



FLORIDA DEPARTMENT of

management SERVICES

We serve those who serve Florida

4050 Esplanade Way
Tallahassee, FL 32399-0950
Tel: 850-488-2786 | Fax: 850-922-6149

Rick Scott, Governor

Craig J. Nichols, Agency Secretary

LEGISLATIVE BUDGET REQUEST

Department of Management Services

Tallahassee

October 15, 2013

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

JoAnne Leznoff, Staff Director
House Appropriations Committee
The Capitol, Room 221
Tallahassee, FL 32399-1300

Mike Hansen, Staff Director
Senate Appropriations Committee
The Capitol, Room 201
Tallahassee, FL 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Management Services is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2014-15 fiscal year.

Sincerely,

Craig J. Nichols
Agency Secretary



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Temporary Special Duty-General Pay Additives Implementation Plan FY 2014-15

N/A



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DEPARTMENT LEVEL

EXHIBITS AND SCHEDULES



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FY 2014-15 Schedule IV-C Recurring Information Technology Budget Planning 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:	Florida Department of Management Services		
Contact Person:	Matt Minno, Esq.	Phone Number:	850-922-6617
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Blairstone Delaware, LLC vs. State of Florida, Department of Corrections and State of Florida, Department of Management Services.		
Court with Jurisdiction:	Circuit Court Leon County Florida		
Case Number:	2012 CA 4007		
Summary of the Complaint:	The Florida Department of Corrections exercised the termination clause in its lease located on Blairstone Road, Tallahassee Florida due to other state owned lease space becoming available. The Plaintiff alleges that FDOC did not relocate all of its employees to state owned property and that FDOC failed to state why the proposed relocation was in the best interest of the State. Florida Department of Management Services failed to follow Florida statutes by not making a reasonable effort to place another state agency in the premises and make FDOC state why the relocation was in the best interest of the state.		
Amount of the Claim:	\$ potentially in excess of \$ 500,000.00 exact amount unknown		
Specific Statutes or Laws (including GAA) Challenged:	Section 255.249, Florida Statutes		
Status of the Case:	Pending the lawsuit was just amended to include DMS		
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).	NA		

Schedule VII: Agency Litigation Inventory

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

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

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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Office of Policy and Budget – July 2013

Schedule VII: Agency Litigation Inventory

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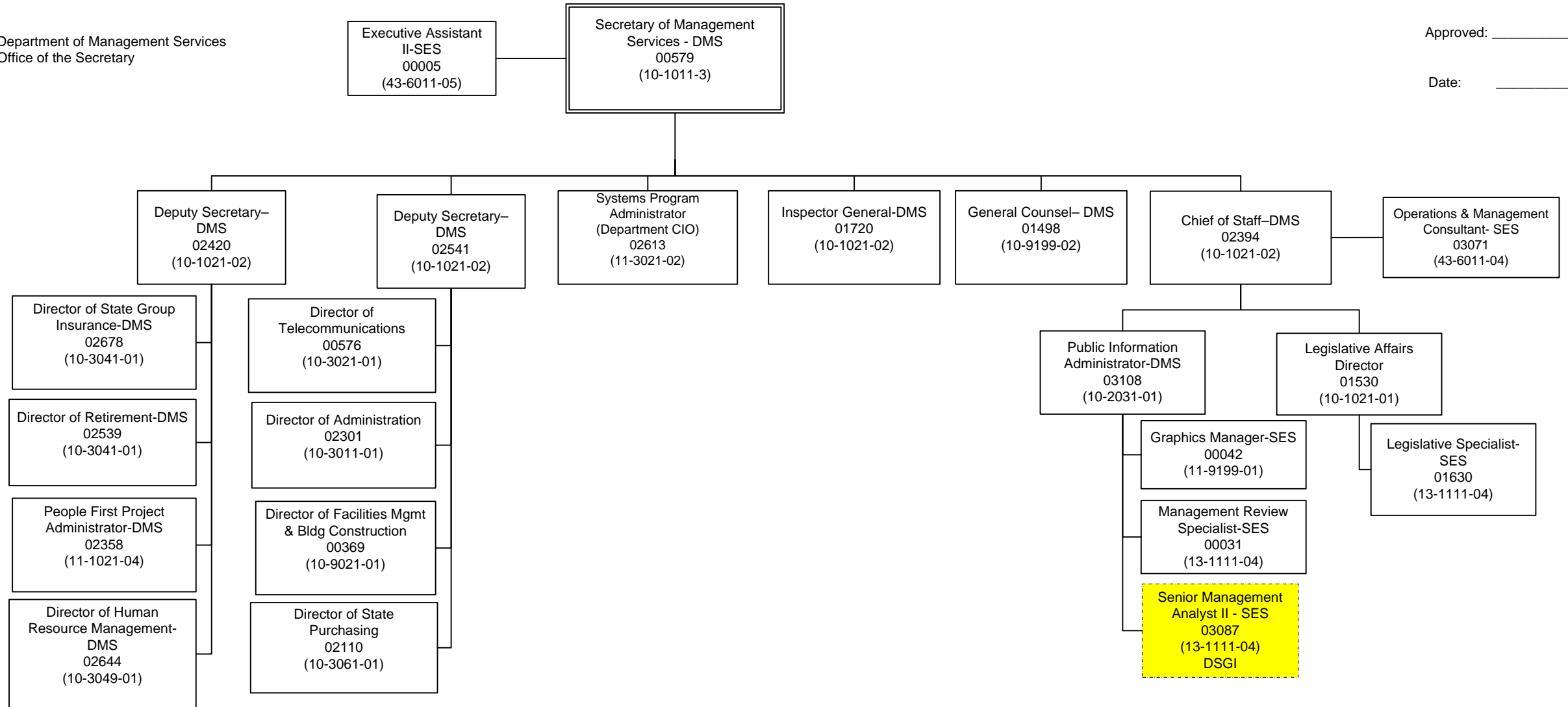
Agency:	Department of Management Services		
Contact Person:	Josie Tamayo	Phone Number:	488-0229
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	George Williams, et al. v. Rick Scott, et al.		
Court with Jurisdiction:	Florida Supreme Court		
Case Number:	Supreme Court Case No.: SC12 – 520 First District Court of Appeals Case No.: 2011 CA 1584 Circuit Court Case No.: 1 D12-1269		
Summary of the Complaint:	<p>On June 20, 2011, various plaintiffs (labor unions and individual employees) filed a complaint in the Circuit Court for Leon County against the Secretary of the Department of Management Services, Governor Rick Scott, Chief Financial Officer Jeff Atwater, and Attorney General Pam Bondi, in their collective capacities as the trustees of the State Board of Administration. The complaint challenged the constitutionality of certain changes to the Florida Retirement System contained in Chapter 2011-68, Laws of Florida. Specifically, the plaintiffs alleged that the requirement that, effective July 1, 2011, FRS members must contribute three percent of their gross compensation to the FRS trust fund, and the elimination of a cost-of-living adjustment for work performed on and after July 1, 2011, constituted an unconstitutional impairment of contract, taking of private property, and abridgment of the right to collective bargaining.</p>		
Amount of the Claim:	\$ 817,111.00		
Specific Statutes or Laws (including GAA) Challenged:	Florida Constitution – Article I, Sections 6 and 10; Article X, Section 6(a)		
Status of the Case:	<p>The Circuit Court ruled on March 6, 2012, on a motion for summary judgment, in favor of the plaintiffs, finding that the action of the Legislature violated the state constitution as alleged. The Supreme Court accepted certification of the case and heard oral argument September 7, 2012. The Court issued its ruling on January 17, 2013, reversing the decision of the Circuit Court in finding that the Legislature’s actions did not violate the provisions of the Florida</p>		

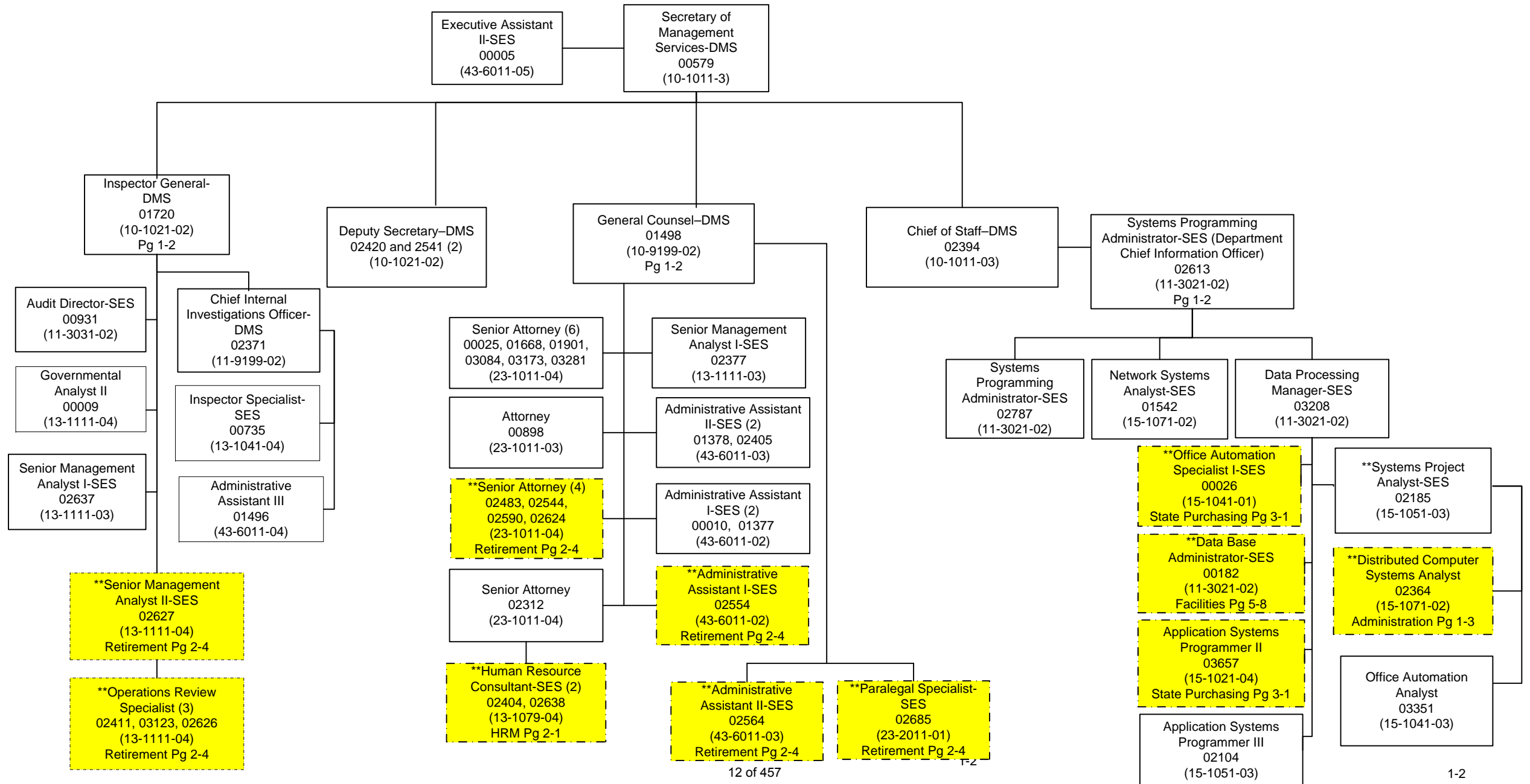
	Constitution as claimed. The Court issued a mandate on March 26, 2013.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

