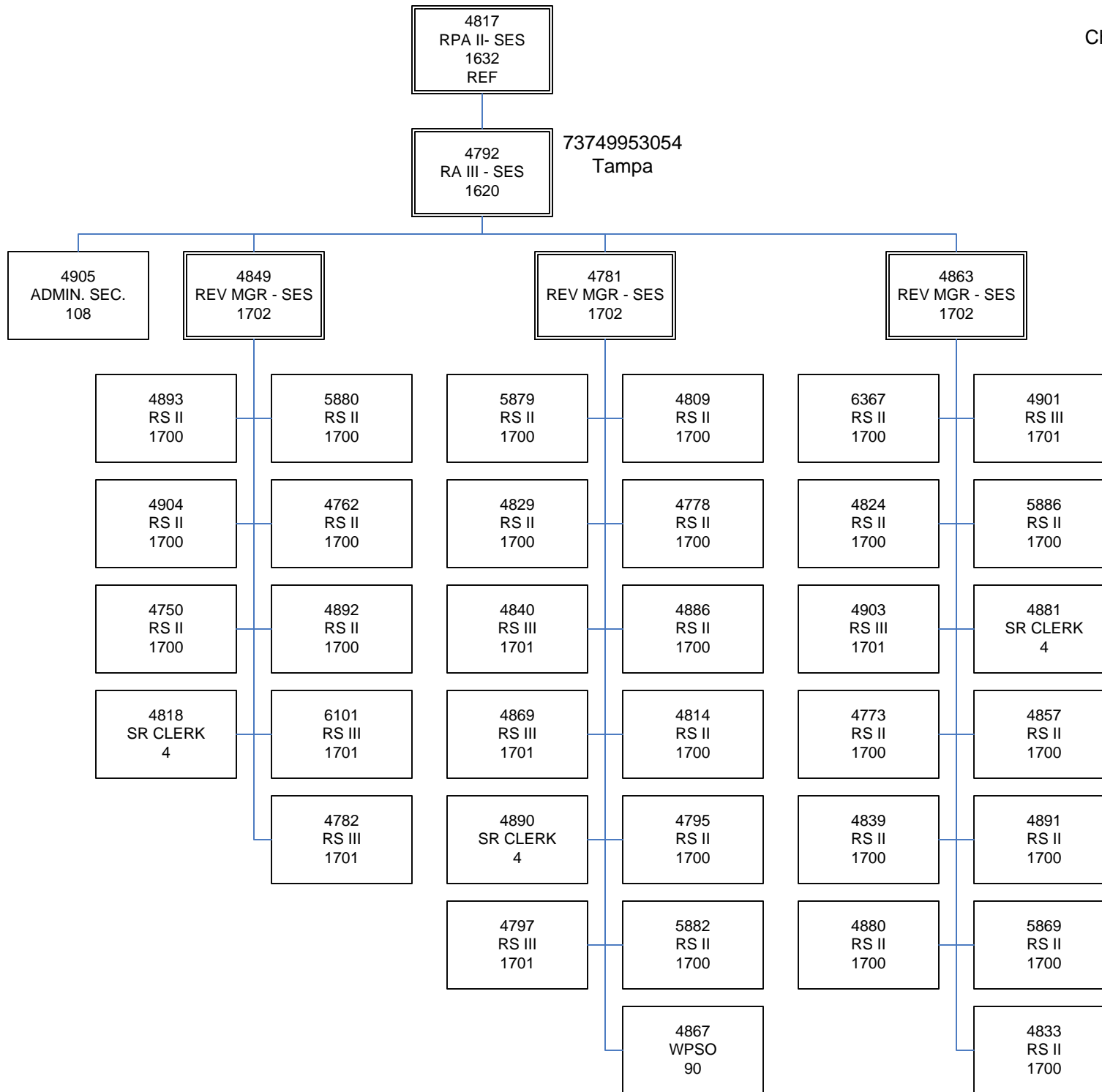




Child Support Enforcement
 Process: Director
 Region 3 Case Processing
 As of July 01, 2012
 73719953007







4817
RPA II- SES
1632

4856
RA III - SES
1620

73749953054
Tampa

4780
REV MGR - SES
1702

4894
REV MGR - SES
1702

5884
REV MGR - SES
1702

4860
REV MGR - SES
1702

4828
RS II
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6324
RS II
1700

4899
RS III
1701

4853
RS III
1701

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SR CLERK
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4845
RS II
1700

6325
RS I
1699

4826
RS II
1700

4787
RS II
1700

4823
RS II
1700

4898
RS II
1700

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RS II
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4790
RS II
1700

4873
RS II
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RS II
1700

4876
RS III
1701

4808
RS II
1700

4806
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4

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RS II
1700

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RS II
1700

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WPSO
90

4855
WPSO
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RS III
1701

4871
RS III
1701

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RS II
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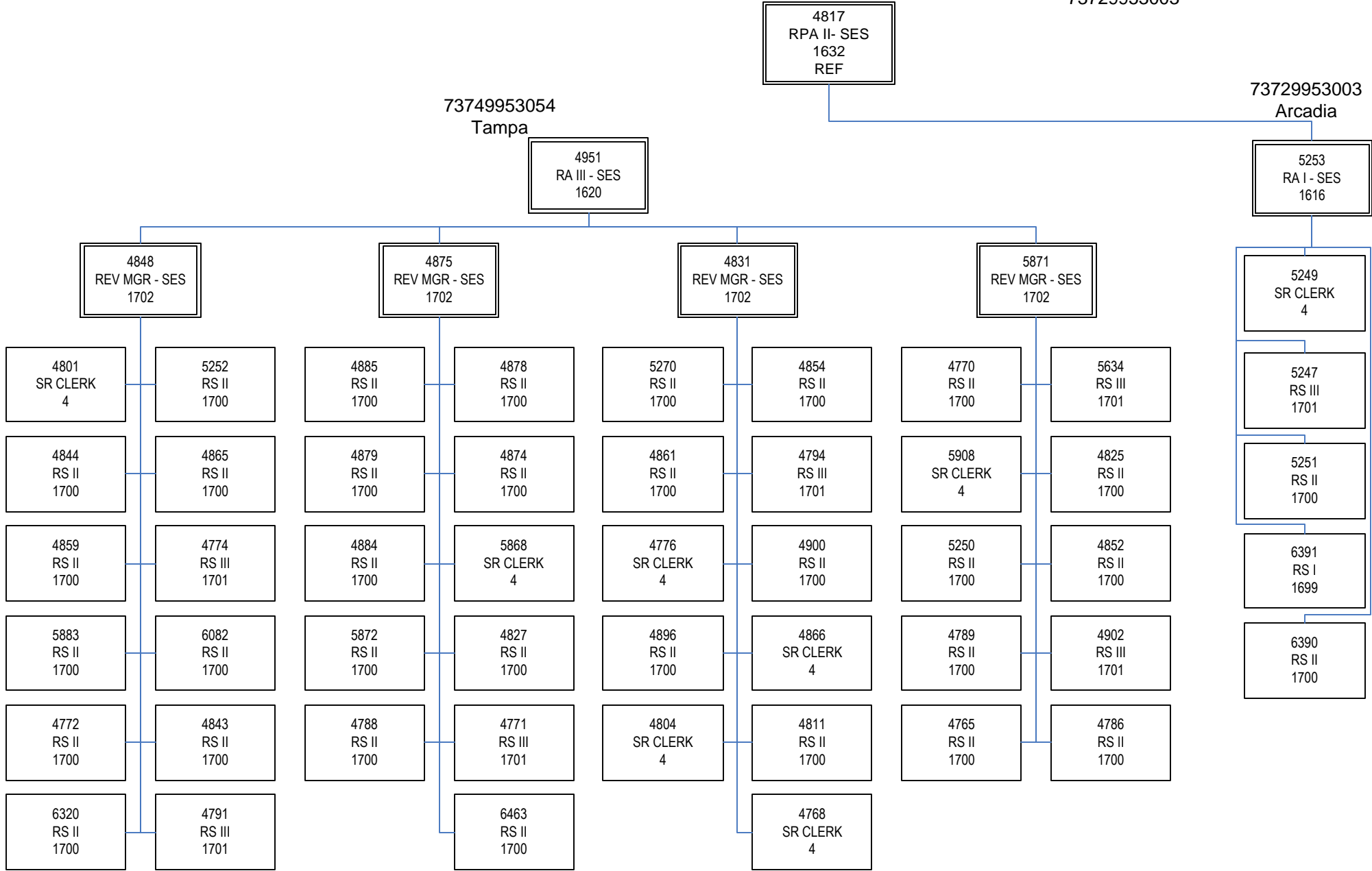
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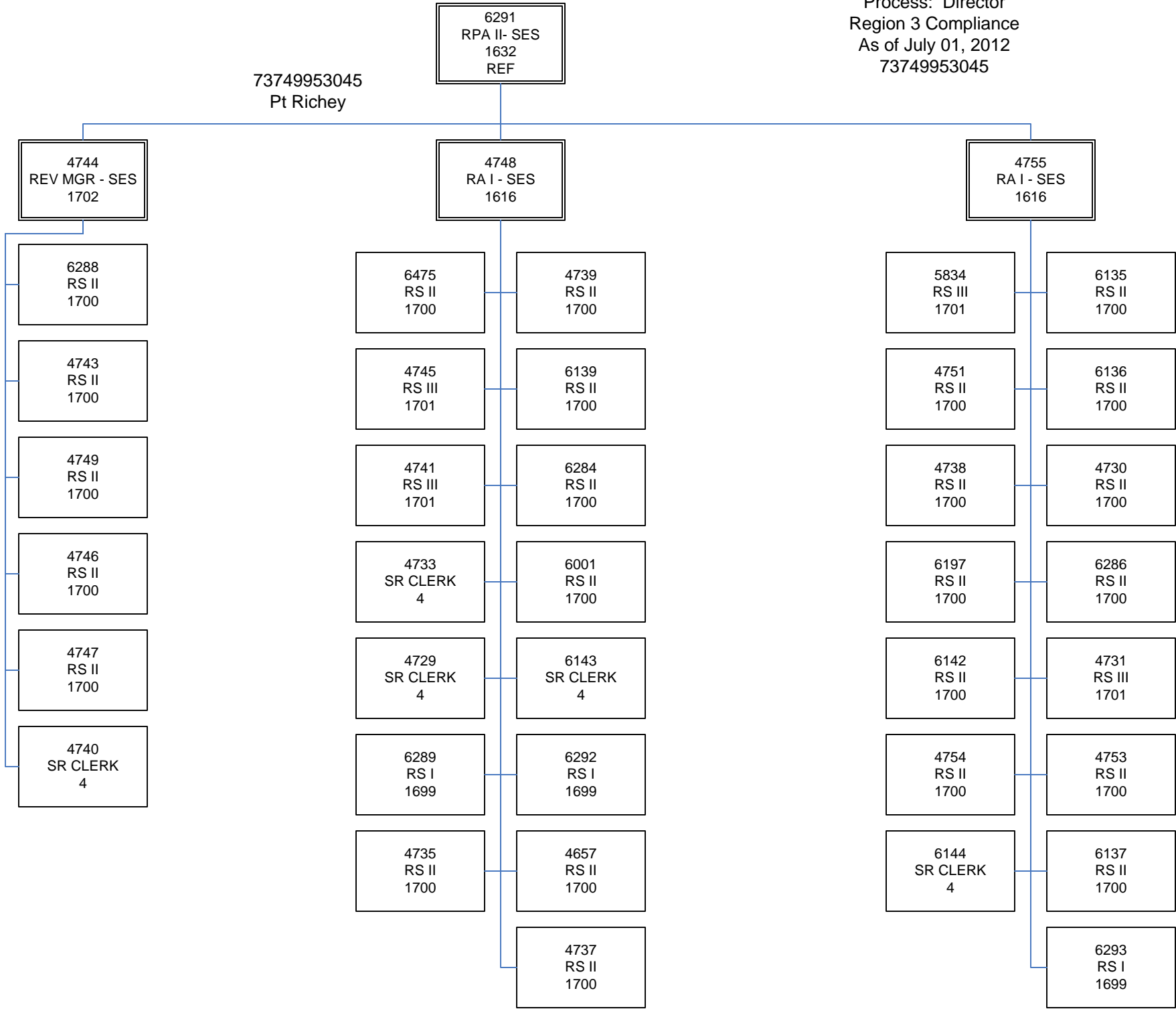
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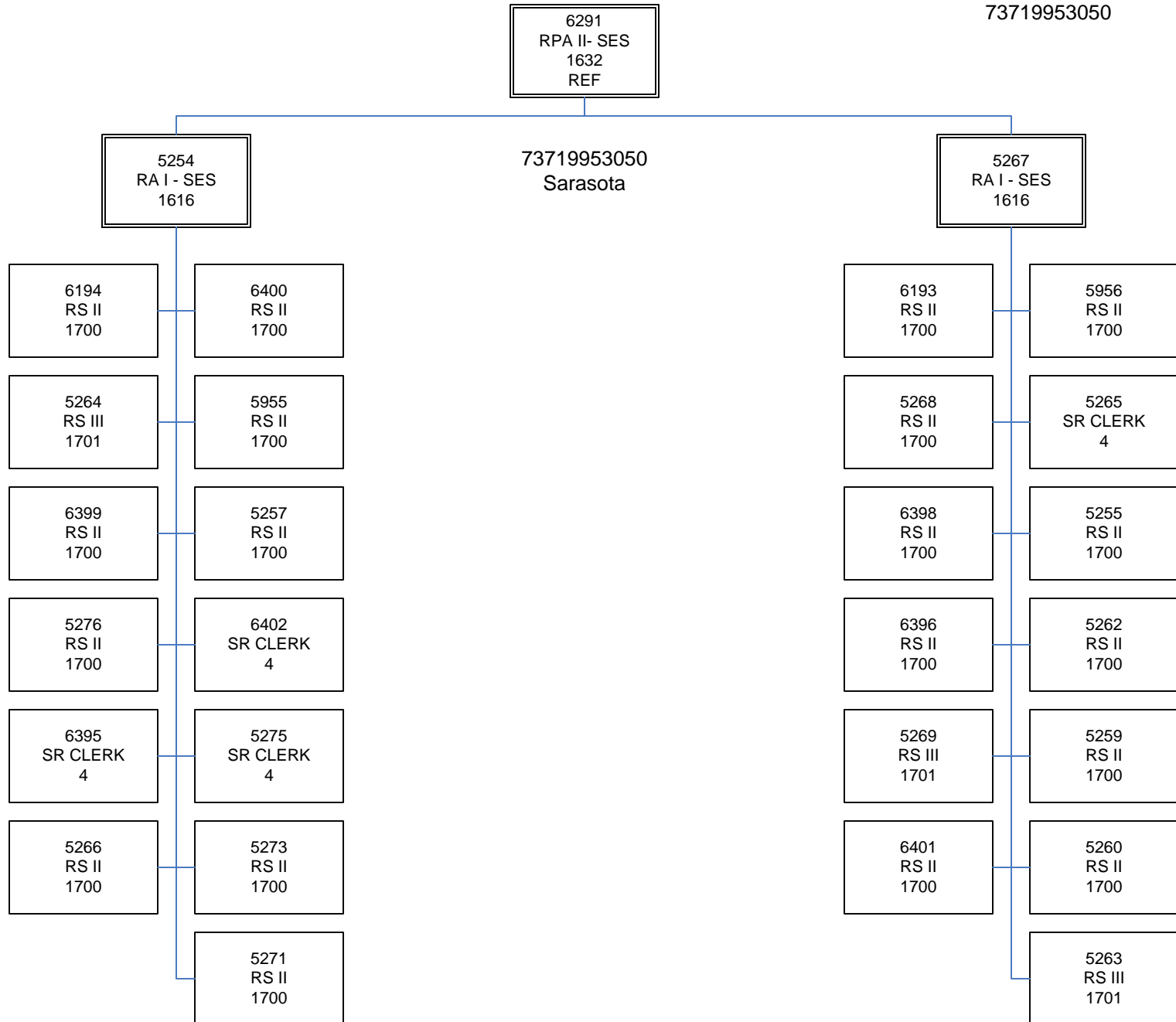
4877
RS II
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Child Support Enforcement
 Process: Director
 Region 3 Compliance & Remittance & Distribution
 As of July 01, 2012
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 73729953003

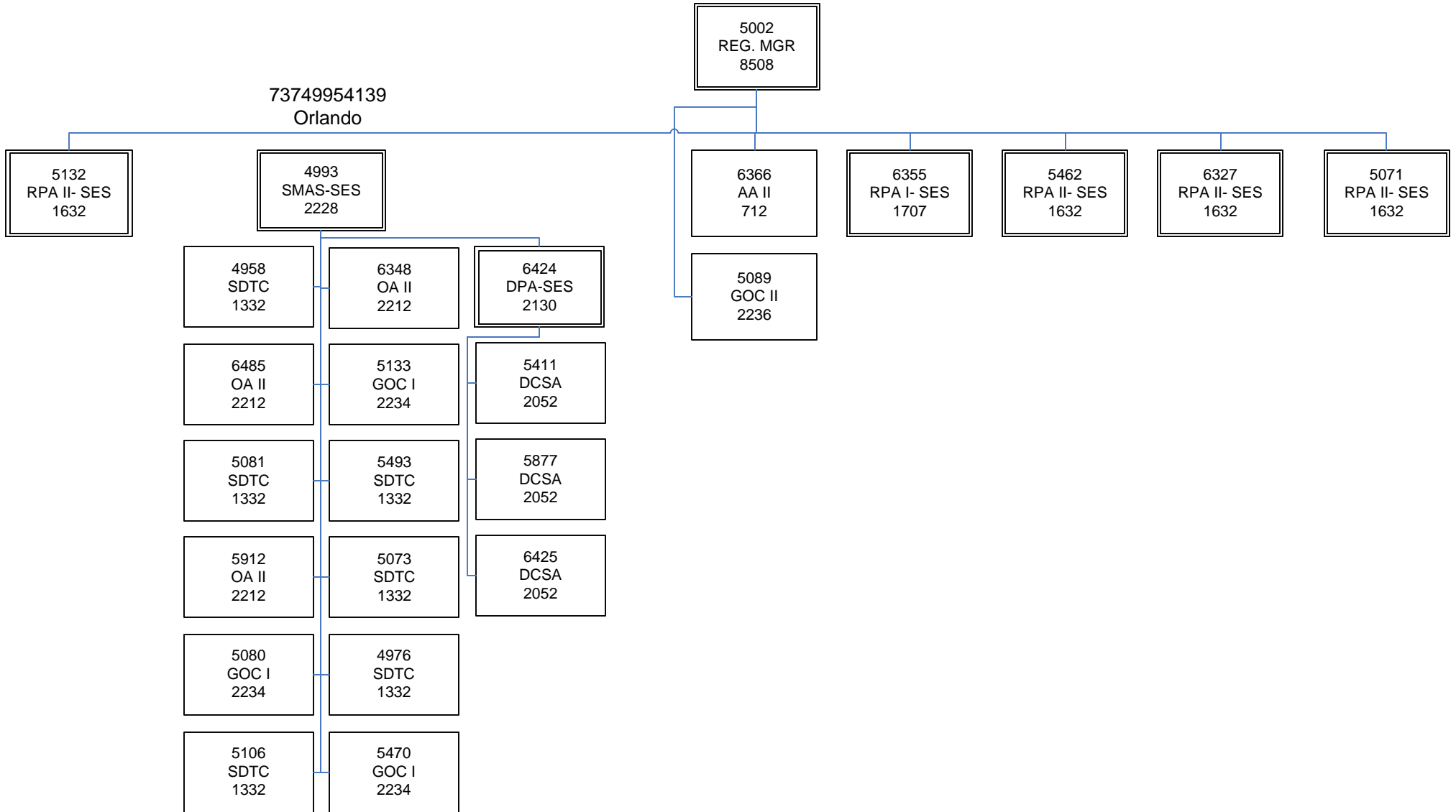


73749953045
Pt Richey



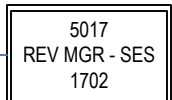
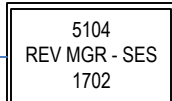
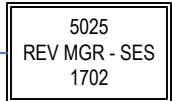
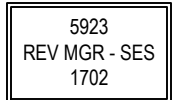
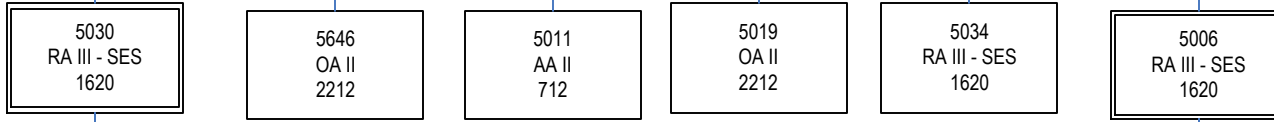


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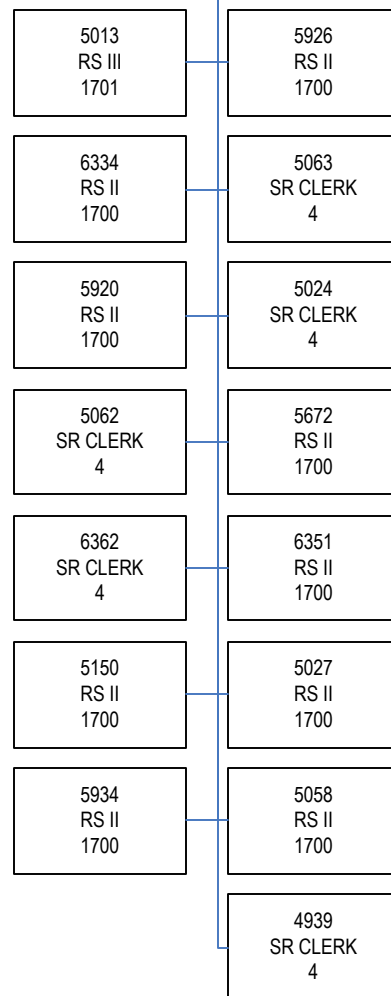
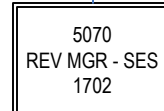
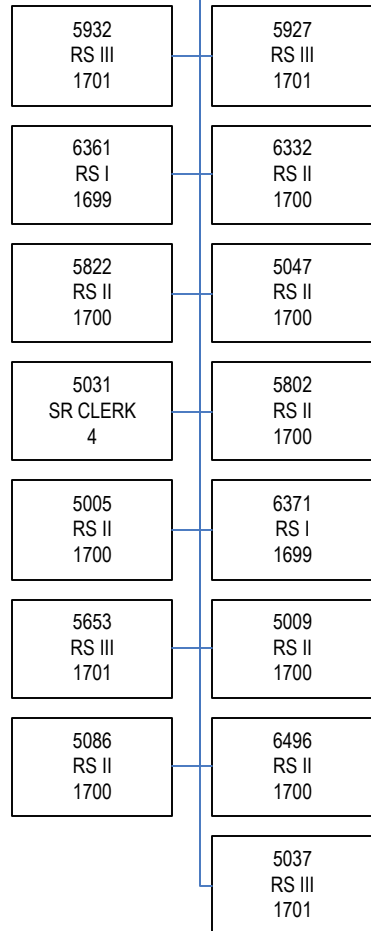
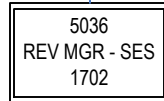


Child Support Enforcement
 Process: Director
 Region 4 Establishment & Case Processing
 As of July 01, 2012
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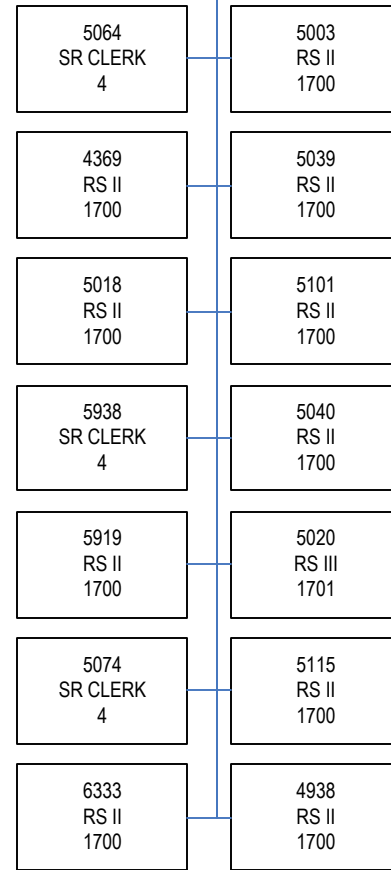
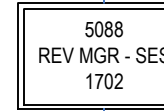
73719954039
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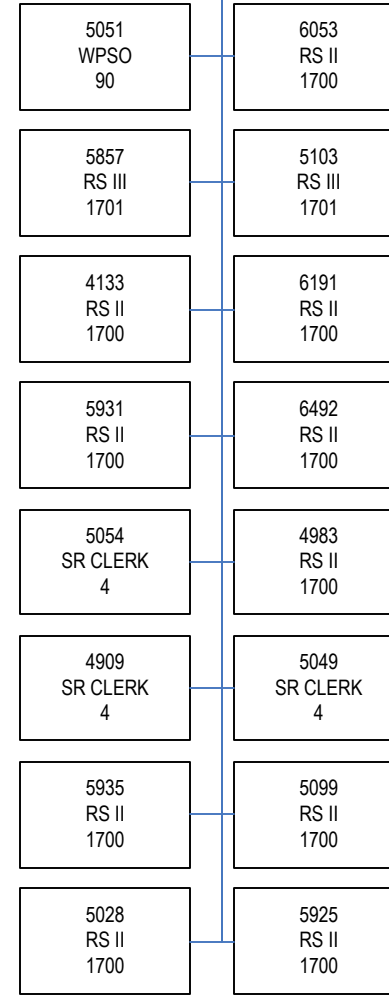
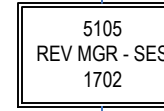
73739954039
 Orlando



73739954039
 Orlando



73739954039
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5030
 RA III - SES
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 REF

73739954039
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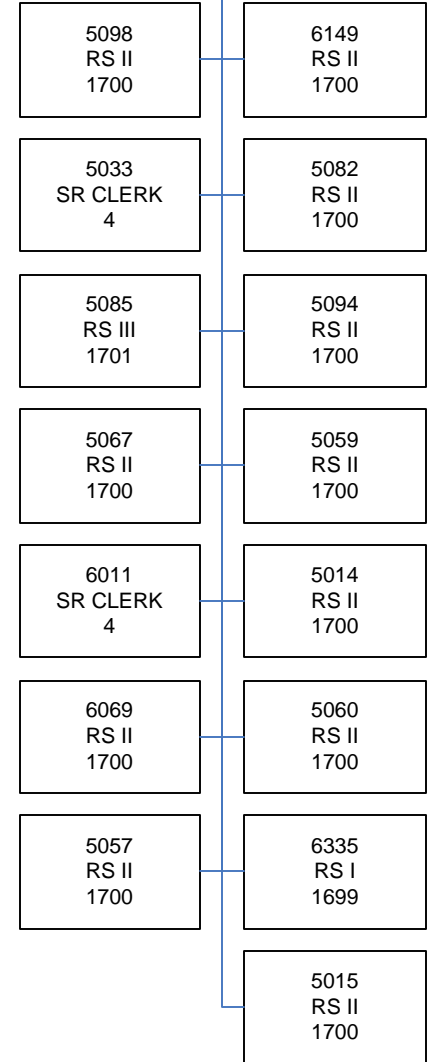
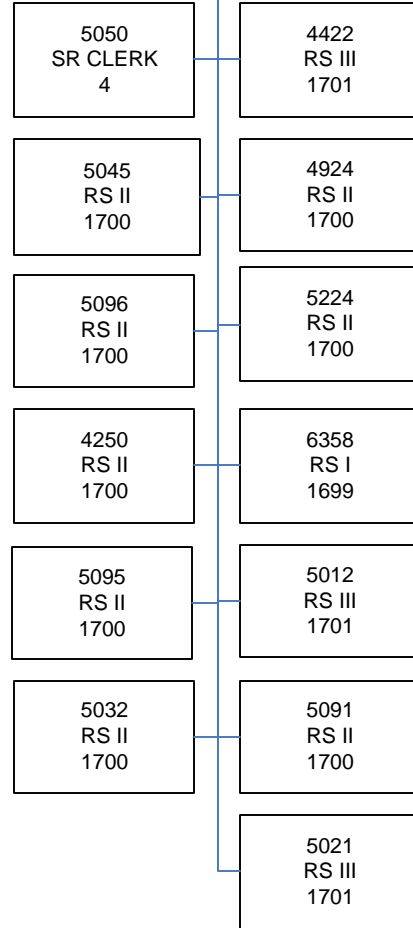
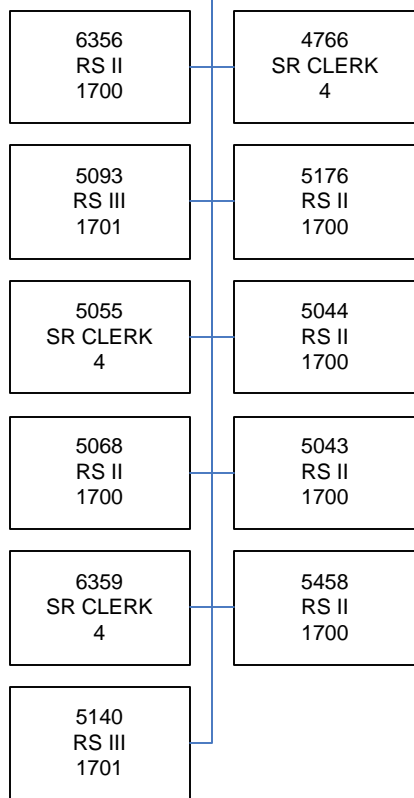
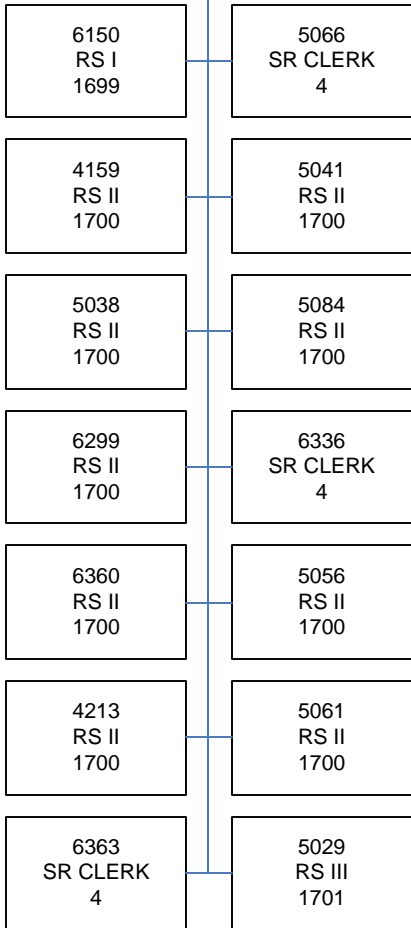
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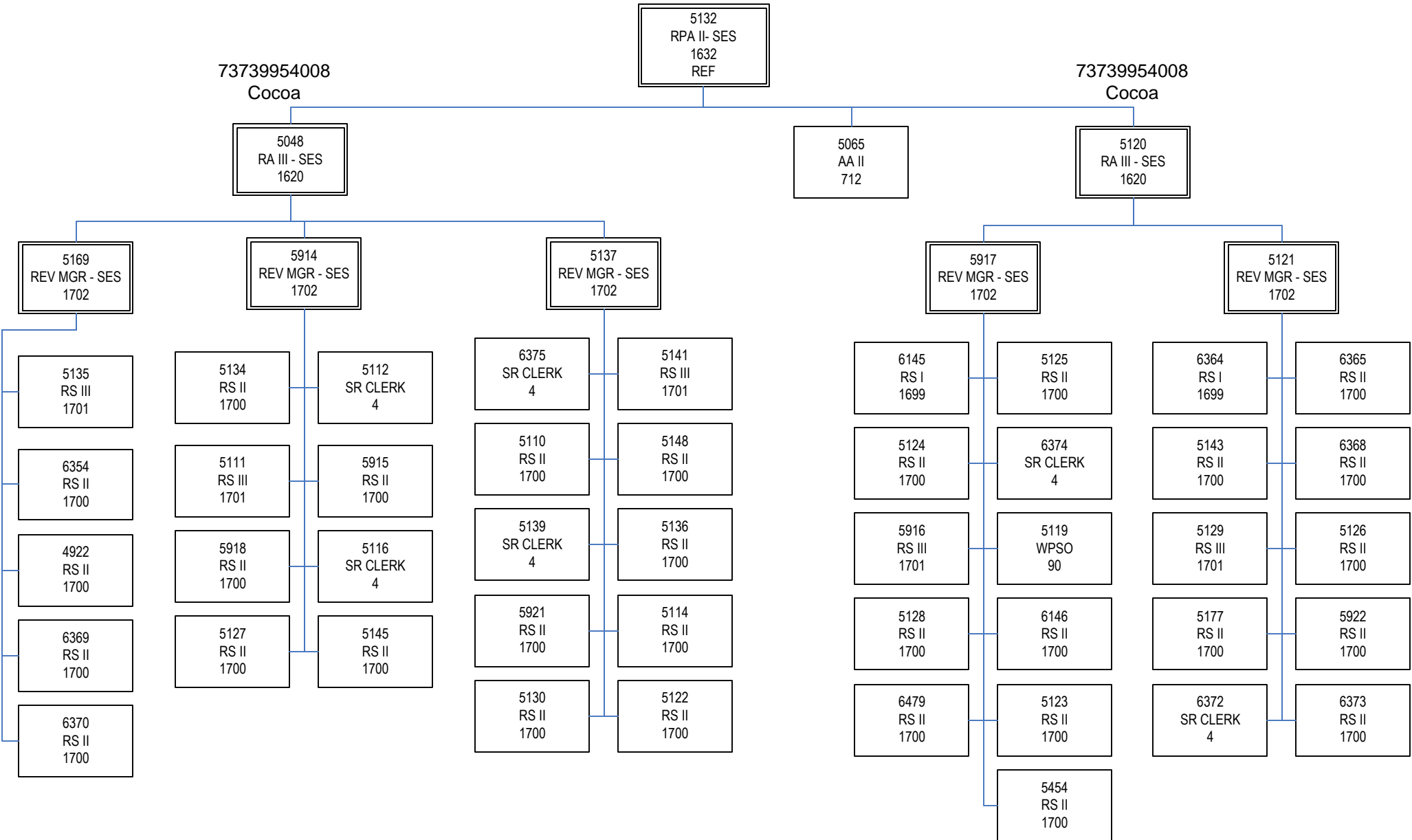
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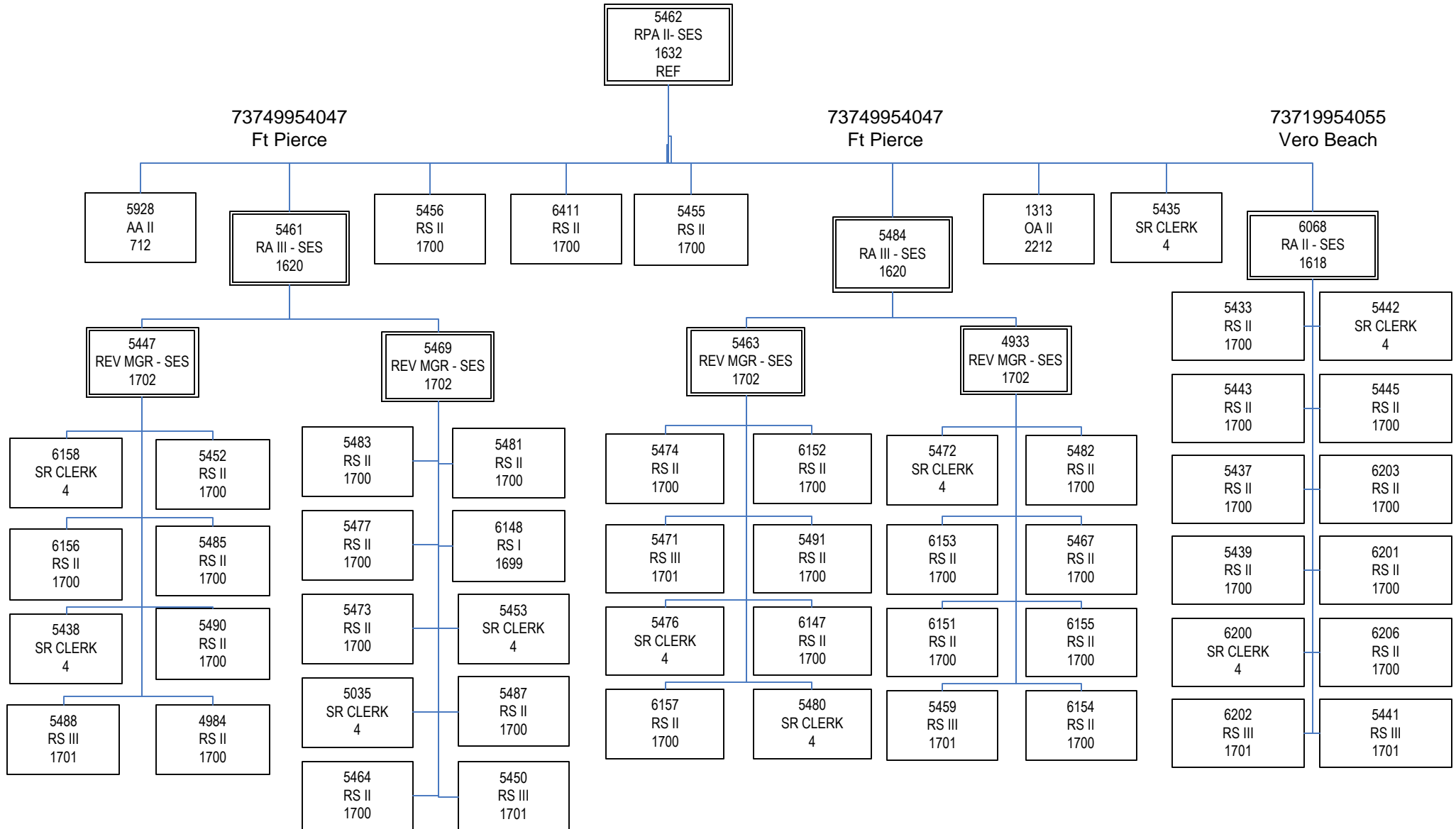
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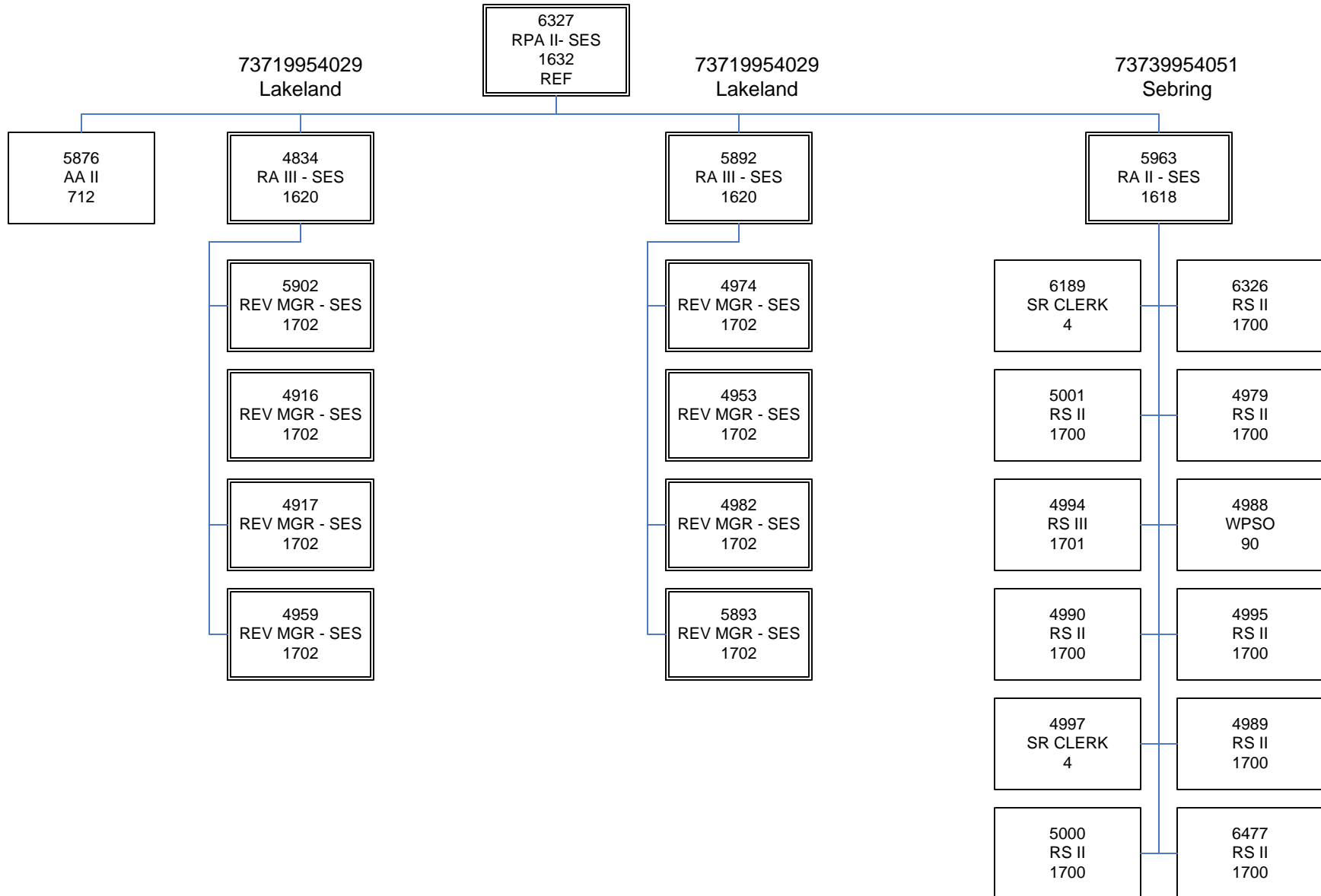
Child Support Enforcement
 Process: Director
 Region 4 Establishment
 As of July 01, 2012
 73739954008



Child Support Enforcement
 Process: Director
 Region 4 Compliance & Case Processing
 As of July 01, 2012
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 73719954055