Office of Policy and Budget – July 2013

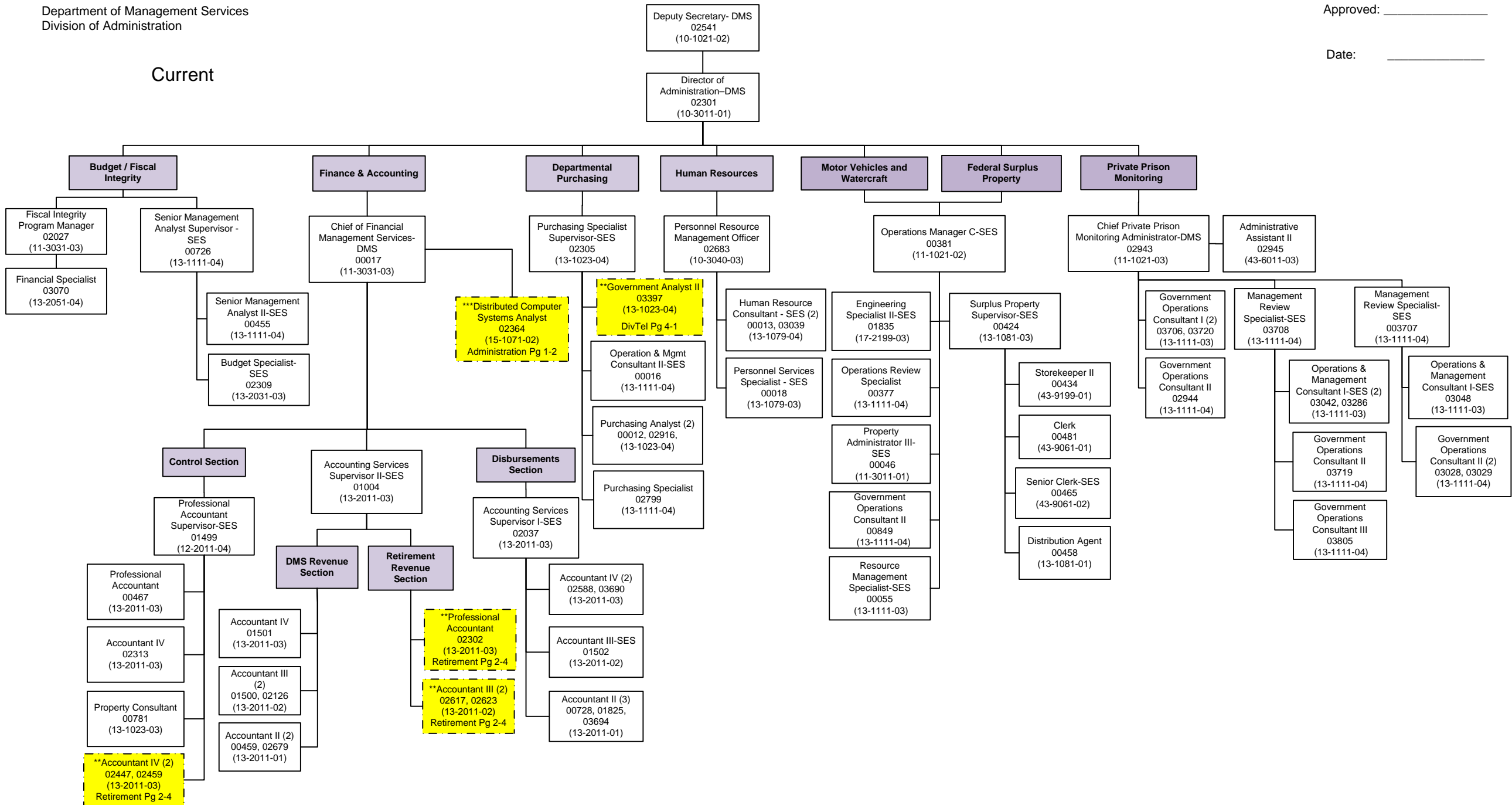
**DEPARTMENT OF MANAGEMENT SERVICES
 ORGANIZATION CHARTS (2014-2015 FY LBR Submission/October 2013)
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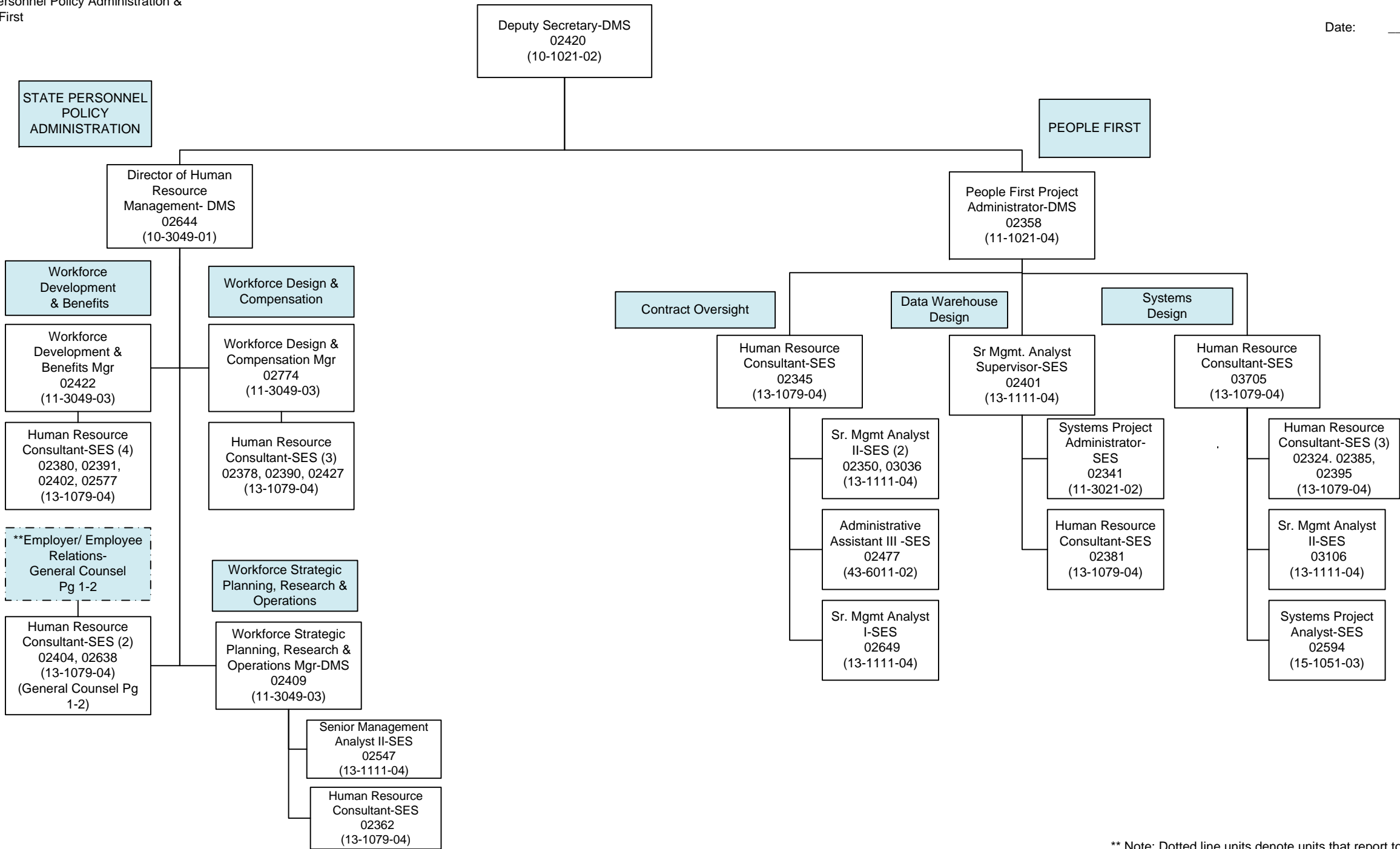


Current



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

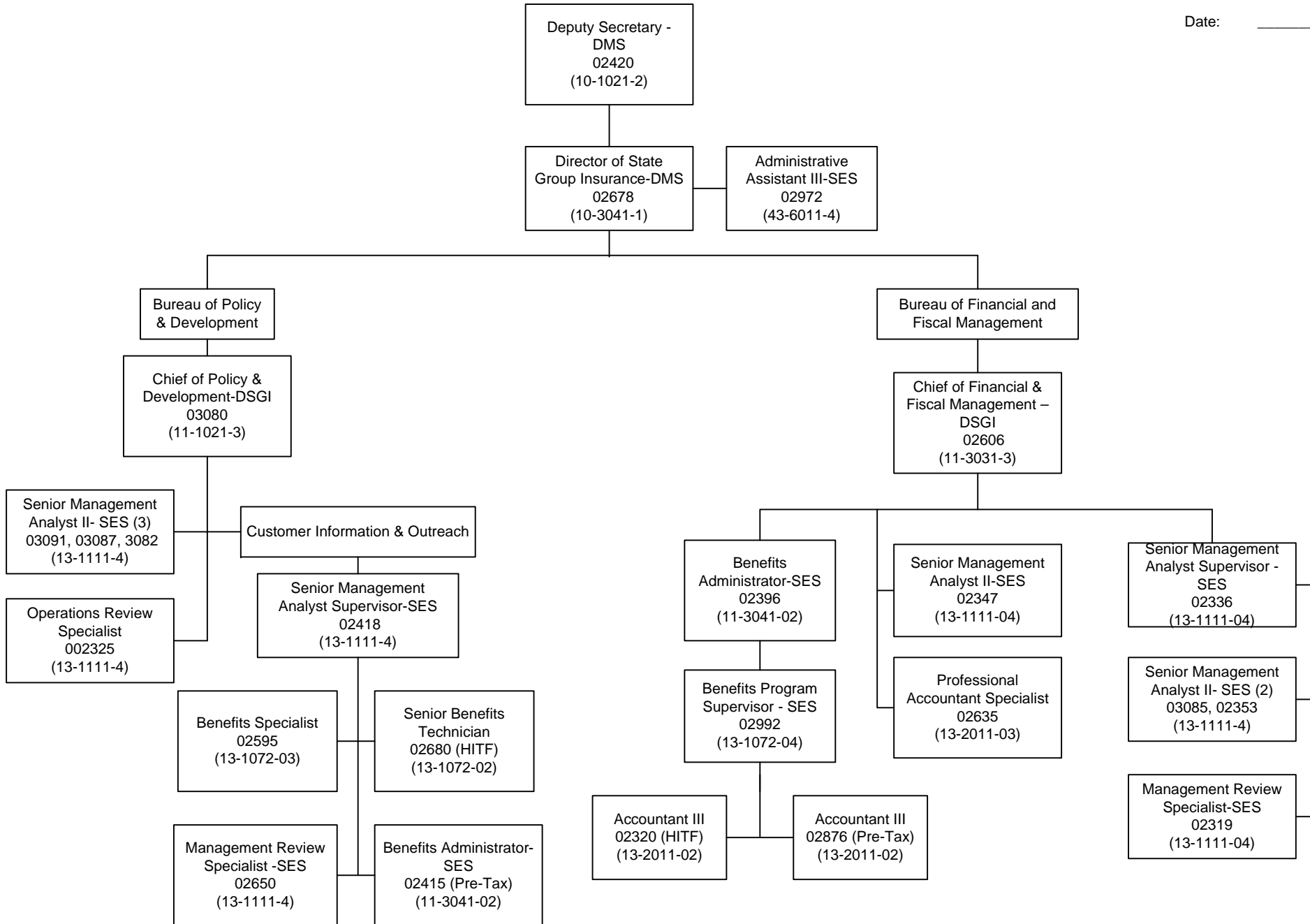
***Note: Dotted line boxes denote positions reporting to other areas.

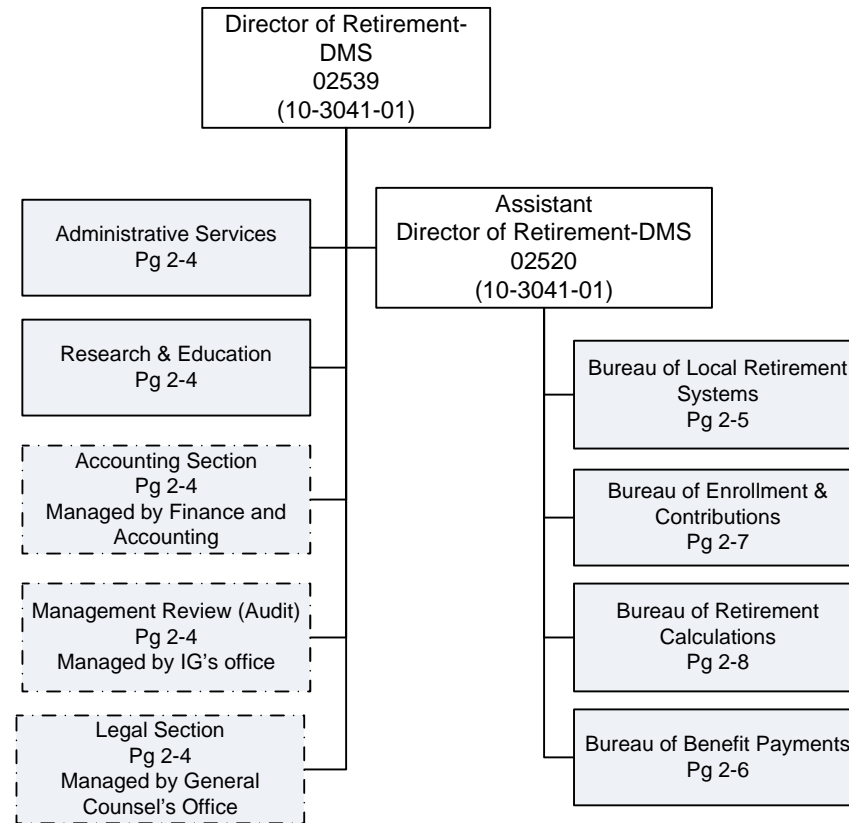


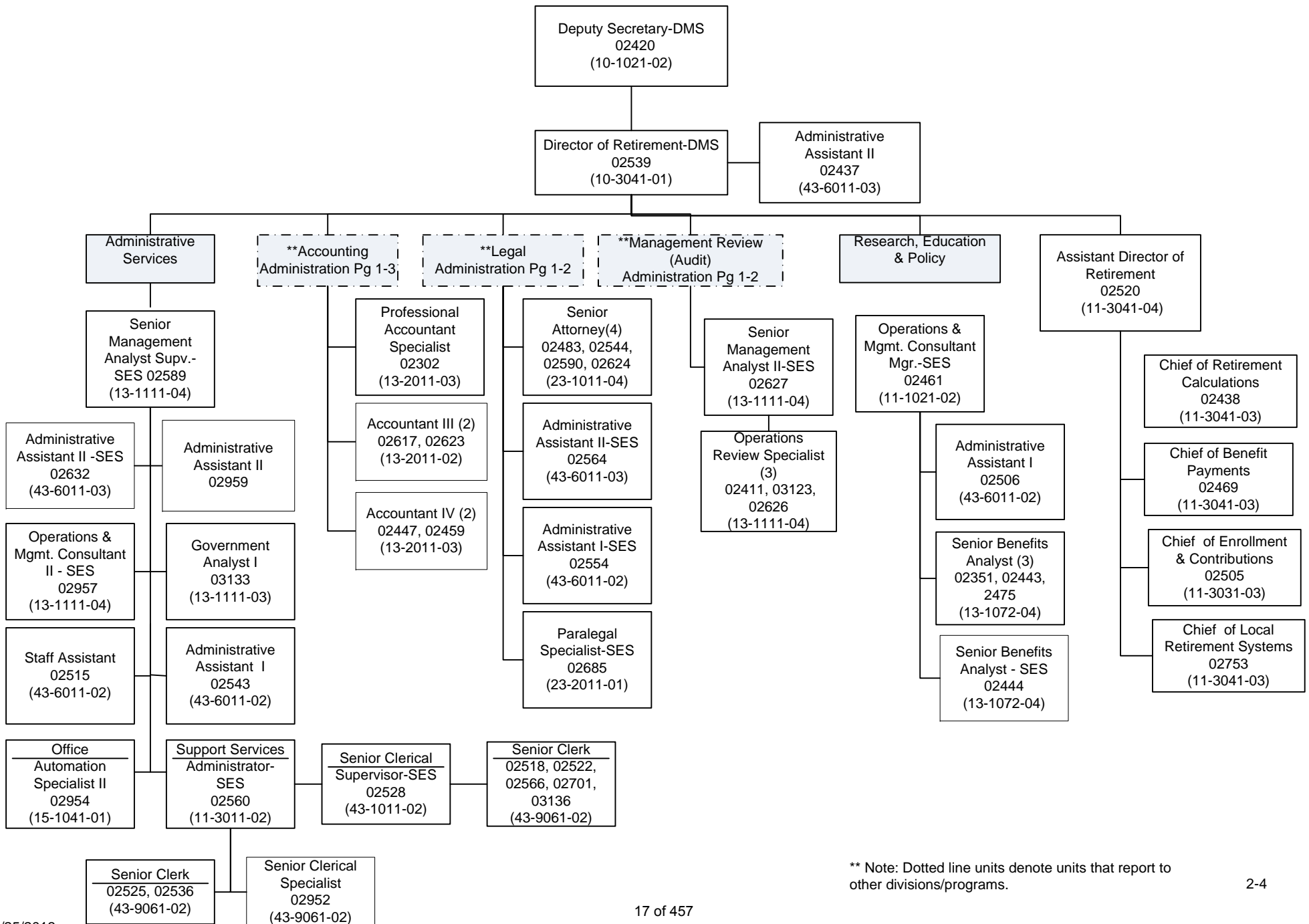
** Note: Dotted line units denote units that report to other divisions/programs.