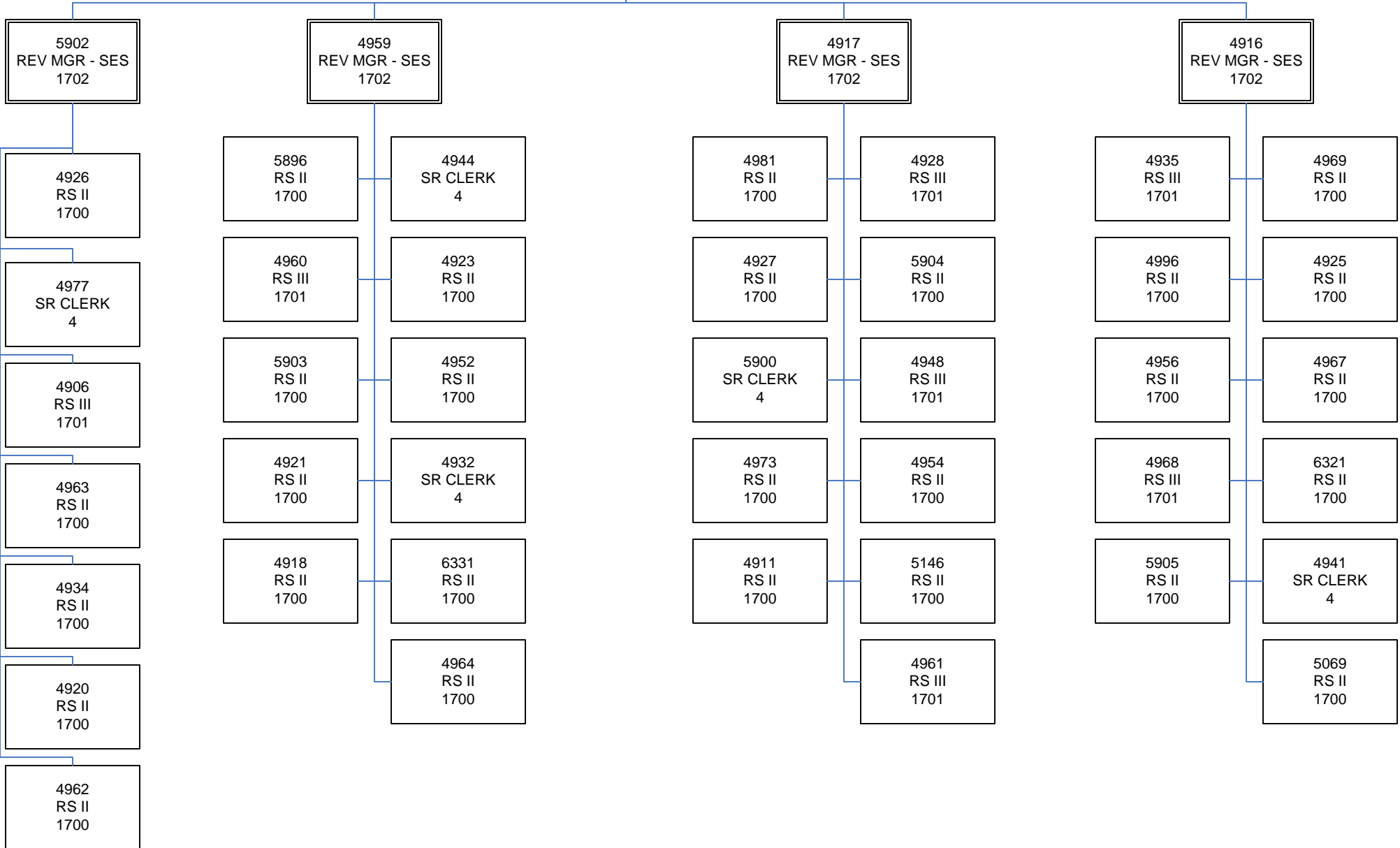


Child Support Enforcement
 Process: Director
 Region 4 Case Processing & Establishment
 As of July 01, 2012
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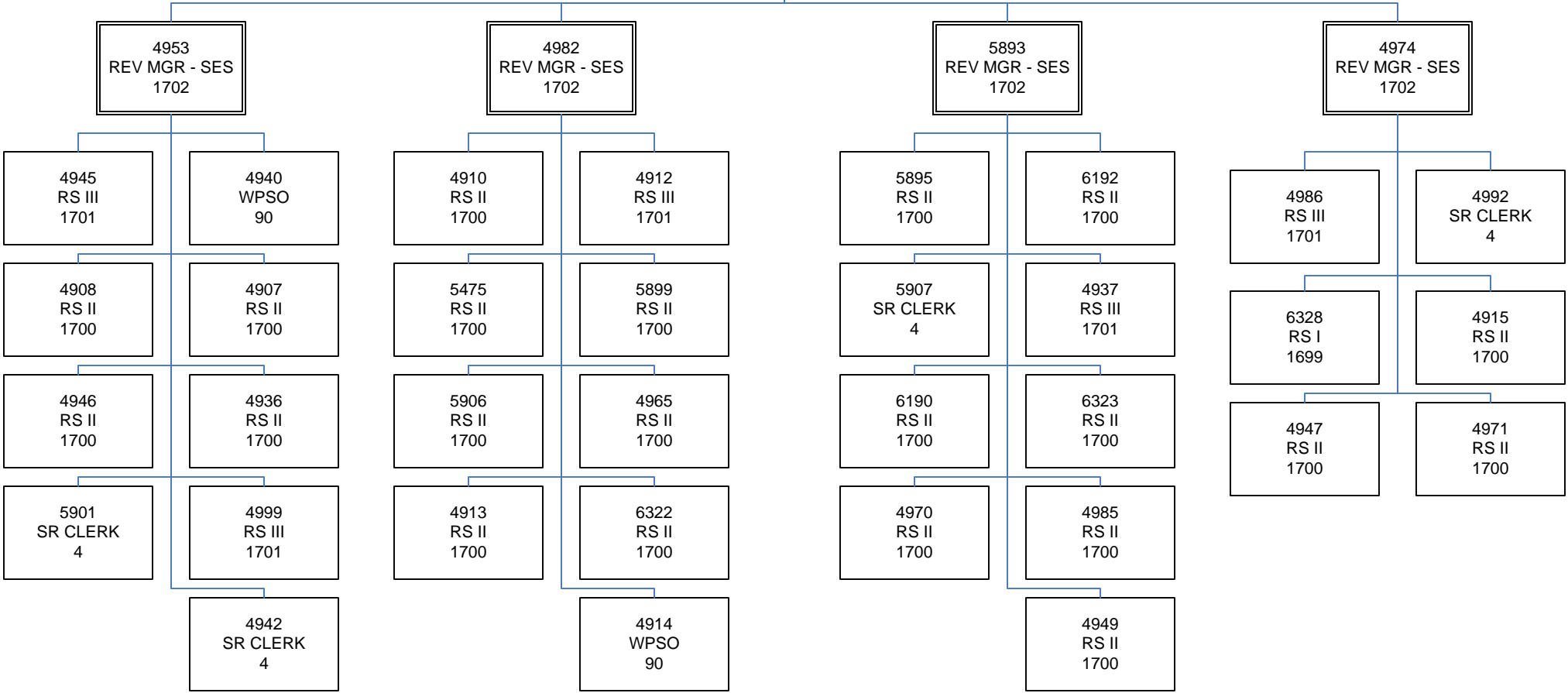
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Lakeland

4834
RA III - SES
1620
REF

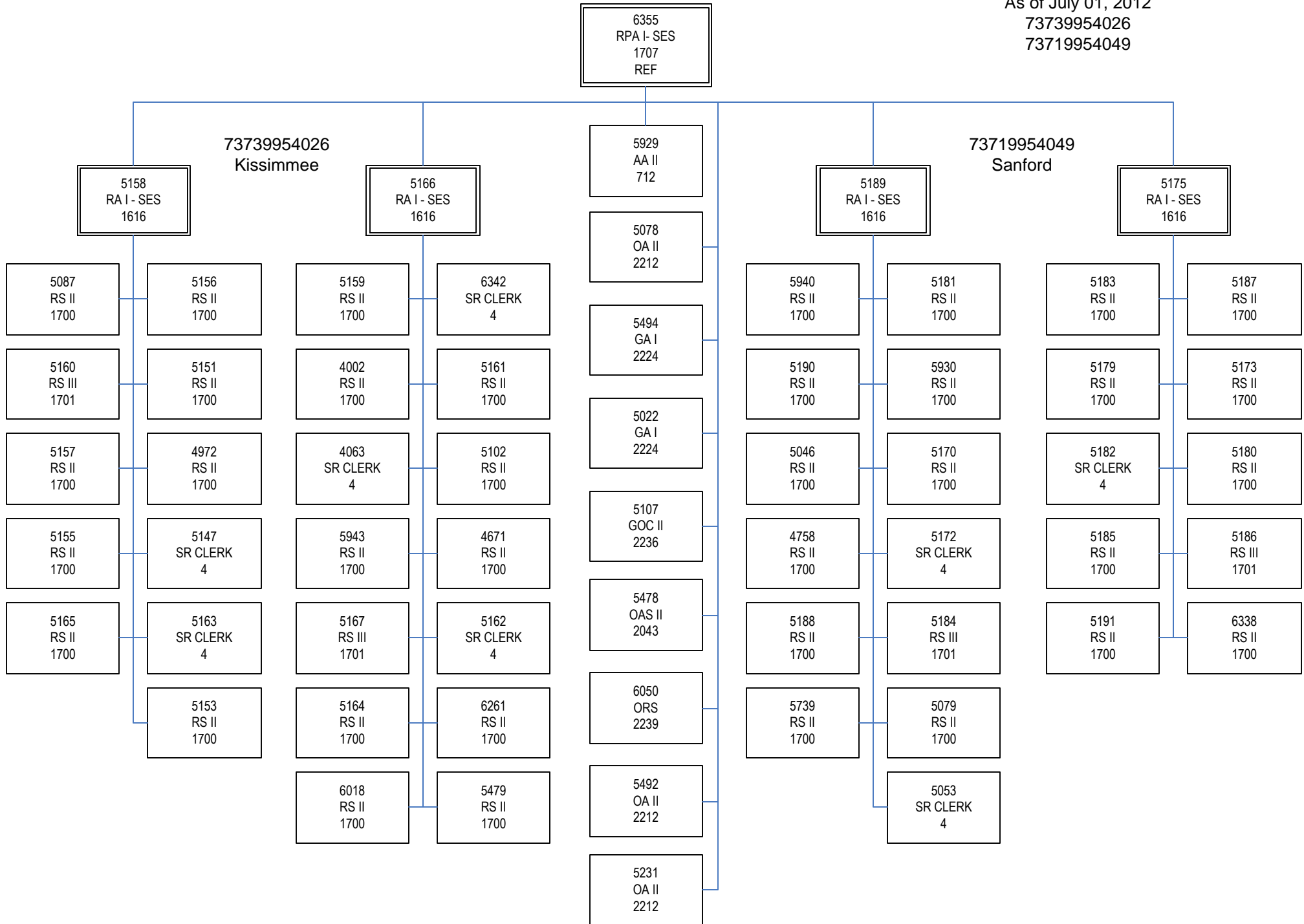


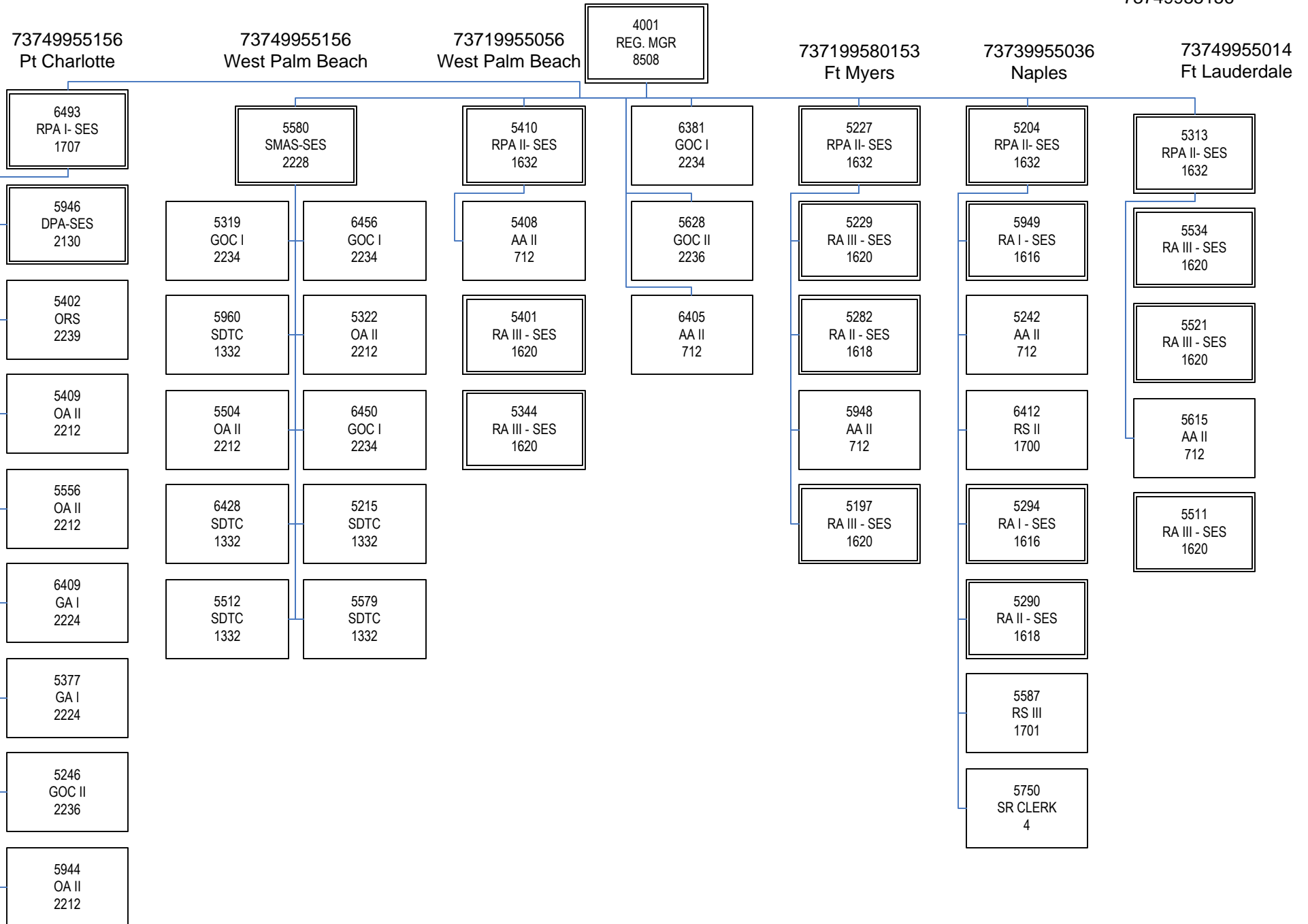
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RA III - SES
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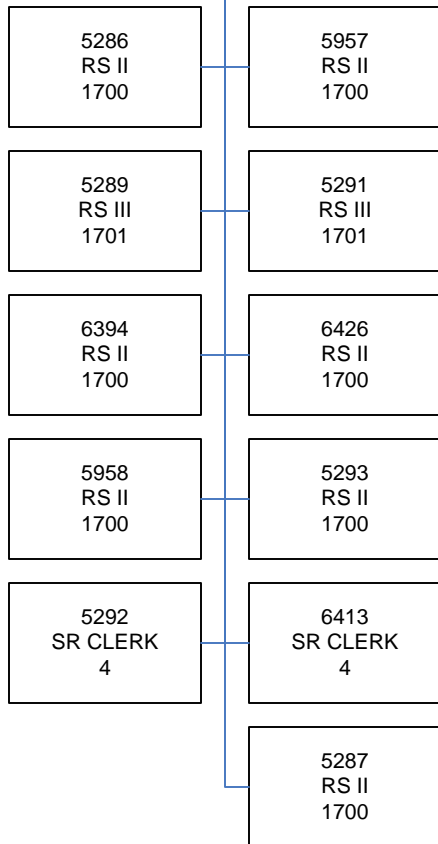
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 Process: Director
 Region 4 Case Processing & Establishment
 As of July 01, 2012
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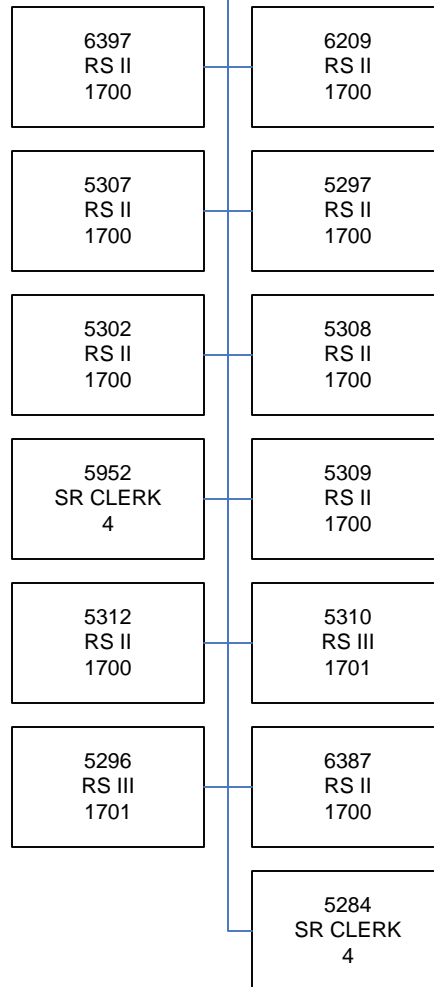


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 1632
 REF

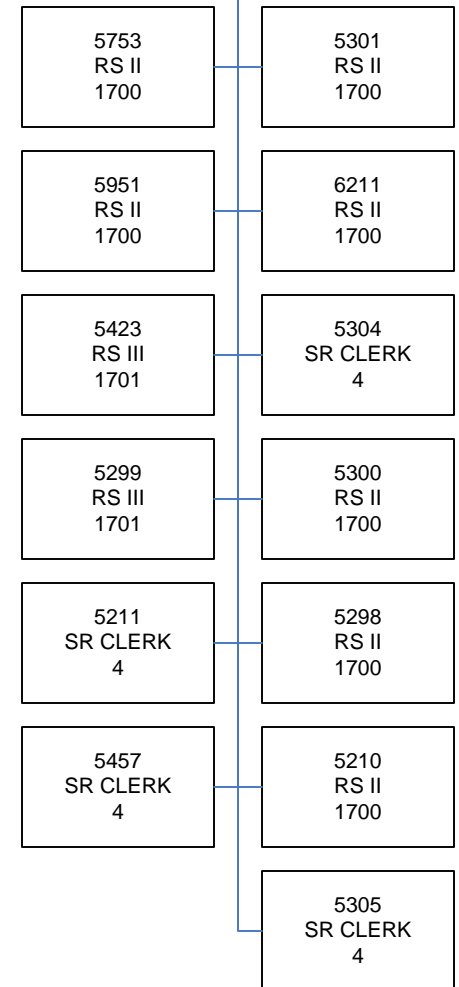
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 Port Charlotte
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 RA II - SES
 1618



73739955036
 Naples
 5294
 RA I - SES
 1616



73739955036
 Naples
 5949
 RA I - SES
 1616



Child Support Enforcement
 Process: Director
 Region 5 Compliance
 As of July 01, 2012
 73749955013
 73749955027

5227
 RPA II - SES
 1632
 REF

5197
 RA III - SES
 1620

73749955013
 Ft Myers

5229
 RA III - SES
 1620

5282
 RA II - SES
 1618

73749955027
 Clewiston

5399
 REV MGR - SES
 1702

6058
 REV MGR - SES
 1702

5209
 REV MGR - SES
 1702

5239
 REV MGR - SES
 1702

5279
 RS III
 1701

5280
 RS II
 1700

5306
 RS II
 1700

5201
 SR CLERK
 4

6383
 RS II
 1700

5232
 RS II
 1700

5235
 RS II
 1700

5198
 RS III
 1701

6198
 RS II
 1700

5207
 RS III
 1701

5240
 SR CLERK
 4

5217
 RS II
 1700

5196
 RS II
 1700

5233
 RS III
 1701

5200
 RS II
 1700

6377
 RS II
 1700

6382
 RS II
 1700

5206
 RS II
 1700

5362
 RS II
 1700

6065
 SR CLERK
 4

5234
 RS II
 1700

5636
 RS III
 1701

5218
 RS II
 1700

6378
 RS II
 1700

6481
 RS II
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5243
 RS II
 1700

5226
 RS II
 1700

5241
 RS III
 1701

5630
 SWPSO
 93

5272
 RS II
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 RS II
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 SR CLERK
 4

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 RS III
 1701

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 4

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 1700

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 RS II
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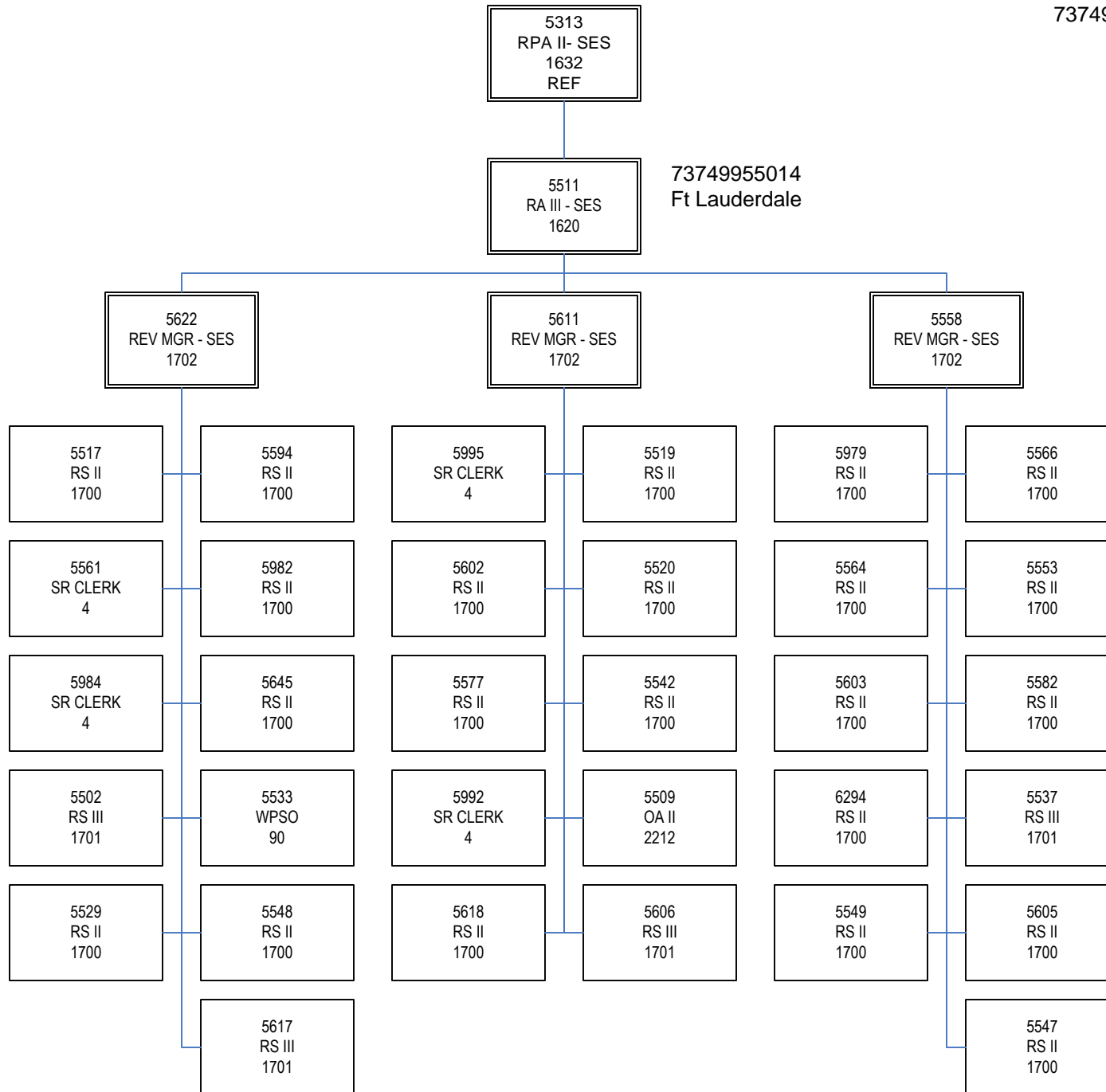
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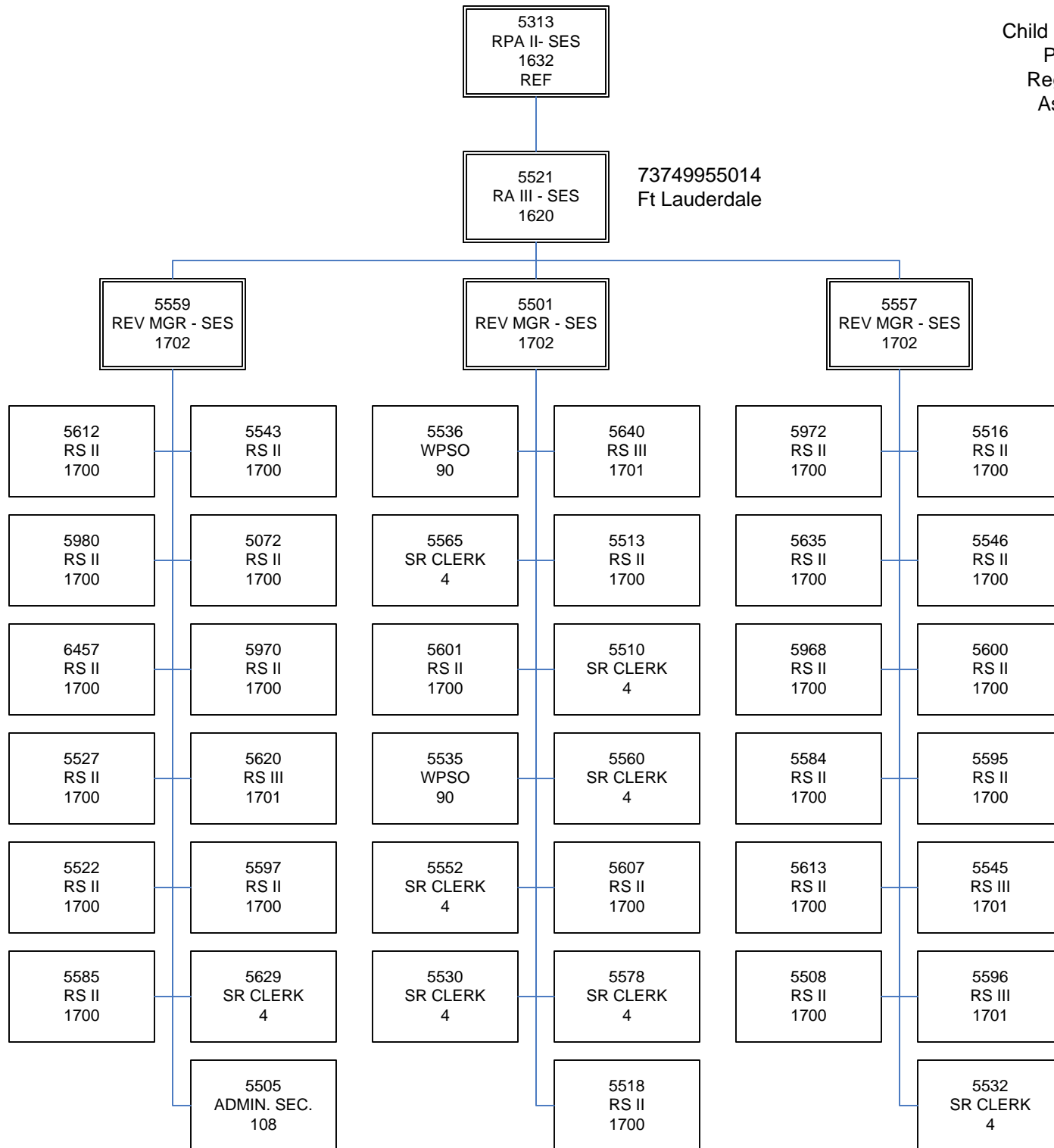
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 RS II
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5278
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5313
RPA II- SES
1632
REF

5534
RA III - SES
1620

73749955014
Ft Lauderdale

5581
REV MGR - SES
1702

5641
REV MGR - SES
1702

5977
REV MGR - SES
1702

5621
REV MGR - SES
1702

5567
RS II
1700

5591
RS II
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5573
SR CLERK
4

5497
RS III
1701

5981
RS II
1700

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RS II
1700

5550
SR CLERK
4

5528
RS II
1700

5614
RS III
1701

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SR CLERK
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RS III
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RS III
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RS II
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RS II
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RS II
1700

5555
RS I
1699

5643
RS II
1700

5642
RS II
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5213
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RS II
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RS II
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5525
RS II
1700

5503
RS II
1700

933
RS II
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578
RS II
1700

5983
RS II
1700

5499
SWPSO
93

5500
RS II
1700

5633
SR CLERK
4

5572
RS III
1701

5523
RS II
1700

5576
RS II
1700

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RS II
1700

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RS III
1701

5598
RS II
1700

5593
RS II
1700

5554
SR CLERK
4

5994
SR CLERK
4

5978
RS II
1700

5568
RS II
1700

5588
RS III
1701

5590
RS II
1700

5988
RS II
1700

5544
RS II
1700

Child Support Enforcement
 Process: Director
 Region 5 Compliance & Case Processing
 As of July 01, 2012
 7374995506
 73749955056

5410
 RPA II - SES
 1632
 REF

5401
 RA III - SES
 1620

73719955056
 West Palm Beach

73719955056
 West Palm Beach

73749955056
 West Palm Beach

73749955056
 West Palm Beach

5436
 REV MGR - SES
 1702

5349
 REV MGR - SES
 1702

5418
 RS II
 1700

5422
 REV MGR - SES
 1702

5400
 REV MGR - SES
 1702

5361
 SWPSO
 93

5345
 RS III
 1701

5430
 RS II
 1700

5380
 RS III
 1701

5415
 RS II
 1700

6410
 PARA SPELT
 7703

5431
 RS III
 1701

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 RS II
 1700

5372
 RS II
 1700

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 RS II
 1700

5367
 RS II
 1700

6404
 RS II
 1700

4604
 RS III
 1701

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 OA II
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5449
 RS II
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 WPSO
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 RS III
 1701

5412
 RS III
 1701

5366
 RS II
 1700

6073
 SR CLERK
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5360
 SR CLERK
 4

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 RS II
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5351
 RS II
 1700

5421
 RS II
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5343
 RS III
 1701

5325
 SWPSO
 93

5424
 RS II
 1700

5371
 RS II
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 RS II
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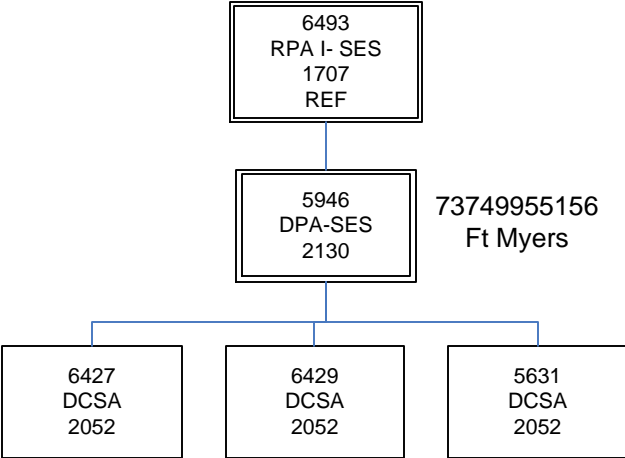
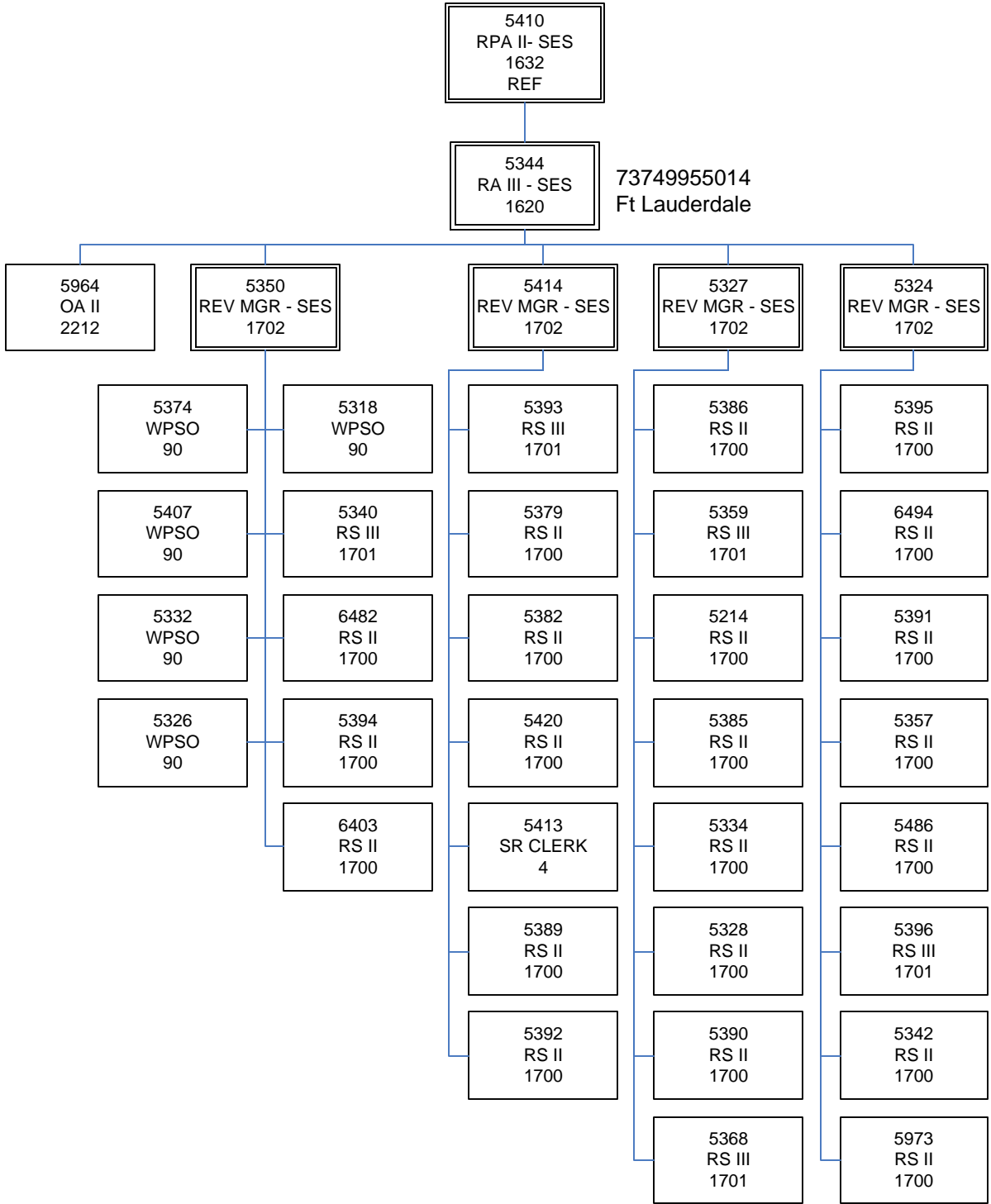
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Child Support Enforcement
 Process: Director
 Region 5 Compliance
 As of July 01, 2012
 73749955014
 73749955156

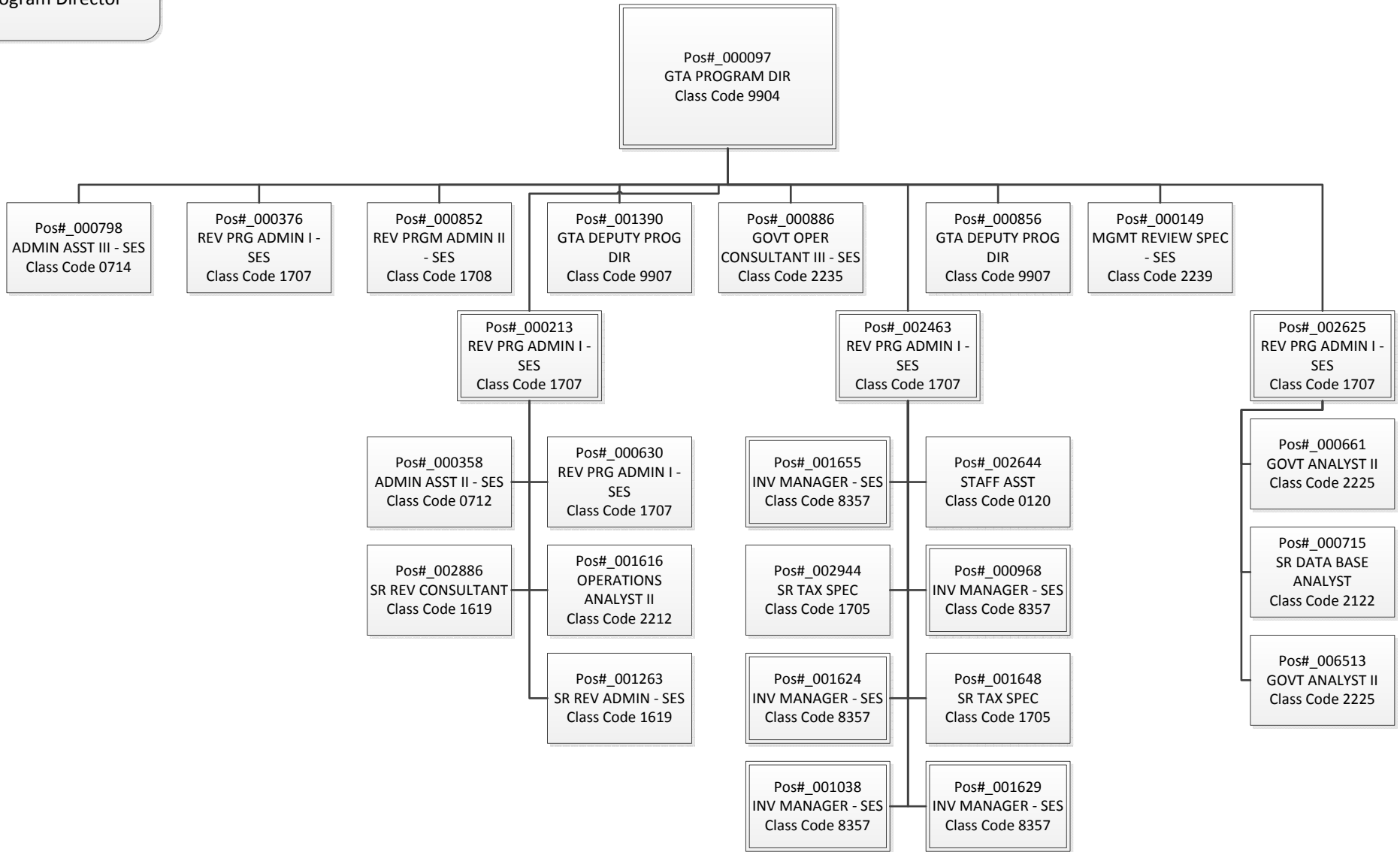


Positions on Loan to EXE

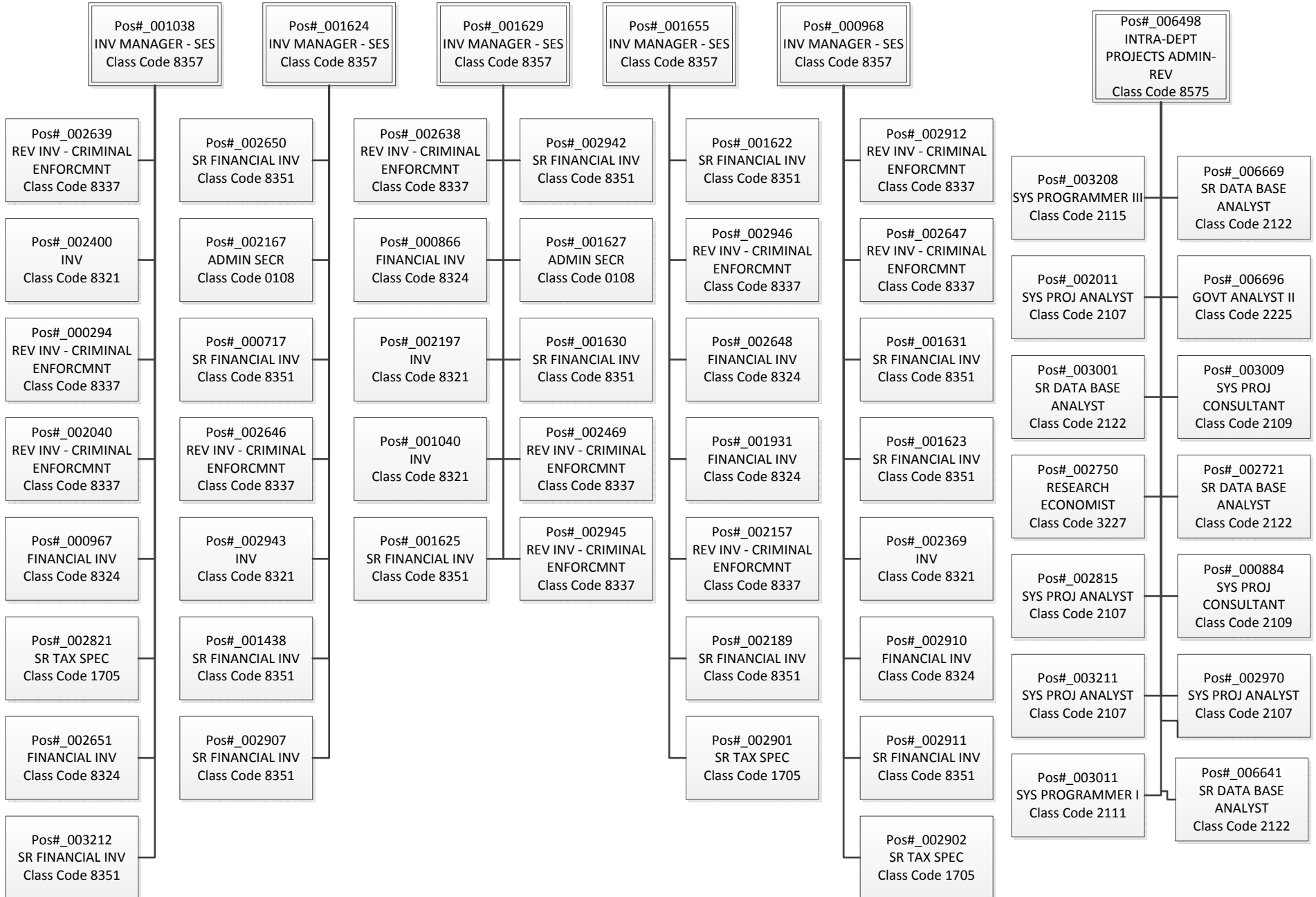
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8575