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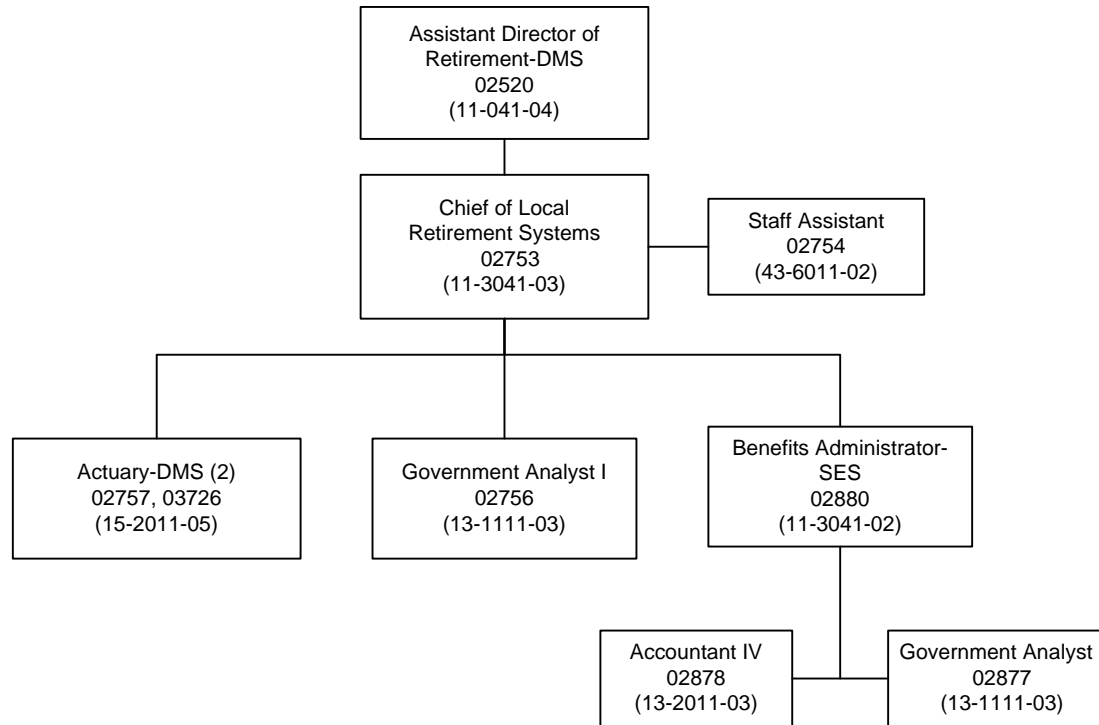
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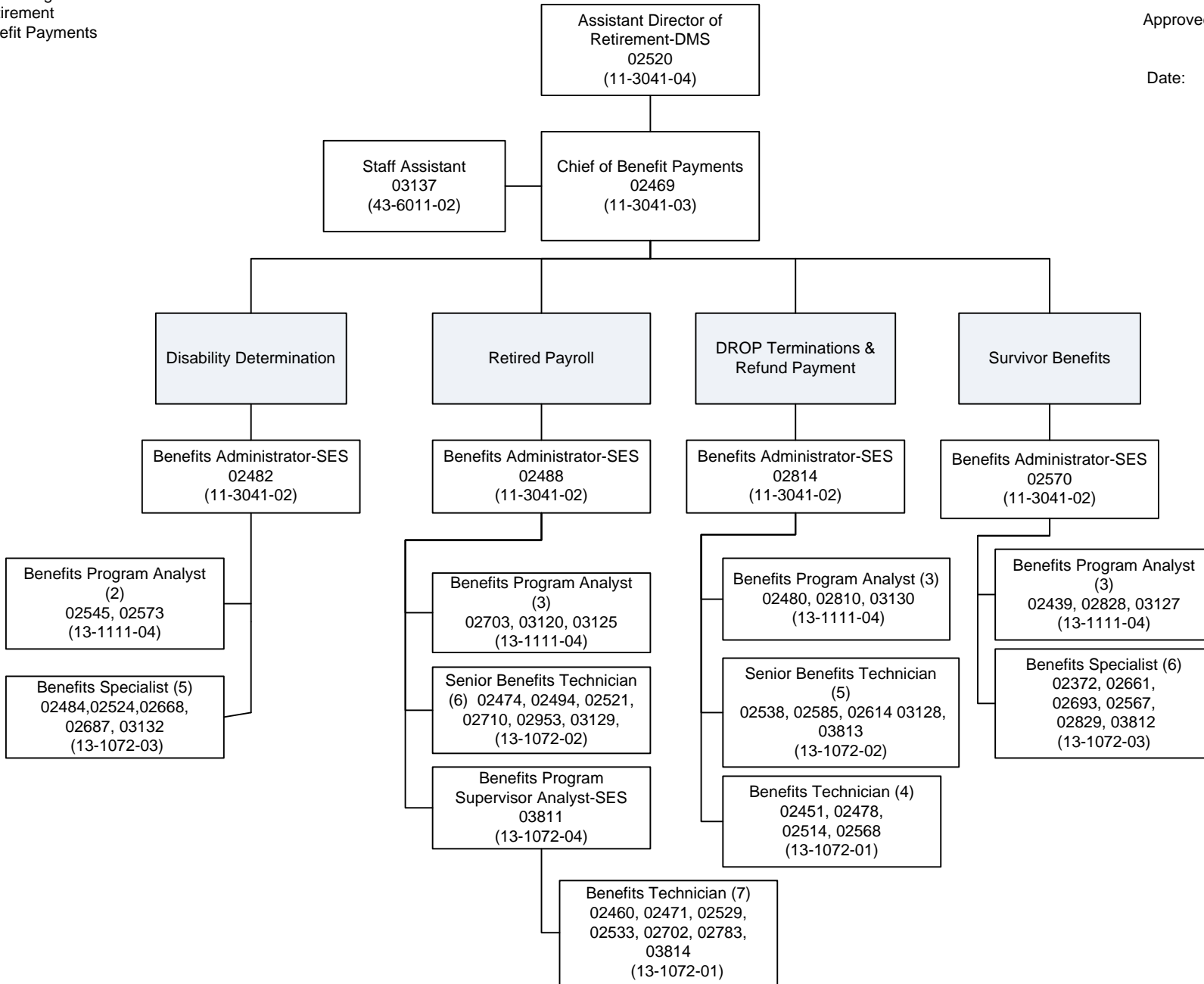


** Note: Dotted line units denote units that report to other divisions/programs.



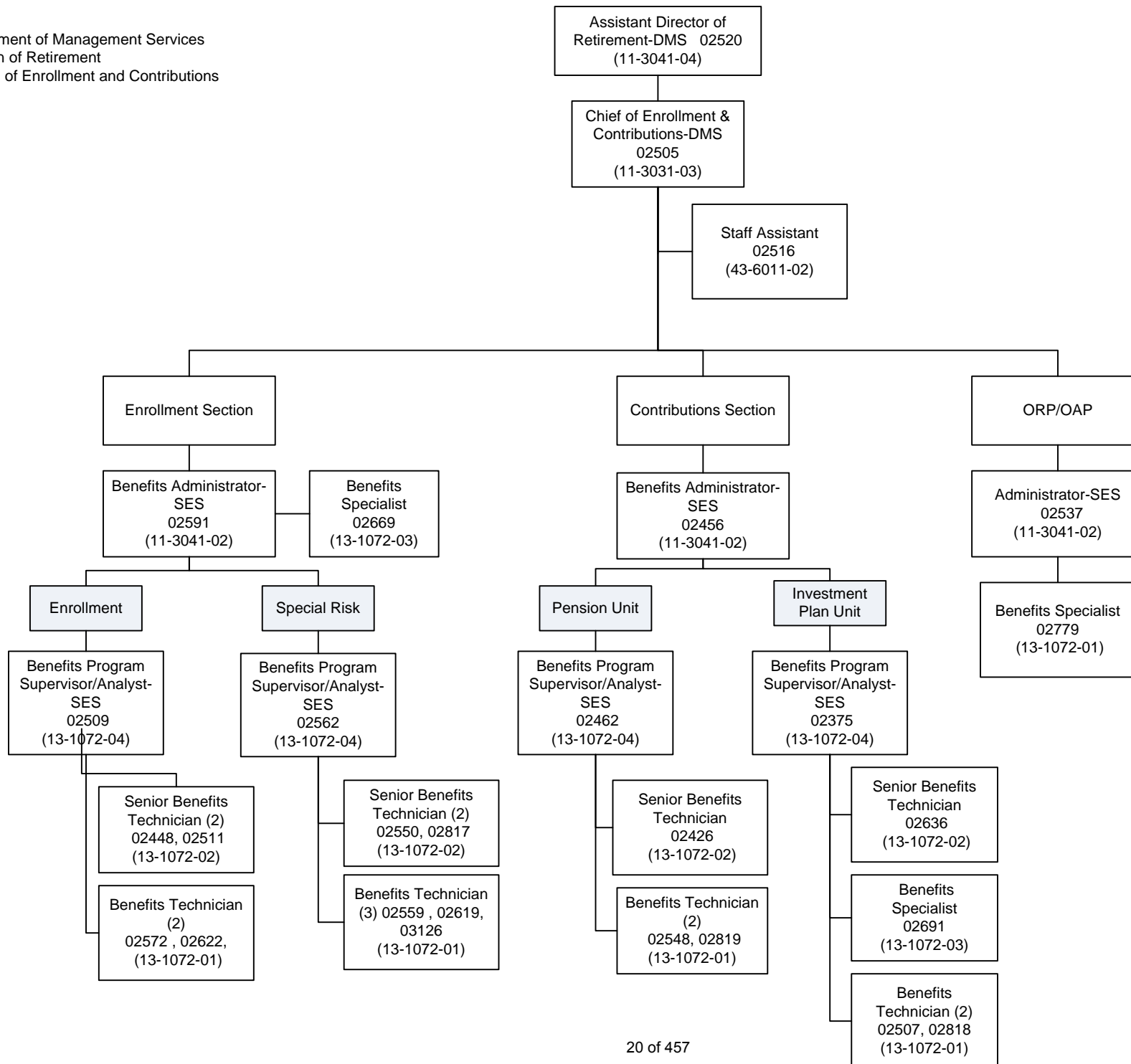
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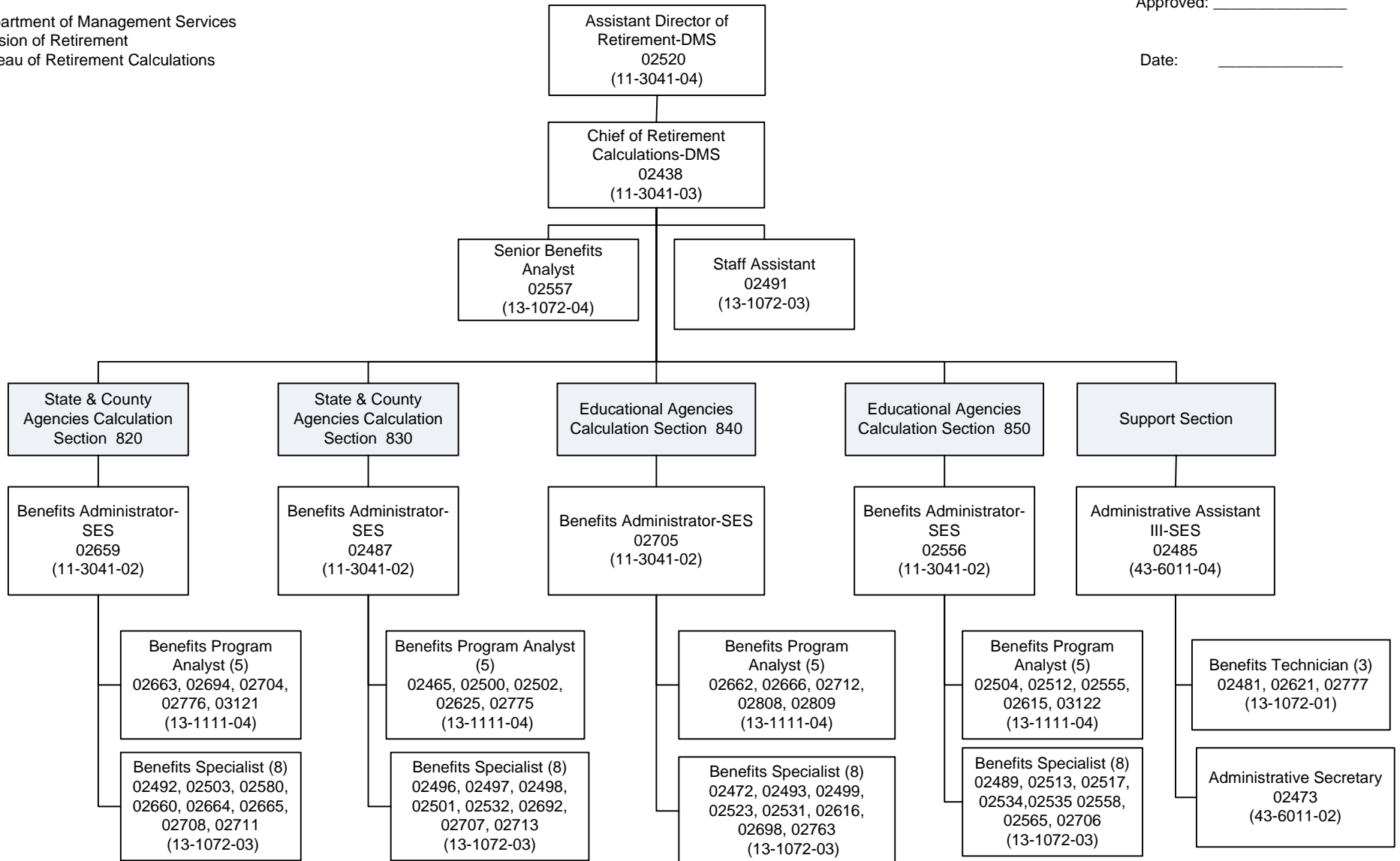
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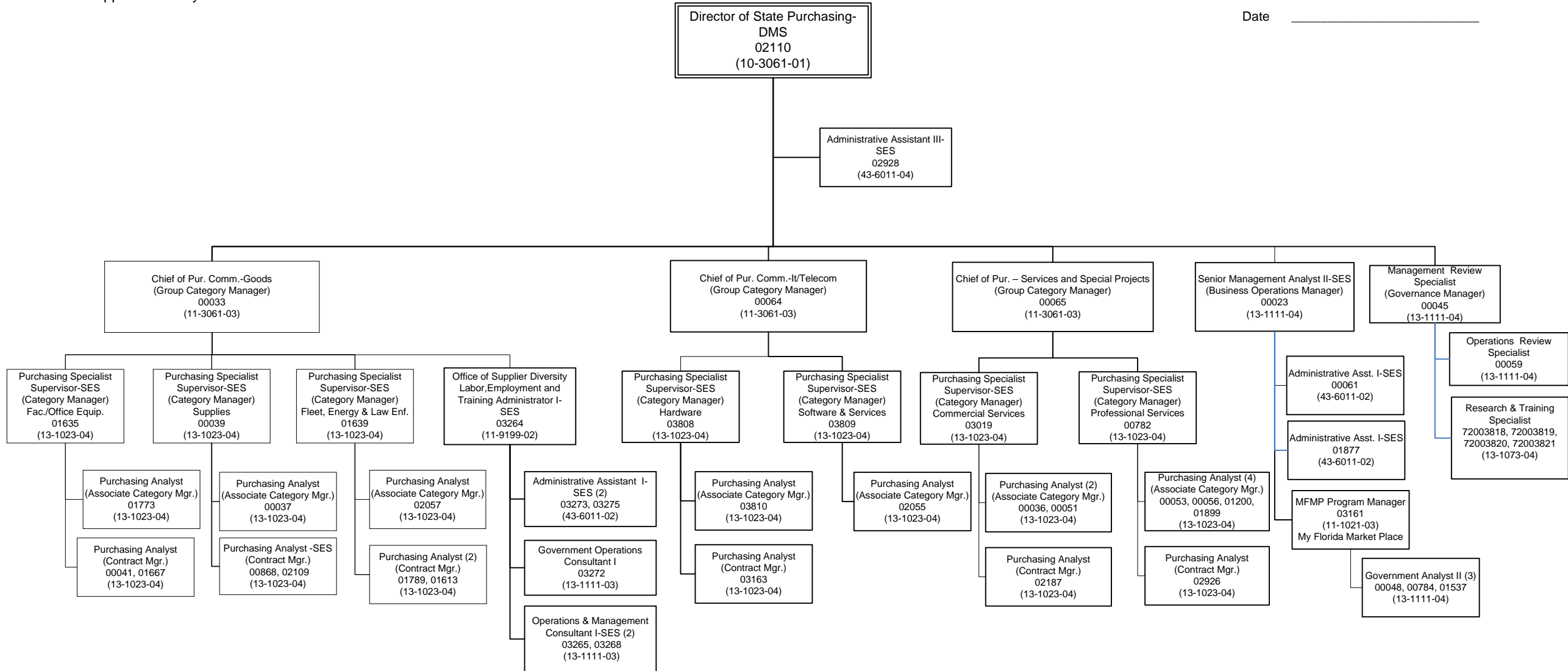