6474
GOC I
2234

GTA
Program Director



GTA
Program Director



GTA
Program Director

Pos#_002749
Rev Prg Adm I
SunTax

Pos#_006661
TRAIN & RESRCH
CONSULT
Class Code 6004

Pos#_001947
REV PRG ADMIN I - SES
Class Code 1707

Pos#_003343
DIST COMPUTER SYS
ANLY
Class Code 2052

Pos#_002056
TRAIN & RESRCH
CONSULT
Class Code 6004

Pos#_001273
STAFF ASST
Class Code 0120

Pos#_002752
TAX LAW SPEC
Class Code 1709

Pos#_001270
TRAIN & RESRCH
CONSULT
Class Code 6004

Pos#_001668
TRAIN & RESRCH
CONSULT
Class Code 6004

Pos#_002604
TRAIN & RESRCH
CONSULT
Class Code 6004

Pos#_000714
TAX LAW SPEC
Class Code 1709

Pos#_006612
TAX LAW SPEC
Class Code 1709

Pos#_000475
GOVT ANALYST II
Class Code 2225

Pos#_003013
TRAIN & RESRCH
CONSULT
Class Code 6004

Pos#_001950
TAX LAW SPEC
Class Code 1709

Pos#_001948
ADMIN ASST II
Class Code 0712

Pos#_002607
TAX LAW SPEC
Class Code 1709

Pos#_001495
TAX LAW SPEC
Class Code 1709

Pos#_00970
Rev Prgm Adm II
Maitland

Pos#_000609
REV PRGM ADMIN II
- SES
Class Code 1708

Pos#_001218
REV PRGM ADMIN II - SES
Class Code 1708

Pos#_003376
SR TAX AUDIT ADMIN -
SES
Class Code 1513

Pos#_002048
REV PRG ADMIN I - SES
Class Code 1707

Pos#_001555
SR TAX SPEC
Class Code 1705

Pos#_003063
SR TAX SPEC
Class Code 1705

Pos#_003006
SR TAX SPEC
Class Code 1705

Pos#_001567
SYS PROJ
CONSULTANT
Class Code 2109

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TAX LAW SPEC
Class Code 1709

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Class Code 1709

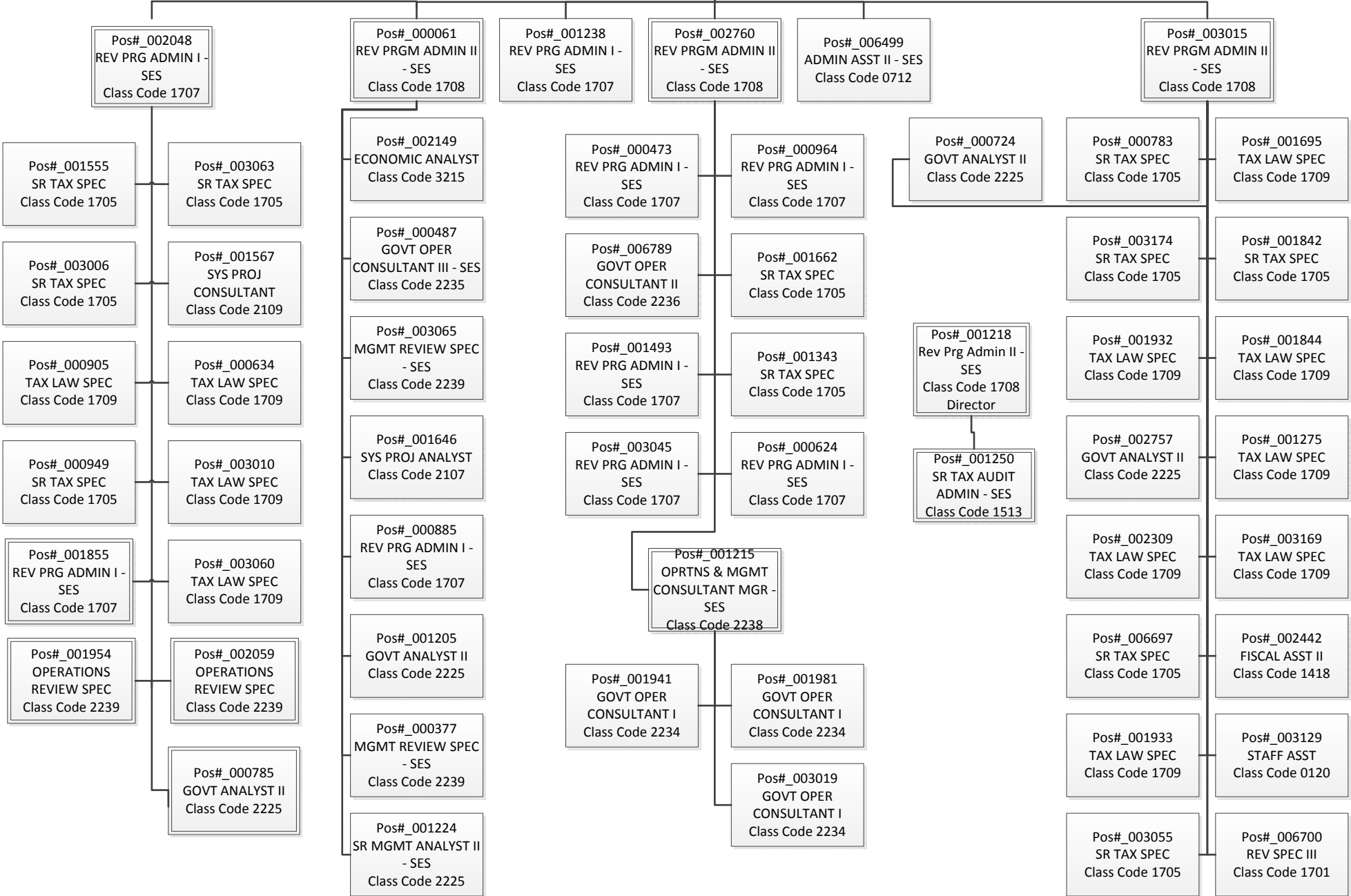
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Pos#_003010
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Resource Management
Process

Pos#_000985
RESOURCE MGMT
PROCESS MGR
Class Code 8636



GTA
Refunds & Distribution
Process

Pos#_000719
REV PRGM ADMIN II - SES
Class Code 1708

Pos#_001116
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_001705
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_000928
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_000360
SR REV ADMIN - SES
Class Code 1619

Pos#_000285
STAFF ASST
Class Code 0120

Pos#_000720
TAX AUDITOR III
Class Code 1509

Pos#_000478
TAX AUDITOR II
Class Code 1506

Pos#_001520
TAX AUDITOR III
Class Code 1509

Pos#_002376
TAX AUDITOR III
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Class Code 1509

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Class Code 1510

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Class Code 1705

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Class Code 1506

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TAX AUDITOR IV
Class Code 1510

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TAX AUDITOR III
Class Code 1509

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Class Code 1506

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Class Code 1705

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TAX AUDITOR III
Class Code 1509

Pos#_001989
TAX AUDITOR II
Class Code 1506

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STAFF ASST
Class Code 0120

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TAX AUDITOR IV
Class Code 1510

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TAX AUDITOR III
Class Code 1509

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Class Code 1705

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Class Code 1509

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Class Code 1506

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TAX AUDITOR II
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Class Code 1705

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Class Code 1506

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Class Code 1506

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SR TAX SPEC
Class Code 1705

Pos#_000938
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Class Code 1705

Pos#_001076
TAX LAW SPEC
Class Code 1709

GTA
Refunds & Distribution
Process

Pos#_001111
PROGRAM ADMIN
Class Code 8841

Pos#_000943
REV PRG ADMIN I -
SES
Class Code 1707

Pos#_000425
ADMIN ASST II
Class Code 0712

Pos#_006695
REV PRG ADMIN I -
SES
Class Code 1707

Pos#_001507
REV MGR - SES
Class Code 1702

Pos#_002611
REV SPEC III
Class Code 1701

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PROF ACCOUNTANT
SPEC
Class Code 1469

Pos#_000991
PROF ACCOUNTANT
SPEC
Class Code 1469

Pos#_000930
REV SPEC II
Class Code 1700

Pos#_001743
REV SPEC III
Class Code 1701

Pos#_001360
PROF ACCT
Class Code 1467

Pos#_000935
SR PROF ACCT
Class Code 1468

Pos#_001474
REV SPEC III
Class Code 1701

Pos#_003311
FISCAL ASST II
Class Code 1418

Pos#_002144
COMPUTER AUDIT
ANALYST
Class Code 2125

Pos#_002916
SR TAX SPEC
Class Code 1705

Pos#_001485
PROF ACCOUNTANT
SPEC
Class Code 1469

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Class Code 1699

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ACCT I
Class Code 1427

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REV SPEC III
Class Code 1701

Pos#_000127
PROF ACCOUNTANT
SPEC
Class Code 1469

Pos#_001410
TAX LAW SPEC
Class Code 1709

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REV SPEC I
Class Code 1699

Pos#_002393
COMPUTER AUDIT
ANALYST
Class Code 2125

Pos#_003400
PROF ACCOUNTANT
SPEC
Class Code 1469

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Class Code 1469

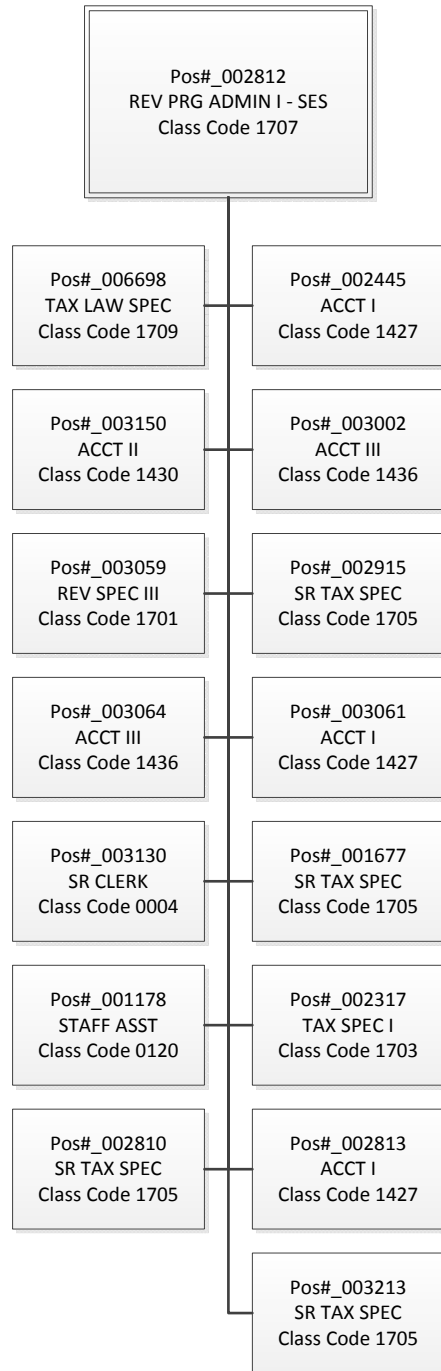
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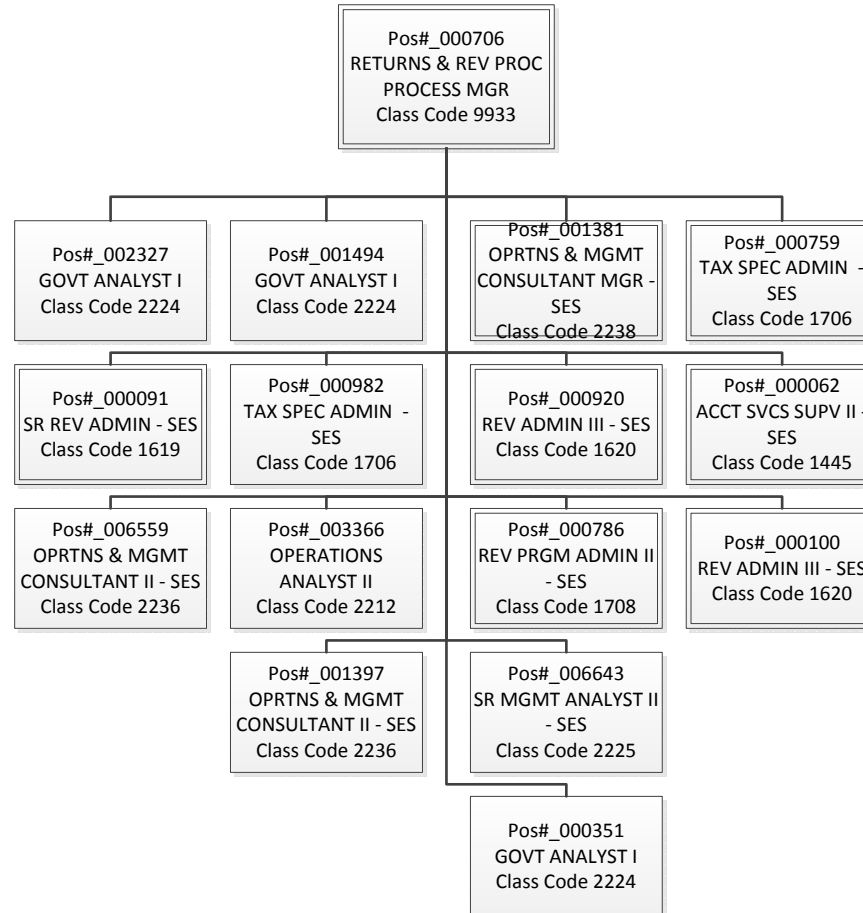
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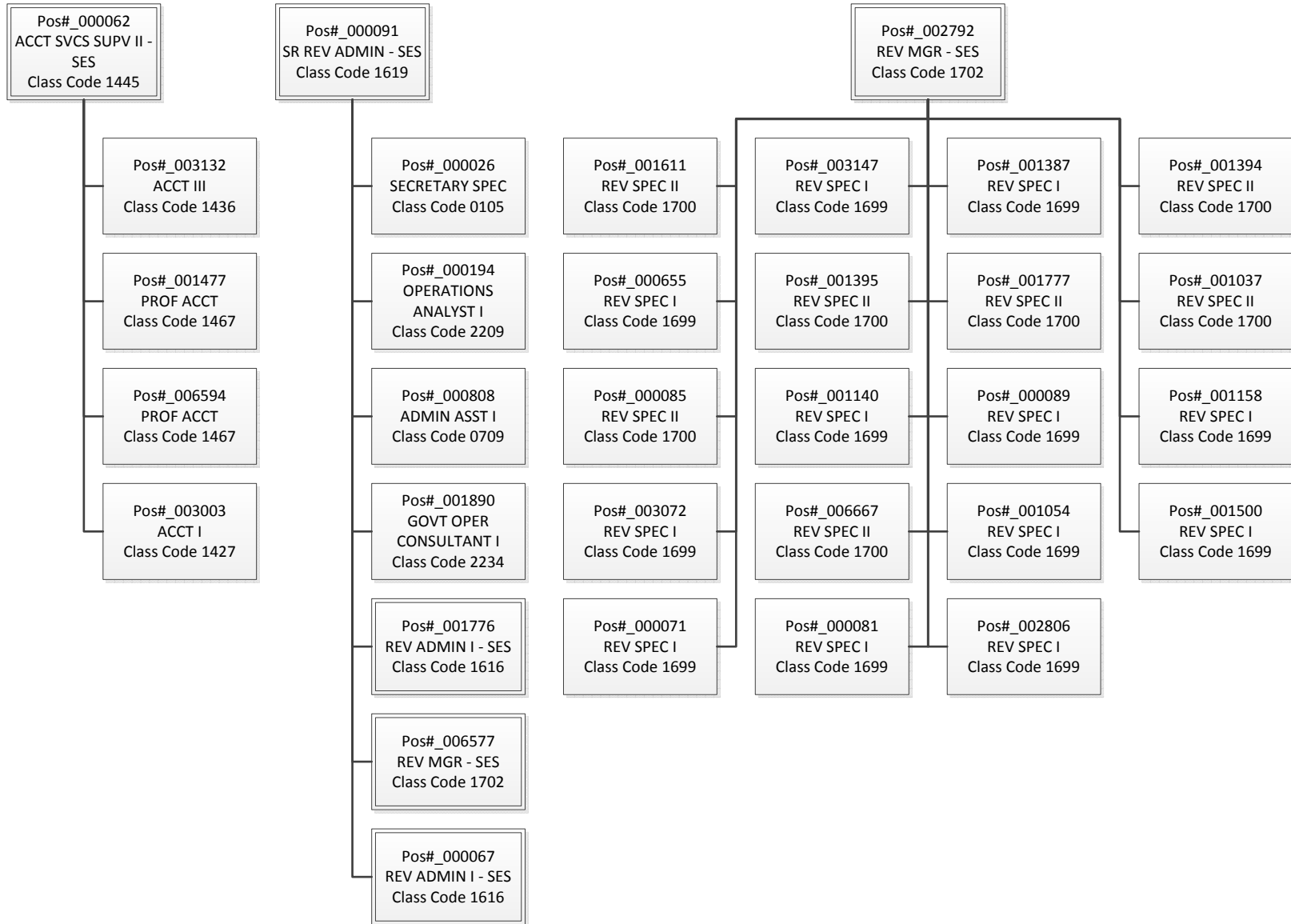
GTA
Refunds & Distribution
Process



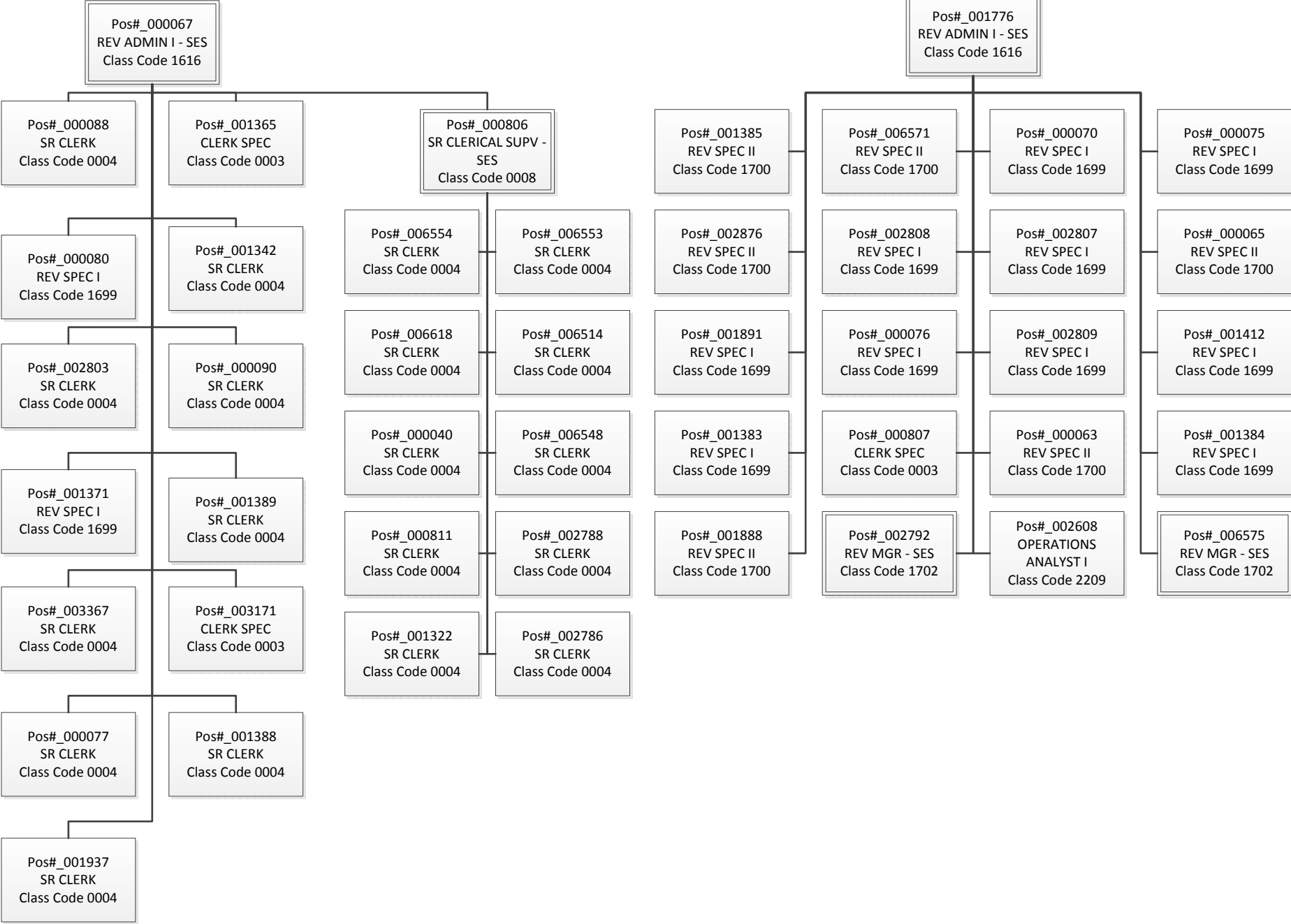
GTA
Returns & Revenue
Processing
Process



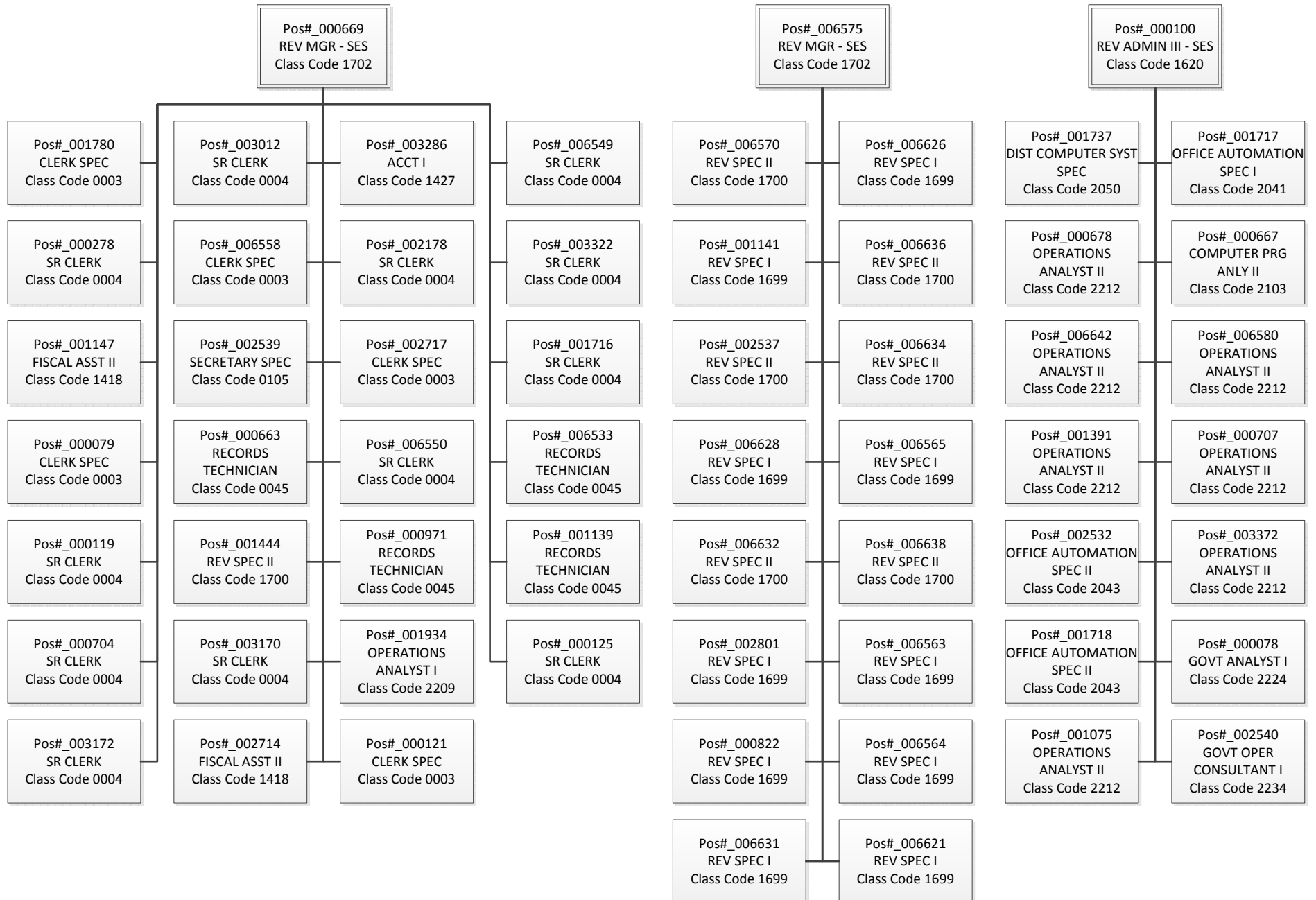
GTA
Returns & Revenue
Processing
Process

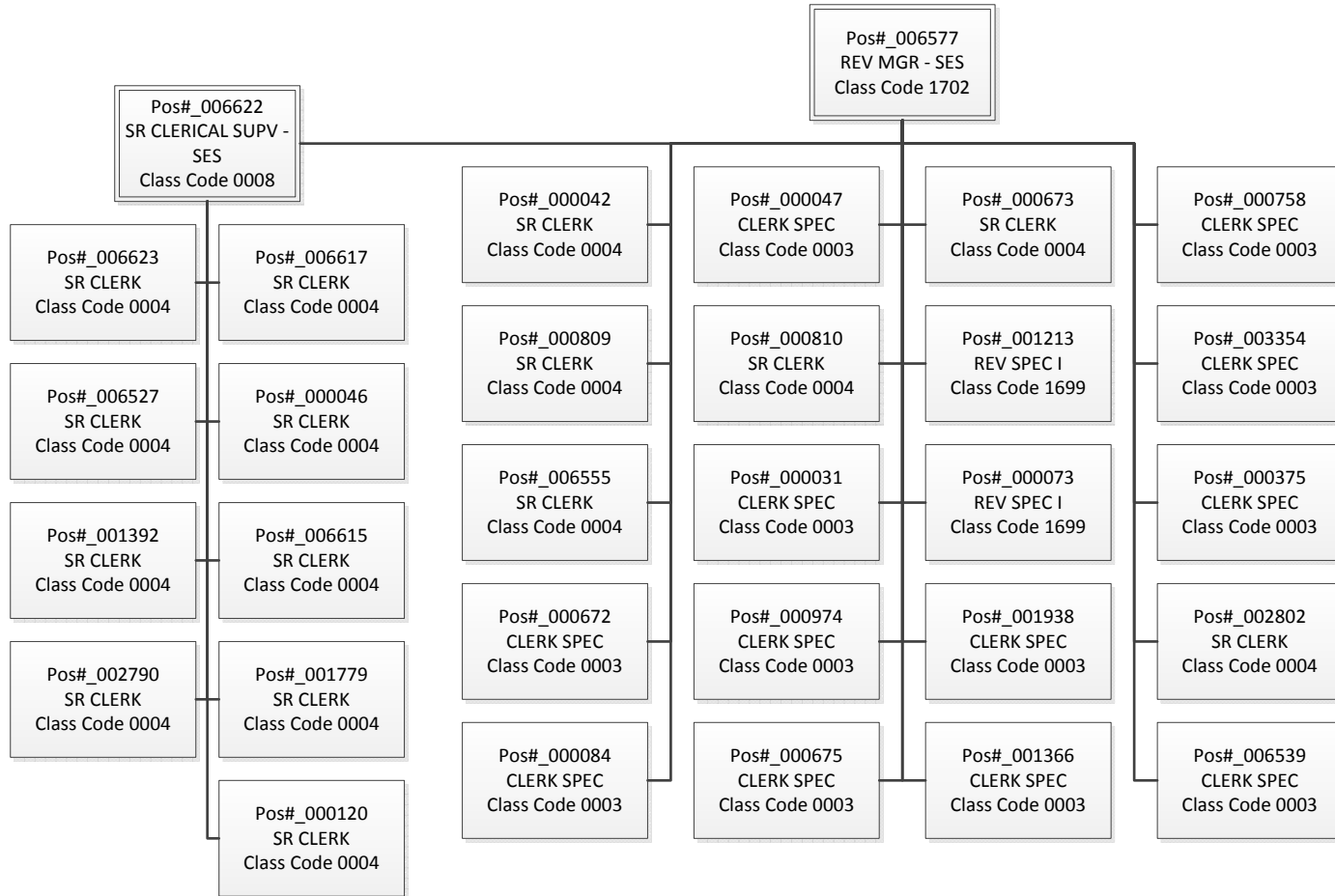


GTA
Returns & Revenue
Processing
Process

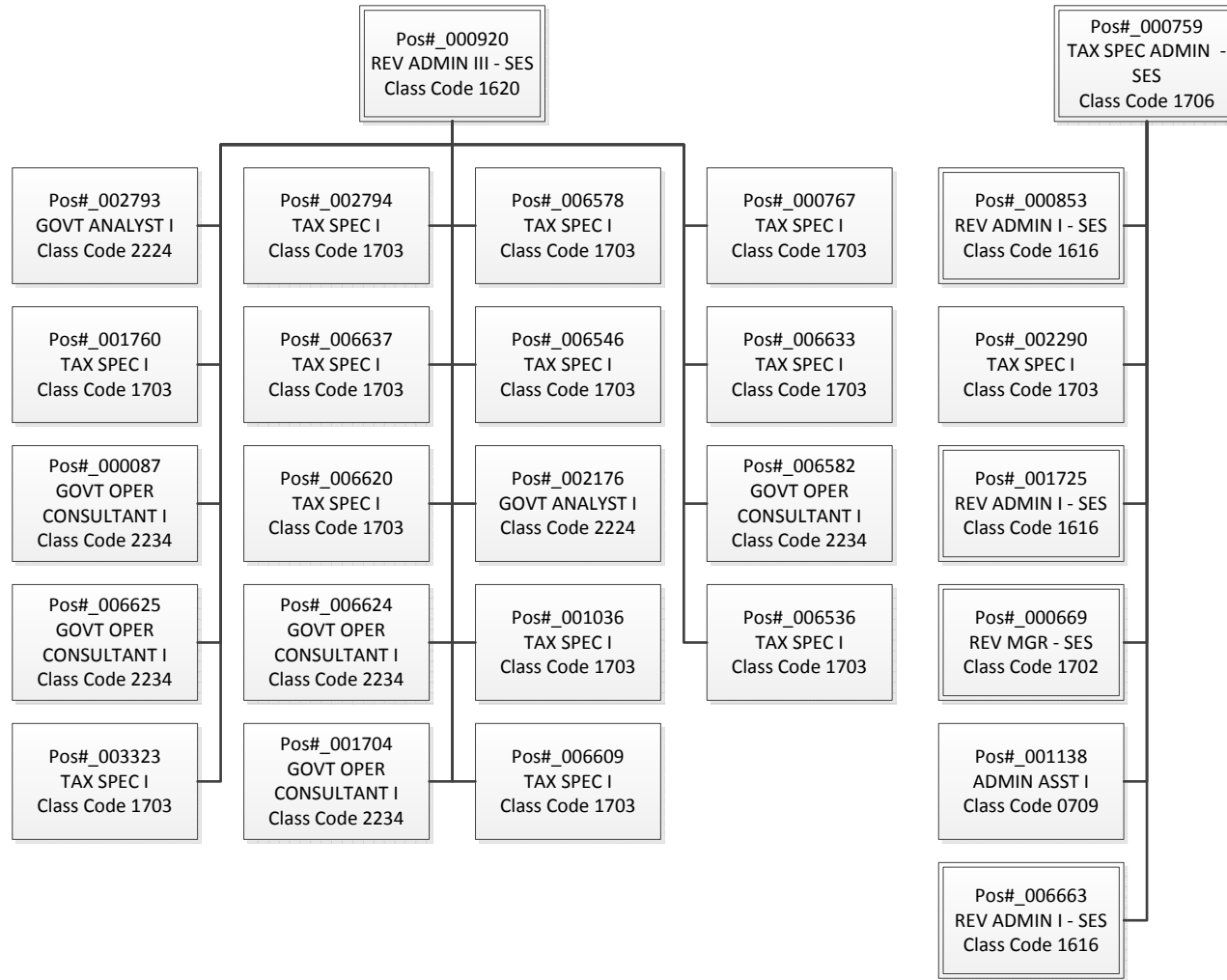


GTA
Returns & Revenue
Processing
Process





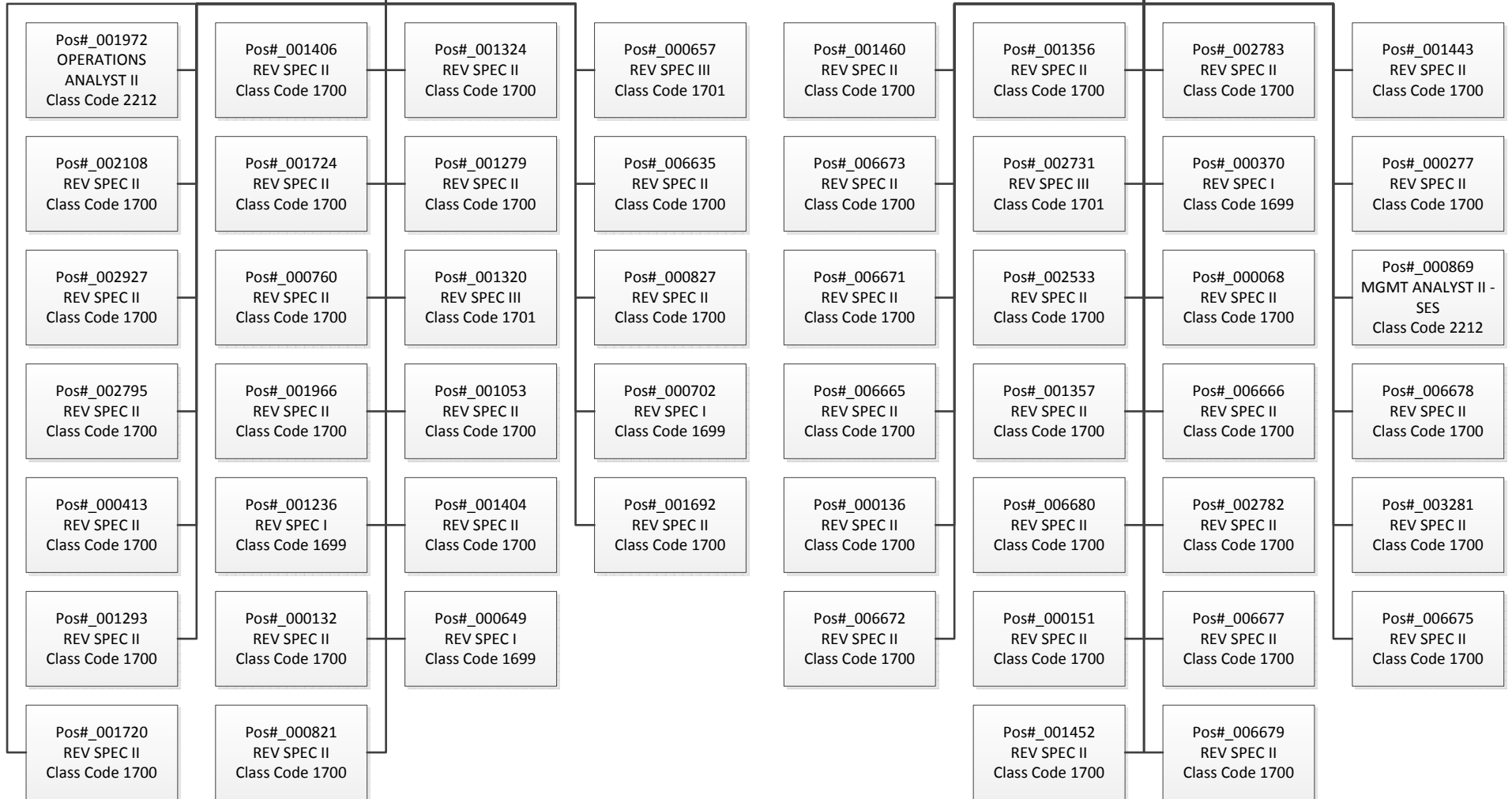
GTA
Returns & Revenue
Processing
Process



GTA
Returns & Revenue
Processing
Process

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REV ADMIN I - SES
Class Code 1616

Pos#_001725
REV ADMIN I - SES
Class Code 1616



GTA
Returns & Revenue
Processing
Process

Pos#_000786
REV PRGM ADMIN II
- SES
Class Code 1708

- Pos#_000033
SYS PROJ ANALYST
Class Code 2107
- Pos#_001382
GOVT OPER
CONSULTANT I
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- Pos#_002636
OPERATIONS
ANALYST II
Class Code 2212
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CONSULTANT II
Class Code 2236

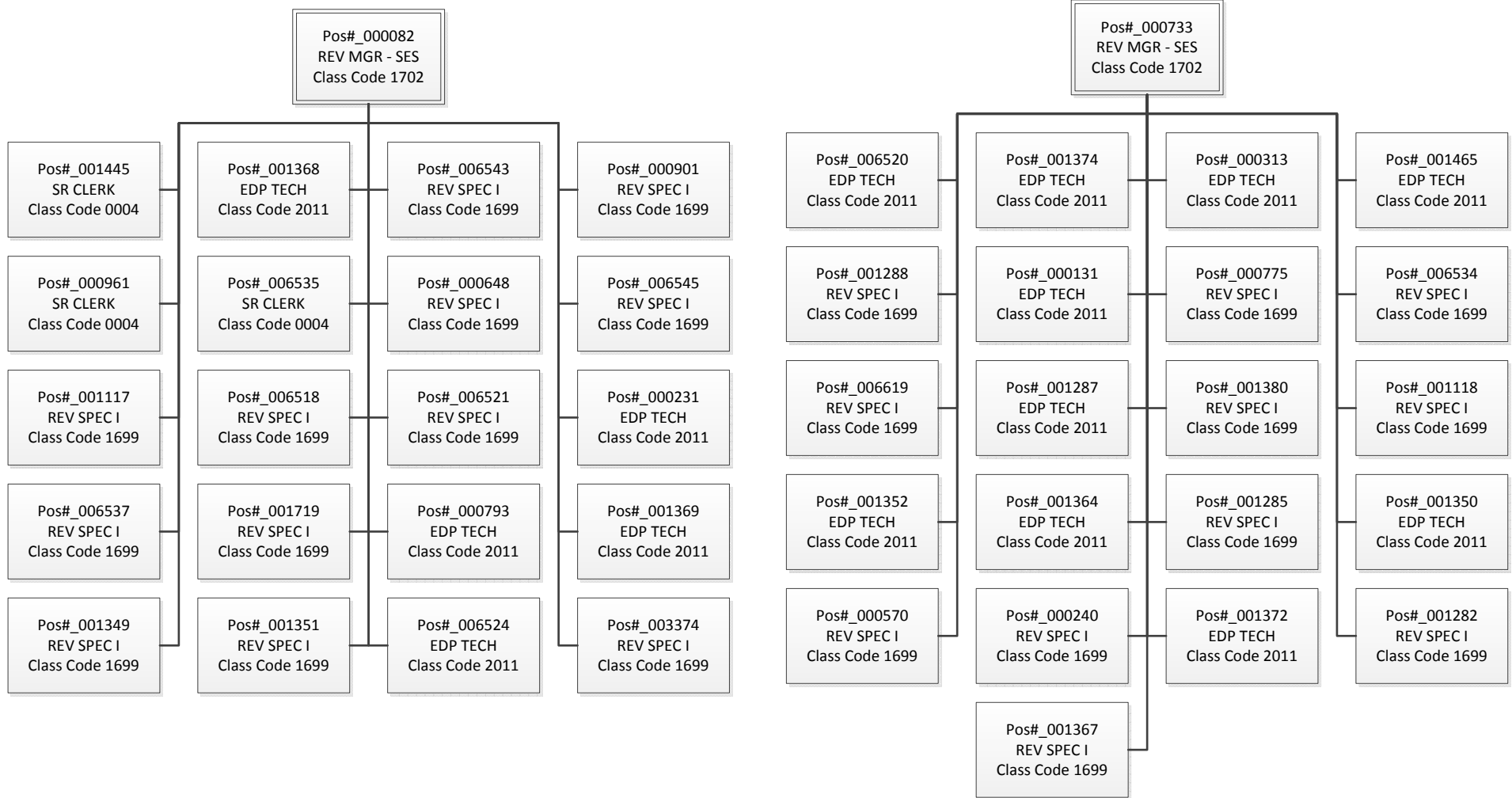
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Class Code 1616

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Class Code 1700 | Pos#_000818
REV SPEC III
Class Code 1701 | Pos#_001448
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Class Code 1701 | Pos#_000112
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Class Code 1701 |
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Class Code 1700 | Pos#_006674
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Class Code 1701 |
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Class Code 2212 |
| Pos#_001323
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Class Code 1701 | Pos#_000411
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Class Code 1700 | Pos#_002084
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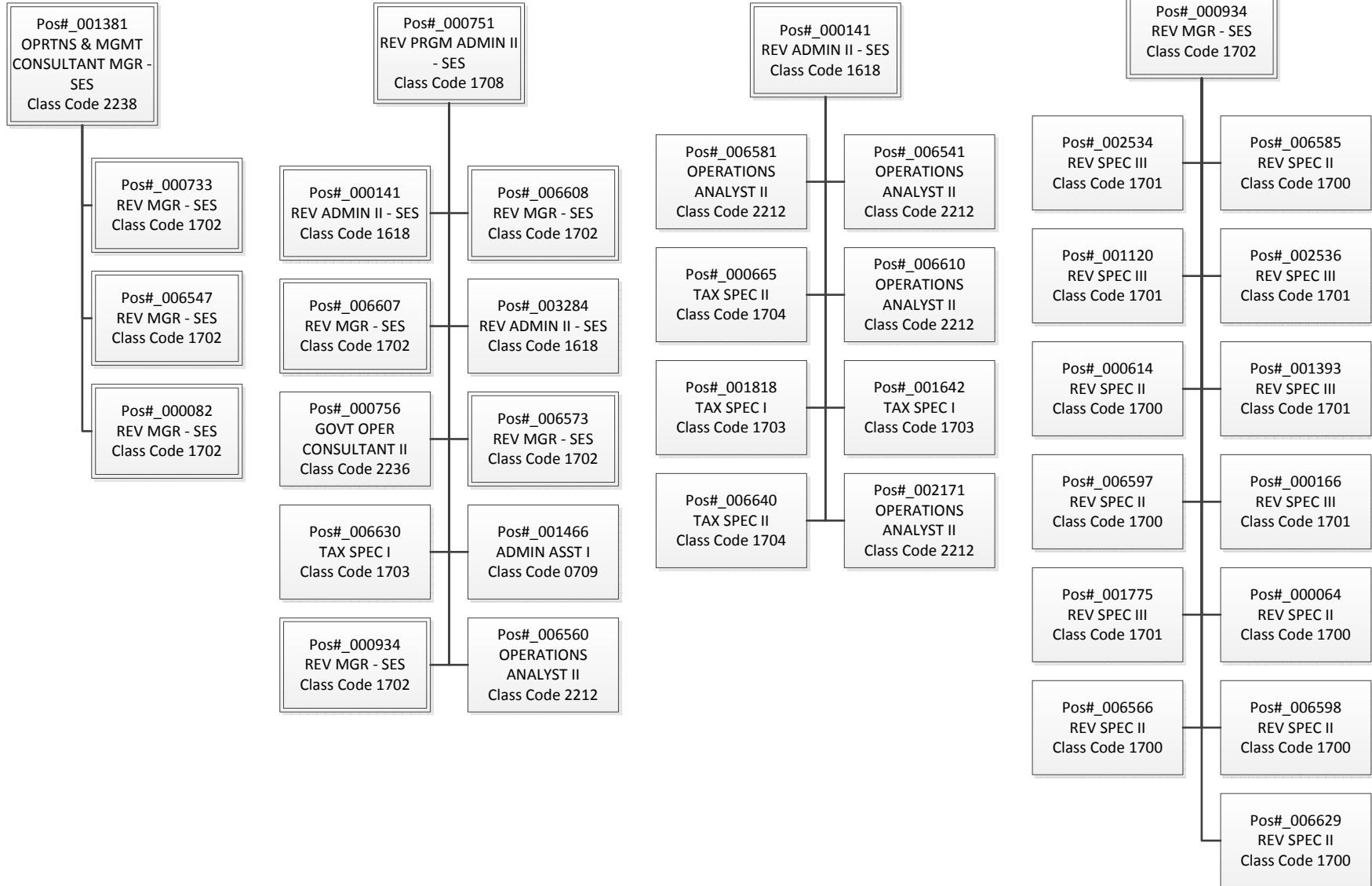
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Class Code 1702