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Date: _____





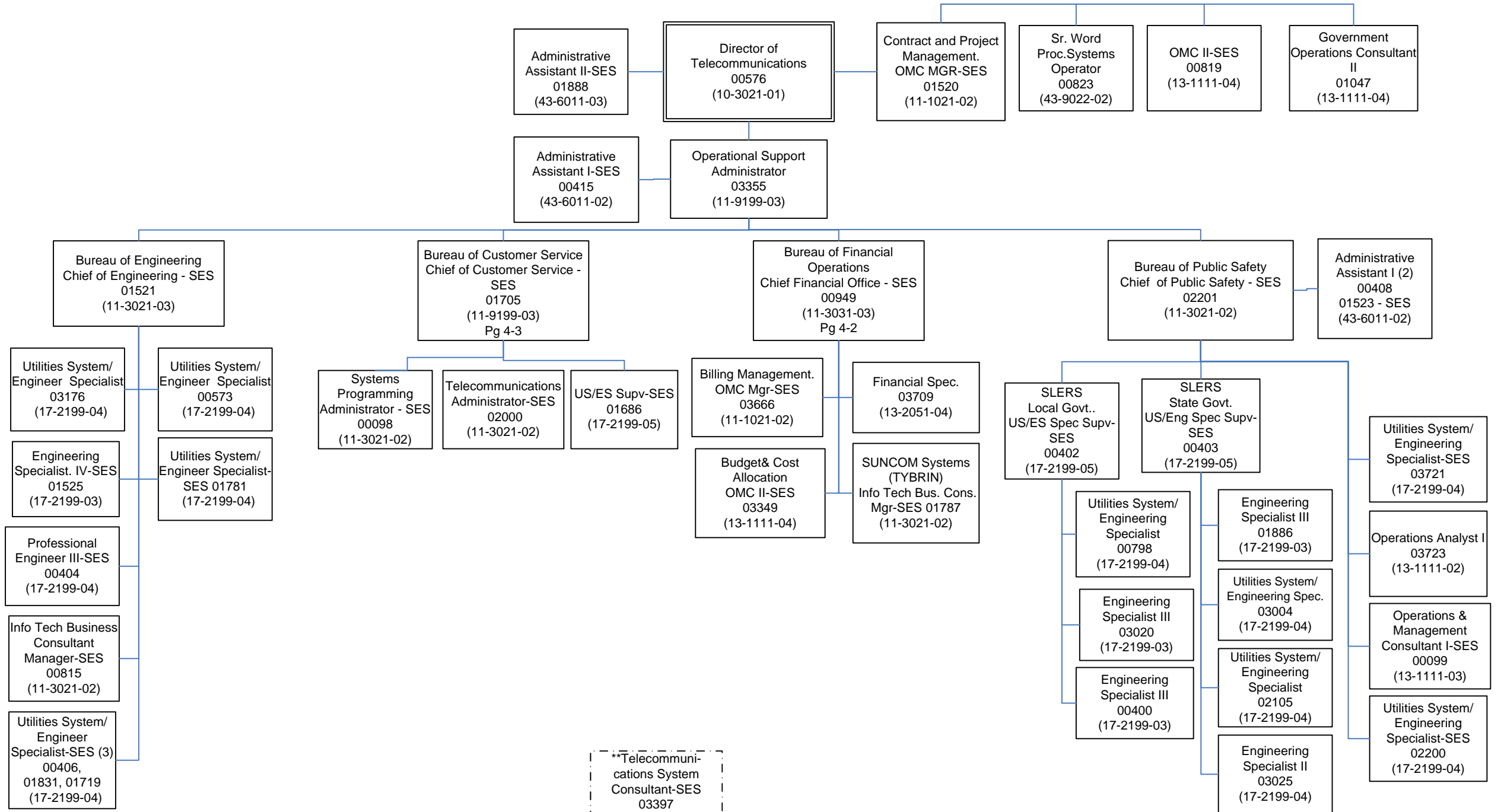


Group Category Manager = Bureau Chief
 Category Manager = Purchasing Specialist Supervisor
 Associate Category Manager = Purchasing Analyst
 Contract Manager = Purchasing Analyst
 Government Analyst II = Business Analyst

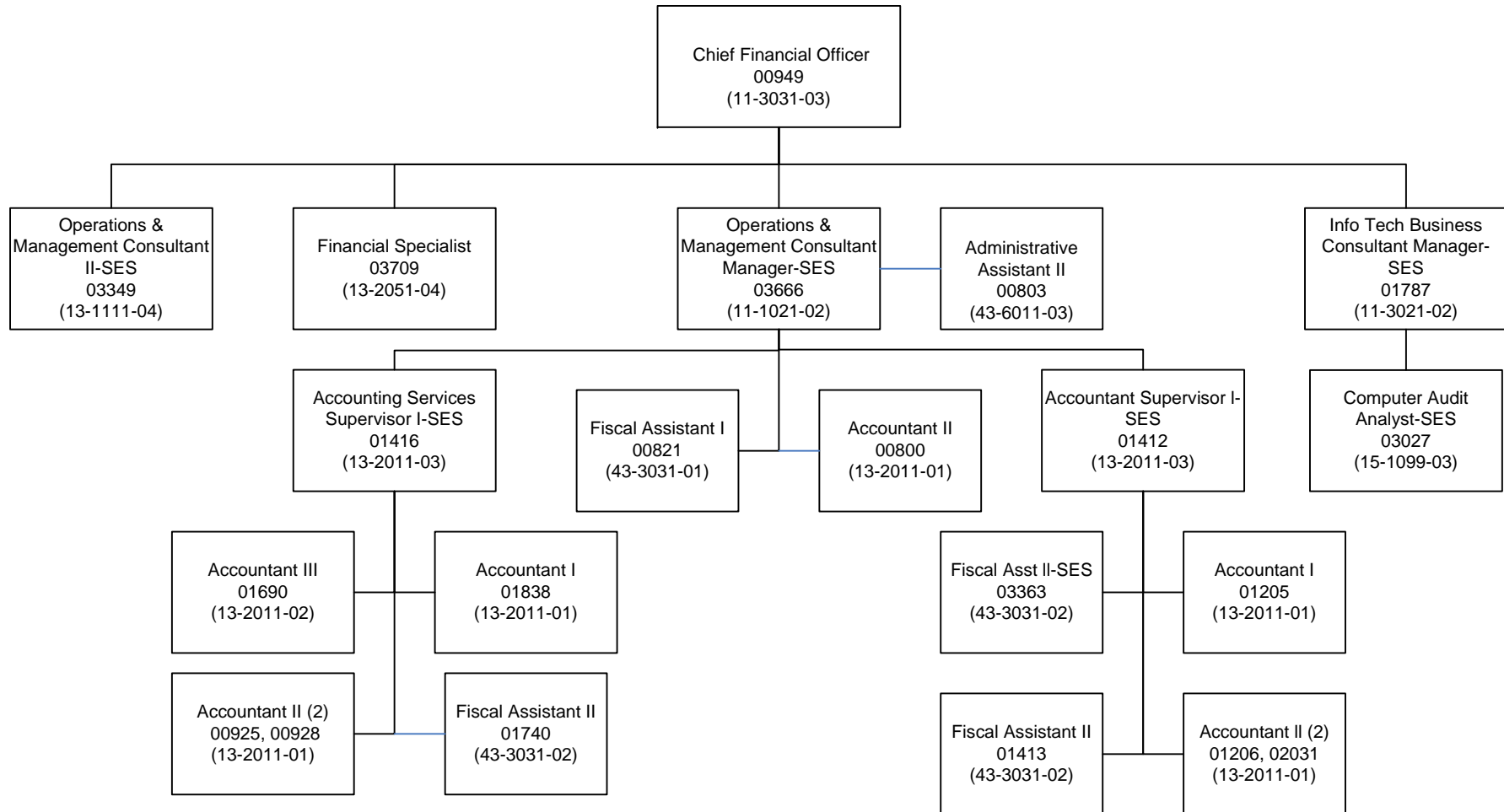
**Application Systems Programmer III
 03657
 (15-1051-03)
 Administration (CIO Office) Pg 22 of 457 1-2

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

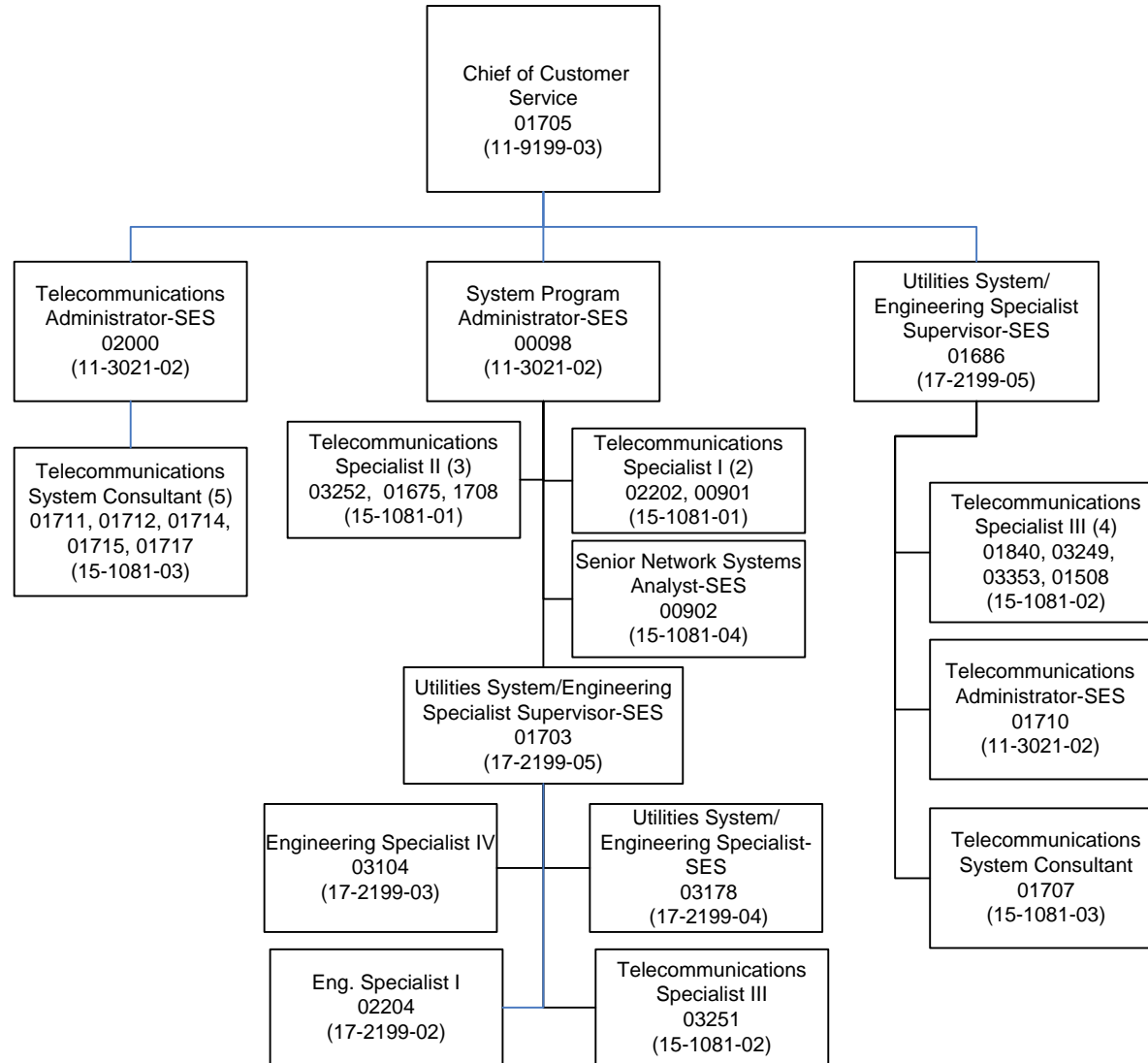
**Note: Dotted line boxes denote positions located in other divisions/programs.

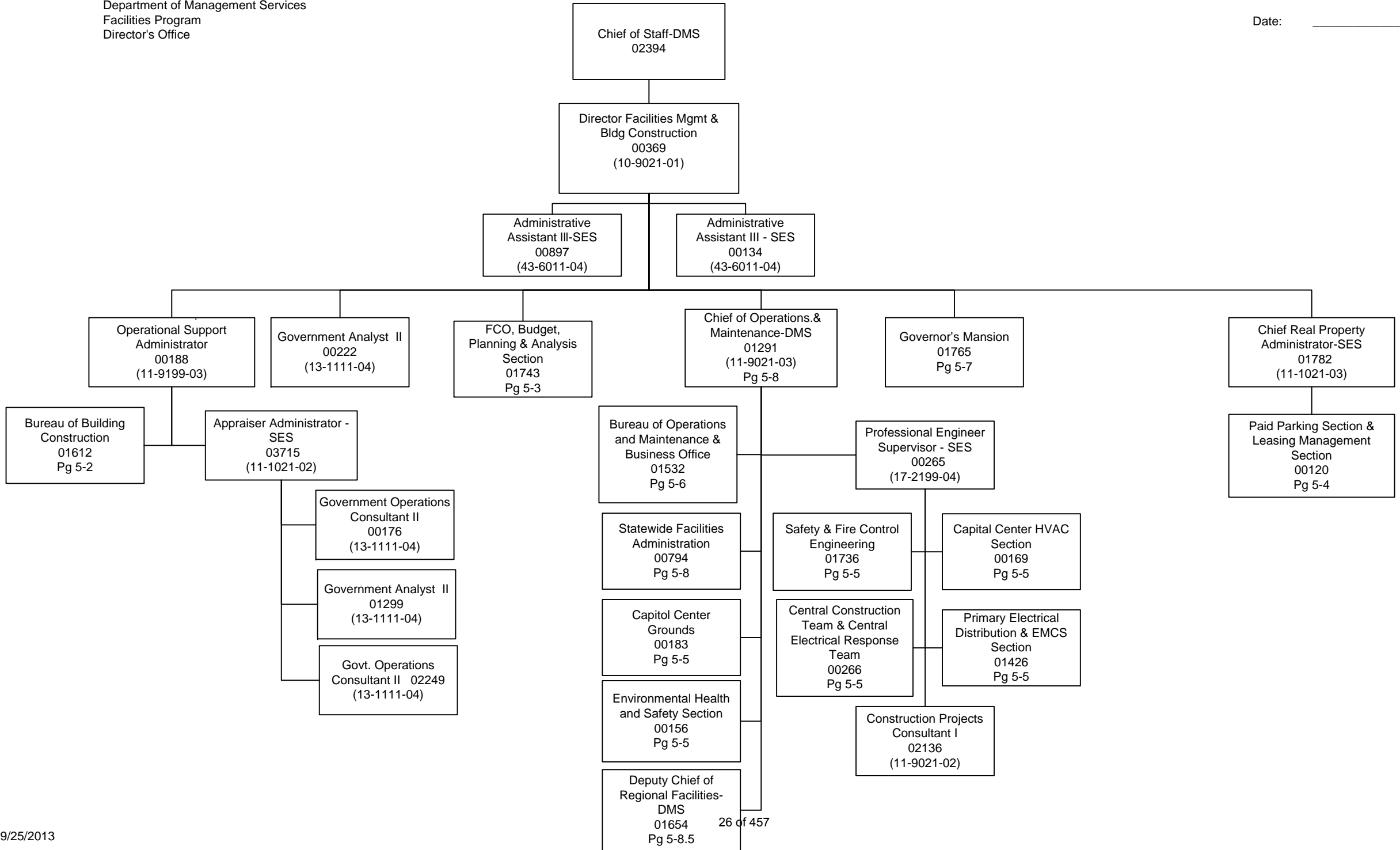


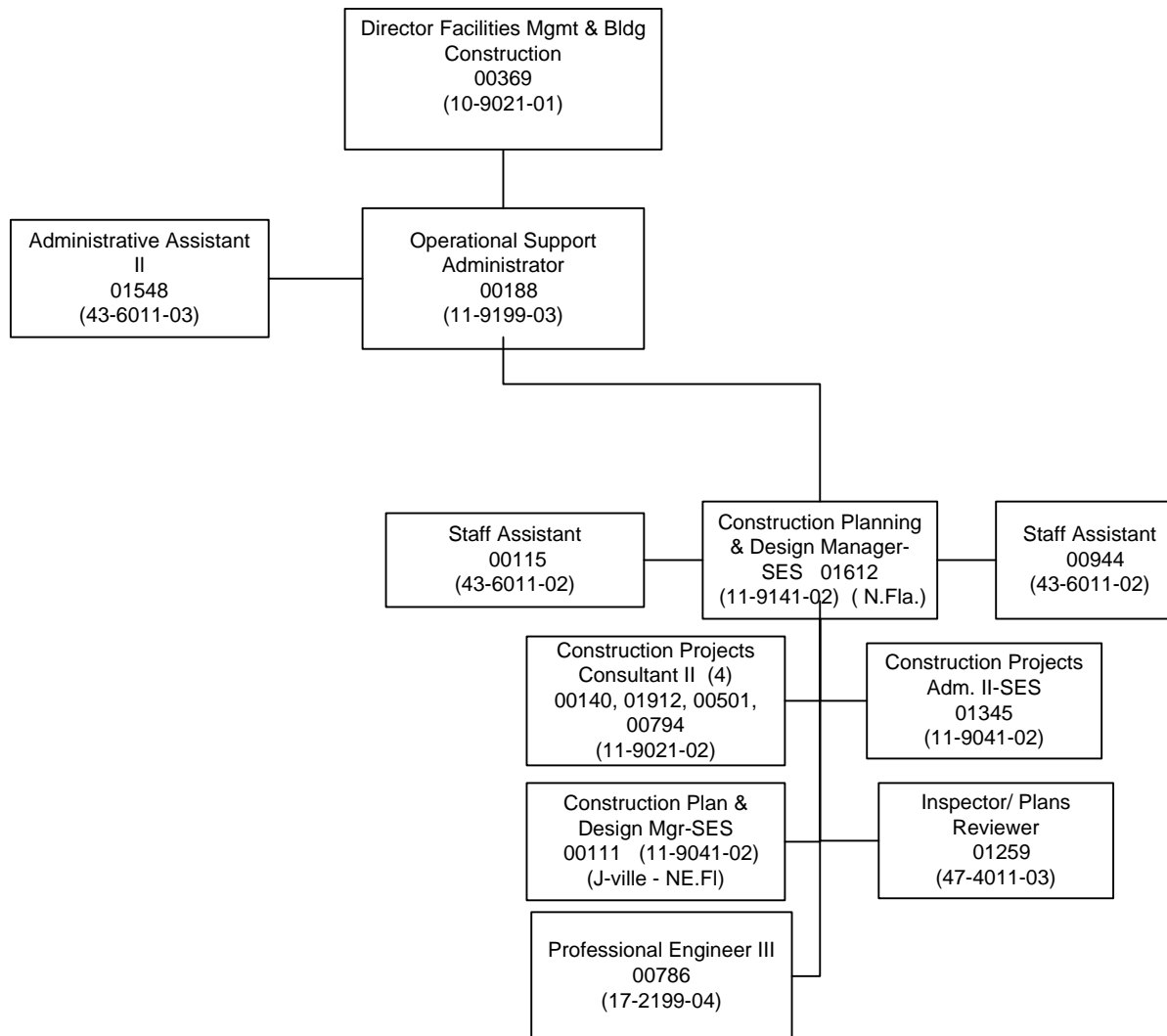
**Telecommuni-
cations System
Consultant-SES
03397
(15-1081-03)
Administration Pg 1-2