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Class Code 2011 | Pos#_000757
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Class Code 2011 | Pos#_003168
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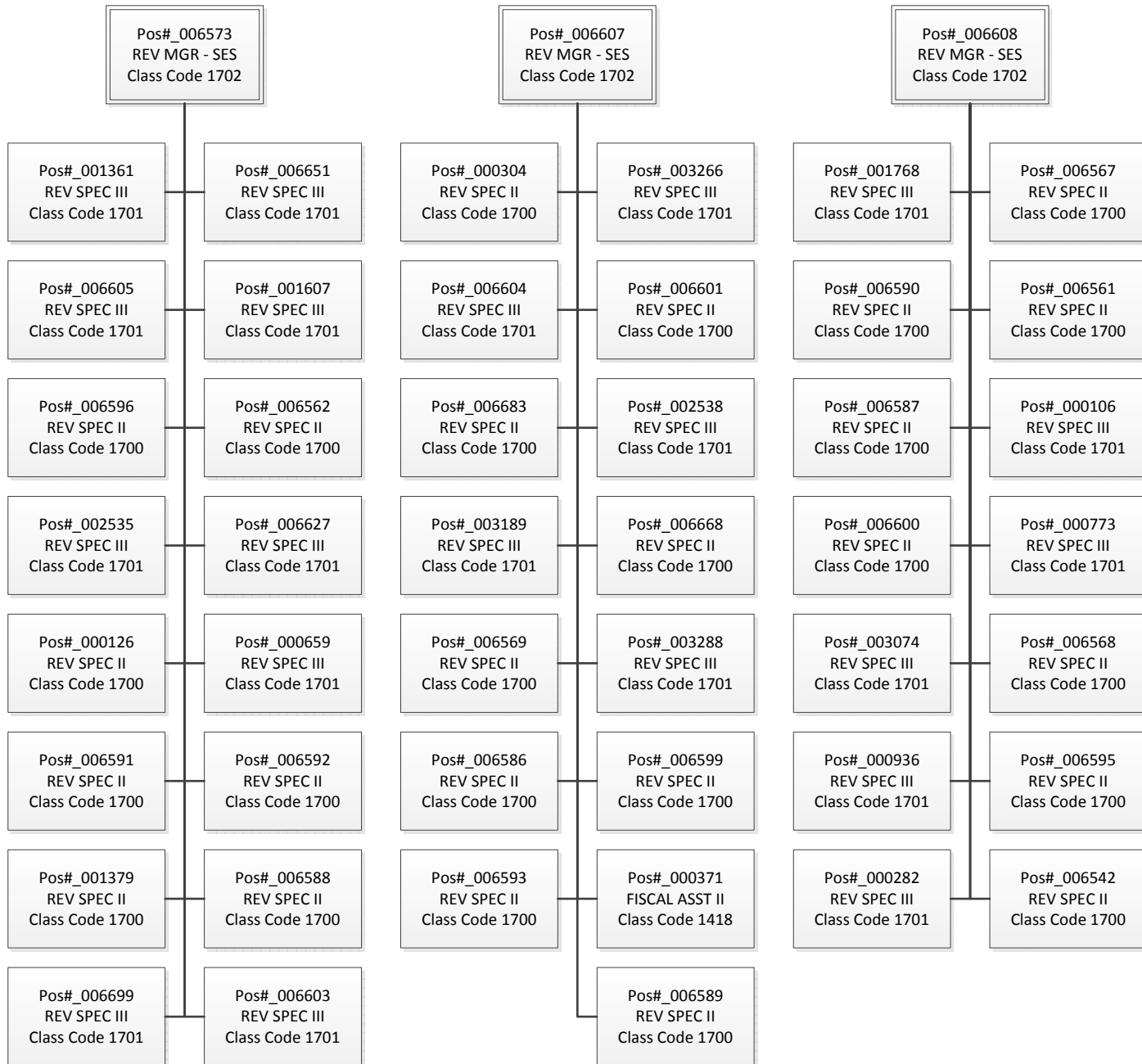
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Returns & Revenue
Processing
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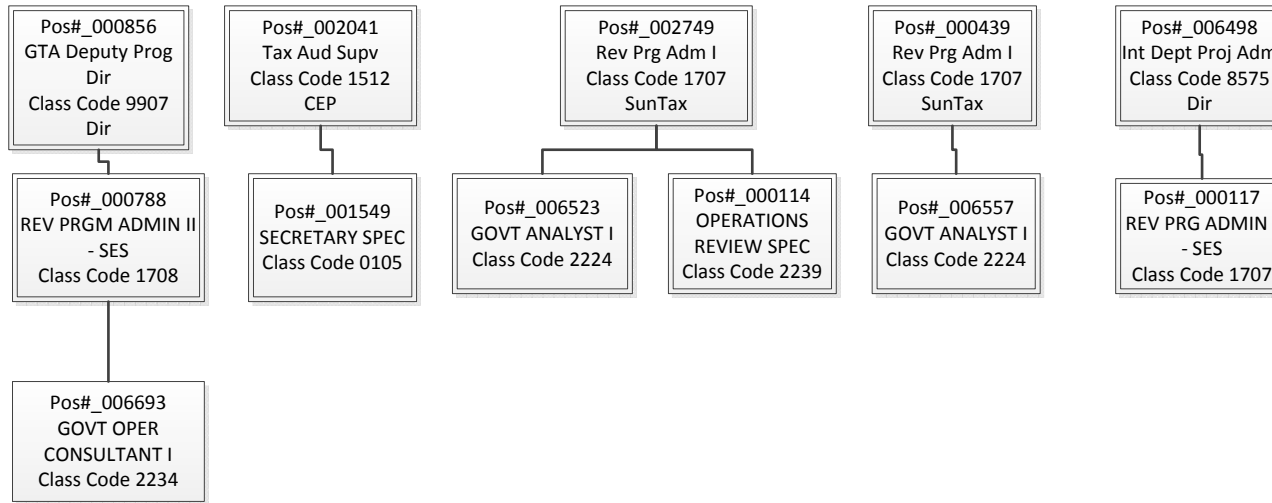
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Returns & Revenue
Processing
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GTA
Returns & Revenue
Processing
Process



GTA
Returns & Revenue
Processing
Process



GTA
Taxpayer Services
Process

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SES
Class Code 2238

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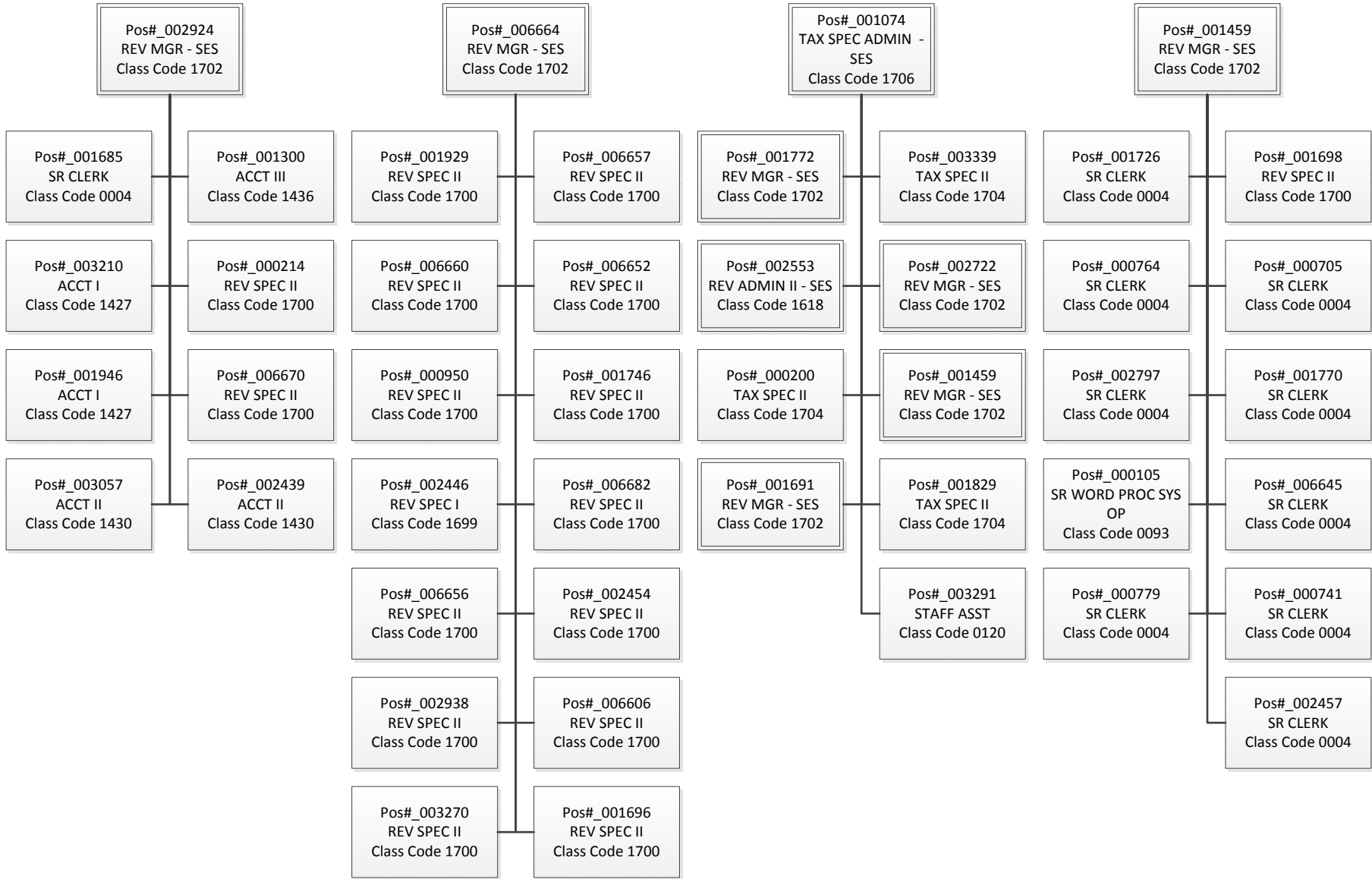
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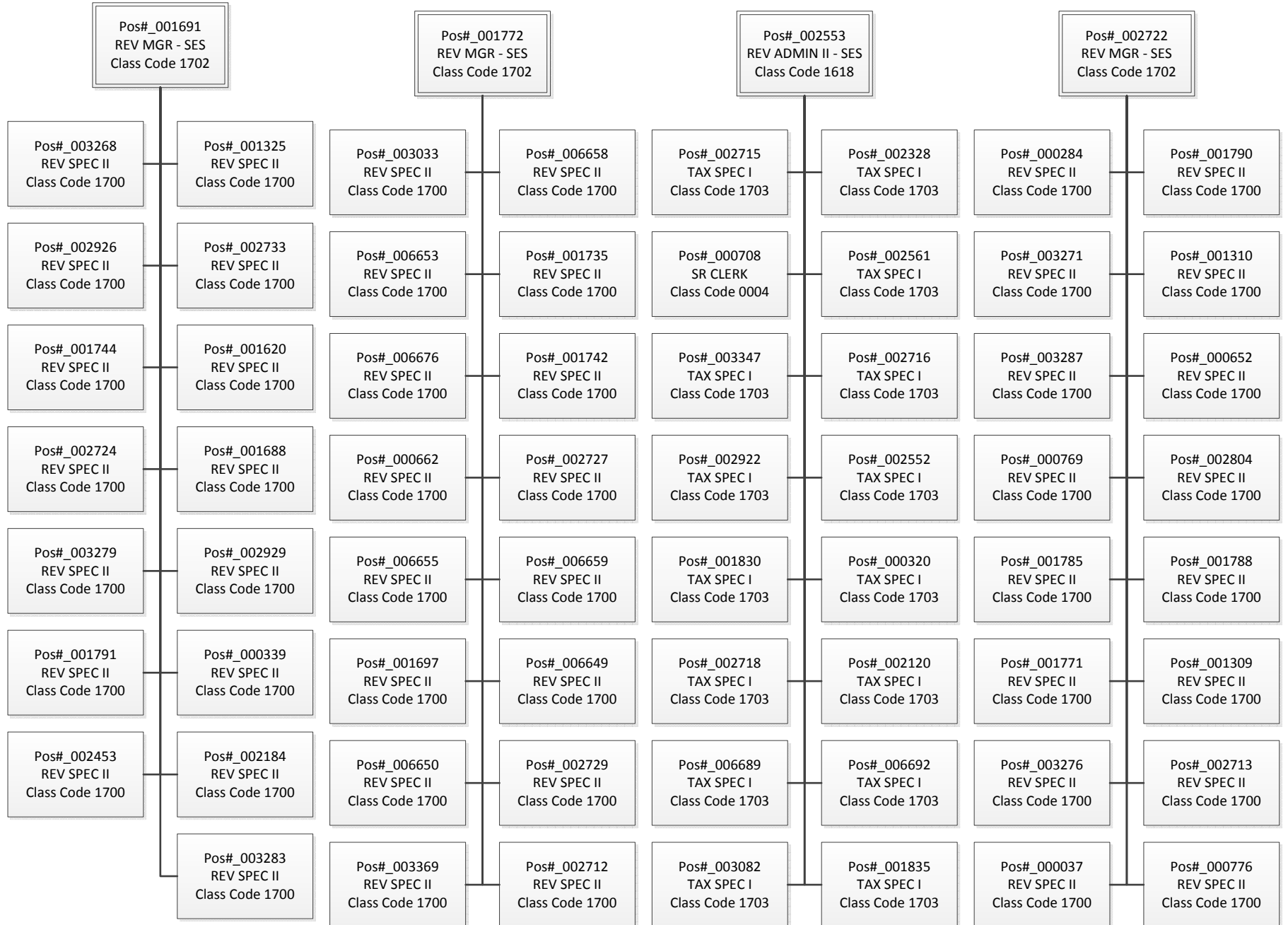
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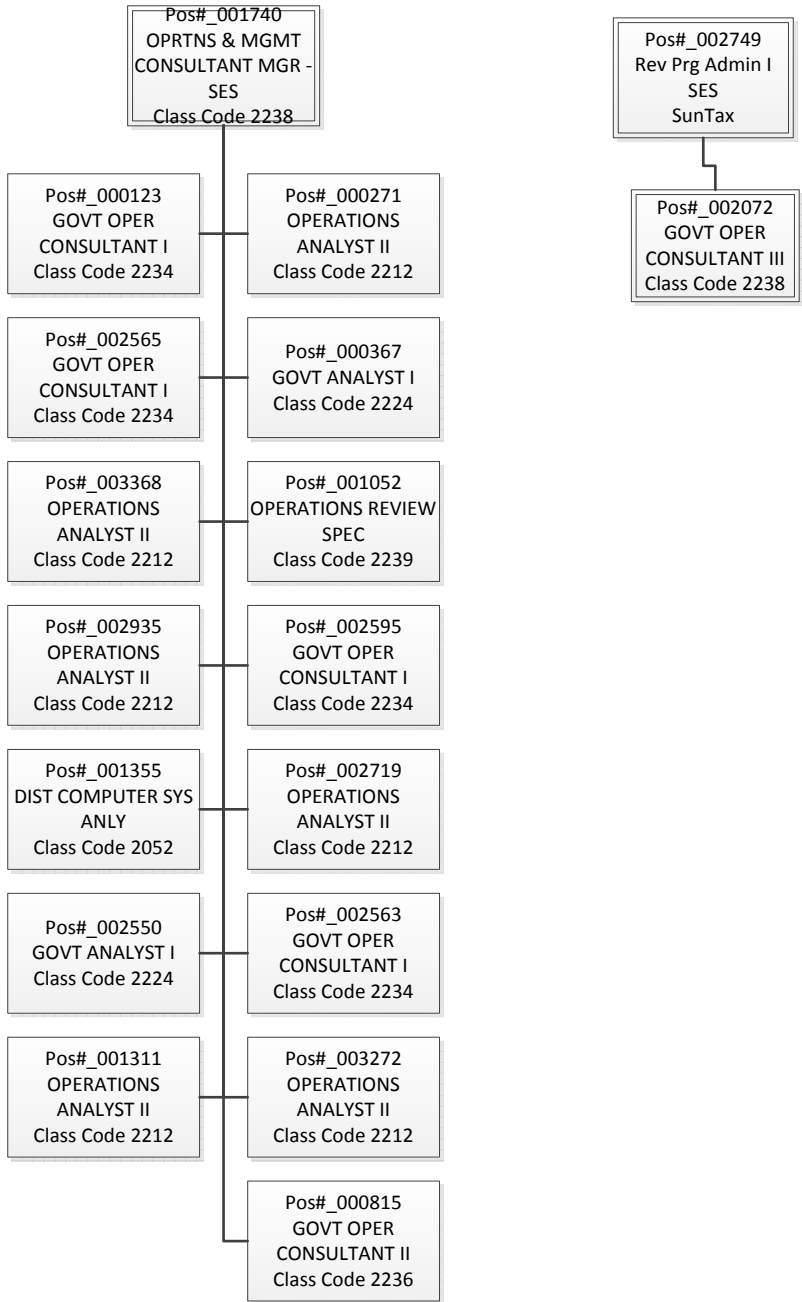
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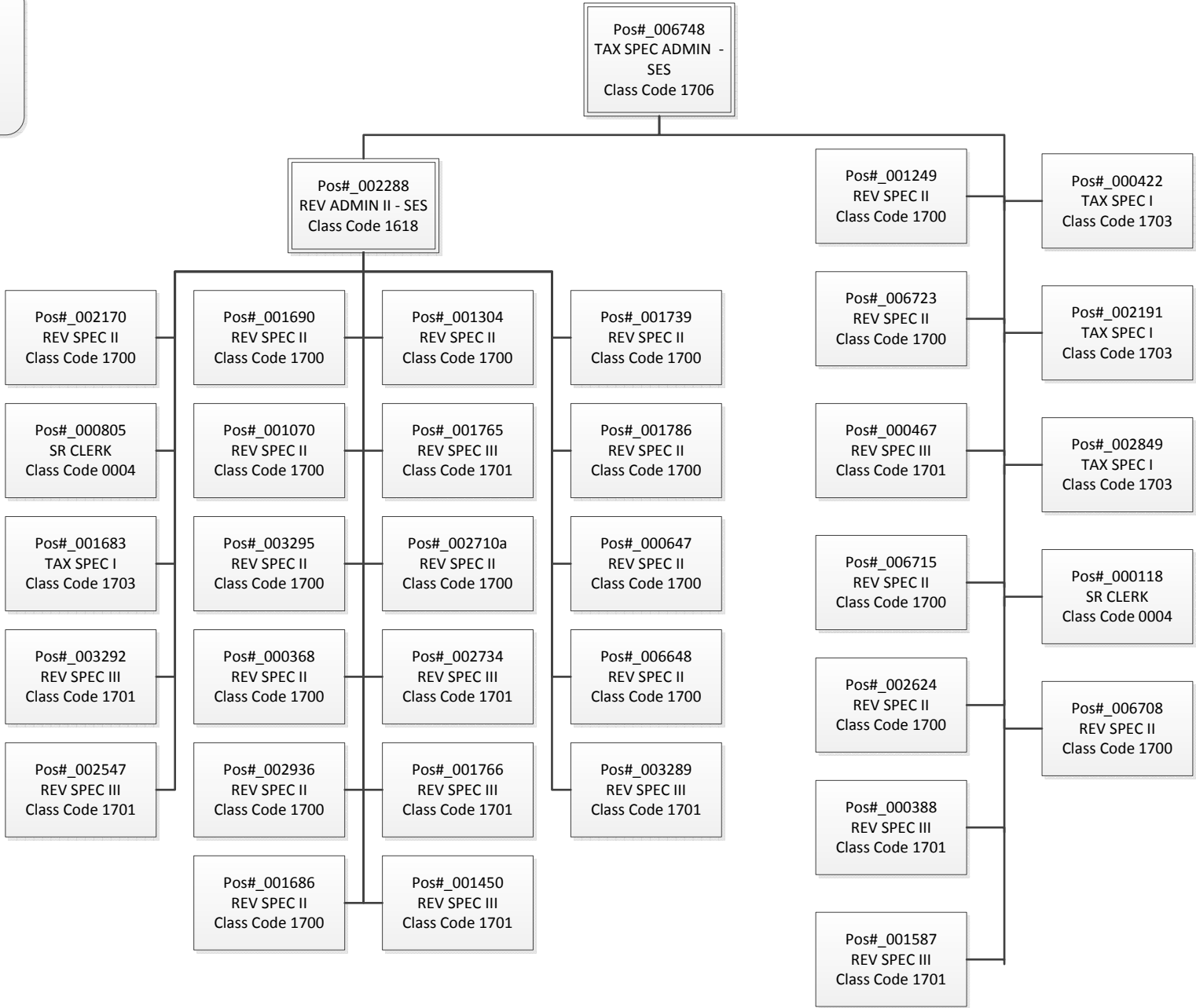
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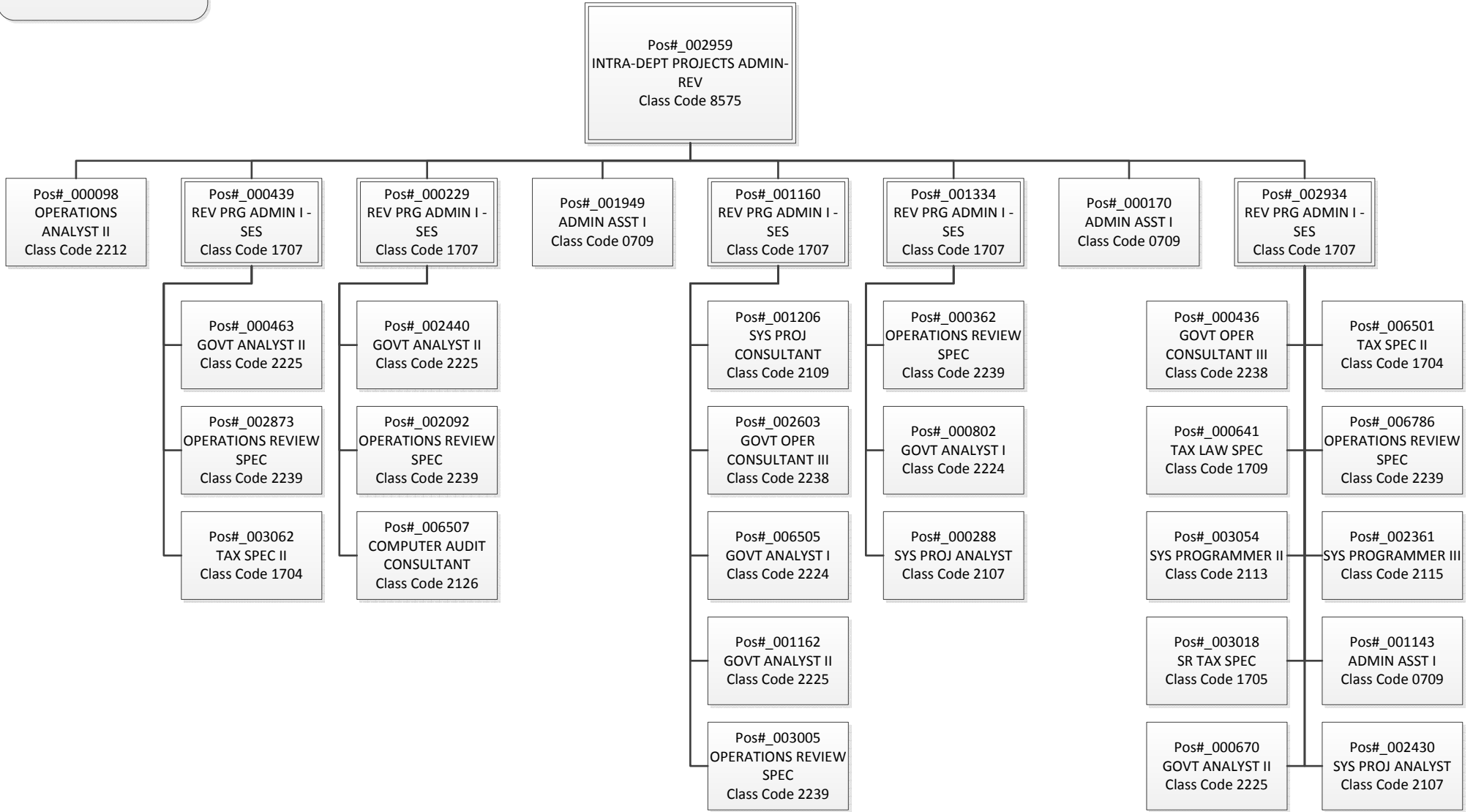


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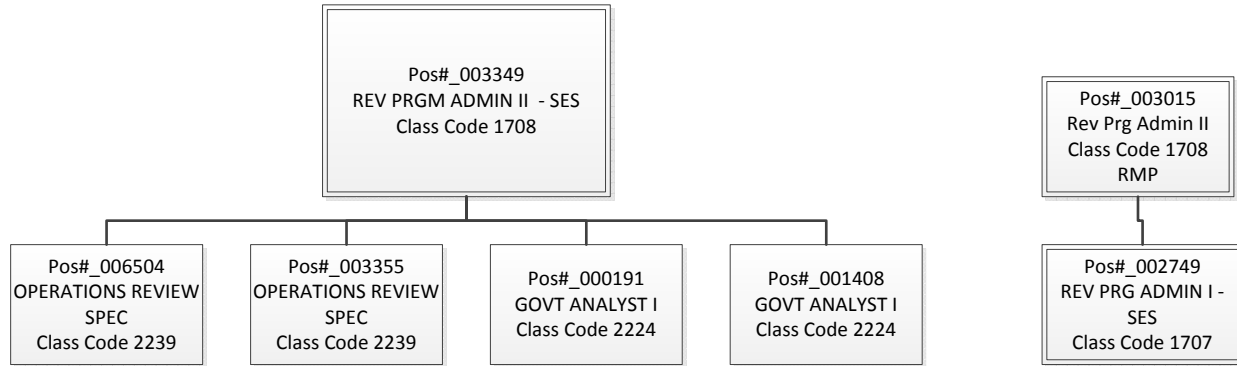


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Taxpayer Services
Process

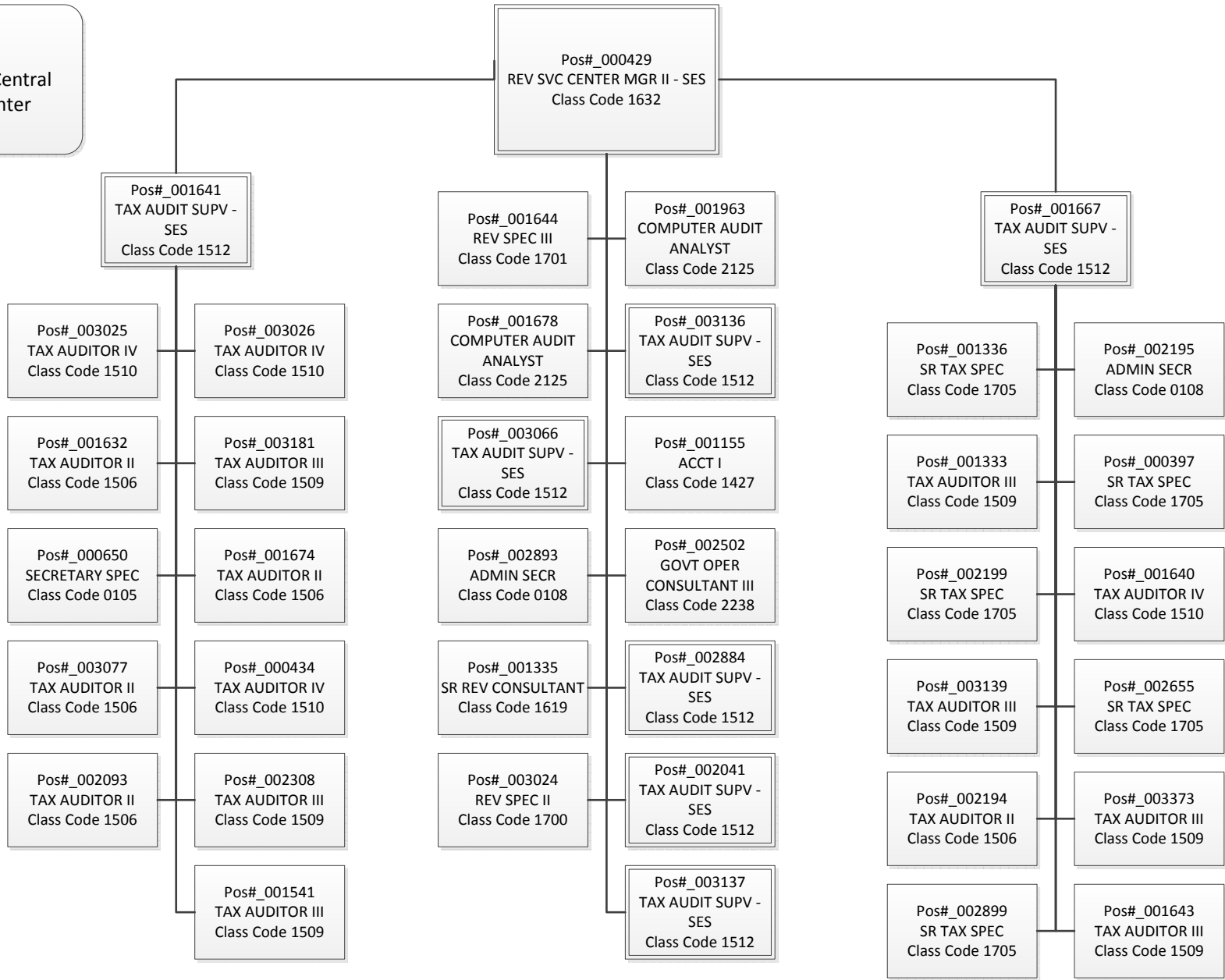




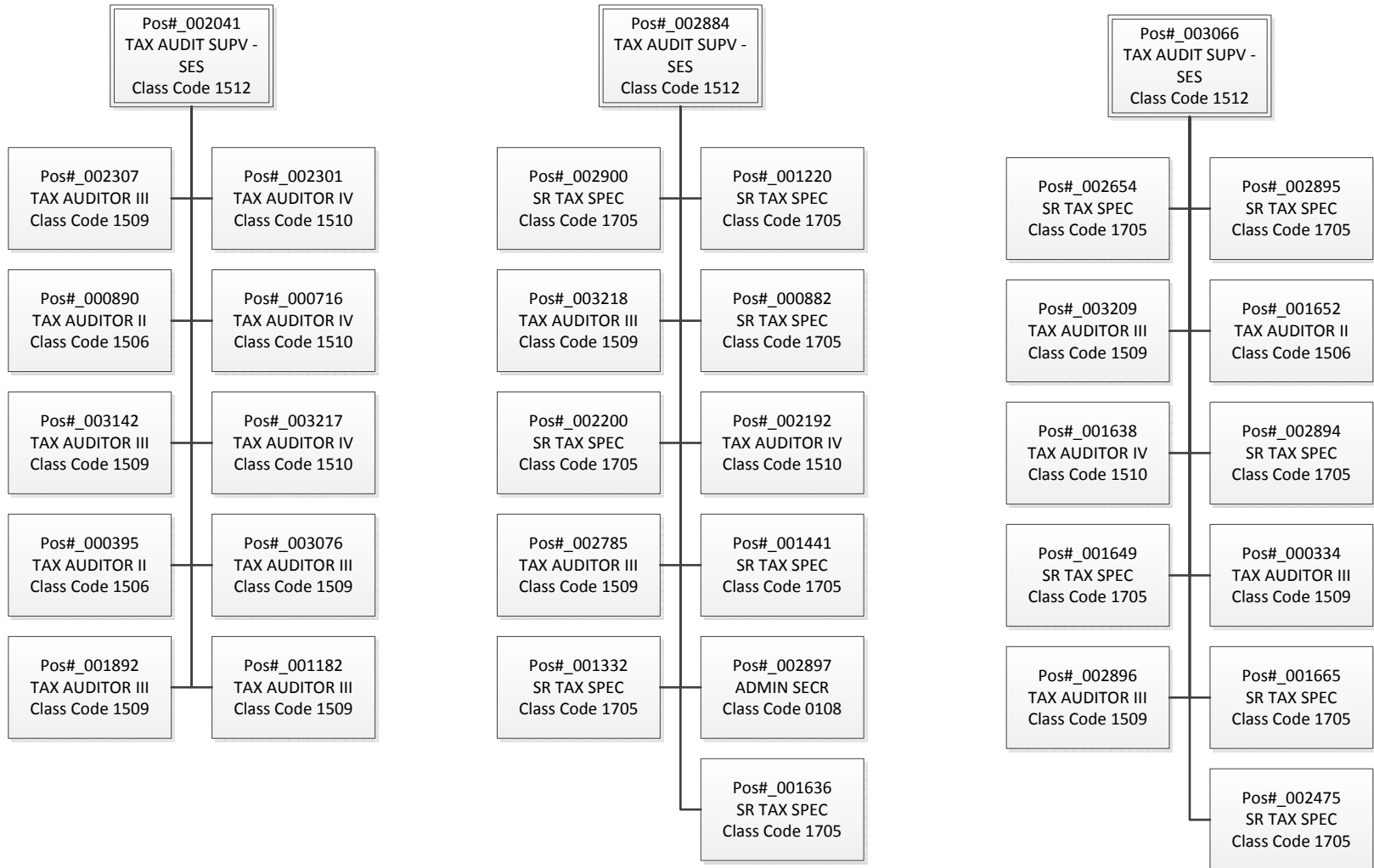
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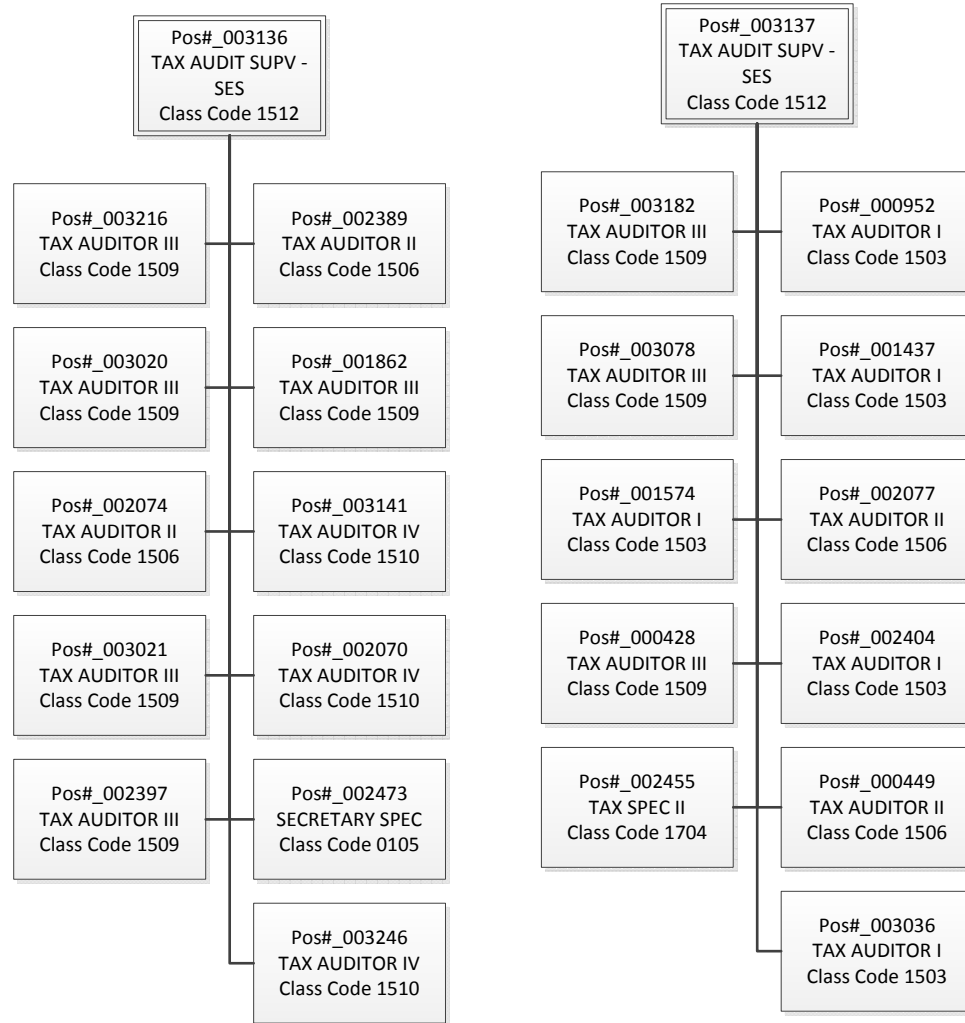
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Tallahassee Central
Service Center



GTA
Tallahassee Central
Service Center



GTA
Tallahassee Central
Service Center



GTA
Alachua Service Center

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REV SVC CENTER MGR I - SES
Class Code 1631

Pos#_000898
SYS PROGRAMMER II
Class Code 2113

Pos#_001152
ADMIN SECR
Class Code 0108

Pos#_001970
COMPUTER AUDIT
ANALYST
Class Code 2125

Pos#_000846
ACCT I
Class Code 1427

Pos#_002417
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_002668
REV ADMIN II - SES
Class Code 1618

Pos#_000926
TAX AUDITOR III
Class Code 1509

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Class Code 1510

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TAX AUDITOR III
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Class Code 1506

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Class Code 1700

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Class Code 1701

Pos#_002211
TAX SPEC I
Class Code 1703

GTA
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Class Code 1632

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Tax Audit Supv
Dallas

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Class Code 1512

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SR TAX SPEC
Class Code 1705

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SECRETARY SPEC
Class Code 0105

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Class Code 1512

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SES
Class Code 1512

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Class Code 1509

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Class Code 1509

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ANALYST
Class Code 2125

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ANALYST
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Pos#_001517
TAX AUDITOR IV
Class Code 1510

GTA
Chicago Service Center

Pos#_002363
Tax Audit Supv
Pittsburgh

Pos#_002408
TAX AUDITOR I
Class Code 1503

Pos#_000199
REGIONAL MANAGER-REV
Class Code 8508

Pos#_000430
REV SVC CENTER
MGR II - SES
Class Code 1632

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SR REV CONSULTANT
Class Code 1619

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Class Code 0709

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ADMIN SECR
Class Code 0108

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SES
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GTA
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Service Center