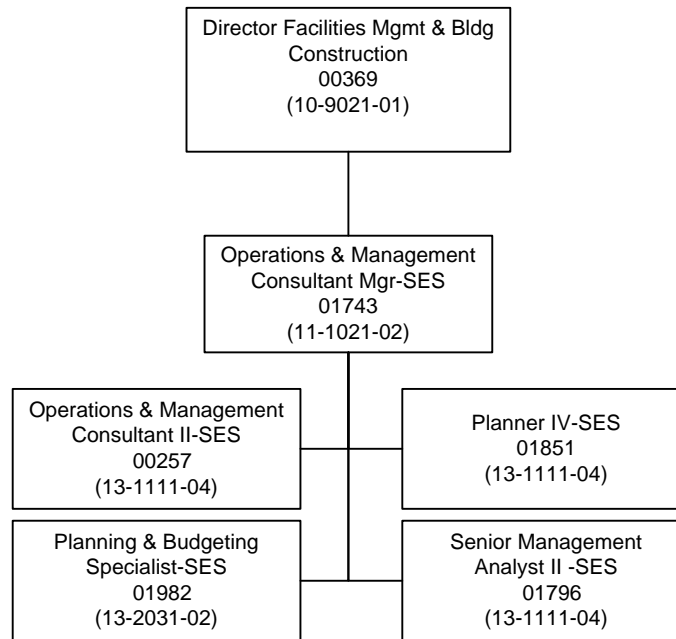


Proposed



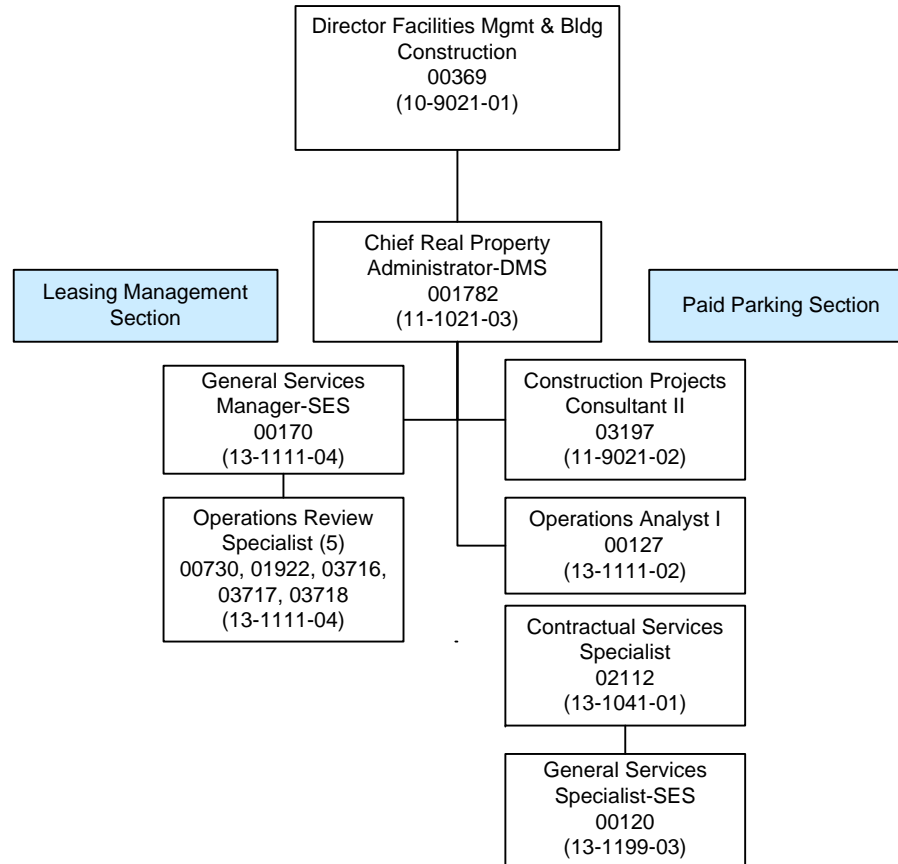






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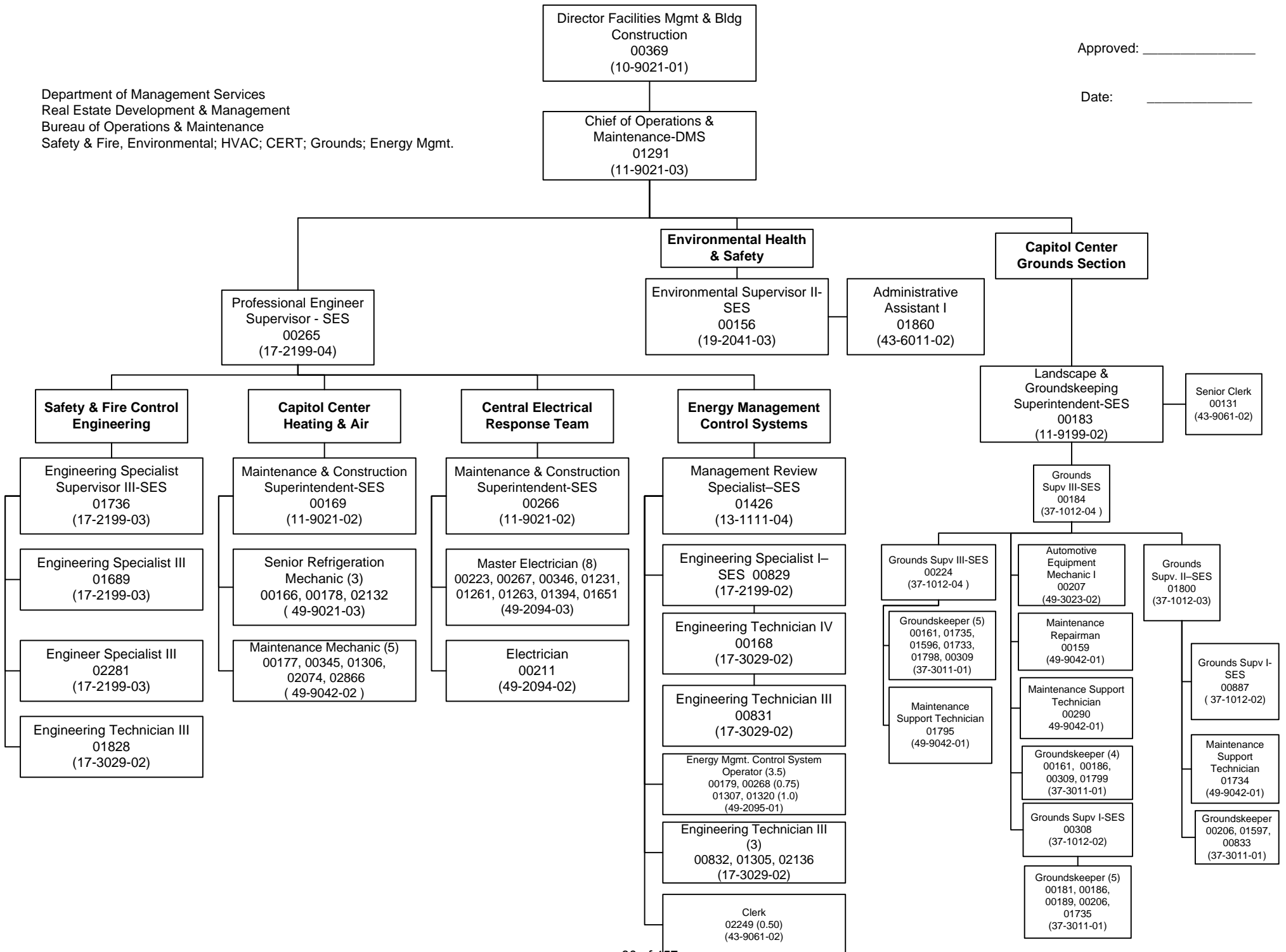
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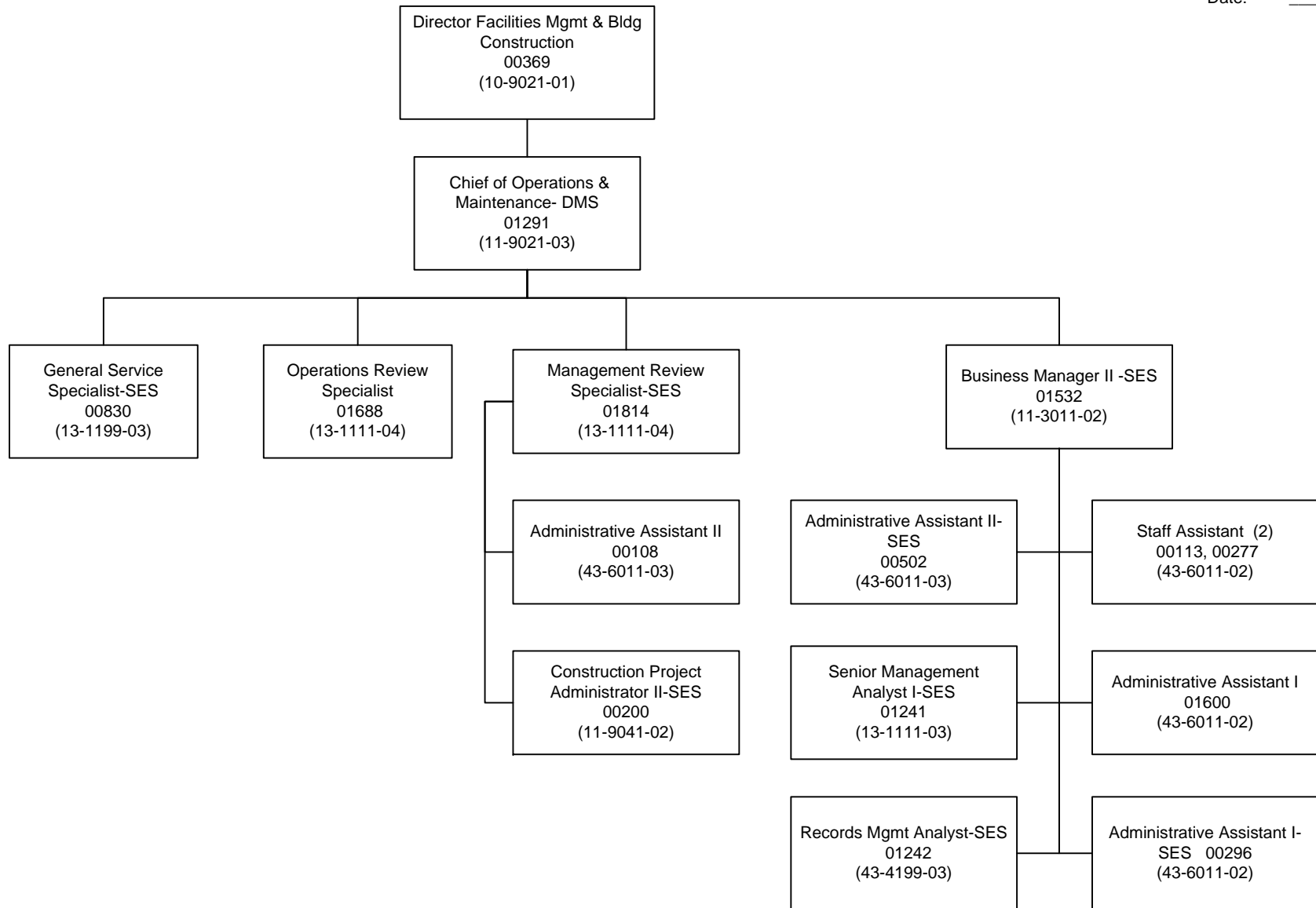


Department of Management Services
 Real Estate Development & Management
 Bureau of Operations & Maintenance
 Safety & Fire, Environmental; HVAC; CERT; Grounds; Energy Mgmt.

Approved: _____

Date: _____

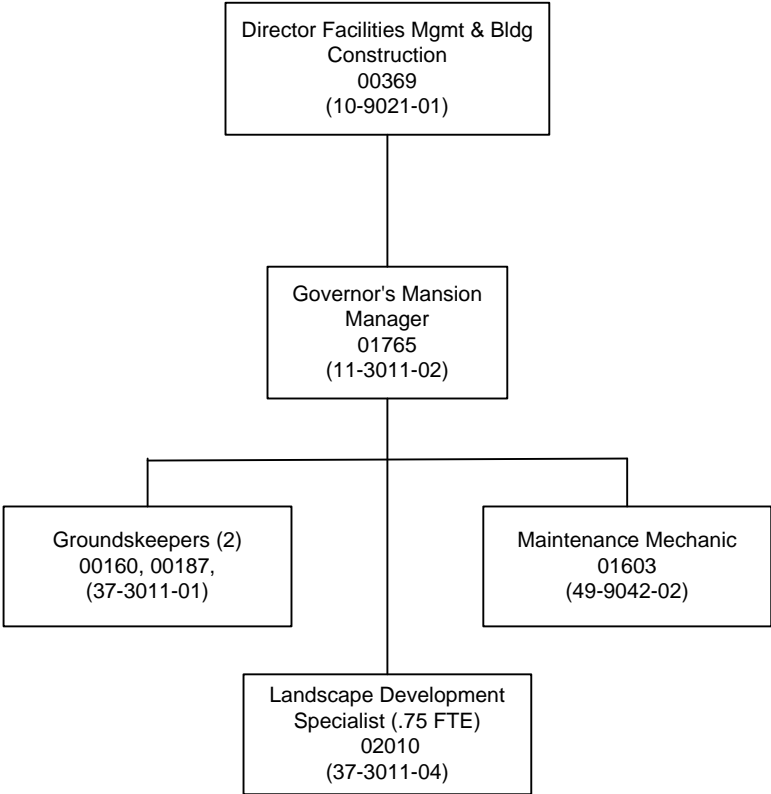




Department of Management Services
Facilities Program/ Real Estate Development & Management
Bureau of Operations & Maintenance
Governor's Mansion & Grounds

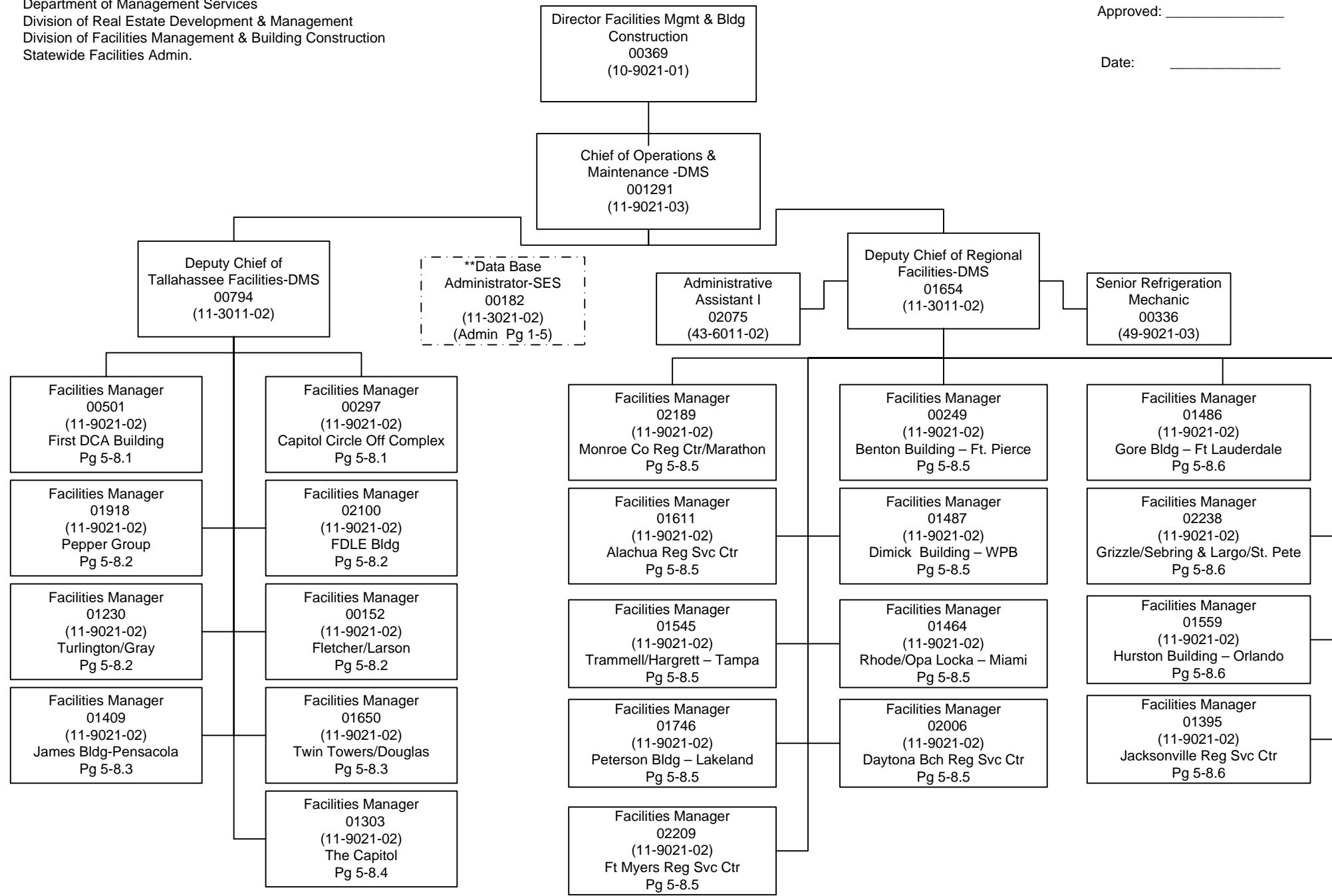
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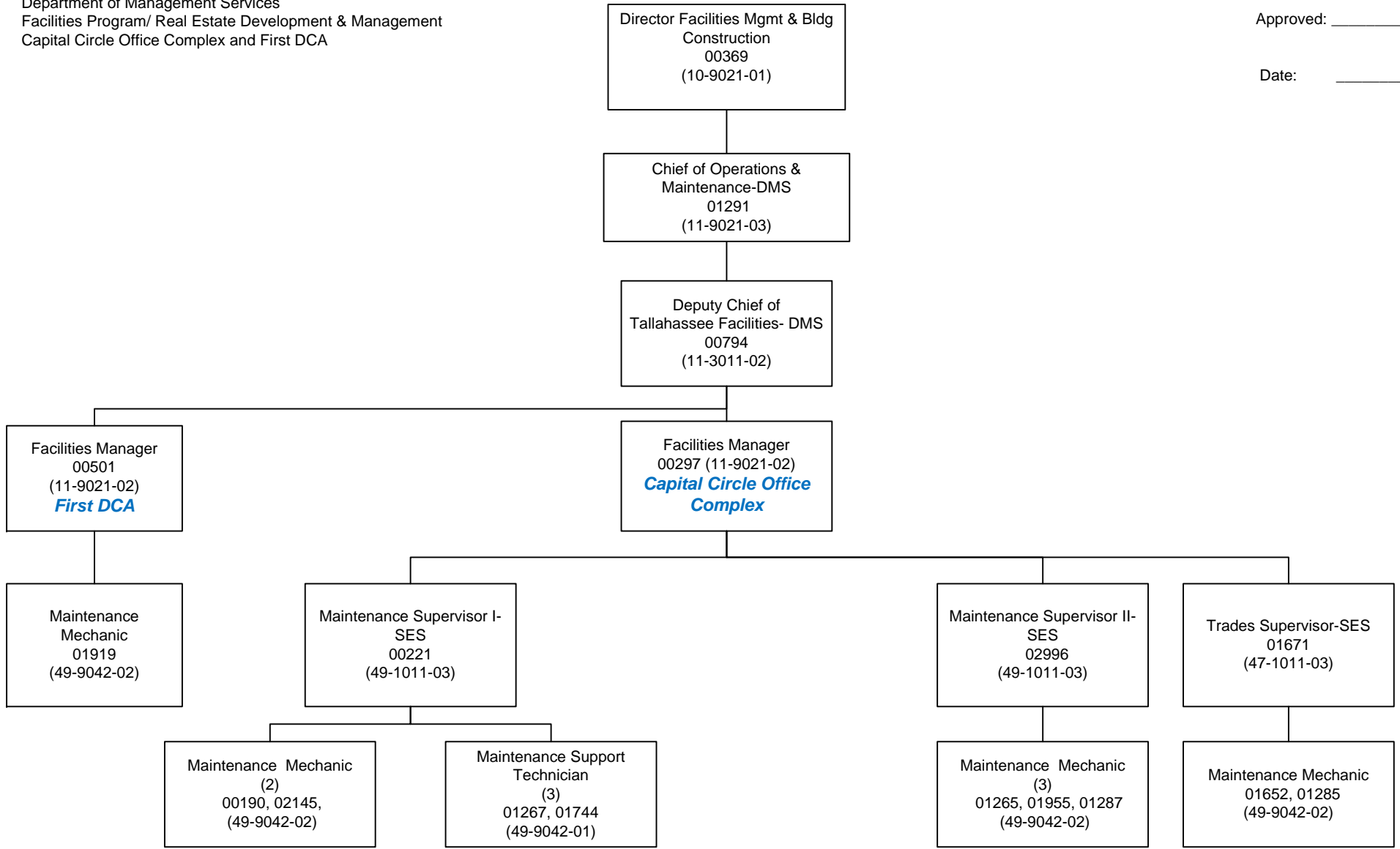
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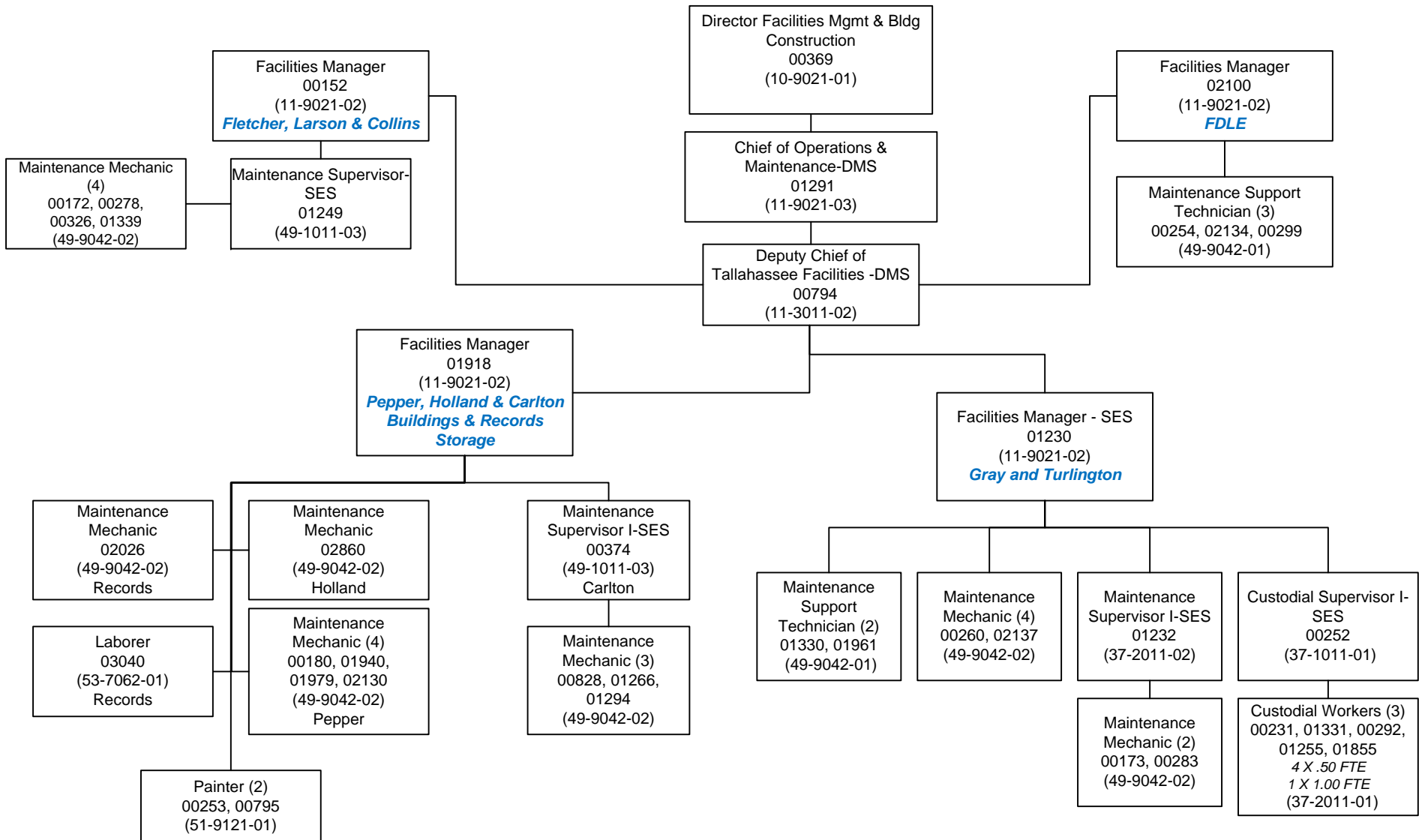


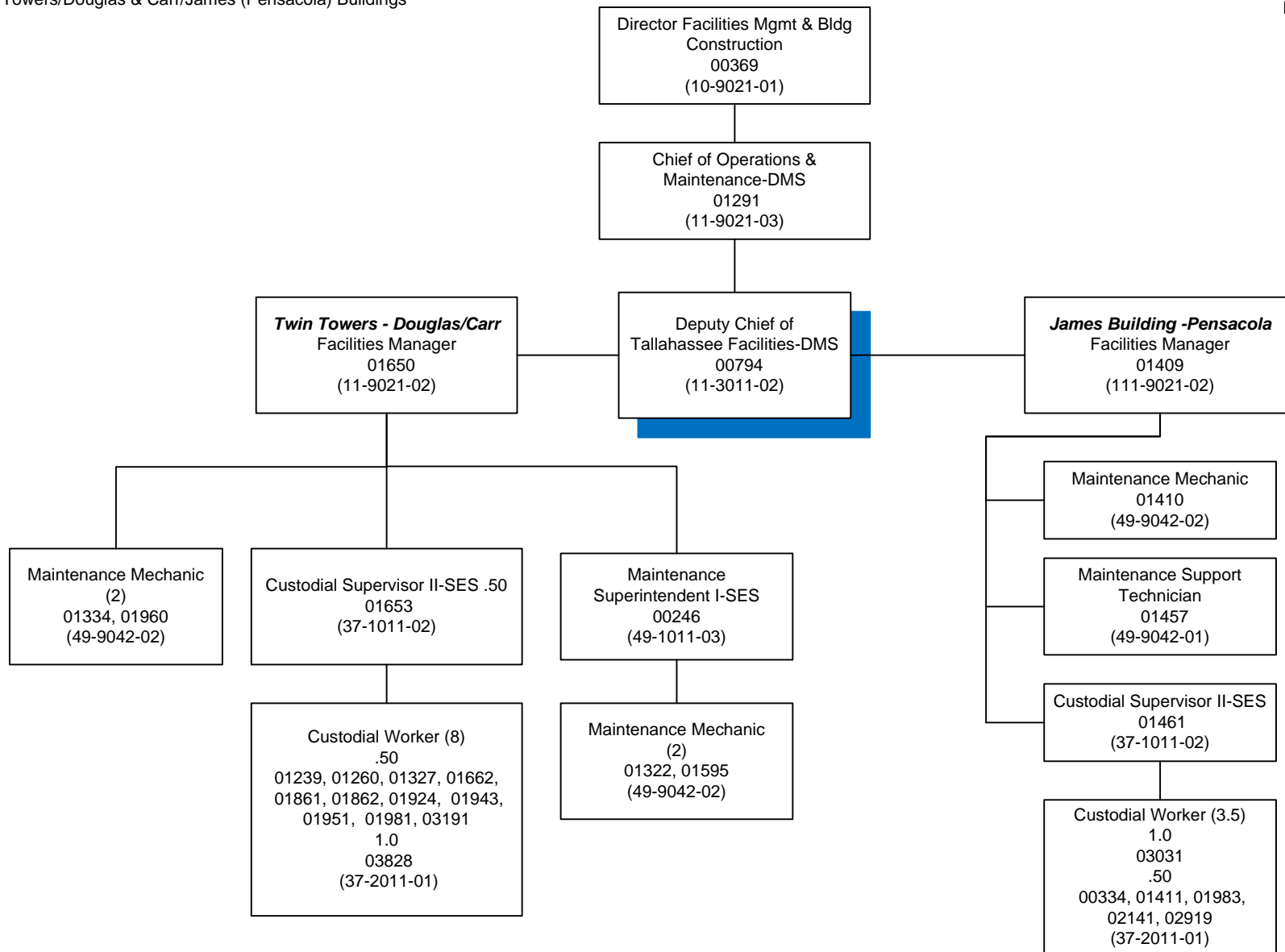
** Note: Dotted line position denotes that position reports to other divisions/programs.