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Sarasota Svc Center

GTA
Clearwater
Service Center

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Class Code 1703

GTA
Coral Springs
Service Center

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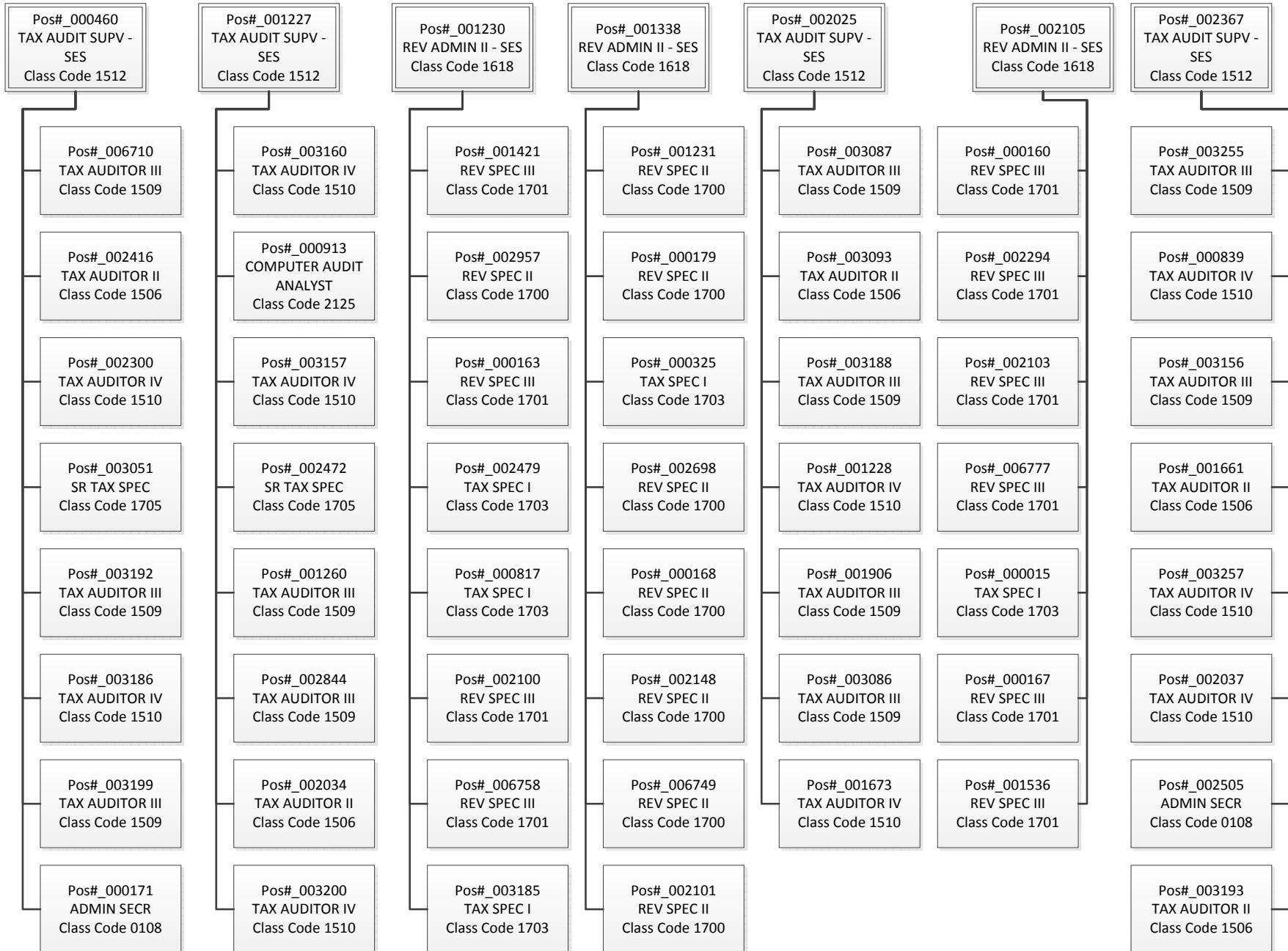
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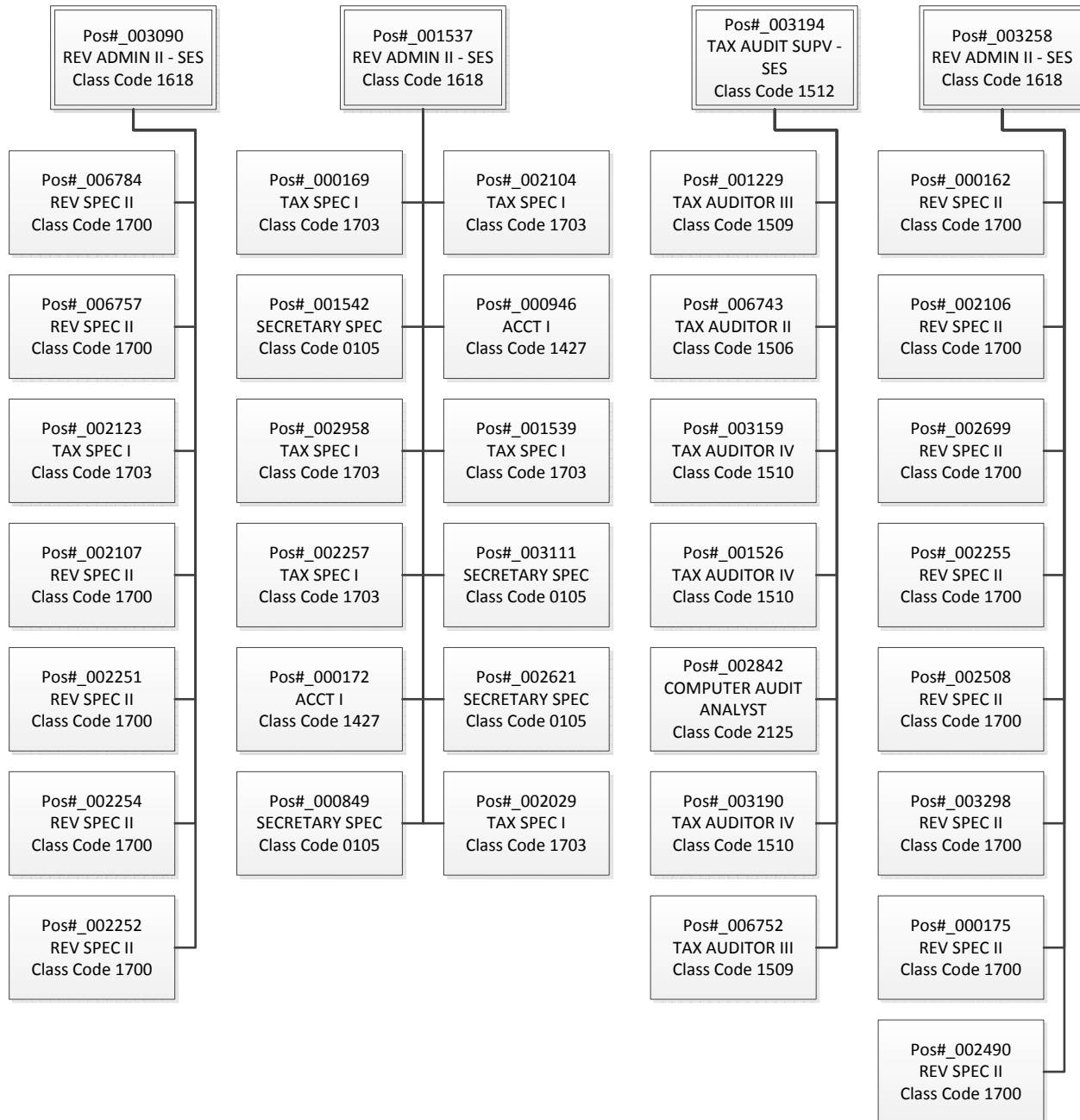
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Class Code 1512

GTA
Coral Springs
Service Center



GTA
Coral Springs
Service Center



GTA
Dallas Service Center

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Class Code 1632

Pos#_2065
Tax Audit Supv
Los Angeles

Pos#_000280
TAX AUDIT SUPV -
SES
Class Code 1512

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ANALYST
Class Code 2125

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Class Code 1512

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Class Code 1705

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ADMIN SECR
Class Code 0108

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Class Code 0105

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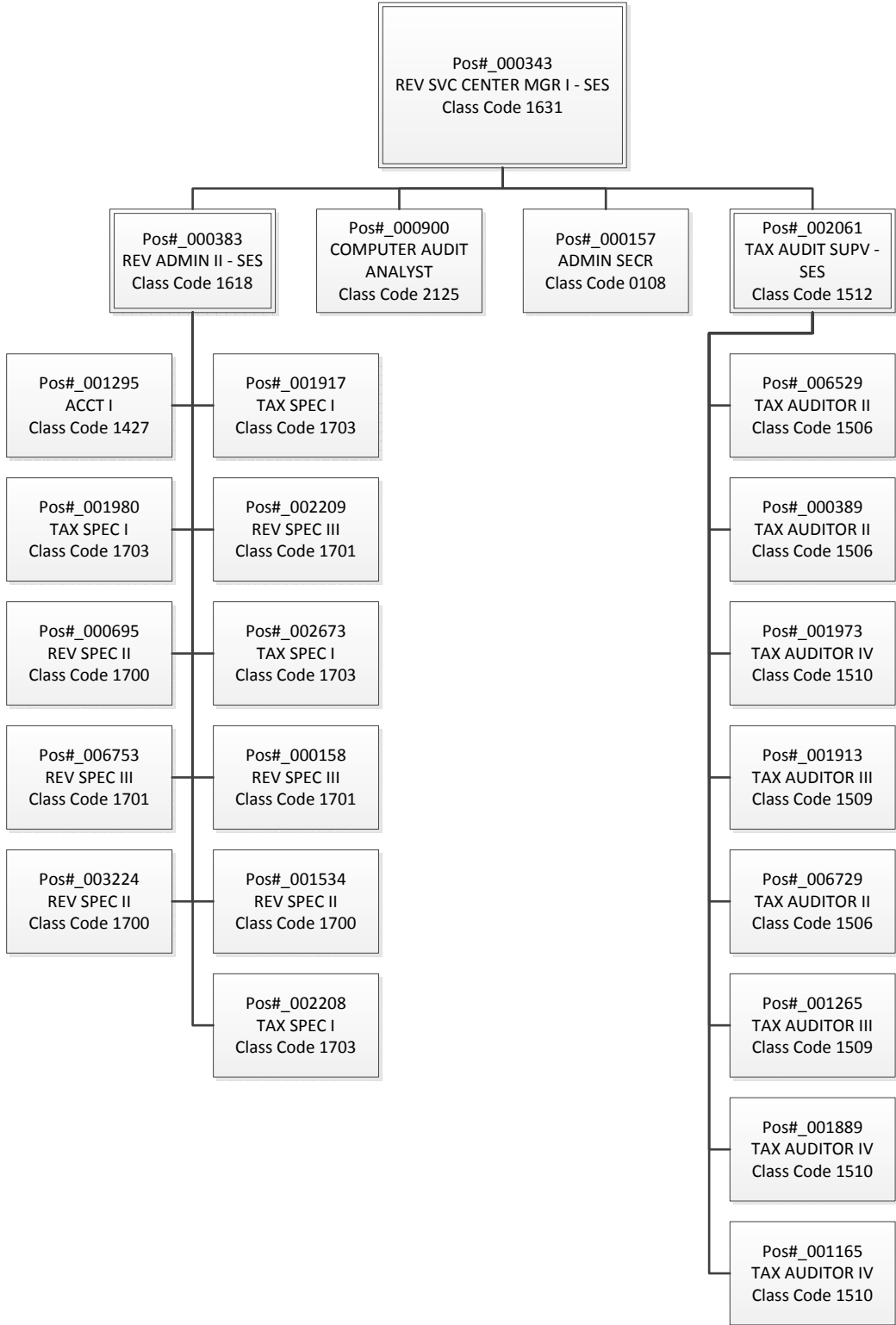
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Class Code 1503

GTA
Daytona Beach
Service Center



GTA
Fort Myers
Service Center

Pos#_000180
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Class Code 1631

Pos#_002914
REV ADMIN II - SES
Class Code 1618

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SYS PROGRAMMER II
Class Code 2113

Pos#_002658
ADMIN SECR
Class Code 0108

Pos#_002421
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ANALYST
Class Code 2125

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Class Code 1512

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Class Code 1705

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Class Code 1618

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Class Code 1703

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Class Code 0105

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Class Code 1700

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Class Code 1700

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Class Code 1703

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REV SPEC II
Class Code 1700

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REV SPEC II
Class Code 1700

Pos#_002663
REV SPEC III
Class Code 1701

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Class Code 1427

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Class Code 1509

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TAX AUDITOR II
Class Code 1506

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Class Code 1510

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TAX AUDITOR IV
Class Code 1510

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Class Code 1506

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Class Code 1701

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SECRETARY SPEC
Class Code 0105

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Class Code 1701

Pos#_002237
TAX SPEC I
Class Code 1703

Pos#_000462
REV SPEC II
Class Code 1700

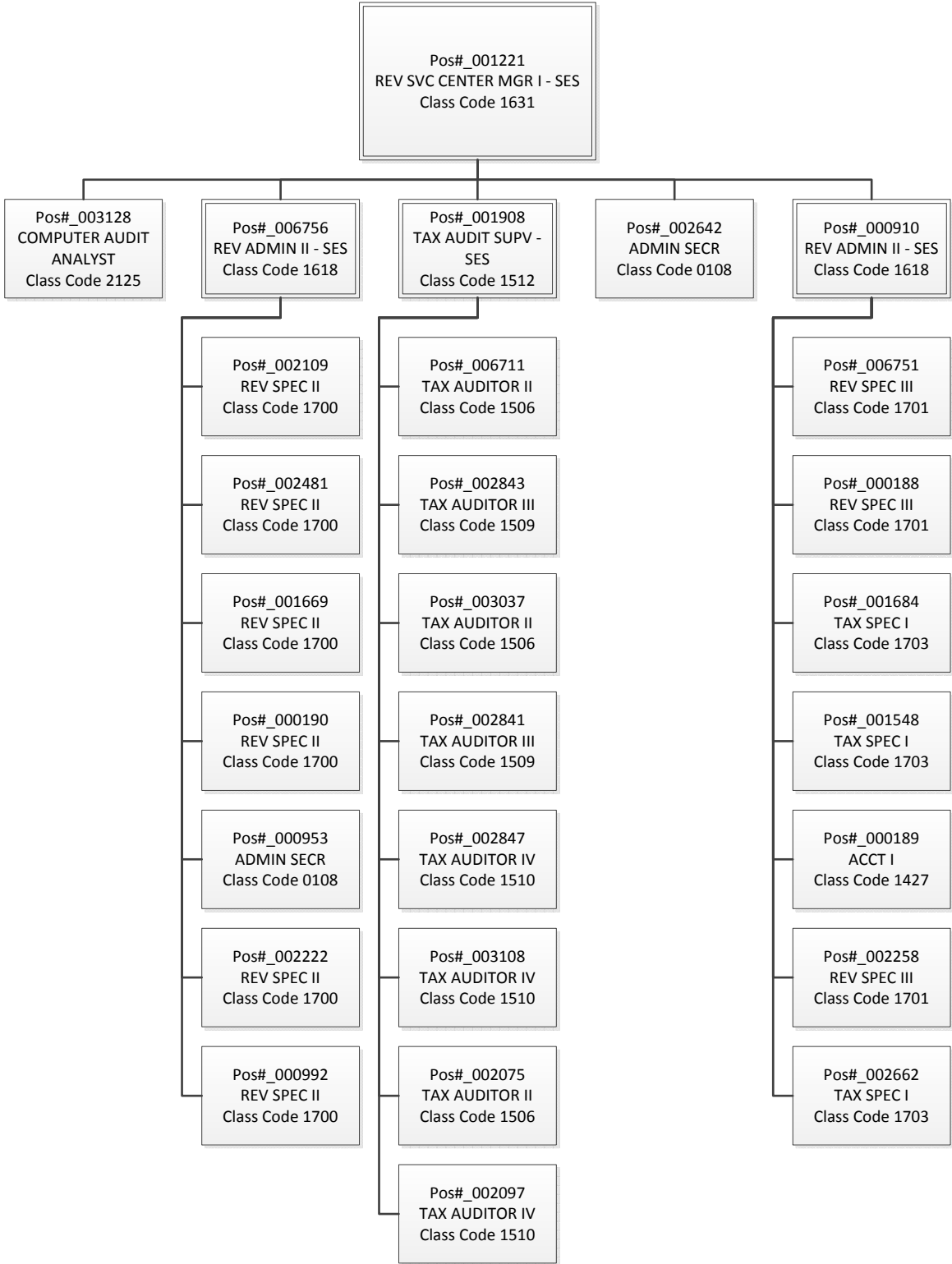
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Class Code 1700

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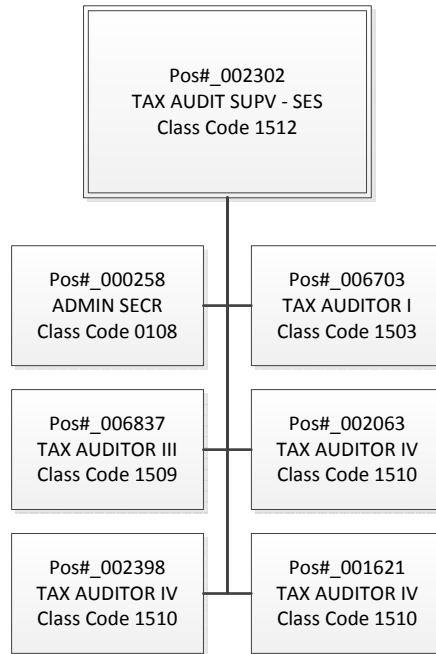
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REV SPEC III
Class Code 1701

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REV SPEC II
Class Code 1700

GTA
Ft. Pierce
Service Center

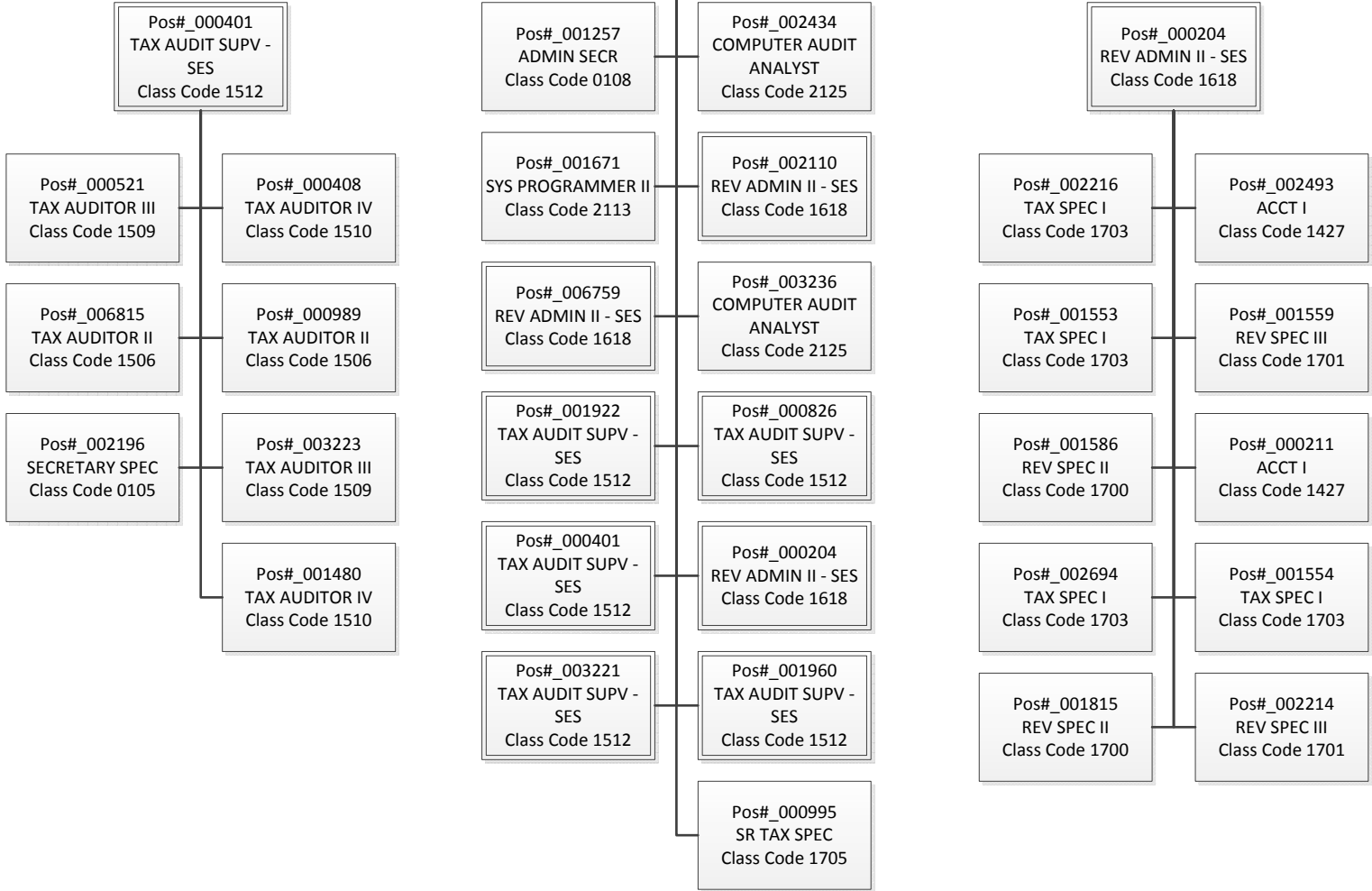


GTA
Houston Service Center



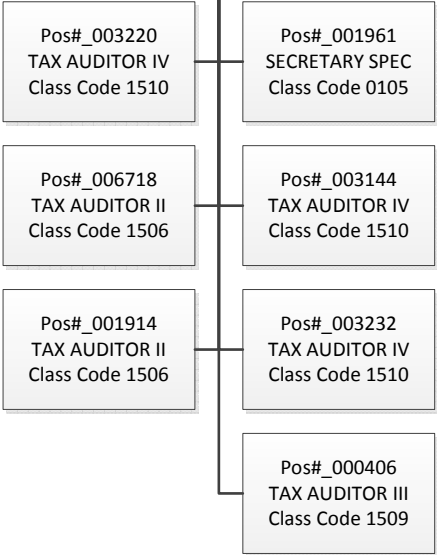
**GTA
Jacksonville Service
Center**

Pos#_000676
REV SVC CENTER MGR II - SES
Class Code 1632

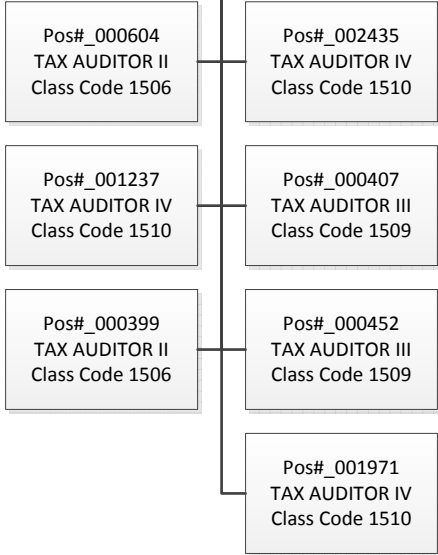


**GTA
Jacksonville Service
Center**

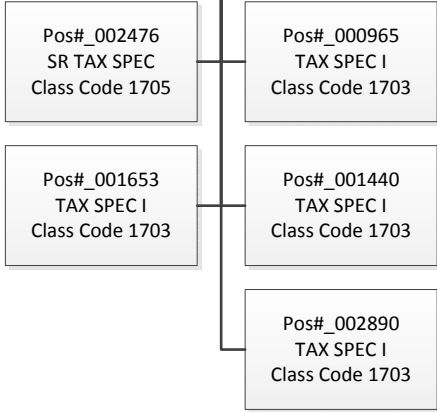
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SES
Class Code 1512



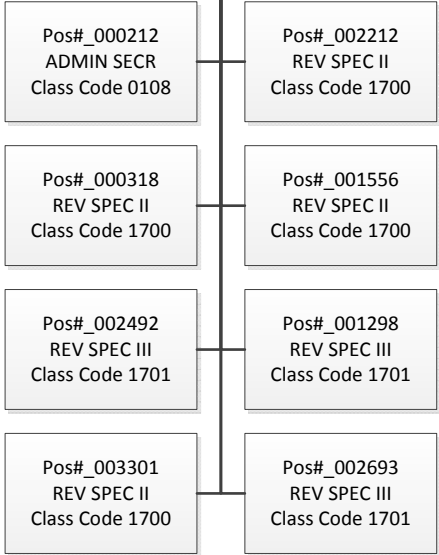
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TAX AUDIT SUPV -
SES
Class Code 1512



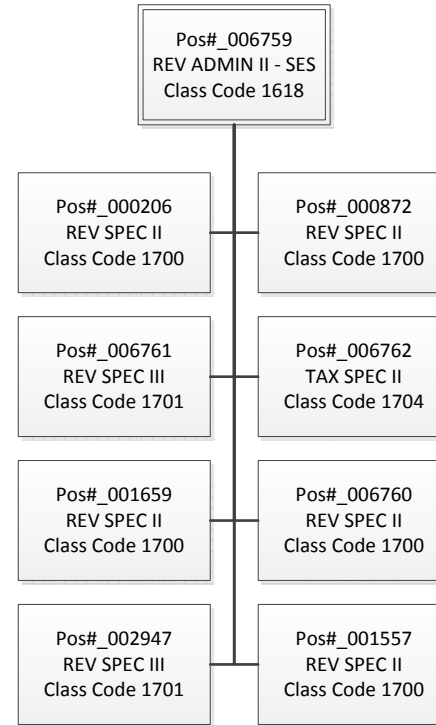
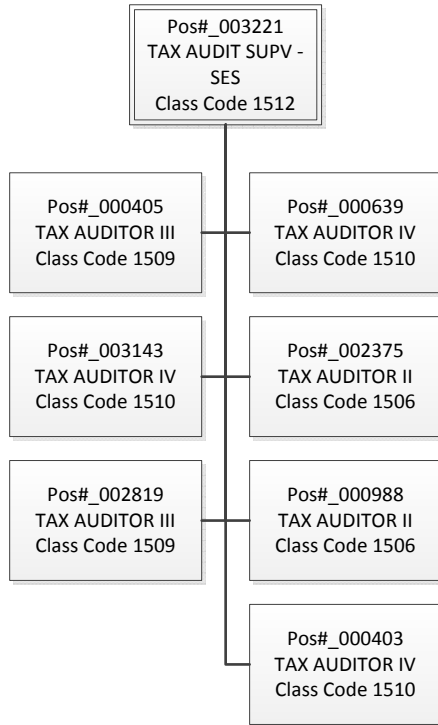
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TAX AUDIT SUPV -
SES
Class Code 1512



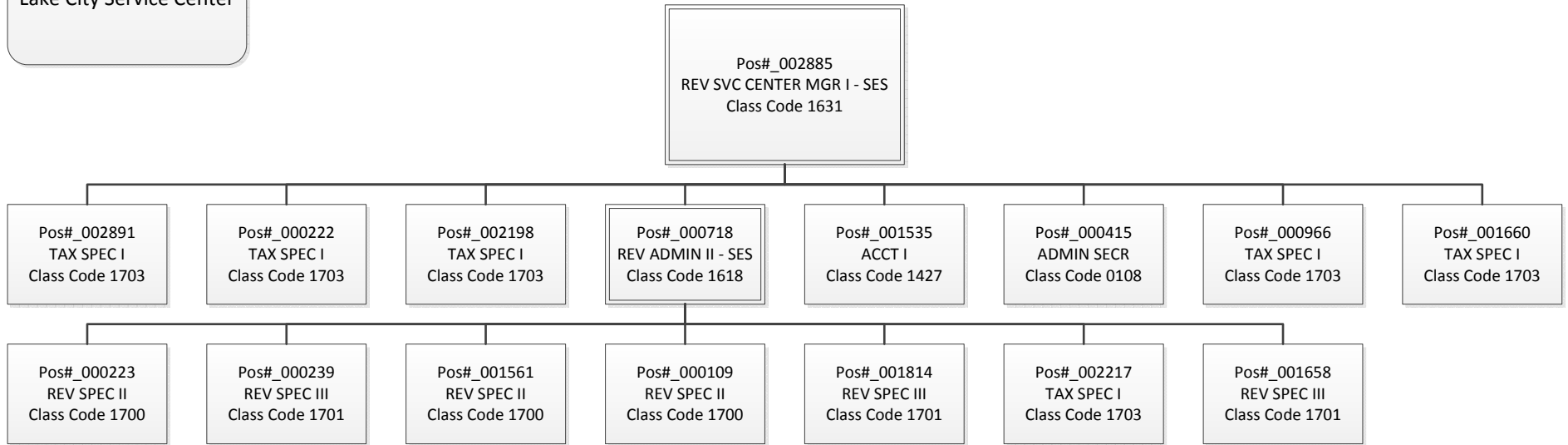
Pos#_002110
REV ADMIN II - SES
Class Code 1618



**GTA
Jacksonville Service
Center**



GTA
Lake City Service Center



GTA
Lakeland Service Center

Pos#_000225
REV SVC CENTER MGR I - SES
Class Code 1631

Pos#_002667
REV ADMIN II - SES
Class Code 1618

Pos#_000520
SR TAX SPEC
Class Code 1705

Pos#_000273
ADMIN SECR
Class Code 0108

Pos#_000230
ACCT I
Class Code 1427

Pos#_000493
COMPUTER AUDIT
ANALYST
Class Code 2125

Pos#_001979
SYS PROGRAMMER II
Class Code 2113

Pos#_002613
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_001565
REV SPEC III
Class Code 1701

Pos#_000227
TAX SPEC I
Class Code 1703

Pos#_002218
REV SPEC II
Class Code 1700

Pos#_000226
REV SPEC II
Class Code 1700

Pos#_001424
TAX SPEC I
Class Code 1703

Pos#_001858
REV SPEC II
Class Code 1700

Pos#_000161
TAX SPEC I
Class Code 1703

Pos#_001562
REV SPEC III
Class Code 1701

Pos#_002219
REV SPEC III
Class Code 1701

Pos#_000270
Tax Aud Supv
Class Code 1512
Leesburg

Pos#_006823
TAX AUDITOR II
Class Code 1506

Pos#_000492
TAX AUDITOR IV
Class Code 1510

Pos#_001363
TAX AUDITOR II
Class Code 1506

Pos#_003029
TAX AUDITOR IV
Class Code 1510

Pos#_000906
TAX AUDITOR III
Class Code 1509

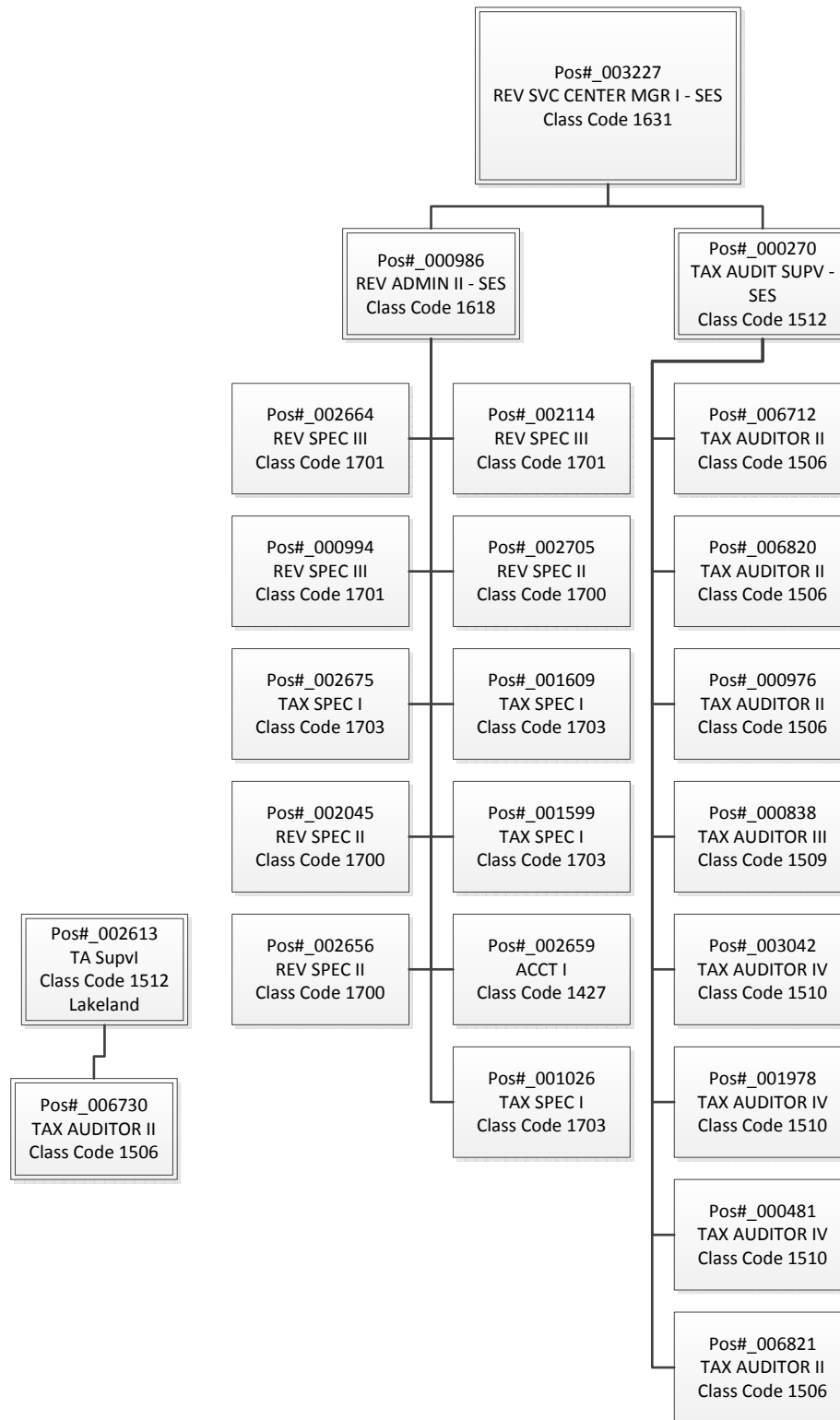
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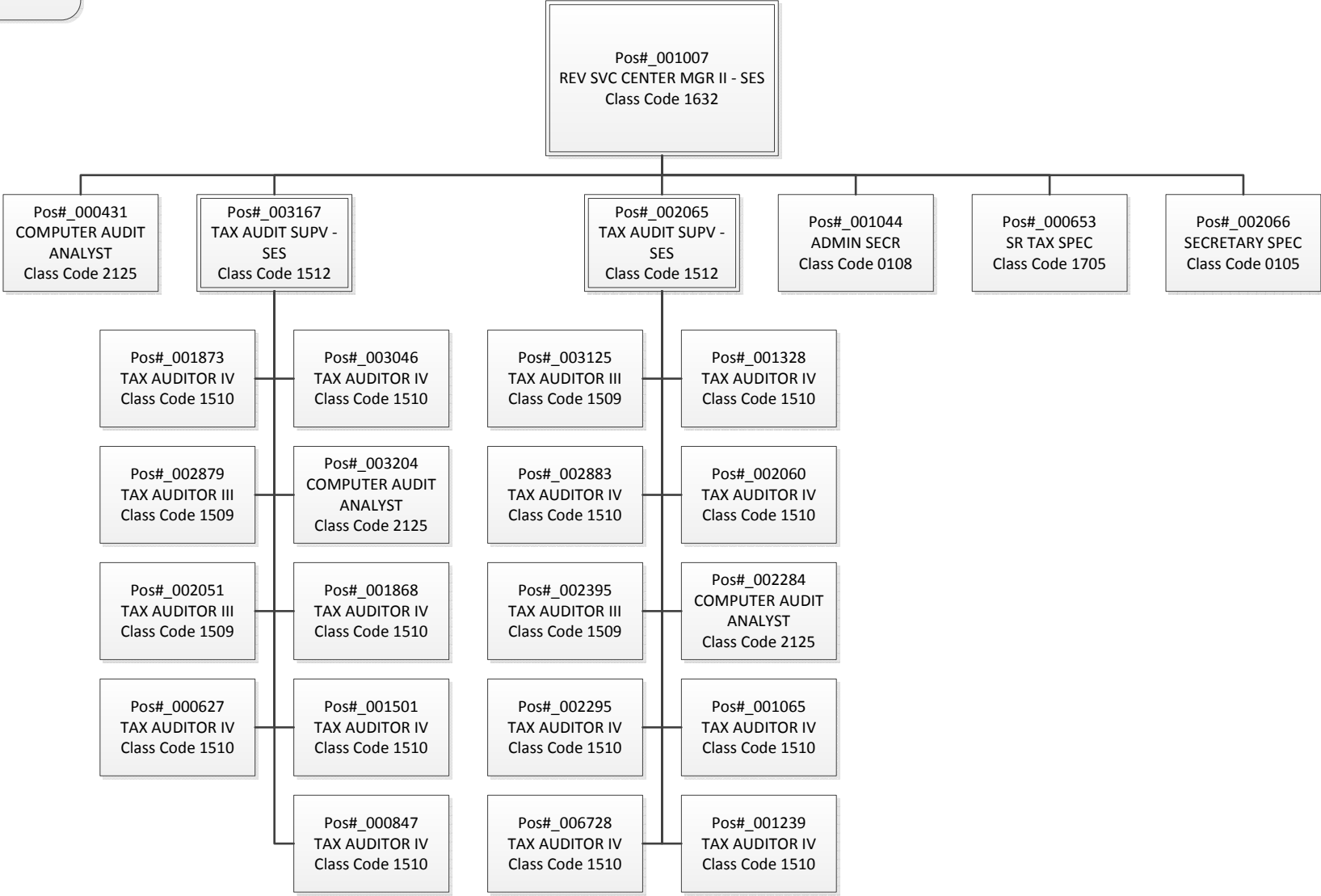
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TAX AUDITOR IV
Class Code 1510

Pos#_001983
TAX AUDITOR III
Class Code 1509

GTA
Lessburg Service Center



GTA
Los Angeles Service
Center



GTA
Maitland Service Center

Pos#_000970
REV PRGM ADMIN II - SES
Class Code 1708

Pos#_001307
SR REV CONSULTANT
Class Code 1619

Pos#_000638
SR REV CONSULTANT
Class Code 1619

Pos#_002142
REV SVC CENTER
MGR II - SES
Class Code 1632

Pos#_001849
SR REV CONSULTANT
Class Code 1619

Pos#_001977
REV ADMIN II - SES
Class Code 1618

Pos#_000875
SR TAX SPEC
Class Code 1705

Pos#_002353
ADMIN ASST I
Class Code 0709

Pos#_002822
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_000344
REV ADMIN II - SES
Class Code 1618

Pos#_000873
SR REV CONSULTANT
Class Code 1619

Pos#_001435
REV ADMIN II - SES
Class Code 1618

Pos#_001491
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_003126
SYS PROGRAMMER II
Class Code 2113

Pos#_002643
ADMIN SECR
Class Code 0108

Pos#_006771
REV ADMIN II - SES
Class Code 1618

Pos#_002720
TAX SPEC II
Class Code 1704

Pos#_003152
SECRETARY SPEC
Class Code 0105

Pos#_001982
SR TAX SPEC
Class Code 1705

Pos#_000355
ADMIN SECR
Class Code 0108

Pos#_000692
TAX AUDIT SUPV -
SES
Class Code 1512

GTA
Maitland
Service Center

Pos#_000344
REV ADMIN II - SES
Class Code 1618

Pos#_000692
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_001435
REV ADMIN II - SES
Class Code 1618

Pos#_001491
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_001977
REV ADMIN II - SES
Class Code 1618

Pos#_000742
REV SPEC II
Class Code 1700

Pos#_006517
TAX AUDITOR II
Class Code 1506

Pos#_000380
TAX AUDITOR III
Class Code 1509

Pos#_001436
REV SPEC II
Class Code 1700

Pos#_000470
TAX AUDITOR IV
Class Code 1510

Pos#_006731
COMPUTER AUDIT
ANALYST
Class Code 2125

Pos#_001570
TAX SPEC I
Class Code 1703

Pos#_000349
REV SPEC II
Class Code 1700

Pos#_002424
TAX AUDITOR II
Class Code 1506

Pos#_001019
SECRETARY SPEC
Class Code 0105

Pos#_001569
REV SPEC II
Class Code 1700

Pos#_000324
TAX AUDITOR II
Class Code 1506

Pos#_002000
TAX AUDITOR IV
Class Code 1510

Pos#_002220
TAX SPEC I
Class Code 1703

Pos#_001894
REV SPEC II
Class Code 1700

Pos#_000386
TAX AUDITOR III
Class Code 1509

Pos#_006827
TAX AUDITOR II
Class Code 1506

Pos#_000781
REV SPEC II
Class Code 1700

Pos#_001186
TAX AUDITOR III
Class Code 1509

Pos#_000516
TAX AUDITOR II
Class Code 1506

Pos#_001774
TAX SPEC I
Class Code 1703

Pos#_001563
REV SPEC II
Class Code 1700

Pos#_003081
TAX AUDITOR IV
Class Code 1510

Pos#_002826
TAX AUDITOR IV
Class Code 1510

Pos#_000345
REV SPEC II
Class Code 1700

Pos#_002388
TAX AUDITOR III
Class Code 1509

Pos#_006576
TAX AUDITOR II
Class Code 1506

Pos#_002162
TAX SPEC I
Class Code 1703

Pos#_002515
REV SPEC II
Class Code 1700

Pos#_001196
TAX AUDITOR IV
Class Code 1510

Pos#_002418
TAX AUDITOR II
Class Code 1506

Pos#_003070
REV SPEC II
Class Code 1700

Pos#_000636
TAX AUDITOR IV
Class Code 1510

Pos#_001175
COMPUTER AUDIT
ANALYST
Class Code 2125

Pos#_000390
TAX SPEC I
Class Code 1703

Pos#_002143
REV SPEC II
Class Code 1700

Pos#_006825
TAX AUDITOR II
Class Code 1506

Pos#_002115
REV SPEC II
Class Code 1700

Pos#_006826
TAX AUDITOR II
Class Code 1506

Pos#_002501
ACCT I
Class Code 1427

Pos#_002370
REV SPEC II
Class Code 1700

Pos#_002117
REV SPEC II
Class Code 1700

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Class Code 1703

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REV SPEC II
Class Code 1700

Pos#_002402
REV SPEC II
Class Code 1700

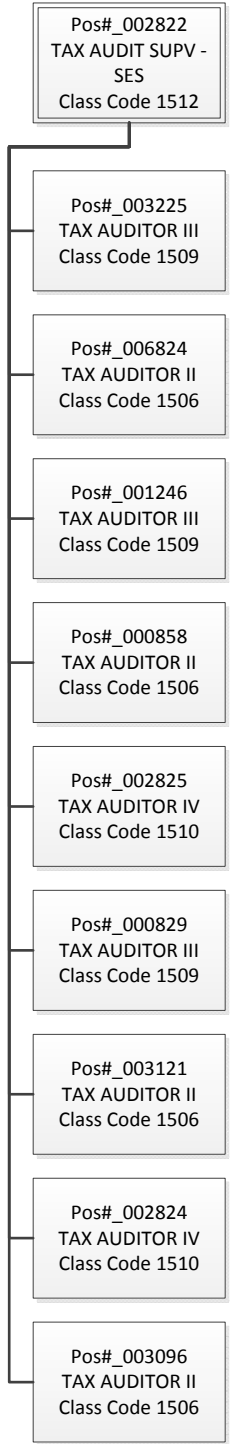
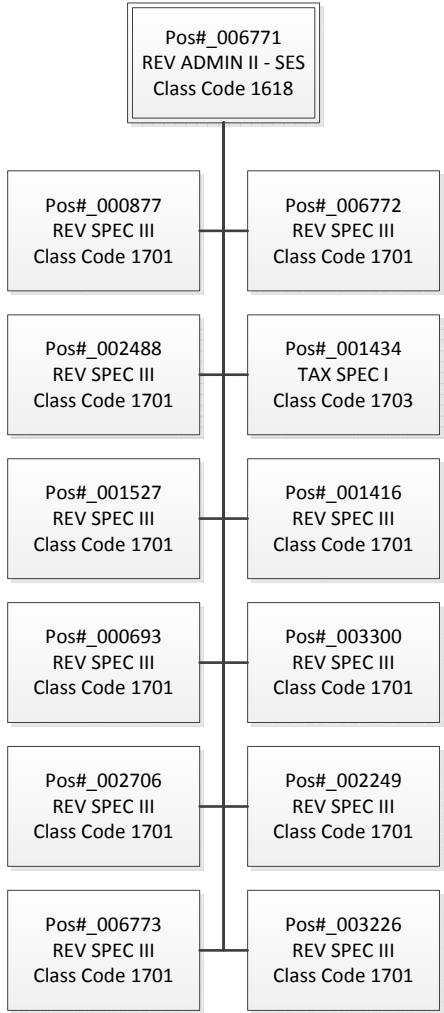
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Class Code 1703

Pos#_002419
REV SPEC II
Class Code 1700

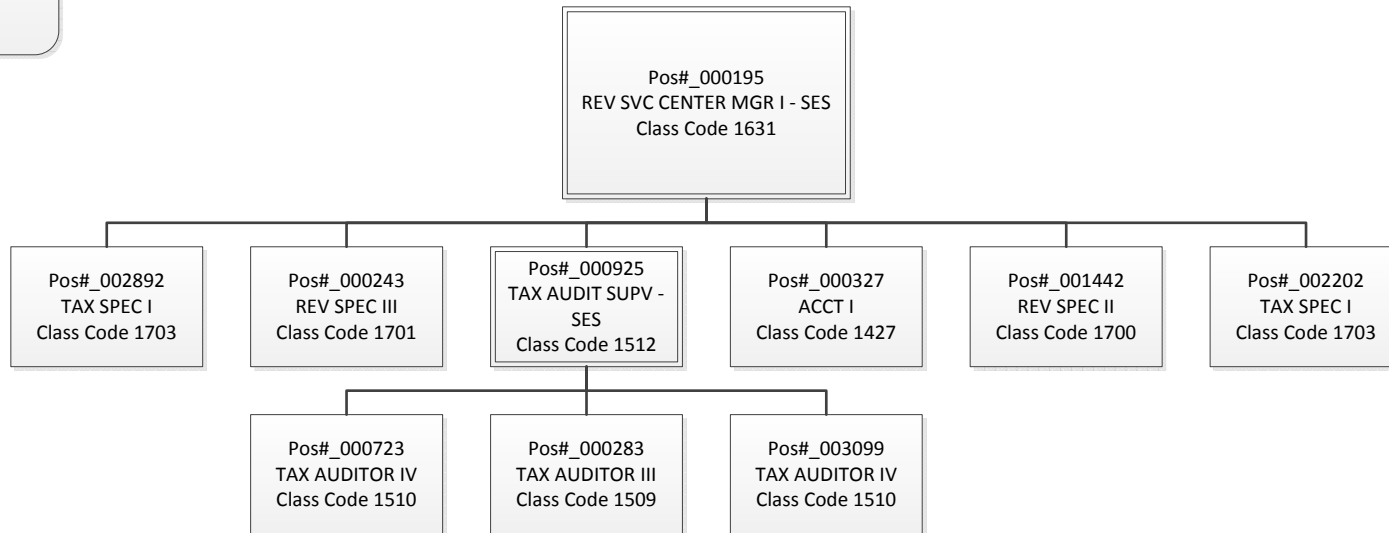
Pos#_000350
REV SPEC II
Class Code 1700

Pos#_000352
TAX SPEC I
Class Code 1703

GTA
Maitland Service Center



GTA
Marianna Service
Center



GTA
Miami
Service Centers

Pos#_000244
REV SVC CENTER MGR II - SES
Class Code 1632

Pos#_000269
ADMIN SECR
Class Code 0108

Pos#_006572
REV ADMIN II - SES
Class Code 1618

Pos#_006722
REV ADMIN II - SES
Class Code 1618

Pos#_006767
REV ADMIN II - SES
Class Code 1618

Pos#_001575
REV ADMIN II - SES
Class Code 1618

Pos#_000247
REV ADMIN II - SES
Class Code 1618

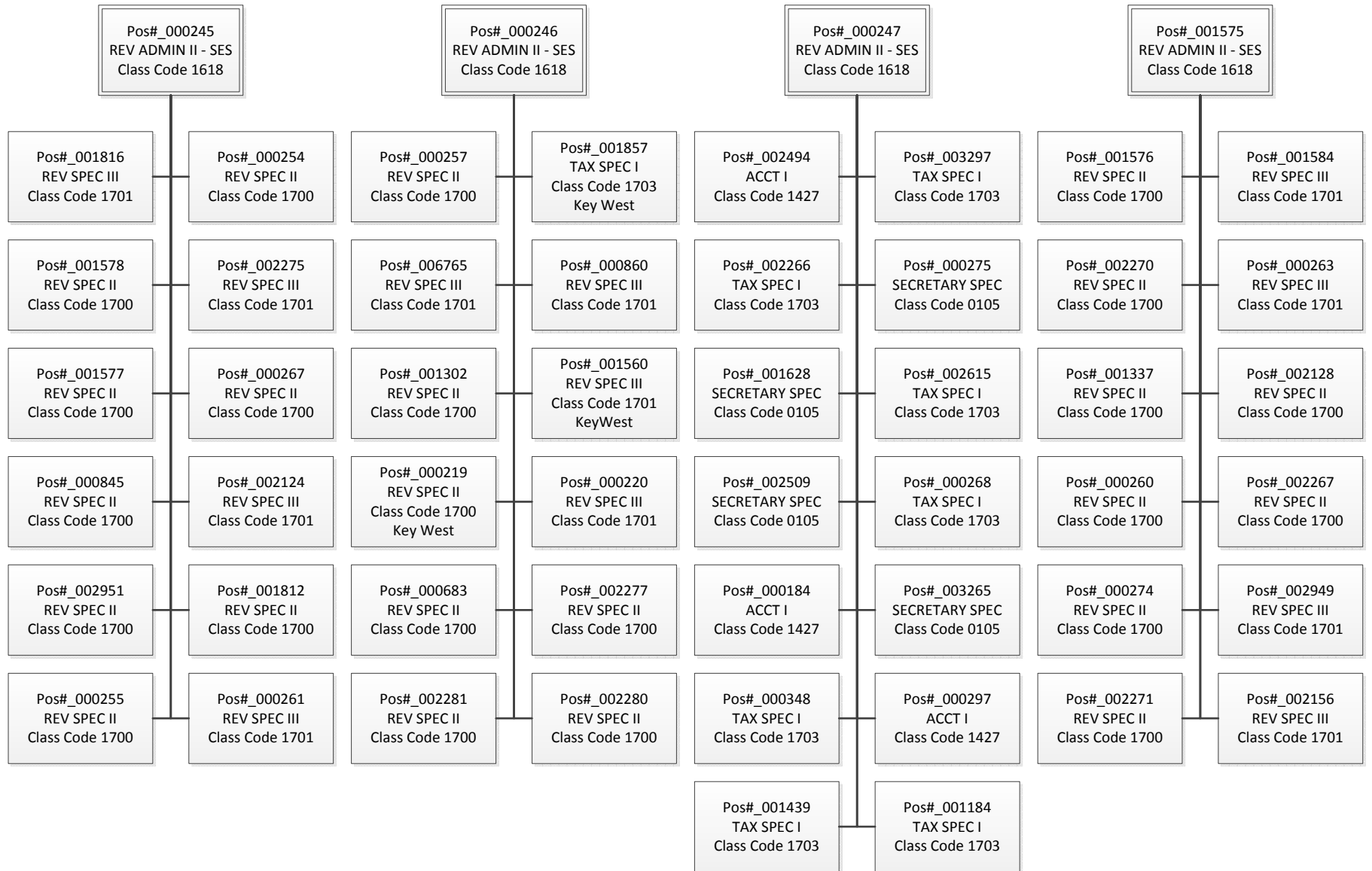
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REV ADMIN II - SES
Class Code 1618

Pos#_000246
REV ADMIN II - SES
Class Code 1618

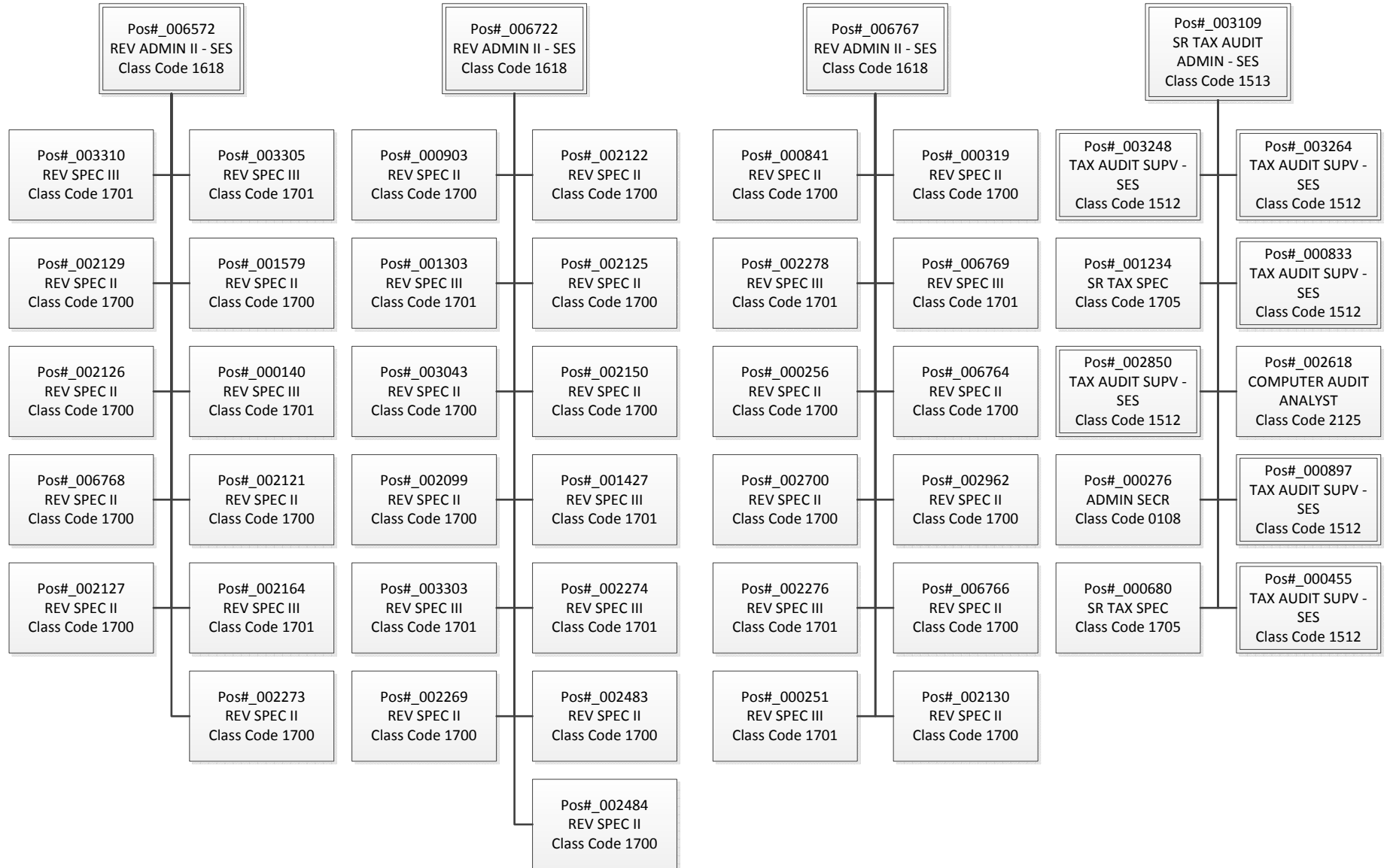
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REV ADMIN II - SES
Class Code 1618
Miami South

Pos#_000870
SR REV
CONSULTANT
Class Code 1619

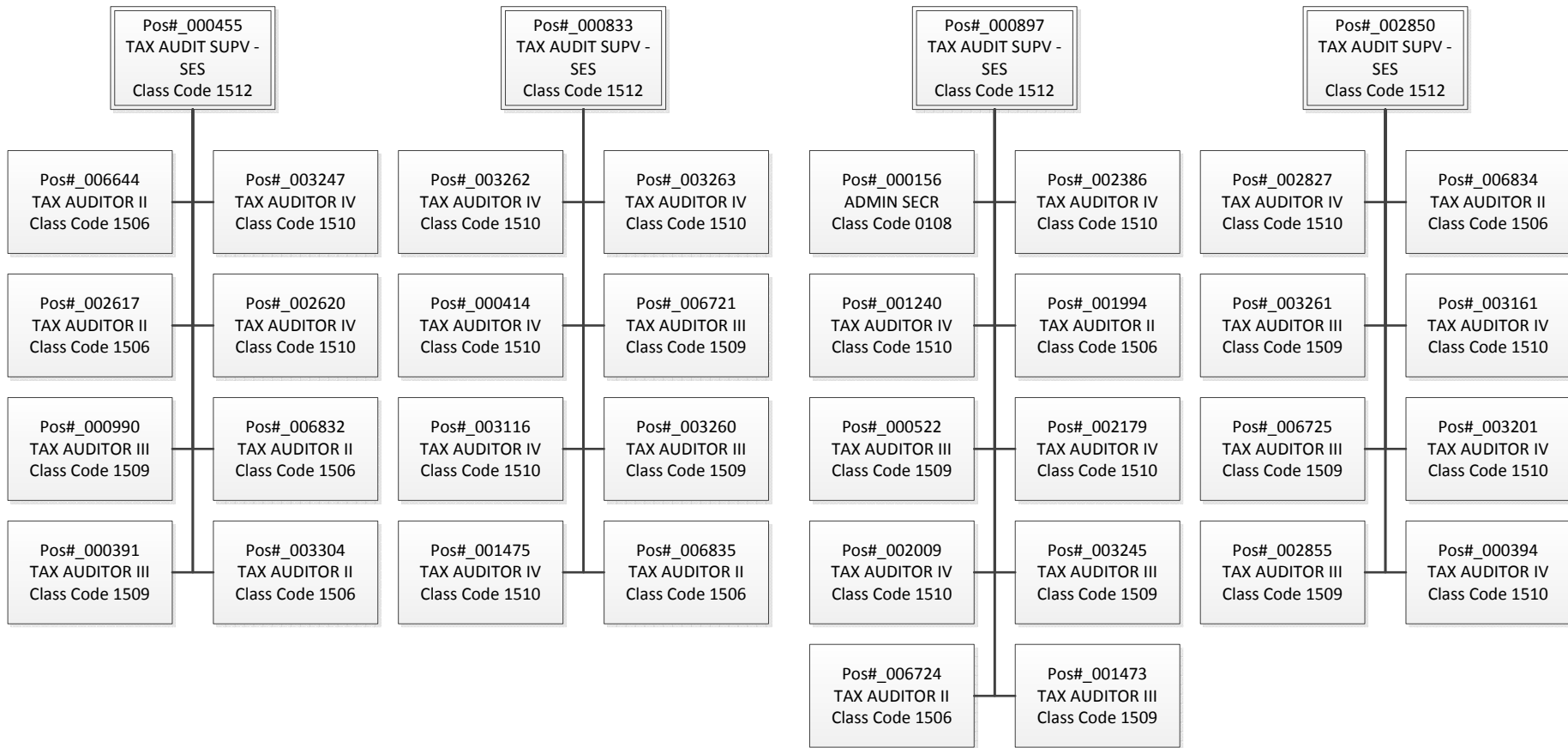
GTA
Miami
Service Centers



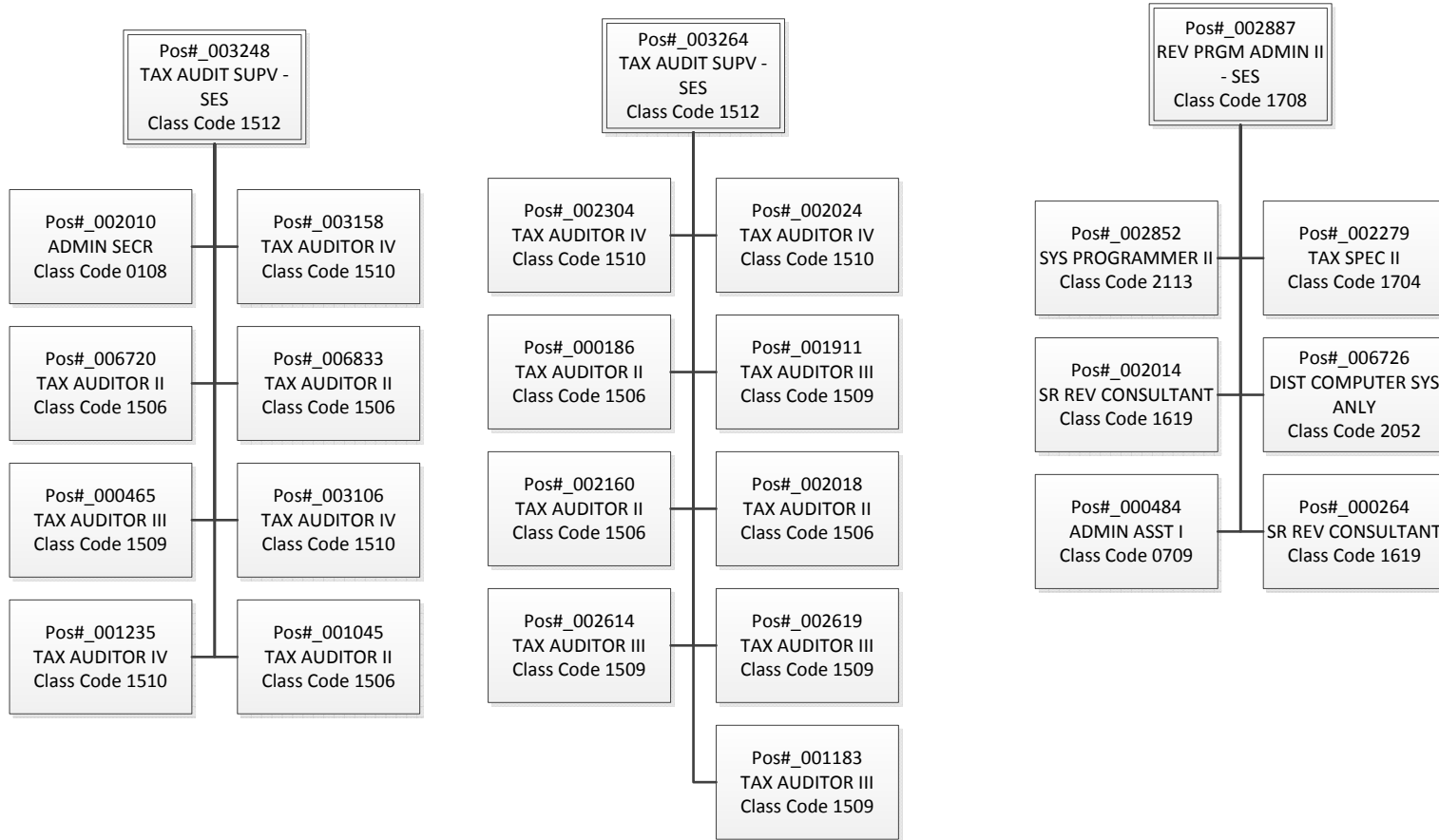
GTA
Miami
Service Centers

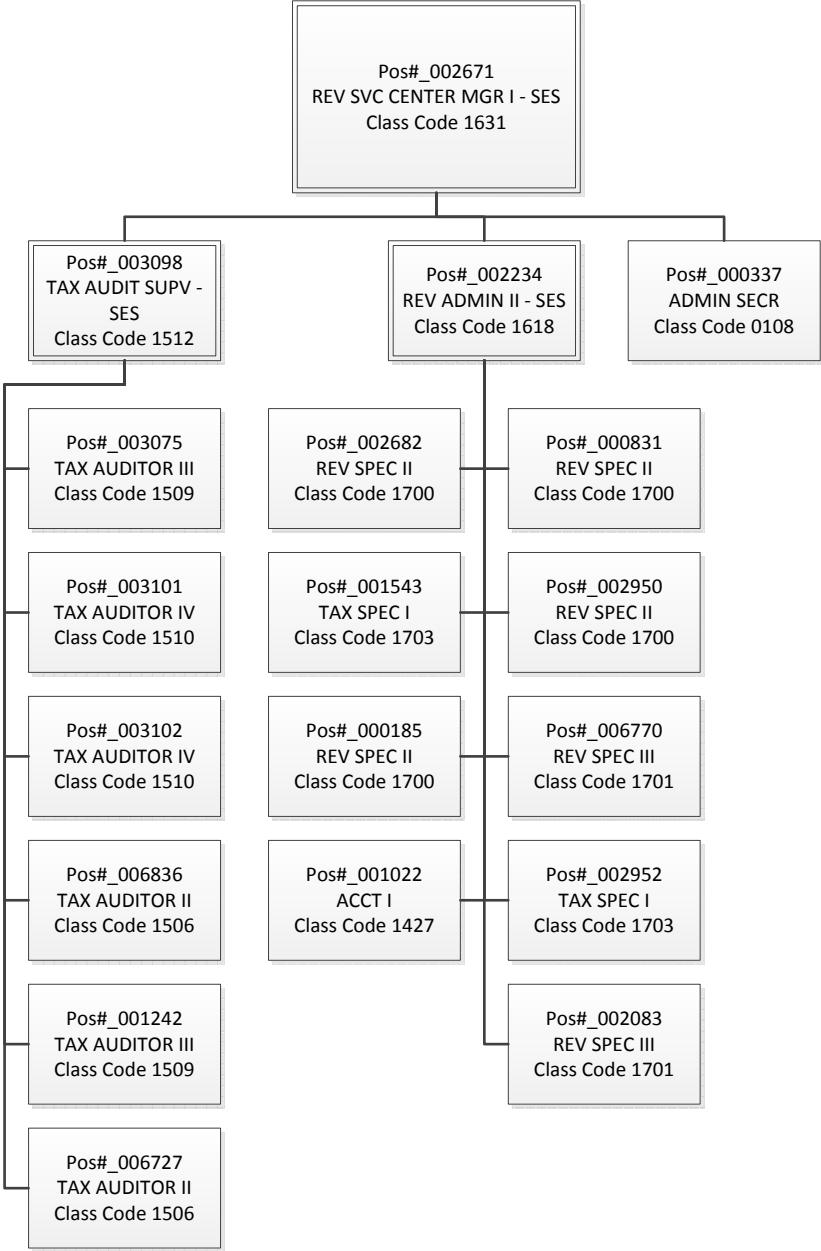


GTA
Miami
Service Centers

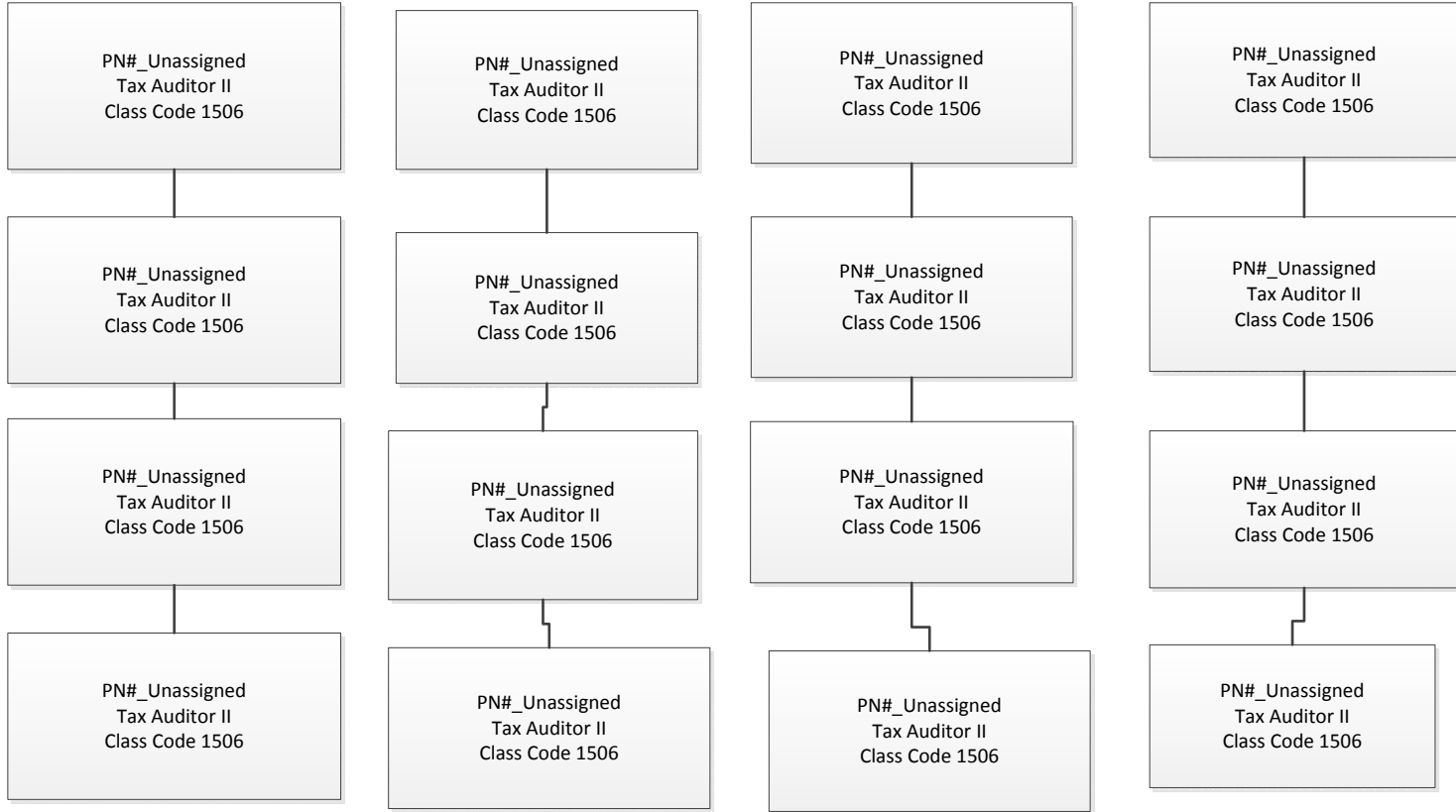


GTA
Miami
Service Centers

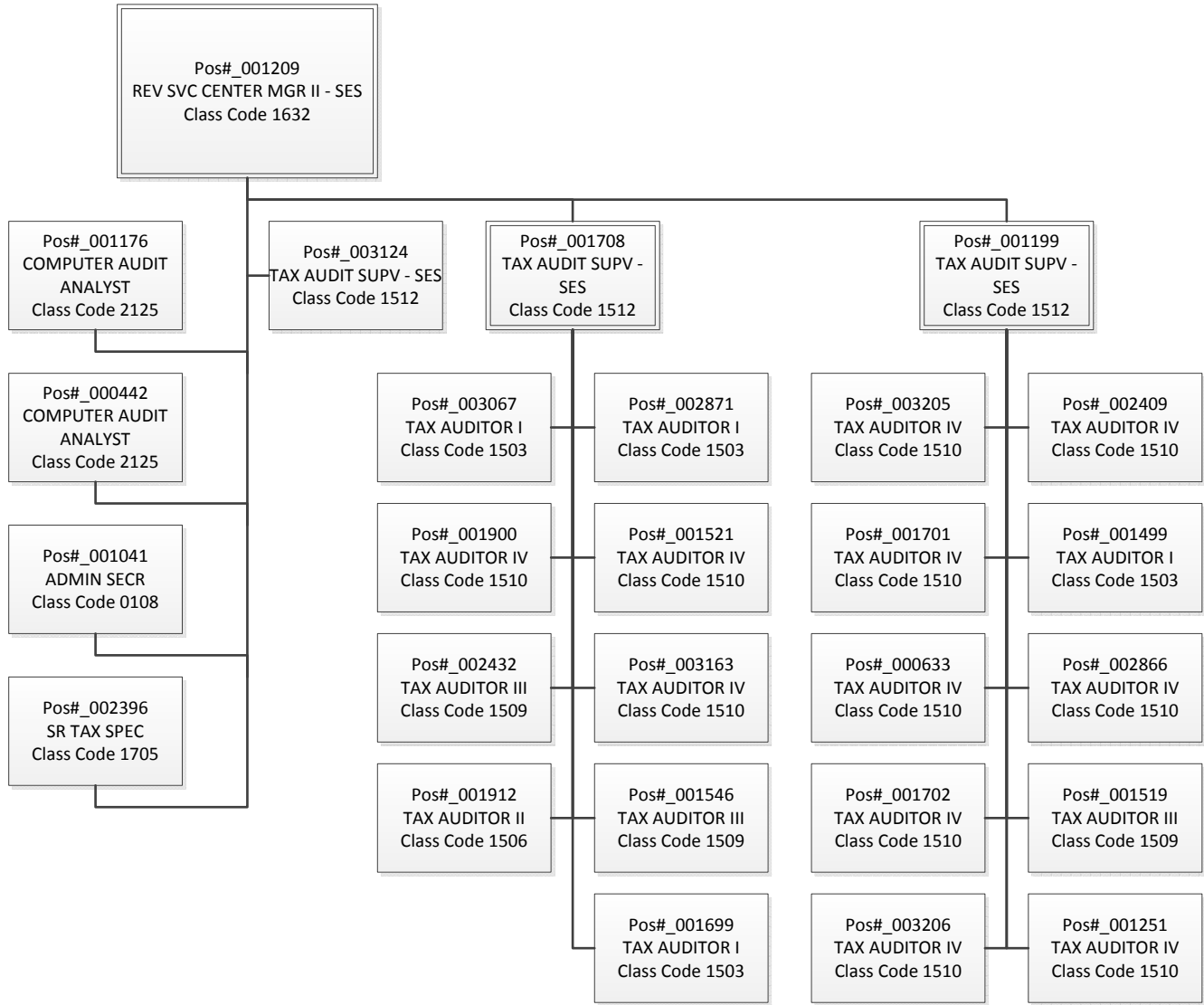
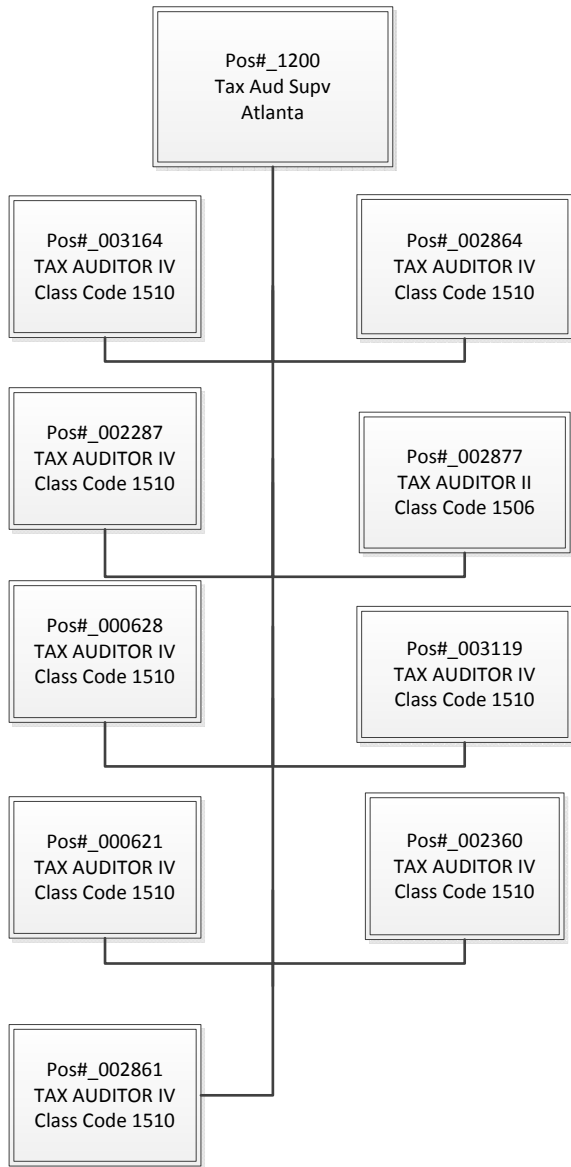




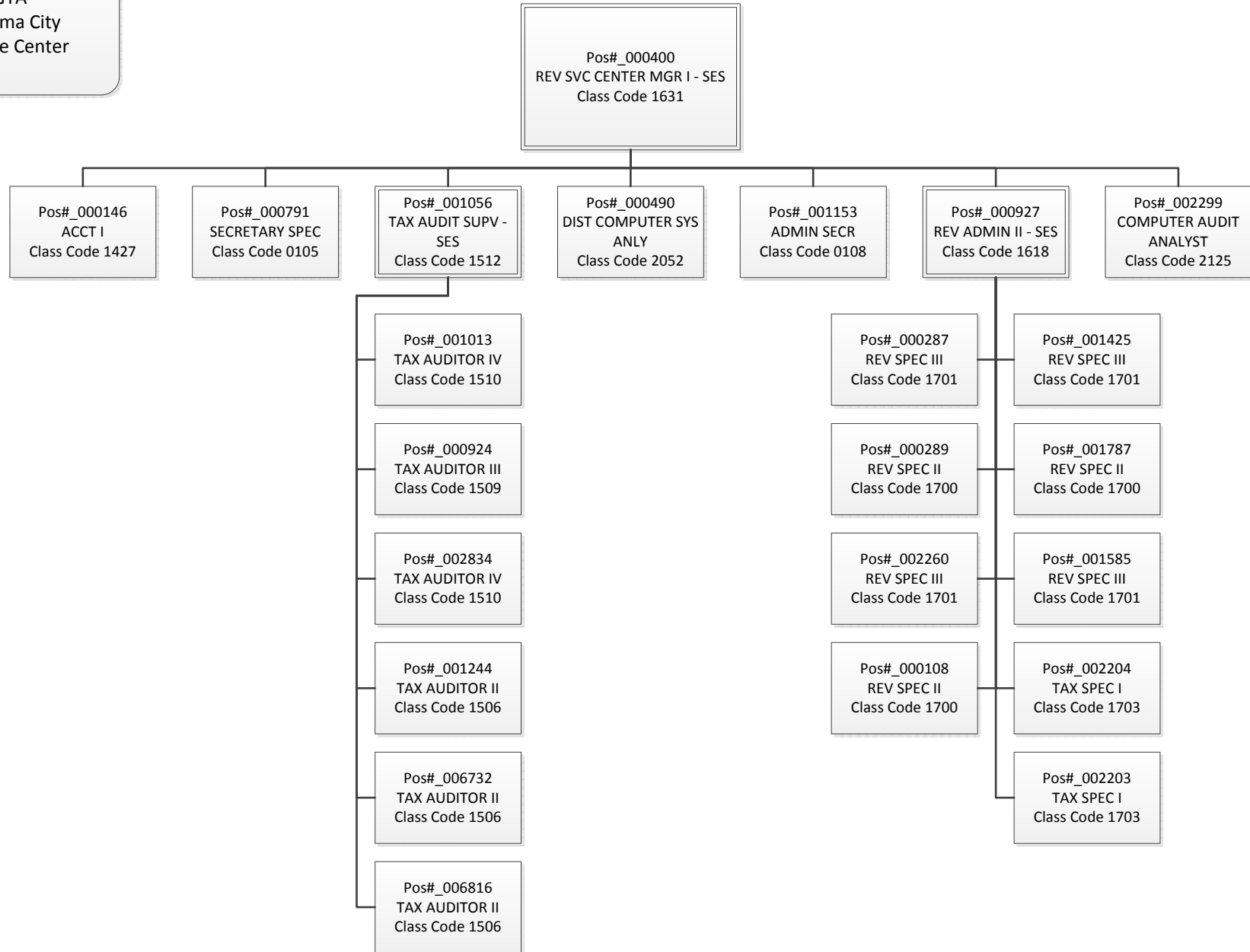
GTA
FY 2012-13
New Positions



GTA
New York Service Center



GTA
Panama City
Service Center



GTA
Pensacola Service
Center

Pos#_000142
REV PRGM ADMIN II - SES
Class Code 1708

Pos#_000418
SR REV CONSULTANT
Class Code 1619

Pos#_000202
SR REV CONSULTANT
Class Code 1619

Pos#_000241
REV SVC CENTER
MGR I - SES
Class Code 1631

Pos#_002703
TAX SPEC II
Class Code 1704

Pos#_001610
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_000248
REV ADMIN II - SES
Class Code 1618

Pos#_000888
COMPUTER AUDIT
ANALYST
Class Code 2125

Pos#_003083
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_003023
SR TAX SPEC
Class Code 1705

Pos#_003306
SR TAX SPEC
Class Code 1705

Pos#_001490
ADMIN SECR
Class Code 0108

Pos#_002497
ACCT I
Class Code 1427

Pos#_003016
DIST COMPUTER SYS
ANLY
Class Code 2052

Pos#_001168
TAX AUDITOR IV
Class Code 1510

Pos#_000293
REV SPEC II
Class Code 1700

Pos#_002676
TAX SPEC I
Class Code 1703

Pos#_003229
TAX AUDITOR III
Class Code 1509

Pos#_006701
TAX AUDITOR II
Class Code 1506

Pos#_002205
REV SPEC II
Class Code 1700

Pos#_002652
SECRETARY SPEC
Class Code 0105

Pos#_002410
TAX AUDITOR IV
Class Code 1510

Pos#_001925
TAX AUDITOR IV
Class Code 1510

Pos#_000296
REV SPEC II
Class Code 1700

Pos#_002387
REV SPEC III
Class Code 1701

Pos#_001955
TAX AUDITOR II
Class Code 1506

Pos#_001959
TAX AUDITOR IV
Class Code 1510

Pos#_000291
REV SPEC III
Class Code 1701

Pos#_001953
REV SPEC II
Class Code 1700

Pos#_001194
TAX AUDITOR IV
Class Code 1510

Pos#_001886
TAX AUDITOR III
Class Code 1509

Pos#_000292
REV SPEC II
Class Code 1700

Pos#_006776
REV SPEC III
Class Code 1701

Pos#_000523
TAX AUDITOR III
Class Code 1509

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TAX AUDITOR II
Class Code 1506

Pos#_000193
REV SPEC II
Class Code 1700

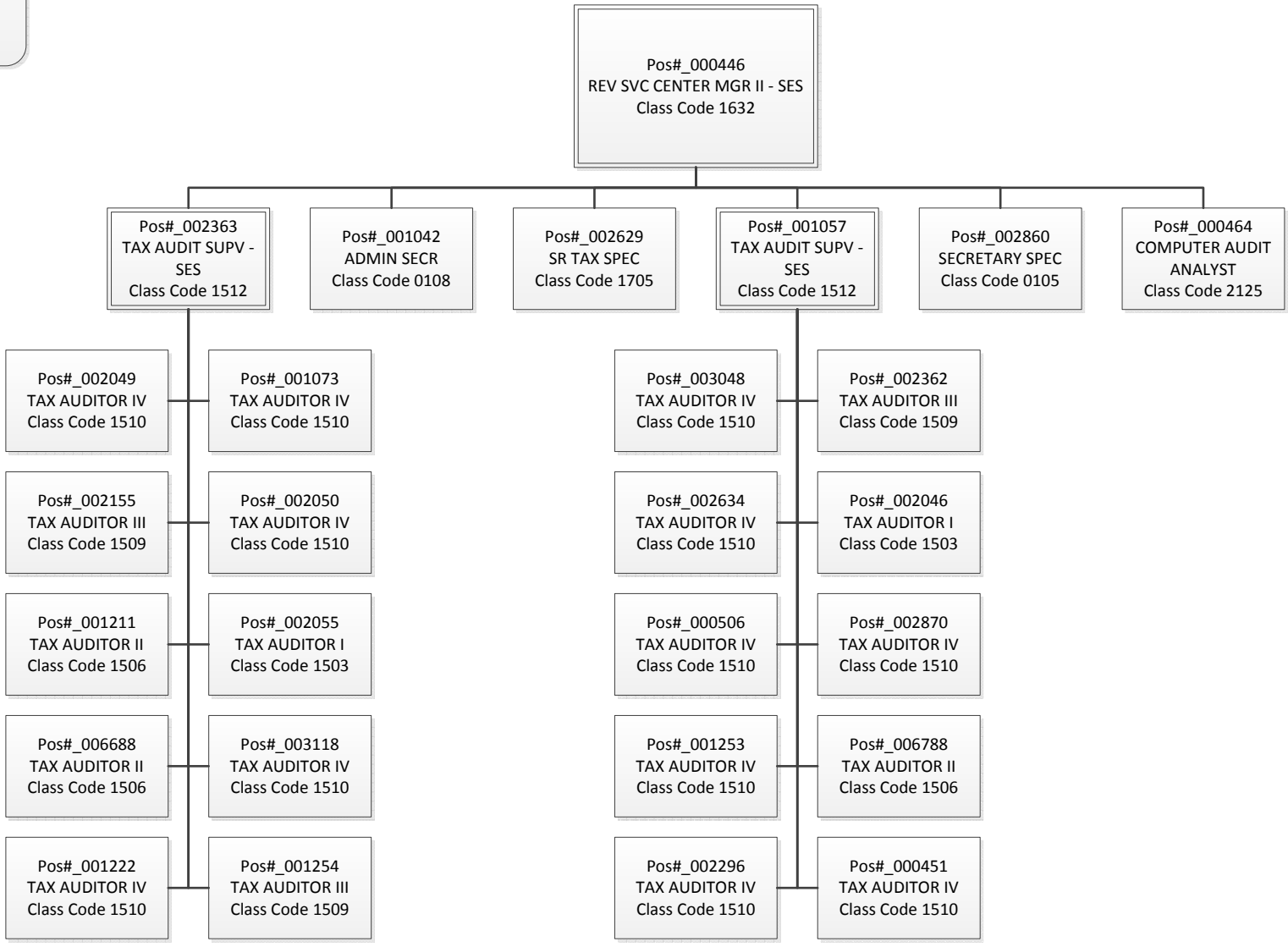
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Class Code 1701

Pos#_003230
TAX AUDITOR IV
Class Code 1510

Pos#_002206
TAX SPEC I
Class Code 1703

Pos#_002215
REV SPEC II
Class Code 1700

GTA
Pittsburgh Service
Center



GTA
Port Richey
Service Center

Pos#_002691
REV SVC CENTER MGR I - SES
Class Code 1631

Pos#_000290
REV ADMIN II - SES
Class Code 1618

Pos#_003196
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_003105
SECRETARY SPEC
Class Code 0105

Pos#_001602
ADMIN SECR
Class Code 0108

Pos#_001895
REV ADMIN II - SES
Class Code 1618

Pos#_002140
TAX SPEC I
Class Code 1703

Pos#_002513
ACCT I
Class Code 1427

Pos#_002243
REV SPEC II
Class Code 1700

Pos#_001568
TAX SPEC I
Class Code 1703

Pos#_002665
REV SPEC III
Class Code 1701

Pos#_000642
REV SPEC II
Class Code 1700

Pos#_001025
REV SPEC II
Class Code 1700

Pos#_003103
TAX AUDITOR IV
Class Code 1510

Pos#_002016
TAX AUDITOR II
Class Code 1506

Pos#_006742
TAX AUDITOR III
Class Code 1509

Pos#_002007
TAX AUDITOR II
Class Code 1506

Pos#_002423
TAX AUDITOR II
Class Code 1506

Pos#_003146
TAX AUDITOR III
Class Code 1509

Pos#_006734
TAX AUDITOR II
Class Code 1506

Pos#_003234
SECRETARY SPEC
Class Code 0105

Pos#_003104
TAX AUDITOR IV
Class Code 1510

Pos#_006736
REV SPEC III
Class Code 1701

Pos#_003237
TAX SPEC I
Class Code 1703

Pos#_002683
REV SPEC II
Class Code 1700

Pos#_001987
REV SPEC III
Class Code 1701

Pos#_002679
REV SPEC II
Class Code 1700

Pos#_000314
REV SPEC II
Class Code 1700

GTA
Sarasota
Service Center

Pos#_002044
REV PRGM ADMIN II - SES
Class Code 1708

Pos#_001897
ADMIN ASST I
Class Code 0709

Pos#_001197
SR REV CONSULTANT
Class Code 1619

Pos#_003241
REV SVC CENTER
MGR I - SES
Class Code 1631

Pos#_000509
SYS PROGRAMMER II
Class Code 2113

Pos#_002833
SR TAX SPEC
Class Code 1705

Pos#_006780
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_002670
REV ADMIN II - SES
Class Code 1618

Pos#_001484
REV ADMIN II - SES
Class Code 1618

Pos#_002383
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_002510
ADMIN SECR
Class Code 0108

Pos#_002828
TAX AUDITOR II
Class Code 1506

Pos#_001820
REV SPEC II
Class Code 1700

Pos#_000298
REV SPEC III
Class Code 1701

Pos#_001241
TAX SPEC I
Class Code 1703

Pos#_001591
ACCT I
Class Code 1427

Pos#_000691
SECRETARY SPEC
Class Code 0105

Pos#_000640
TAX AUDITOR IV
Class Code 1510

Pos#_003238
TAX AUDITOR III
Class Code 1509

Pos#_001588
REV SPEC III
Class Code 1701

Pos#_001547
SECRETARY SPEC
Class Code 0105

Pos#_002678
TAX SPEC I
Class Code 1703

Pos#_006778
REV SPEC III
Class Code 1701

Pos#_006829
SR TAX SPEC
Class Code 1705

Pos#_002831
TAX AUDITOR III
Class Code 1509

Pos#_006830
TAX AUDITOR II
Class Code 1506

Pos#_000299
REV SPEC II
Class Code 1700

Pos#_001991
REV SPEC II
Class Code 1700

Pos#_006783
REV SPEC III
Class Code 1701

Pos#_000302
TAX SPEC I
Class Code 1703

Pos#_002436
TAX AUDITOR IV
Class Code 1510

Pos#_001883
TAX AUDITOR II
Class Code 1506

Pos#_001415
TAX AUDITOR IV
Class Code 1510

Pos#_002136
REV SPEC II
Class Code 1700

Pos#_002247
REV SPEC II
Class Code 1700

Pos#_002240
REV SPEC II
Class Code 1700

Pos#_002485
REV SPEC II
Class Code 1700

Pos#_000998
TAX AUDITOR III
Class Code 1509

Pos#_003243
TAX AUDITOR IV
Class Code 1510

Pos#_002242
REV SPEC III
Class Code 1701

Pos#_000735
TAX AUDITOR IV
Class Code 1510

GTA
Tallahassee Service
Center

Pos#_000306
REV SVC CENTER MGR I - SES
Class Code 1631

Pos#_002413
REV ADMIN II - SES
Class Code 1618

Pos#_001635
ADMIN SECR
Class Code 0108

Pos#_006702
DIST COMPUTER SYS
ANLY
Class Code 2052

Pos#_002380
SECRETARY SPEC
Class Code 0105

Pos#_001594
ACCT I
Class Code 1427

Pos#_002236
REV SPEC II
Class Code 1700

Pos#_001666
REV SPEC III
Class Code 1701

Pos#_002504
REV SPEC III
Class Code 1701

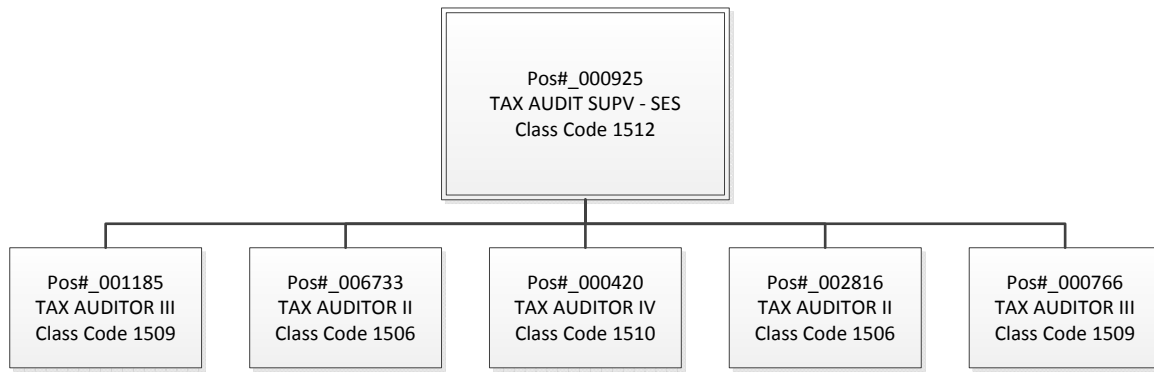
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TAX SPEC I
Class Code 1703

Pos#_001593
REV SPEC II
Class Code 1700

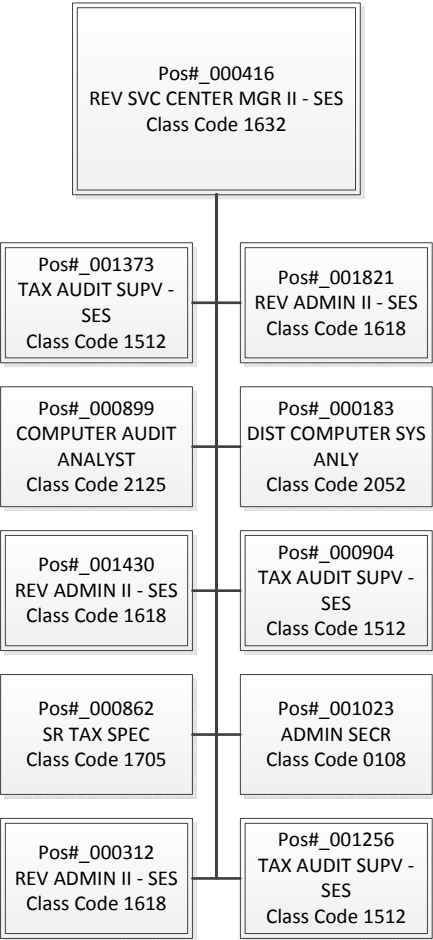
Pos#_001650
TAX SPEC I
Class Code 1703

Pos#_006744
REV SPEC III
Class Code 1701

GTA
Tallahassee Service
Center



GTA
Tampa
Service Center



GTA
Tampa
Service Center

Pos#_001821
REV ADMIN II - SES
Class Code 1618

Pos#_001430
REV ADMIN II - SES
Class Code 1618

Pos#_000904
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_000312
REV ADMIN II - SES
Class Code 1618

Pos#_001256
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_001373
TAX AUDIT SUPV -
SES
Class Code 1512

Pos#_002948
TAX SPEC I
Class Code 1703

Pos#_002246
REV SPEC II
Class Code 1700

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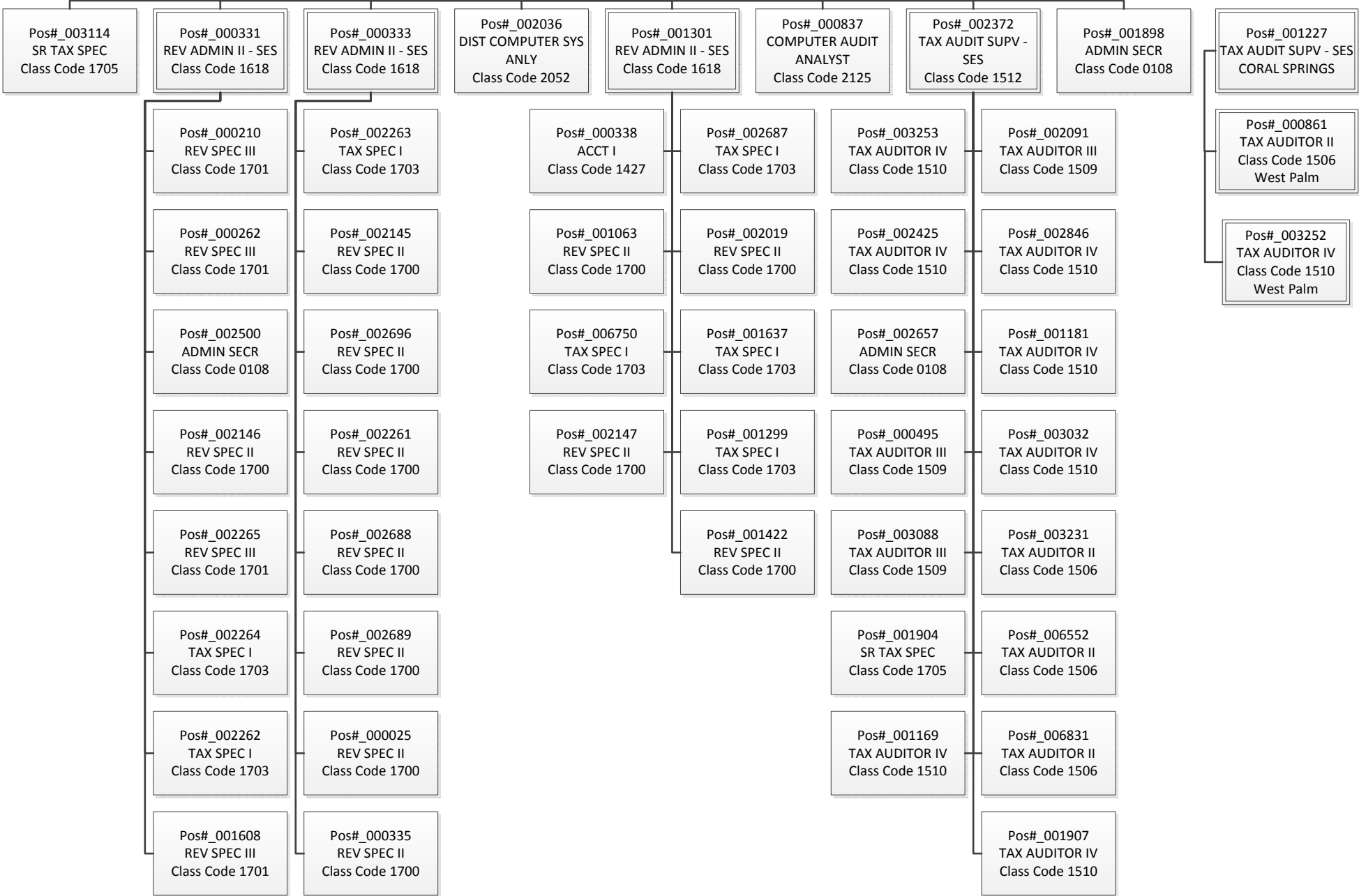
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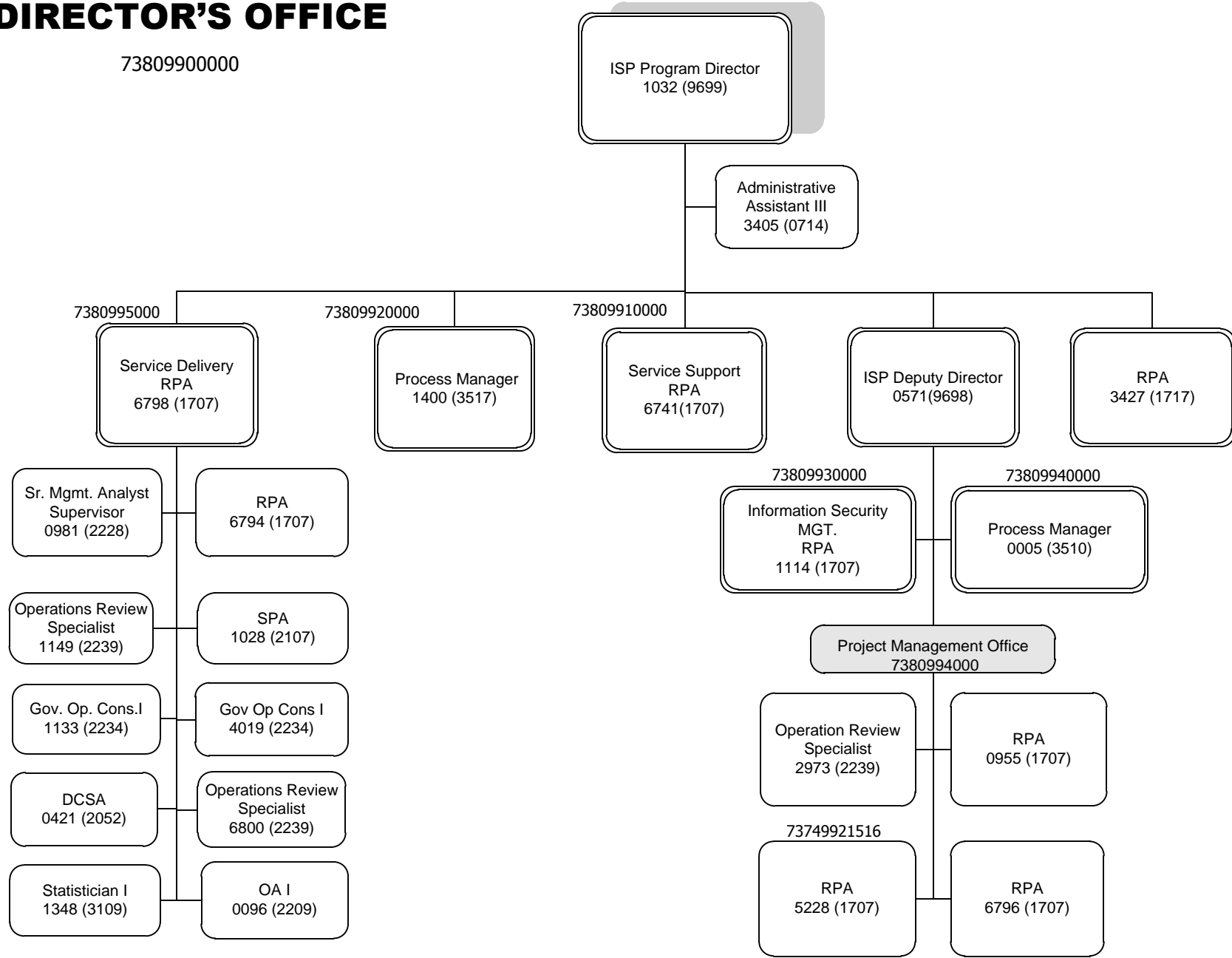
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Service Center

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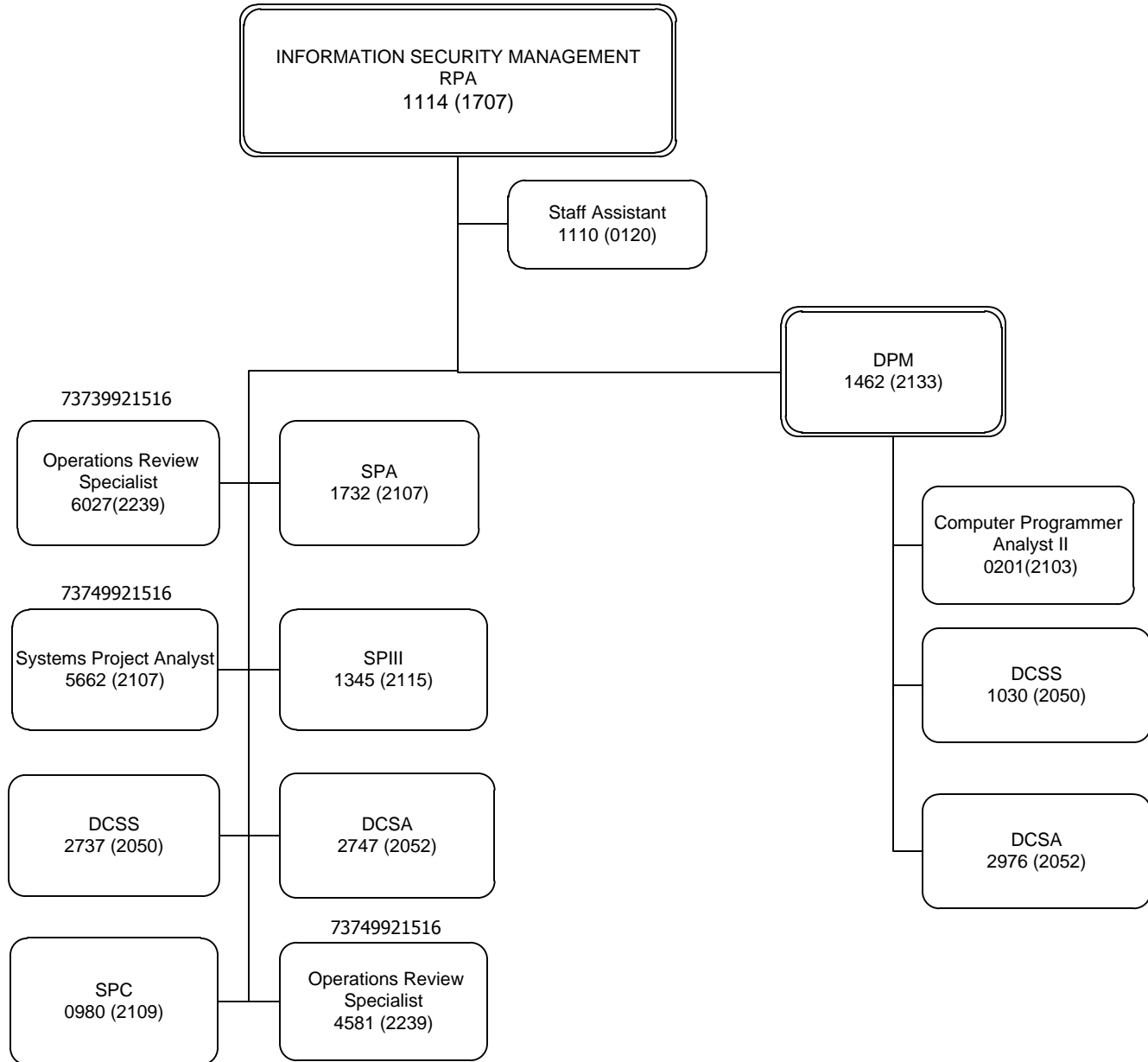
Information Services Program DIRECTOR'S OFFICE

73809900000



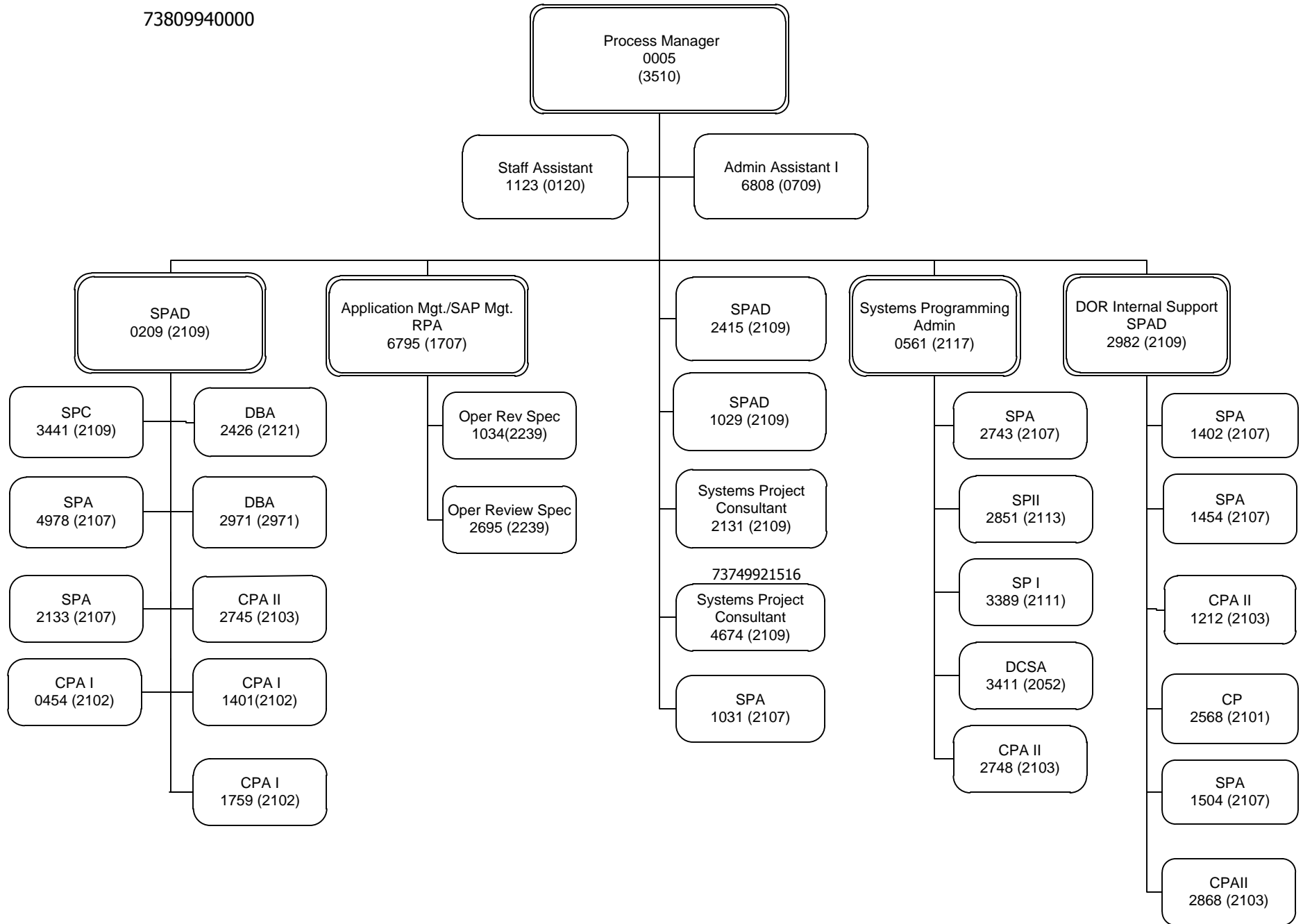
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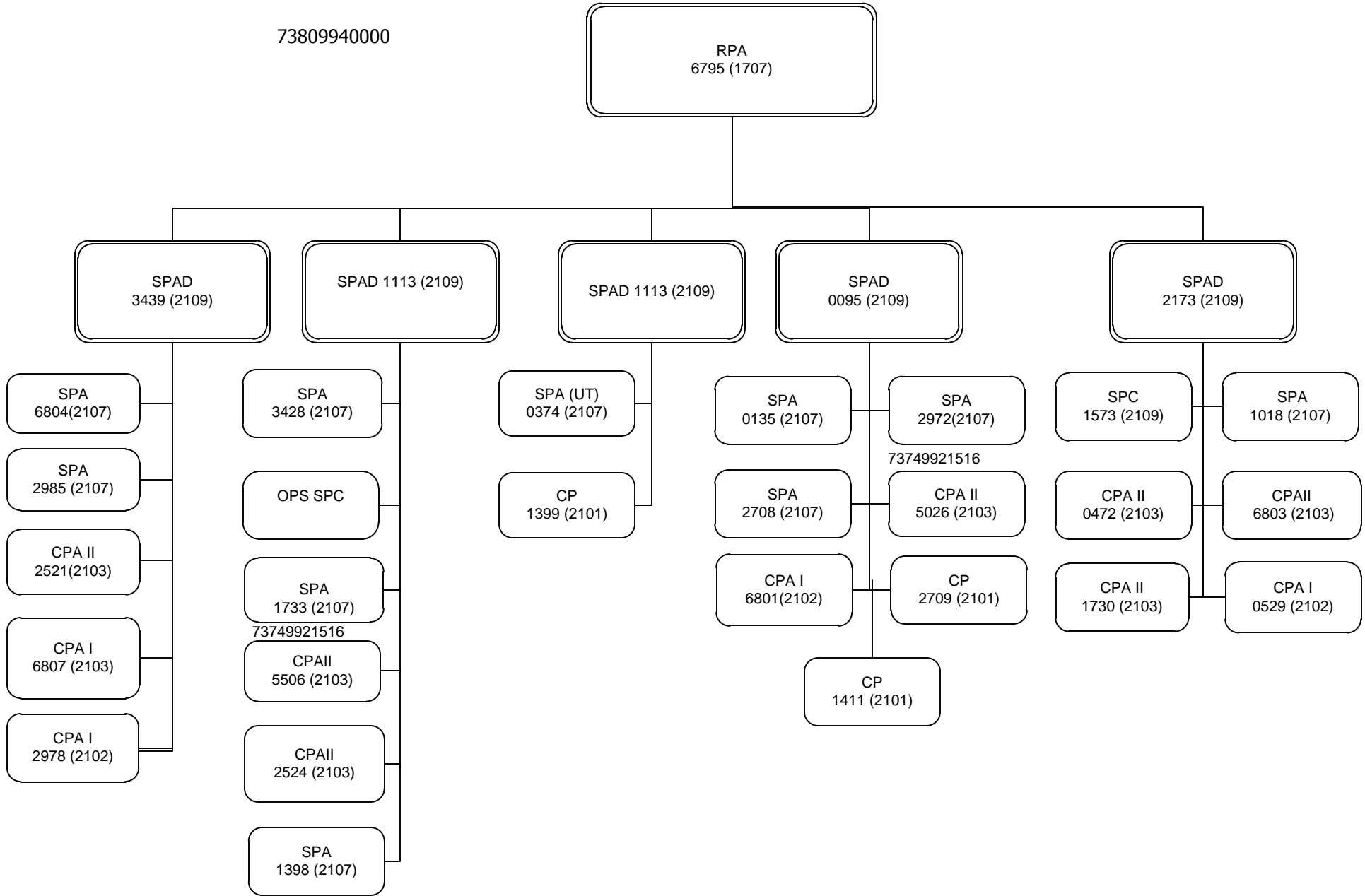
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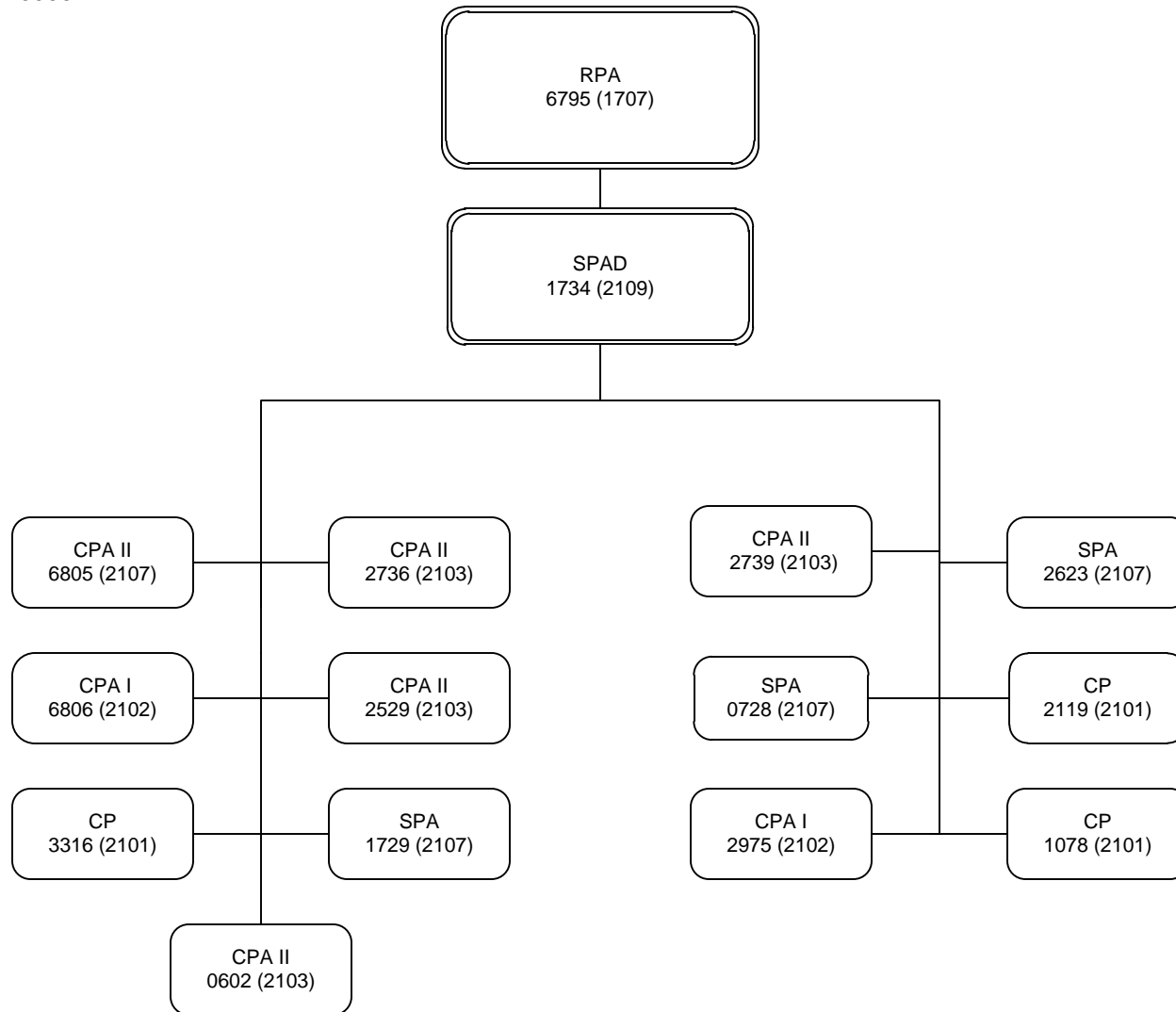
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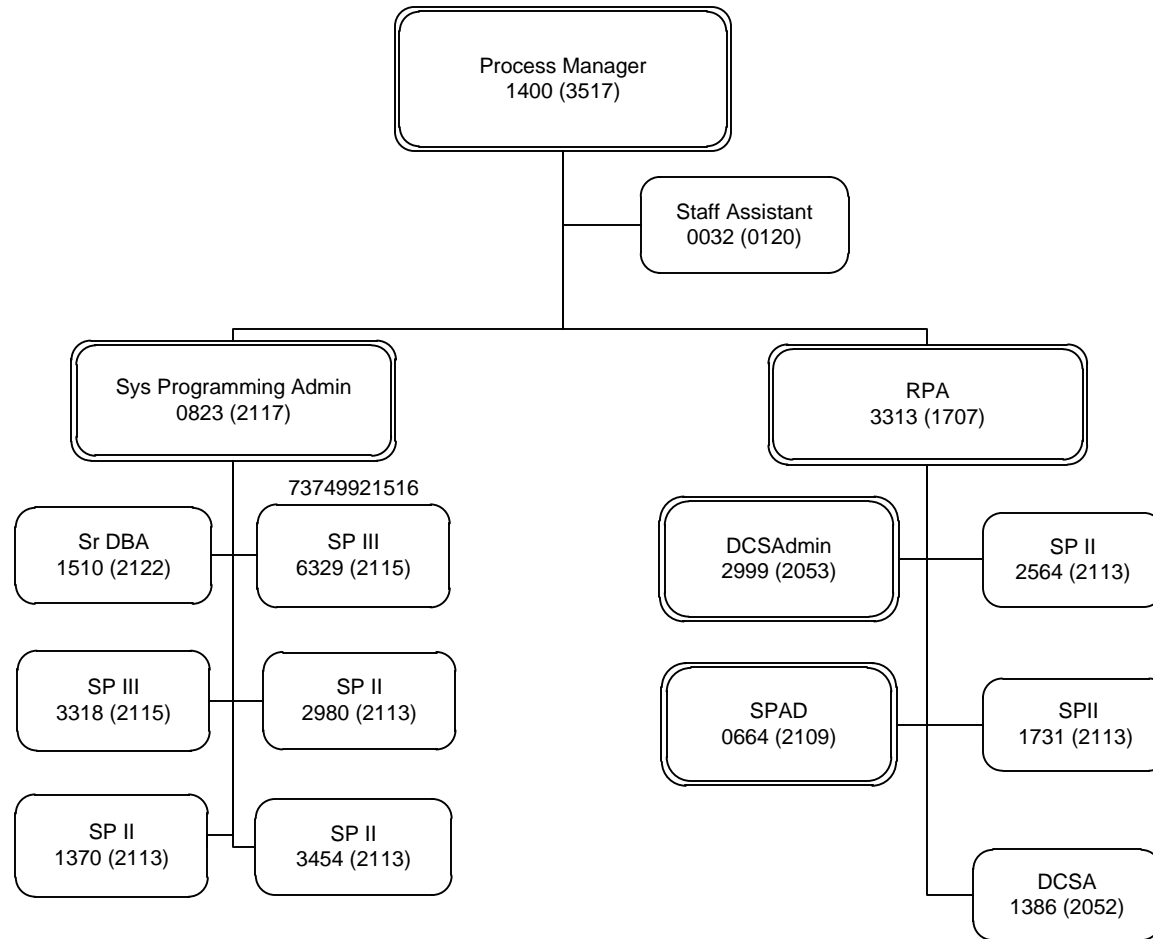
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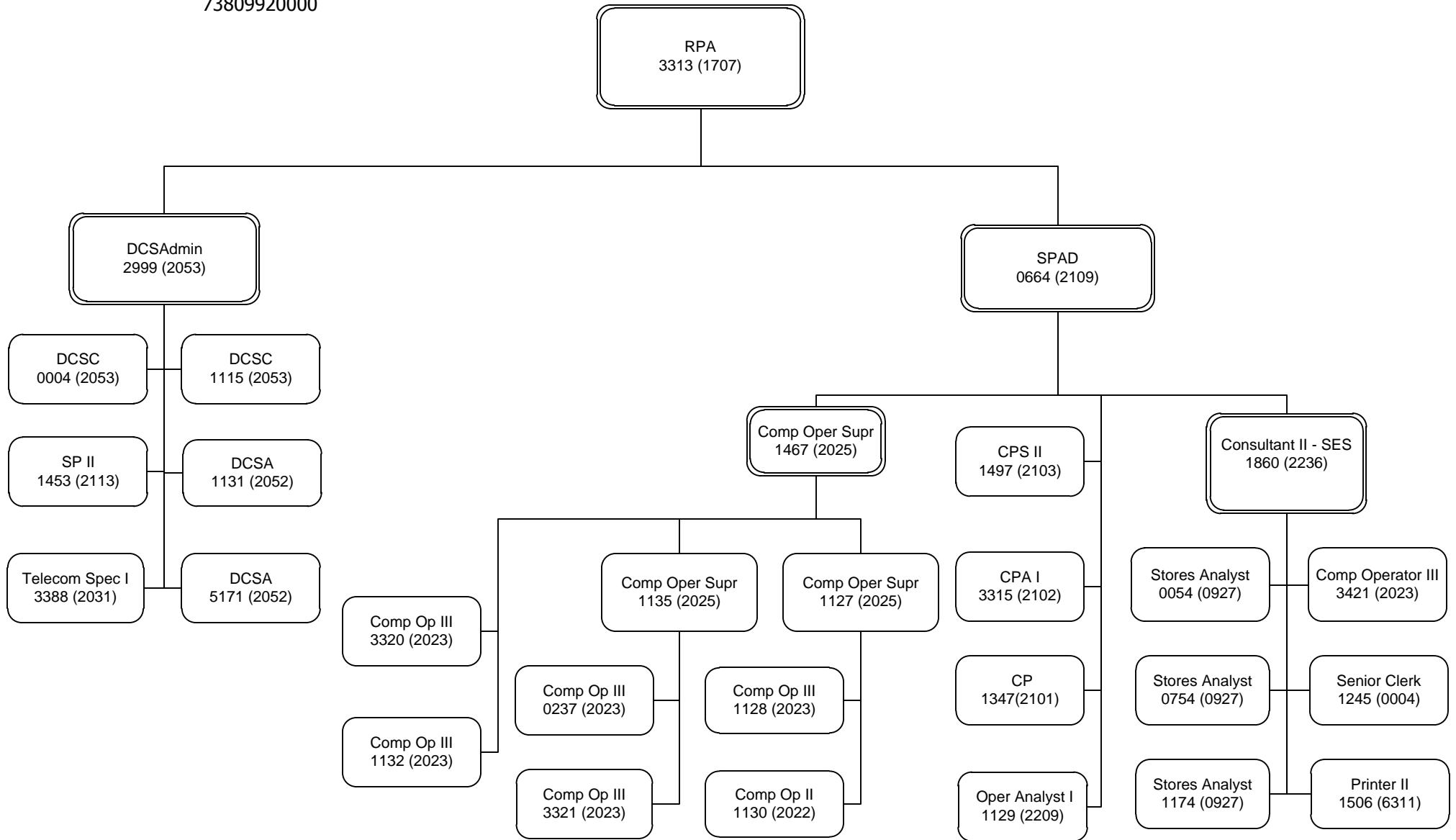
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73809920000



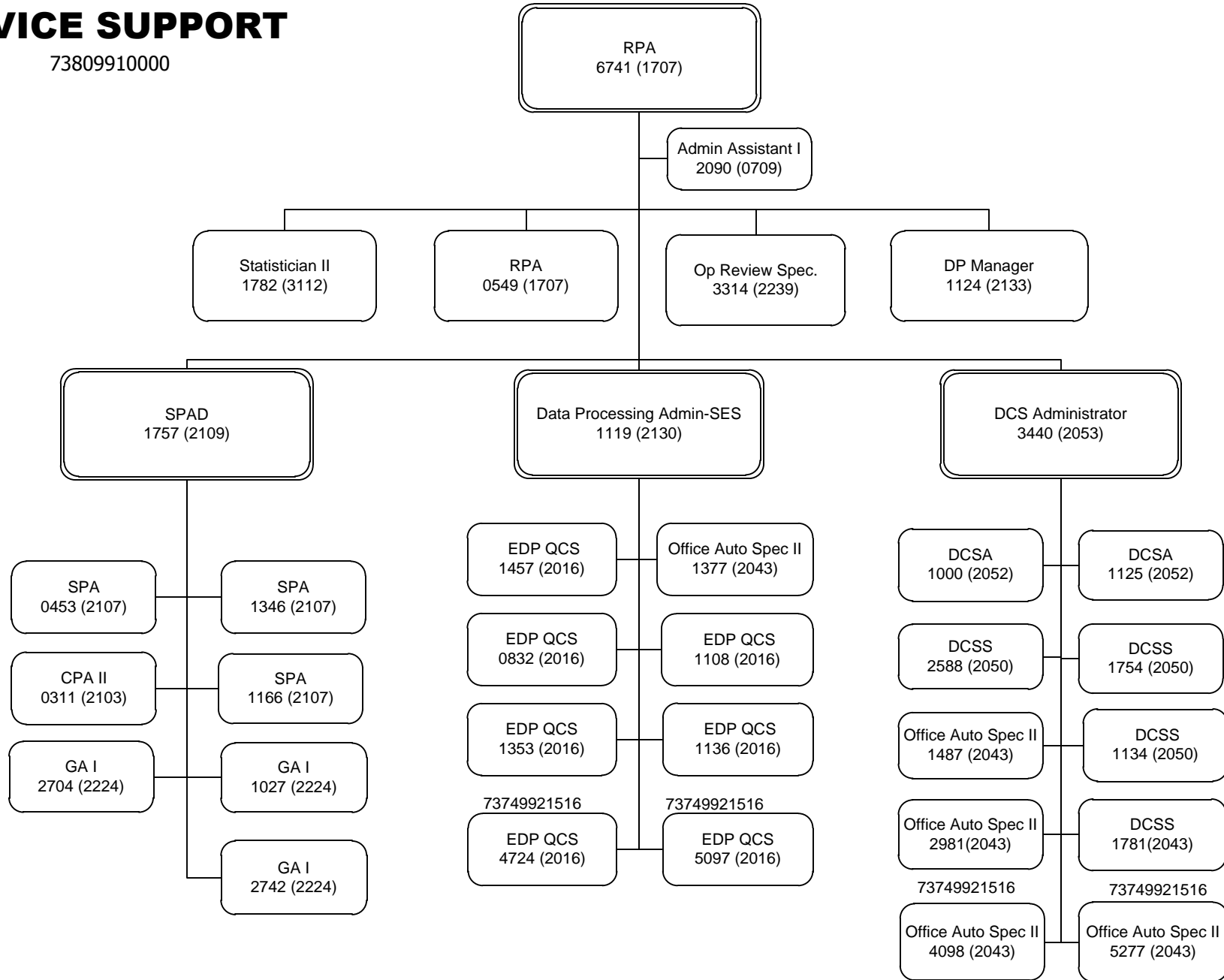
INFRASTRUCTURE II

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SERVICE SUPPORT

73809910000





Schedule XI – Agency-Level Unit Cost Summary

REVENUE, DEPARTMENT OF		FISCAL YEAR 2011-12	
SECTION I: BUDGET		OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		548,170,119	0
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		-10,657,185	0
FINAL BUDGET FOR AGENCY		537,512,934	0
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost
		(2) Expenditures (Allocated)	(3) FCO
<i>Executive Direction, Administrative Support and Information Technology (2)</i>			0
Geographic Information Systems * Number of square miles mapped using aerial photography		16,446	112.50
Central Assessment Of Railroads * Number of railroads and private carlines centrally assessed		239	1,312.42
Determine Real Property Roll Compliance * Number of parcels studied to establish in-depth level of assessment		21,340	392.00
Review Refunds/Tax Certificates/Tax Deeds * Number of refund/tax certificate applications processed		2,544	35.30
Determine Trim Compliance * Number of Truth-in-Millage / Millage Levy forms processed compliance		6,199	90.86
Verify Budget Compliance * Number of budget submissions and amendments reviewed		503	433.30
Provide Information * Number of student training hours provided		15,348	1,637.69
Provide Aid And Assistance * Number of inquiries from taxpayers and local governments answered		13,437	30.49
Maintain Child Support Cases * Total number of cases maintained during the year		1,070,154	65.20
Provide Education And Assistance * Total number of individual educational contacts and inquires answered		16,333,968	1.66
Establish Paternity * Total number of paternities established and genetic testing exclusions		101,822	186.10
Establish And Modify Support Orders * Total number of newly established and modified orders		50,396	1,299.81
Determine Compliance With Support Orders * Total number of obligated cases identified for compliance resolution		686,580	10.47
Resolve Compliance Discrepancies * Total number of actions processed during the year		3,723,535	15.59
Educate Or Assist Taxpayers * Number of taxpayers provided with direct assistance or education		7,934,415	0.87
Manage Accounts * Number of accounts maintained		960,821	8.44
Process Returns And Revenue * Number of tax returns processed		8,418,331	2.37
Account For Remittances * Number of distributions made		39,875	45.96
Determine Filing Compliance * Number of filing compliance exams completed and resulting in a notice of additional liability (See Note 1 below)		1,070,209	6.02
Select Cases For Tax Compliance Determination * Number of taxpayers selected for a tax compliance examination		25,058	123.18
Perform Audits * Number of audits completed		19,364	2,460.65
Discover Unregistered Taxpayers * Number of discovery examinations completed		4,714	1,876.83
Investigate Criminal Tax Avoidance * Number of criminal investigations completed		980	3,977.63
Collect Identified Liabilities * Number of collection cases resolved		745,208	54.15
Refund Tax Overpayments * Number of refund claims processed		132,392	30.23
Resolve Disputes * Number of audit disputes resolved		2,130	4,518.35
Answer Calls In Call Center * Number of calls answered by Call Center agents		642,532	5.26
TOTAL			447,664,058
SECTION III: RECONCILIATION TO BUDGET			
PASS THROUGHS			
TRANSFER - STATE AGENCIES			
AID TO LOCAL GOVERNMENTS			17,163,111
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS			
OTHER (SEE NOTE 2 BELOW)			46,772,517
REVERSIONS			25,888,295
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)			537,487,981

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.

Notes:

- (1) Data reported is through March 2012. Due to the implementation of Collection Analytics, the validation and reconciliation process for the final quarter's data will not be completed until December 2012.
- (2) Final output data for activities ACT3330 and ACT3340 will not be available until December 2012 pending validation of data resulting from implementation of CAMS earlier in the year. Since outputs were not entered for these activities, their expenditures do not appear in the Unit Cost Summary.

NUCSSP03 LAS/PBS SYSTEM
BUDGET PERIOD: 2003-2014
STATE OF FLORIDA

SP 09/27/2012 16:15
SCHED XI: AGENCY-LEVEL UNIT COST SUMMARY
AUDIT REPORT REVENUE, DEPARTMENT OF

ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:
1-8:
AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:
1-8: ACT3350 ACT4200

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
73300700	1304000000	ACT3330	PROCESS SUPPORT PAYMENTS	33,906,065	** See Note 1 Below **
73300700	1304000000	ACT3340	DISTRIBUTE SUPPORT PAYMENTS	12,866,452	** See Note 1 Below **

TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 73	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	537,512,934	
TOTAL BUDGET FOR AGENCY (SECTION III):	537,487,981	
DIFFERENCE:	24,953	** See Note 2 Below **
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

Notes:

(1) Final FY 2011-12 output data for these activities will not be available until December 2012 pending validation of data resulting from implementation earlier in the year. Since outputs were not entered for these activities, their expenditures do not appear in the Unit Cost Summary.

(2) Section 23 of 2012 House Bill 7087 provided \$226,884 in non-recurring funding in FY 2011-12 for purposes of administering the August 2012 sales tax holiday. Pursuant to the provisions of that section, \$24,976 of the funding that was not expended or encumbered during FY 2011-12 was reappropriated in 2012-13. Since the reappropriated funds were not a part of either expenditures or reversions for FY 2011-12, they are not reported in the Section III Total Budget Figure, and therefore account for \$24,976 of the difference shown above. The remaining (\$23) difference is the result of rounding.



Program Level Exhibits and Schedules

DEPARTMENT OF REVENUE

SCHEDULE IV-B

FOR

ONE-STOP BUSINESS REGISTRATION

FOR

FISCAL YEAR 2013-14



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget

October 15, 2012

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FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
ONE-STOP BUSINESS REGISTRATION

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Revenue	Schedule IV-B Submission Date: 10/15/12
Project Name: One Stop Business Registration Portal	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2013-14 LBR Issue Code: 36116C0	FY 2013-14 LBR Issue Title: One Stop Registration
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Joe Young, 850-717-7018, youngjo@dor.state.fl.us	
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: <i>Marshall Stranburg</i> Printed Name: Marshall Stranburg	Date: October 15, 2012
Agency Chief Information Officer (or equivalent): <i>Tony Powell</i> Printed Name: Tony Powell	Date: October 15, 2012
Budget Officer: <i>Joe Young</i> Printed Name: Joe Young	Date: October 15, 2012
Planning Officer: <i>Jessica Blaszczyk</i> Printed Name: Jessica Blaszczyk	Date: October 15, 2012
Project Sponsor: <i>Marshall Stranburg</i> Printed Name: Marshall Stranburg	Date: October 15, 2012
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Louis Panebianco, panebial@dor.state.fl.us 850-717-7690
Cost Benefit Analysis:	Louis Panebianco
Risk Analysis:	Louis Panebianco
Technology Planning:	Louis Panebianco
Project Planning:	Louis Panebianco

Preface

This project is based on the legislative requirement for the Department of Revenue to establish and implement, by January 1, 2013, a One-Stop Business Registration Portal. This legislation authorized the department to competitively procure and contract for services to develop and maintain the Internet website for the One-Stop Business Registration Portal. The department released an Invitation to Negotiate (ITN) in March 2012 and is currently in negotiations with prospective vendors on this development initiative. The contract is projected to be awarded during the month of November 2012.

The department has completed this schedule based on preliminary project information. Because the selected vendor's contractual responsibilities will include preparing the documentation for the project, and the contract has not yet been awarded, the detailed information that is usually included in the IV-B is not available at this time. The vendor will be completing the business case, risk assessment, current and proposed technology, project planning, and project management documentation for the project.

II. Schedule IV-B Business Case

A. Background and Strategic Needs Assessment

1. Agency Programs/Services Environment

Before a new business can open in Florida, the owner must register with several different state agencies and local government entities to comply with legal requirements for doing business in the state. The Departments of Business and Professional Regulation, Economic Opportunity, Financial Services, Lottery, Management Services, Revenue, State, and others, have registration requirements for businesses. Not only is it time consuming for businesses to register multiple times, it can be difficult for businesses to find out what their obligations are, because there is no central entry point to direct them to the information they need.

For several years, individual agencies have attempted to reduce the burden on businesses by simplifying the registration process and eliminating duplication. The Department of Business and Professional Regulation has streamlined registration requirements; the Department of Revenue has implemented one-stop registration for all taxes and fees it administers; and the Department of State has created a single business identifier format that can be used across state agencies. All three agencies have created on-line registration sites to make incorporation and registration processes more accessible for businesses.

2. Business Objectives

The overall objectives of the One-Stop Business Registration system are:

- Make it easier to start/create a business in Florida;
- Foster new business in Florida;
- Make it easier for the business community to understand and comply with existing state registration, permitting, and authorization to do business in Florida;
- Facilitate the creation of jobs every year by easing the registration process for new businesses;
- Reduce state agencies' costs and efforts in registering and maintaining business accounts;
- Promote cooperation, collaboration and efficiency between state agencies and local governments; and
- Reduce redundancy in registration information across the state.

B. Baseline Analysis

1. Current Business Process Requirements

While each of the agencies have made efforts to streamline the registration and licensing processes, the efficiencies gained have been limited to operations within each agency. Because the systems used for obtaining and processing data are agency-specific and are not compatible across agencies, similar (or identical) data must be entered multiple times by a business, and then validated and processed by each individual agency. The result is that both businesses and state government are expending time and resources on duplicative efforts, decreasing the resources available for increasing productivity. In addition, because businesses have no central entry point for determining their licensing and registration requirements, there is often a delay between the start-up of a business and its identification of all its obligations.

Specific business process requirements vary across the participating agencies, and will be identified, mapped, and coordinated as part of the design phase of the project.

2. Assumptions and Constraints

Chapter 2012-139, Laws of Florida, requires Department of Revenue to establish and implement, by January 1, 2013, a One-Stop Business Registration Portal. This legislation authorized the department to competitively procure and contract for services to develop and maintain the Internet website for the One-Stop Business Registration Portal.

Five other agencies are working with Revenue to design, develop, and implement the One-Stop Business Registration Portal:

- Department of Business and Professional Registration
- Department of Financial Services
- Department of the Lottery
- Department of Management Services
- Department of State

The portal will enable businesses to input all of their registration information by answering a series of questions from a “business wizard” program. Based on a business’s responses, the program will identify the requirements the business is subject to and forward the registration information to the appropriate agency websites and systems. This process will be transparent to the user of the one-stop portal.

Revenue issued an Invitation to Negotiate (ITN) in March 2012 and received five responses. The information contained in these responses has been shared with the technology contacts in several different agencies for evaluation and

determination of the next steps in the process. The information contained in these proposals included cost ranges, time frames, and software proposals for hosting the portal. Currently the ITN is in the negotiation phase. A final cost will be determined after the contract has been awarded, which should occur in November 2012, with work beginning soon thereafter.

C. Proposed Business Process Requirements

The business process requirements for the One-Stop Business Registration Portal will be established by the six participating agencies and documented by the vendor during the design phase of the project.

The five vendors who responded to the ITN have proposed various solutions. Their proposals are currently being evaluated during the ITN negotiation phase.

III. Schedule IV-B Cost Benefit Analysis

Because of the multi-agency nature of this project and because the vendor, solution, and budget for this project have not yet been identified, a detailed cost benefit analysis cannot be performed at this time.

Step 1: Benefits Realization Table - Preliminary

Benefits Realization Table						
	Description of Benefit	Tangible or Intangible	Who receives benefit?	How is benefit realized?	How will benefit be assessed/measured	Realization Date
1	Provide new businesses with a one-stop portal for business registrations and permits	Intangible	Business Community	One registration site that meets requirements for multiple agencies	To be determined	Beginning October 2013
2	Identify and reduce redundancies and potentially consolidate functions as the one-stop portal is phased in.	Tangible	Participating Agencies	One registration site that meets requirements for multiple agencies	To be determined	Beginning October 2013
3	Reduce the amount of time for a business enterprise to get started	Intangible	Business Community	Easier access to information needed to open a business and less time-consuming process	To be determined	Beginning October 2013
4	Increase business compliance with state registration regulations	Intangible	Business Community / State of Florida	Guided registration process identifies obligations and automatically routes user to the appropriate websites	To be determined	Beginning October 2013
5	Increase data integrity among agencies	Tangible	Participating Agencies / State of Florida	Single entry of basic information assures compatibility of agency systems	To be determined	Beginning October 2013

IV. Major Project Risk Assessment Component

The Department has completed a preliminary risk assessment using the IV-B risk assessment tool. At this time, based on the limited information available, the results of the risk assessment do not demonstrate a close alignment with the agency's business strategies. This apparent nonalignment appears to be a result of the lack of specific project documentation on which much of the risk assessment methodology depends. The selected vendor will produce this documentation and then a new risk assessment will be conducted, which will more accurately show the close relationship between this project and the business strategies of the Department of Revenue as well as the other participating agencies.

V. Technology Planning Component

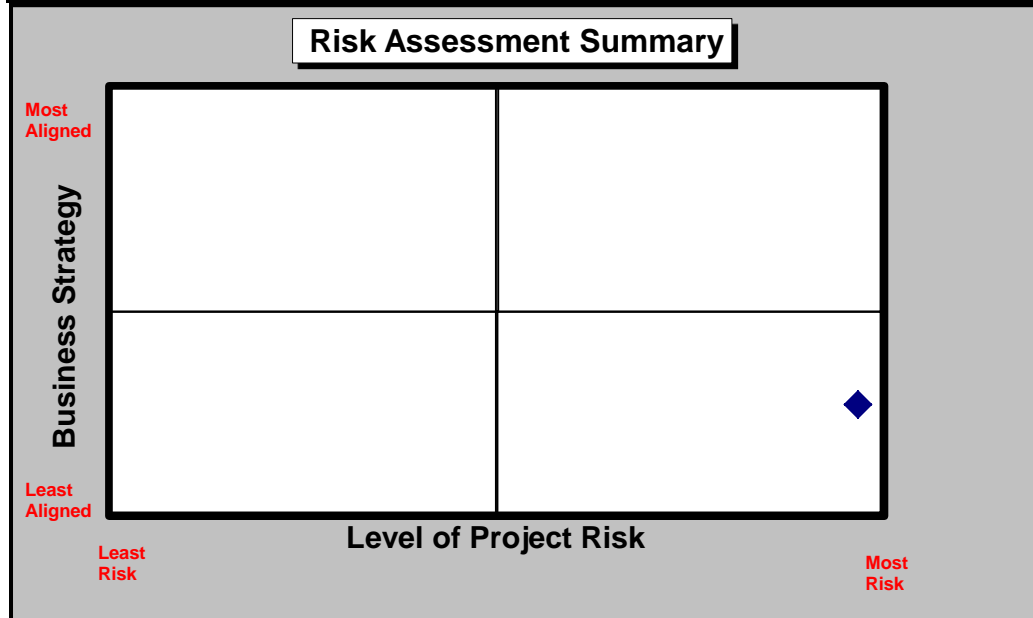
The Technology Planning Component will be part of the planning phase of the project once the vendor and proposed solution have been identified.

VI. Project Management Planning Component

A basic governance structure has been established and will be finalized once the ITN is awarded. An executive steering committee including the agency heads of each of the six core agencies (Business and Professional Regulation, Financial Services, Lottery, Management Services, Revenue, and State) is in place and has been guiding the project to this stage. A technology team with representatives from all of the participating agencies is also in place and functioning.

Project planning and management for the implementation of the One-Stop Business Registration Portal will begin with the selection of a vendor.

Project	<i>One Stop Business Registration Portal</i>	
Agency	<i>Revenue</i>	
FY 2013-14 LBR Issue Code:	FY 2013-14 LBR Issue Title:	
<i>Issue Code</i>	<i>Issue Title</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Louis Panebianco, 850-717-7690, panebial@dor.state.fl.us</i>		
Executive Sponsor	<i>Marshall Stranburg</i>	
Project Manager	<i>Louis Panebianco</i>	
Prepared By	<i>Louis Panebianco</i>	<i>9/12/2012</i>



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

Agency: Revenue

Project: One Stop Business Registration Portal

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

Agency: Revenue

Project: One Stop Business Registration Portal

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

Agency: Revenue

Project: One Stop Business Registration Portal

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

Agency: Agency Name

Project: Project Name

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

Agency: Revenue Project: One Stop Business Registration Portal

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	No
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	0% to 40% -- None or few defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$10 M
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	No
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
		Order of magnitude – estimate could vary between 10-100%	
		Placeholder – actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Neither requested nor received
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Firm Fixed Price (FFP)
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Timing of major hardware and software purchases has not yet been determined
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Revenue

Project: One Stop Business Registration Portal

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

Agency: Revenue

Project: One Stop Business Registration Portal

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	Some
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	0% to 40% -- None or few have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	0% to 40% -- None or few have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	0% to 40% -- None or few are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	None or few have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Only project manager signs-off
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	0% to 40% -- None or few have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
		No	
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	No or informal processes are used for status reporting
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	None or few have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	No
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	No
		No	

Agency: Revenue

Project: One Stop Business Registration Portal

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

DEPARTMENT OF REVENUE

SCHEDULE IV-B

FOR

MICROSOFT EXCHANGE EMAIL

IMPLEMENTATION

FOR

FISCAL YEAR 2013-14



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget

10/15/2012

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Revenue	Schedule IV-B Submission Date: October, 2012
Project Name: Microsoft Exchange Email Implementation	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2013-14 LBR Issue Code: 36210C0	FY 2013-14 LBR Issue Title: Microsoft Exchange Email Implementation
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Joe Young, 850-717-7018, youngjo@dor.state.fl.us	
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: <i>Marshall Stranburg</i> Printed Name: Marshall Stranburg	Date: October 15, 2012
Agency Chief Information Officer (or equivalent): <i>Tony Powell</i> Printed Name: Tony Powell	Date: October 15, 2012
Budget Officer: <i>Joe Young</i> Printed Name: Joe Young	Date: October 15, 2012
Planning Officer: <i>Jessica Blaszczyk</i> Printed Name: Jessica Blaszczyk	Date: October 15, 2012
Project Sponsor: <i>Tony Powell</i> Printed Name: Tony Powell	Date: October 15, 2012
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	n/a
Cost Benefit Analysis:	n/a
Risk Analysis:	Ralph Page, 717-7186, pagera@dor.state.fl.us
Technology Planning:	Anton Hurst, 717-6881, hursta@dor.state.fl.us Jimmie Harrell, 717-6812, harrelji@dor.state.fl.us
Project Planning:	Anton Hurst, 717-6881, hursta@dor.state.fl.us

II. Schedule IV-B Business Case

Business Case Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Background and Strategic Needs Assessment			X	X
Baseline Analysis			X	X
Proposed Business Process Requirements			X	X
Cost Benefit Analysis		X	X	X

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
2. Business Objectives

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
 - a. Inputs
 - b. Processing
 - c. Outputs
 - d. Business Process Interfaces
 - e. Business Process Participants
 - f. Process Mapping

2. Assumptions and Constraints

C. Proposed Business Process Requirements

Purpose: To establish a basis for understanding the business process requirements the proposed solution must meet and outline criteria the project will use in selecting an appropriate solution.

1. Proposed Business Process
2. Business Solution Alternatives
3. Rationale for Selection
4. Recommended Business Solution

III. Schedule IV-B Cost Benefit Analysis

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

A. The Cost-Benefit Analysis Forms

Purpose: To provide a comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed sources of funding.

Cost Benefit Analysis	
Form	Description of Data Captured
<i>Benefits Realization Table - Microsoft Word Template in Appendix C</i>	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

Step 1: *Benefits Realization Table (Appendix C)*

Benefits Realization Table						
	Description of Benefit	Tangible or Intangible	Who receives benefit?	How is benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
1						
2						
3						
4						
5						

Step 2: *CBA Workbook – CBA Form 1 Net Tangible Benefits* worksheet tab:

- a) CBA Form 1-A Net Tangible Benefits
- b) CBA-Form 1-B Character of Program Benefit Estimate

Step 3: *CBA Workbook – CBA Form 2 Project Costs* worksheet tab:

- a) CBA Form 2-A Project Cost
- b) CBA Form 2-B Character of Project Costs Estimate
- c) CBA Form 2-C Program(s) Costs for Current Operations
- d) CBA Form 2-D Character of Existing Program Cost Estimates

Step 4: *CBA Workbook – CBA Form 3 Project Investment Summary* worksheet tab:

- a) CBA Form 3-A Cost Benefit Analysis (enter no data, auto generated)
- b) CBA Form 3-B Return on Investment Analysis
- c) CBA Form 3-C Treasurer’s Investment Interest Earning Yield

C. Cost-Benefit Analysis Results

IV. Major Project Risk Assessment Component

A. Risk Assessment Tool (see Appendix A)

The risk assessment calculated for this project with the designated tool indicates the overall project risk is high.

B. Risk Assessment Summary

The required tool used in this project risk assessment covers eight major project risk assessment areas. The attached assessment (see Appendix A) shows these areas and the specific questions used for each to determine a risk level. The tool results in lower risk scores as more detailed planning and related activities are completed.

This project is still in the preplanning stage and as a result risk levels are inflated. These risk levels will reduce as additional planning occurs over time and should ultimately be low. Currently seven of the eight areas (*Strategic, Technology, Change Management, Fiscal, Project Organization, Project Management and Project Complexity*) are calculated at medium risk, with one – *Communication Assessment* at high.

One of the primary steps being planned to reduce actual risk to this project is the extensive use of Microsoft consultants for the duration of the project. Their expertise and experience with Microsoft Exchange implementations is invaluable and significantly lowers the risk to a minimal level.

V. Technology Planning Component

Technology Planning Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Current Information Technology Environment		X	X	X
Proposed Solution Description	X	X	X	X
Capacity Planning	X	X	X	X
Analysis of Alternatives	X	X	X	X

A. Current Information Technology Environment

1. Current System
 - a. Description of current system
 - b. Current system resource requirements
 - c. Current system performance
2. Strategic Information Technology Direction
3. Information Technology Standards

B. Proposed Solution Description

This request is for funds to transition from the Novell GroupWise email software to the Microsoft Exchange email system for the Department of Revenue. The department had previously anticipated transitioning from its current GroupWise product to the statewide email solution in the spring of 2011. The current system is no longer adequate for agency needs and has begun experiencing performance problems.

The dollar amount requested (\$1.5 million) is for additional Microsoft software licensing and for contract services to assist with the implementation. We will be exploring options and working with the SouthWood Shared Resource Center to implement a Microsoft Exchange email solution. These are one time start-up costs, with the ongoing costs to be covered by the agency's current email budget allocation.

This new email system will provide a more reliable platform for the department's electronic communication as well as improved capabilities for retrieving archived emails for public records requests and court cases. It will also allow for collaborative integration between the Department of Revenue SAP systems and the Microsoft email platform.

C. Capacity Planning

Florida Department of Revenue Email Services Capacity Plan

Document Control			
Current Version		1.0	
Last Reviewed Date		9/27/2012	
Next Review Date		9/27/2013	
Document Owner		DOR Capacity Manager	
Document History			
Date	Author	Version	Change Reference
9/27/2012	Jimmie Harrell	1	Created

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1. Executive Summary

Email services for the Florida Department of Revenue are provided by Novell GroupWise and administered by Revenue employees under the Network Security and Directory Services Team. Currently there are 1.5 FTE that administer email services. This Capacity Plan includes the current capacity levels for all production systems as well as forecasted levels.

This Capacity Plan will be reviewed and updated by the Capacity Manager annually.

2. Business Scenarios

The Business Services that comprise Revenue’s email services are realized on Windows 2008 and Novell servers located in 2 data centers, Southwood Shared Resource Center (SSRC) and Northwest Regional Data Center (NWRDC), and 57 remote field sites. These services consist of 12 domain-level Message Transfer Agents (MTA) and 63 Post Office Agents (POA); 57 of the POA are co-located on servers with file/print services; 6 are dedicated POA servers.

These POAs support 7297 users, 247 resources, and 474 distribution lists for the Department as well as 502 external users.

Archiving of email is accomplished using Computer Associates Mail Archive solution. This system loads all emails into a searchable database.

Host Name	Business Service	Server Model	CPU Cores	CPU Speed	RAM GB	Purchased date
SDRMS001	GroupWise MTA	Dell PE2400				9/28/2001
SDRMS003	GroupWise MTA	Dell M600	4	3000	32	7/6/2008
SDRMS005	GroupWise MTA	Dell M600	4	3000	32	7/6/2008
FDORDOM1	GroupWise MTA	Dell M600	4	3000	32	7/6/2008
FDORDOM2	GroupWise MTA	Dell M600	4	3000	32	7/6/2008
FDORDOM3	GroupWise MTA	Dell M600	4	3000	32	7/6/2008
FDORDOM4	GroupWise MTA	Dell M600	4	3000	32	7/6/2008
SDRMS008	GroupWise MTA	Dell PE2550				11/15/2002
FDORPO1	GroupWise POA	Dell PE2950				2008
SDRFSC01	GroupWise POA	HP BL460	8	3000	32	7/2009
SDRPO005	GroupWise POA	HP BL460	8	3000	32	7/2009
SDRPO006	GroupWise POA	HP BL460	8	3000	32	7/2009
SDRMAAR3	GroupWise Archive DB	Virtual	2	3000	32	NA

3. *Scope*

The Email Services Capacity Plan includes all production Configuration Items (CIs):

- Windows Servers
 - SDRMS003
 - SDRMS005
 - FDORDOM1
 - FDORDOM2
 - FDORDOM3
 - FDORDOM4
 - FDORPO1
 - SDRFSC01
 - SDRPO005
 - SDRPO006
 - SDRMAAR3
- Novell Servers
 - SDRMS001
 - SDRMS008

The scope also includes the mail share located on Revenue's 57 Windows 2008 field servers.

4. *Methods Used*

This Capacity Plan uses information gathered by or furnished to the Capacity Manager and Capacity Analyst.

Service levels are obtained through HP Business Availability Center (BAC) for each CI and reported to the Capacity Manager by email. These reports are current month-to-date reports and are reviewed by the Capacity Manager daily. Additional trending and base lining reports can be run from the BAC on an as-needed basis.

The data gathered from the BAC include the following for each CI in scope. This information is reported daily and is used to trend resources.

#	Measure
1	Disk Space used on Windows Server

Thresholds for the above measure are as follows:

Disk space: Warning at 85%
Error at 95%

When warning thresholds have been reached, the BAC sends the Capacity Manager an email. The Capacity Manager investigates the warning and takes appropriate steps to resolve the warning.

When error thresholds have been exceeded, the BAC sends the Capacity Manager an email. The Capacity Manager investigates the error, creates an incident ticket for the error, and forwards it to the responsible analyst for action.

If a configuration item has more than 5 warnings/errors in a 30 day period, the Capacity Manager reports the condition to the Problem Manager for escalation.

5. Assumptions

The information in this Capacity Plan is based on the following assumptions about the current email system capacity requirements:

- The Department will continue phasing out Novell E-directory in favor of Microsoft AD.
- Microsoft AD will be the primary authentication source for Revenue’s business services.
- The Department will continue to use Novell GroupWise as the primary email service.

The capacity requirements for the three options for service improvements (listed in Section 7 below) would be similar to the current email system requirements.

6. Resource Summary

The following summary of configuration items was gathered on September 1, 2012.

Hostname	Disk space Available GB	Disk space used GB	Forecasted size GB 9/1/2013
SDRMS001	5	2.15	2.15
SDRMS003	48	4	4
SDRMS005	47	15	15
FDORDOM1	165	.2	.2
FDORDOM2	354	1	1
FDORDOM3	163	11	11
FDORDOM4	163	7	7
SDRMS008	15	2.1	2.1
FDORPO1	478	317	355
SDRFSC01	1000	150	168
SDRPO005	265	109	122
SDRPO006	209	102	114
Mail volumes field sites		268	300
SDRMAAR3	7900	7600	9500

#	Resource Capacity Requirements
1	Disk % Full should not exceed 95%.

Resource forecast and trends:

Utilization of email services is driven by the number of email accounts and business and personal use of email. The number of internal email accounts has been stable at approximately 7,300 for the past planning cycle and is expected to remain relatively constant over the next year. External accounts, at approximately 500, are also not expected to grow in the coming year.

Overall, the number of email accounts is stable and not expected to grow due to business needs in the coming year.

Current email traffic at Revenue is 1 - 1.5 million messages per day. This includes all internal email (500,000 - 800,000) and SMTP (700,000 - 900,000). These numbers have been growing modestly, 2 to 5 percent per year, for the past 5 years. This growth rate is expected to continue for the next 5 years.

As required by the current policy for online email retention, messages stay in the inbox for 30 days and then in the trash for 7 days before being purged. The growth for online POA disk space has been less than 2 percent per month and this is expected to be the growth rate for the next 12 months.

7. Options for Service Improvements

The Department identified the following options for its email system:

1. Continue to use the existing email system.

The database server for the current archive solution, SDRMAAR3, will require more disk capacity to manage the 2 percent growth rate. It currently has capacity for less than 1 month. A change request has been submitted to the SSRC to add 1 TB of disk space to this server.

The configuration items that make up the business services are past or nearing end of life and will require replacement within 12-24 months. The GroupWise archive solution has exceeded the capacity it was designed for and is no longer reliable.

The software level for Revenue's Novell GroupWise is at version 7 and at end-of-life for Novell support. The software will have to be upgraded or replaced with another email solution within the next year.

2. Upgrade GroupWise and continue using the existing email system.

Upgrading GroupWise would resolve the issue of non-supported software. The other issues discussed under Option 1 would still apply.

3. Transition to a Microsoft Exchange Email solution.

The department's file stores would be transitioned from UNIX and Novell NetWare to the Microsoft Windows Operating System (OS), resolving email storage and archiving problems, as well as system reliability concerns.

8. *Recommendation*

The department recommends Option 3, transitioning to a Microsoft Exchange Email solution. This option would lessen the complexity of Revenue's technology infrastructure, establish an email system that is compatible with Revenue's business software, provide for adequate email storage and faster retrieval, and prepare the department for eventual transition to a state-wide Microsoft Exchange Email solution, when and if that occurs. See section D, "Analysis of Alternatives," for more information on the three options and the department's recommendation.

D. Analysis of Alternatives

The Department of Revenue has been moving from a very diverse technological infrastructure to a more standard operating environment (SOE) in order to reduce maintenance cost and improve business agility. This move to a Microsoft Exchange email is a significant step in that SOE initiative.

The current GroupWise email solution is incompatible with the SAP business software that is used by the department. This incompatibility between Revenue's SAP business software and its GroupWise email software hinders user collaboration, produces redundant work, and increases errors. Additionally, the GroupWise archive solution has exceeded the capacity it was designed for, is no longer reliable, and is extremely unwieldy.

When the statewide email solution, Message Florida, was cancelled earlier this year, the department began reviewing its alternatives. They are:

1. Do nothing. This is an unacceptable solution as the current GroupWise email solution is experiencing severe problems with email archiving, putting the department at risk of failing to meet statutory requirements for records retention. Also GroupWise is not compatible with the SAP systems used for Revenue's major systems.
2. Invest in upgrading GroupWise and continue using the existing email solution. This option is considered an undesirable choice as significant costs would be incurred to resolve issues with email storage and archiving, which would likely be discarded when a statewide solution is implemented. And again, GroupWise is not compatible with the SAP systems used for Revenue's major systems.
3. Transition to a Microsoft Exchange Email solution. This option is the most favorable for the department as it addresses critical issues with the current solution and also provides for a much easier transition to a statewide solution, also anticipated to be based on Microsoft Exchange, if and when that occurs. It allows the department to immediately address email archive issues and also provide a solution compatible with its SAP systems.

VI. Project Management Planning Component

Project Management Section	\$1-1.99 M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Project Charter	X	X	X	X
Work Breakdown Structure	X	X	X	X
Project Schedule	X	X	X	X
Project Budget	X	X	X	X
Project Organization			X	X
Project Quality Control			X	X
External Project Oversight			X	X
Risk Management			X	X
Organizational Change Management			X	X
Project Communication			X	X
Special Authorization Requirements			X	X

A. Project Charter

Project Need

The Department of Revenue has been moving from a very diverse technological infrastructure to a more standard operating environment (SOE) in order to reduce maintenance cost and improve business agility. This move to a Microsoft Exchange email is a significant step in that SOE initiative.

The current GroupWise email solution is incompatible with the SAP business software that is used by the department. This incompatibility between Revenue's SAP business software and its GroupWise email software hinders user collaboration, produces redundant work, and increases errors. Additionally, the GroupWise archive solution has exceeded the capacity it was designed for, is no longer reliable, and is extremely unwieldy.

Project Goal

The proposed solution would allow Revenue to achieve the following goals:

- Transition from the Novell GroupWise email software to the Microsoft Exchange email software. This would allow for collaborative integration between the department's SAP systems and the Microsoft email platform.
- Transition the file stores within the department from UNIX and Novell NetWare to the Microsoft Windows Operating System (OS).
- Reduce the number of operating systems maintained by Revenue.
- Resolve email archive problems going forward.

Project Scope

The project scope includes the transition from the current GroupWise email system to a Microsoft Exchange email solution. It includes determining the most appropriate hosting solution, factoring in start-up and ongoing costs, ability to maintain, archiving, security and disaster recovery capabilities.

Project Objectives

Statement of Work

1. Determine hosting solution
2. Purchase necessary software licenses
3. Procure required hardware or hosting agreement
4. Provision Exchange mailboxes
5. Migrate data from GroupWise to Exchange
6. Run pilot group
7. Phase in all users
8. Decommission GroupWise hardware

Timing

The project should be completed by June 1, 2014.

Project Risks

Constraints, Assumptions, Risks

Constraints

- Staff availability
- Statutes regarding email hosting
- Funding

Assumptions

- Funding is available
- A statewide solution is not enacted by the Legislature

Risks

- Losing features of current system
- Staff adaptability (learning new system)
- Loss of data (in-boxes, address books, calendars, archives)
- Conversion from existing system may not be smooth

Project Team To be determined

Project Sponsors Department of Revenue Chief Information Officer

Project Lead To be determined

B. Work Breakdown Structure

ID	Task Name	Work	Duration	Start	Finish	Predecessors
36	1.3.2.1 Review design and requirements	64 hrs	8 days	Thu 7/28/13	Mon 8/11/13	
37	1.3.2.2 Update Risk Assessment	8 hrs	1 day	Tue 8/12/13	Tue 8/12/13	36,26
38	1.3.2.3 Communication	16 hrs	2 days	Wed 8/13/13	Thu 9/14/13	37
39	1.3.2.4 Education/Training	120 hrs	15 days	Thu 7/28/13	Wed 8/20/13	
40	1.3.3 Developing - Synchronization and updates	8 hrs	1 day	Fri 9/15/13	Fri 9/15/13	
41	1.3.3.1 Customer Review	8 hrs	1 day	Fri 9/15/13	Fri 9/15/13	38
42	1.4 Stabilizing	224 hrs	14 days	Tue 11/18/13	Fri 12/5/13	27
43	1.4.1 Project Management	112 hrs	14 days	Tue 12/18/13	Fri 1/5/14	
44	1.4.2 Execute Test Plans	16 hrs	2 days	Tue 12/18/13	Wed 12/19/13	
45	1.4.3 Address bugs from Testing	16 hrs	2 days	Thu 12/20/13	Fri 12/21/13	44
46	1.4.4 Test bugs and re-test critical items	16 hrs	2 days	Mon 12/24/13	Tue 12/25/13	45
47	1.4.5 User Acceptance Testing Kick-off	16 hrs	2 days	Wed 12/26/13	Thu 12/27/13	46
48	1.4.6 Address bugs from User Testing	32 hrs	4 days	Fri 12/28/13		
49	1.4.7 Test bugs and re-test critical items from User Testing	16 hrs	2 days	Thu 12/4/13	Fri 12/5/13	48
50	1.5 Deploying	1,408 hrs	68 days	Mon 12/8/13	Wed 3/19/14	42
51	1.5.1 Project Management	544 hrs	68 days	Mon 12/8/13	Wed 2/19/14	
52	1.5.2 Deploy Pilot	224 hrs	28 days	Mon 12/8/13	Wed 1/14/14	
53	1.5.3 Phased Production Roll Out	640 hrs	40 days	Thu 1/15/14	Wed 3/9/14	52
54	1.6 Change Control Reserve	160 hrs	20 days	Mon 7/7/14	Fri 8/1/14	

Project: Sample GW to O365 Migration Date: Fri 9/28/12	Task		External Milestone		Manual Summary Rollup	
	Split		Inactive Task		Manual Summary	
	Milestone		Inactive Milestone		Start-only	
	Summary		Inactive Summary		Finish-only	
	Project Summary		Manual Task		Progress	
	External Tasks		Duration-only		Deadline	

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C. Resource Loaded Project Schedule

Implementation Timeline

The Florida Department of Revenue has extensive experience implementing large scale IT projects. Similar methodologies will be utilized to implement this project. The proposed timeline for this project is as follows:

<u>Milestone</u>	<u>Start Date</u>	<u>End Date</u>
Requirements Definition	7-1-2013	9-1-2013
Implementation with various release phases	10-1-2013	4-1-2014
Project Closeout	6-1-2014	
Begin Warranty Period	6-1-2014	

D. Project Budget

The total cost for this project is projected to be \$1,500,000, which includes \$693,484 for software licenses and \$806,516 for consulting services to assist with the implementation. The recurring maintenance cost will average 18% of the license purchase price, \$124,827 annually. This will replace, in part, the \$480,000 currently expended annually for the Novell GroupWise product support email functionality within DOR.

Microsoft Licenses Required		Cost / Lic	# of licenses	Total Cost
PGI-00019	ExchgEntCAL 2010 SNGL MVL DvcCAL woSrvcs	\$23.79	5,100	\$121,329.00
PGI-00020	ExchgEntCAL 2010 SNGL MVL UsrCAL woSrvcs	\$23.79	5,100	\$121,329.00
381-04224	ExchgEntCAL 2010 SNGL MVL DvcCAL	\$41.13	5,100	\$209,763.00
381-04225	ExchgEntCAL 2010 SNGL MVL UsrCAL	\$41.13	5,100	\$209,763.00
395-04385	ExchgSvrEnt 2010 SNGL MVL	\$2,292.78	1	\$2,292.78
394-01302	ExchgSvrExtConn 2010 SNGL MVL	\$28,606.40	1	\$28,606.40
312-04070	ExchgSvrStd 2010 SNGL MVL	\$400.88	1	\$400.88
TOTAL LICENSE AMOUNT				\$693,484.06

Microsoft License Costs:	\$693,484
Microsoft Consulting:	<u>\$806,516</u>
TOTAL	\$1,500,000

E. Project Organization

Purpose: To determine whether an appropriate project organizational and governance structure will be in place and operational in time to support the needs of the project.

F. Project Quality Control

Purpose: To understand project quality requirements and ensure that effective quality control processes and procedures are in place and operational in time to support the needs of the project.

G. External Project Oversight

Purpose: To understand any unique oversight requirements or mechanisms required by this project.

H. Risk Management

Purpose: To ensure that the appropriate processes are in place to identify, assess, and mitigate major project risks that could prevent the successful completion of this project.

Step 1: Identify major risks to project success

Step 2: Assess the potential impact of each risk and its probability of occurrence

Step 3: Determine appropriate contingency plans

Step 4: Determine the acceptable level of tolerance for each risk

Step 5: Specify mitigation strategies to be implemented for each risk

Step 6: Periodically review the effectiveness of mitigation strategies and identifying any new risks.

Risk Description/Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Mitigation Strategy	Assigned Owner
1.				
2.				
3.				
4.				
5.				

I. Organizational Change Management

Purpose: To increase the understanding of the key requirements for managing the changes and transformation that the users and process owners will have to implement for the proposed project to be successful.

J. Project Communication

Purpose: To ensure that effective communication processes are in place to disseminate information and receive feedback from users, participants, and other project stakeholders to facilitate project success.

K. Special Authorization Requirements

Purpose: To understand any project specific authorizations that must be received for the proposed project or solution.

VII. Appendix

Appendix A: Project Risk Assessment Tool

IT Project Risk Assessment Tool Schedule IV-B Fiscal Year 2013-2014

Project	Microsoft Exchange Email Implementation	
Agency	Department of Revenue	
FY 2013-14 LBR Issue Code:	FY 2013-14 LBR Issue Title:	
36210C0	Microsoft Exchange Email Implementation	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Anton Hurst — (850) 717-6881 — hursta@dor.state.fl.us		
Executive Sponsor	Tony Powell	
Project Manager	To be determined	
Prepared By	Ralph Page	10/2/2012

Risk Assessment Summary		
Business Strategy	Most Aligned	Level of Project Risk
	Least Aligned	
		Least Risk
	◆	Most Risk

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

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MICROSOFT EXCHANGE EMAIL IMPLEMENTATION**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2013-2014
Agency: Department of Revenue		Project: Microsoft Exchange Email Implementation	
Section 1 – Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% – Few or no objectives aligned 41% to 80% – Some objectives aligned 81% to 100% – All or nearly all objectives aligned	81% to 100% – All or nearly all objectives aligned
1.02	Are the project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders Informal agreement by stakeholders Documented with sign-off by stakeholders	Informal agreement by stakeholders
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved Most regularly attend executive steering committee meetings Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	Most regularly attend executive steering committee meetings
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented Vision is partially documented Vision is completely documented	Vision is partially documented
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% – Few or none defined and documented 41% to 80% – Some defined and documented 81% to 100% – All or nearly all defined and documented	81% to 100% – All or nearly all defined and documented
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed Changes unknown Changes are identified in concept only Changes are identified and documented Legislation or proposed rule change is drafted	Changes are identified in concept only
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none Some All or nearly all	Some
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility Moderate external use or visibility Extensive external use or visibility	Moderate external use or visibility
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility Single agency-wide use or visibility Use or visibility at division and/or bureau level only	Single agency-wide use or visibility
1.10	Is this a multi-year project?	Greater than 5 years Between 3 and 5 years Between 1 and 3 years 1 year or less	1 year or less

Tab: 1_Strategic

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MICROSOFT EXCHANGE EMAIL IMPLEMENTATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2013-2014

Agency: Department of Revenue

Project: Microsoft Exchange Email Implementation

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

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MICROSOFT EXCHANGE EMAIL IMPLEMENTATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2013-2014

Agency: Department of Revenue

Project: Microsoft Exchange Email Implementation

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

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MICROSOFT EXCHANGE EMAIL IMPLEMENTATION**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2013-2014
Agency: Agency Name		Project: Project Name	
Section 4 – Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	No
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Negligible or no feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	No
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	No
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Plan does not include key messages
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	No
		No	

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MICROSOFT EXCHANGE EMAIL IMPLEMENTATION**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2013-2014
Agency: Department of Revenue		Project: Microsoft Exchange Email Implementation	
Section 5 – Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	Yes
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% – None or few defined and documented 41% to 80% – Some defined and documented 81% to 100% – All or nearly all defined and documented	41% to 80% – Some defined and documented
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K	Greater than \$10 M
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes No	Yes
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100%	Order of magnitude – estimate could vary between 10-100%
5.06	Are funds available within existing agency resources to complete this project?	Yes No	No
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency Funding from local government agencies Funding from other state agencies	Funding from single agency
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received Requested but not received Requested and received Not applicable	Not applicable
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated	All or nearly all project benefits have been identified and validated
5.10	What is the benefit payback period that is defined and documented?	Within 1 year Within 3 years Within 5 years More than 5 years No payback	Within 5 years
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy	Stakeholders have reviewed and approved the proposed procurement strategy
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E	Firm Fixed Price (FFP)

Tab: 5_Fiscal

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MICROSOFT EXCHANGE EMAIL IMPLEMENTATION**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2013-2014
Agency: Department of Revenue		Project: Microsoft Exchange Email Implementation	
Section 5 – Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Yes, bid response did/will include proof of concept or prototype
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MICROSOFT EXCHANGE EMAIL IMPLEMENTATION**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2013-2014

Agency: Department of Revenue

Project: Microsoft Exchange Email Implementation

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

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MICROSOFT EXCHANGE EMAIL IMPLEMENTATION

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2013-2014

Agency: Department of Revenue

Project: Microsoft Exchange Email Implementation

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

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MICROSOFT EXCHANGE EMAIL IMPLEMENTATION**

IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2013-2014
Agency: Department of Revenue		Project: Microsoft Exchange Email Implementation	
Section 7 – Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team uses formal processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
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IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2013-2014

Agency: Department of Revenue

Project: Microsoft Exchange Email Implementation

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

Tab: 8_Complexity

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Technical Checklist LBR Review

Fiscal Year 2013-14 LBR Technical Review Checklist

Department/Budget Entity (Service): Revenue / All Budget Entities
Agency Budget Officer/OPB Analyst Name: Joe Young / Danielle Frankel

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Action	Program or Service (Budget Entity Codes)											
	73010100	73200500	73200700	73300600	73300700	73300800	73300900	73401000	73401100	73401200	73401300	73710100

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)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.4 Has security been set correctly? (CSDR, CSA)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

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2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 30)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)												
3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Fiscal Year 2013-14 LBR Technical Review Checklist

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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?												
4.2 Is the program component code and title used correct?												
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.												
5. EXHIBIT D-1 (ED1R, EXD1)												
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:												

Fiscal Year 2013-14 LBR Technical Review Checklist

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5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.												
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.												
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2011-12 approved budget. Amounts should be positive.												

Fiscal Year 2013-14 LBR Technical Review Checklist

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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?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.												
7. EXHIBIT D-3A (EADR, ED3A)												
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 30 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 66-67 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

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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.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

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7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.15 Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 29 and 88 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.17 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Fiscal Year 2013-14 LBR Technical Review Checklist

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7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.23 Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.												
TIP The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.												

Fiscal Year 2013-14 LBR Technical Review Checklist

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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?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.2 Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Fiscal Year 2013-14 LBR Technical Review Checklist

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Agency Budget Officer/OPB Analyst Name: Joe Young / Danielle Frankel

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8.5 Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.10 Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

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8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.20 Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

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8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.24 Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.25 Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.27 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.28 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
AUDITS:												
8.29 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

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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")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.31 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!												
TIP Determine if the agency is scheduled for trust fund review. (See page 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.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

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10. SCHEDULE III (PSCR, SC3)												
10.1 Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 97 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)												
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.												
12. SCHEDULE VIIIA (EADR, SC8A)												
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)												
13.1 NOT REQUIRED FOR THIS YEAR	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
15. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detailed instructions)												

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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 information.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
15.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

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15.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
15.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.												
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?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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.												

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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?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.5 Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
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?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.												
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?												