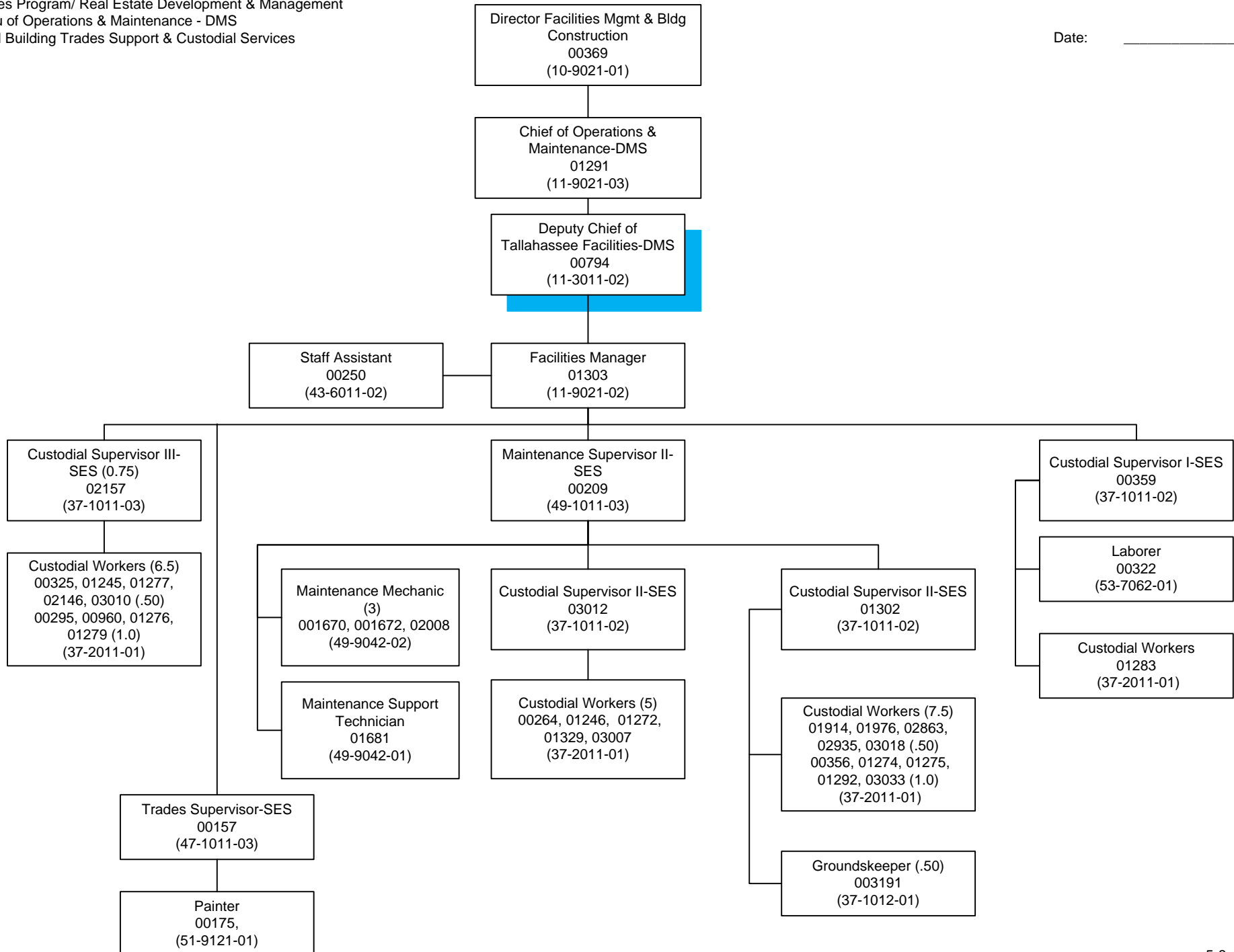
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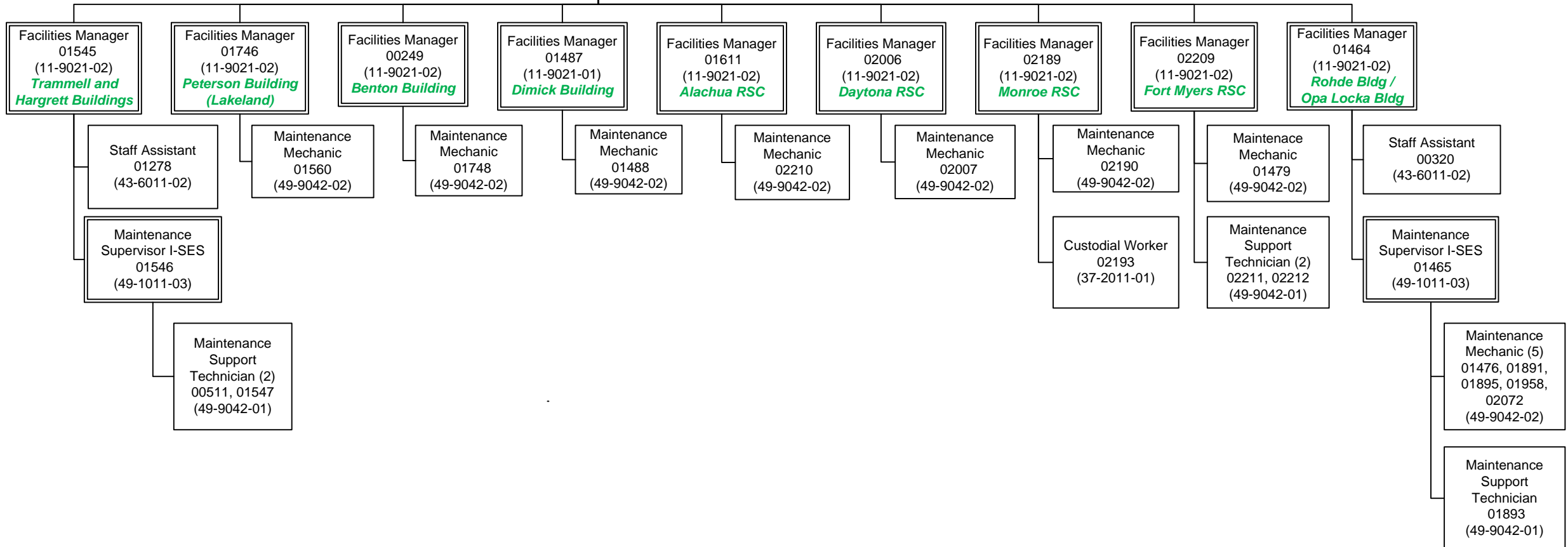
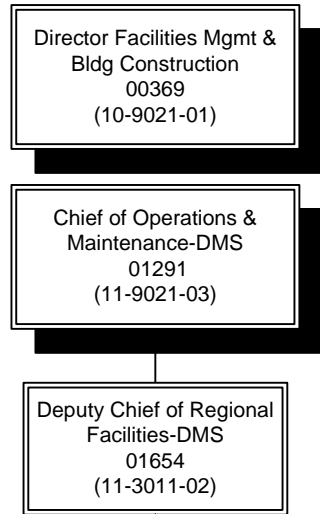


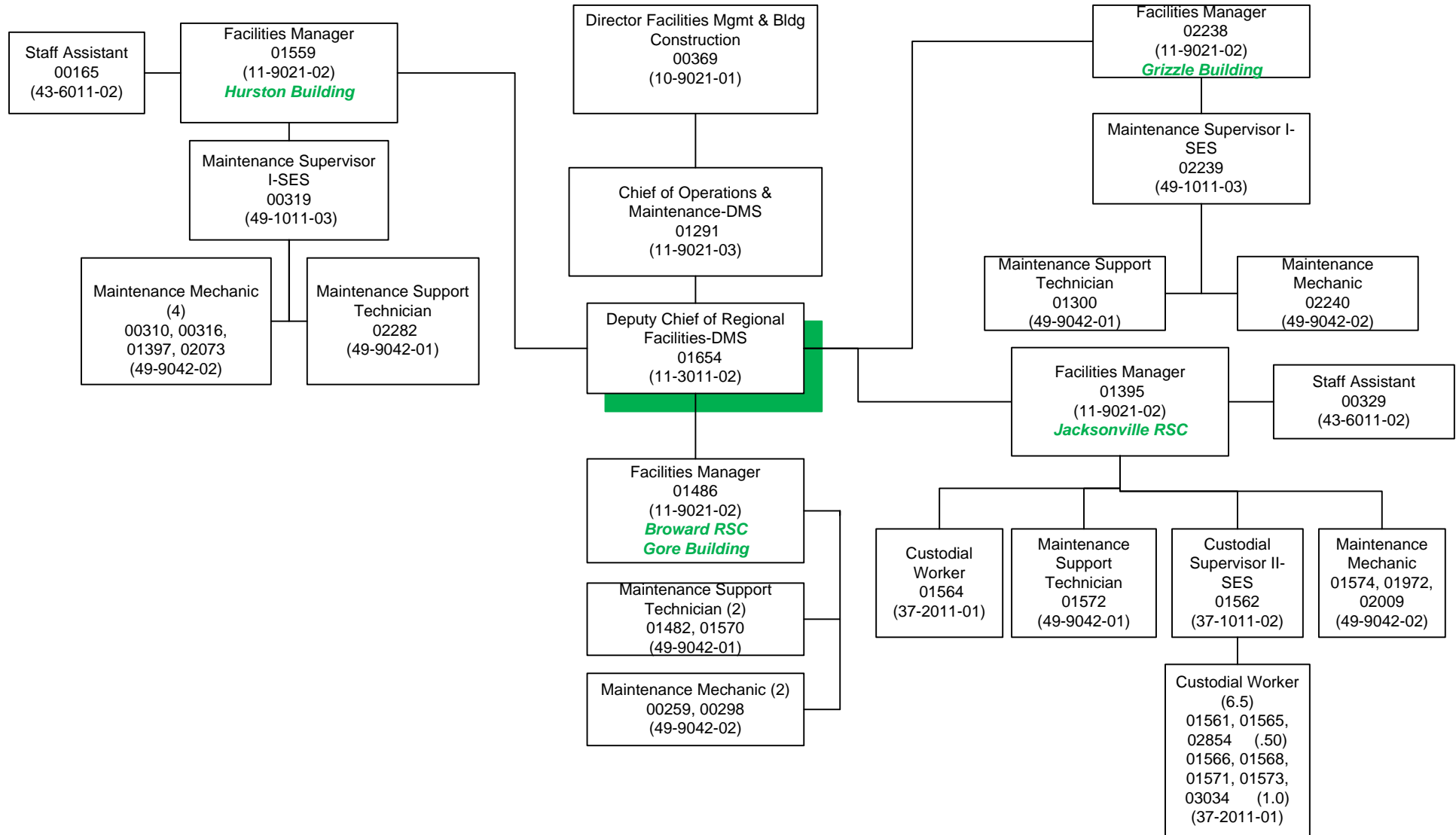


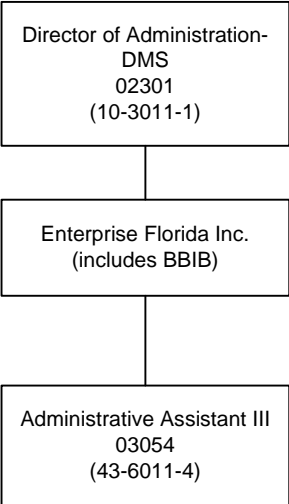
Department of Management Services
 Facilities Program/Facilities Management
 Bureau of Operations & Maintenance
 Regional Service Centers
 Trammell & Hargrett Bldg; Peterson Bldg.; Dimick Bldg;
 Benton Bldg; Alachua RSC; Daytona RSC; Monroe County RSC
 Rohde and Opa Locka Buildings

Approved: _____

Date: _____

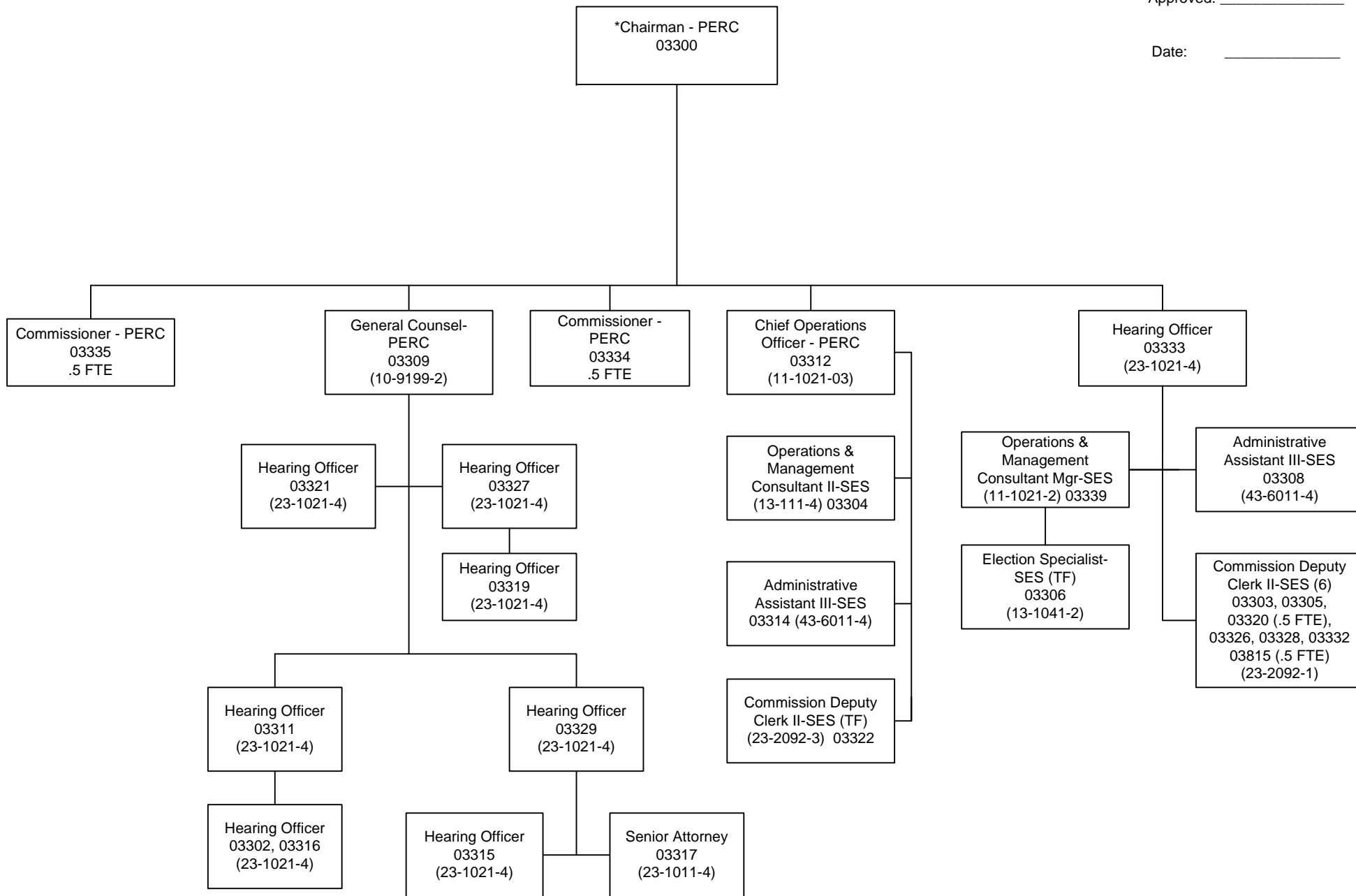






Approved: _____

Date: _____



Executive Director of the
 FCHR
 02714
 (10-1011-01)

Senior Management Analyst
 II-SES
 02737
 (13-1111-04)

Executive Assistant I-FCHR
 02762
 (11-3011-02)

Executive Direction
 (Administrative and
 Enforcement Support
 7.5 FTE

Enforcement/
 Investigations
 43 FTE

Office Automation
 Specialist I – SES (2)
 02901, 03679 (.5)
 (15-1041-01)

Systems Project
 Administrator I -SES
 02743
 (11-3021-02)

Operations Manager C- SES
 02727
 (11-1021-02)

Public Information Director-
 SES
 03214
 (11-2031-02)

Chief Legal Counsel-FCHR
 02715
 (11-9199-3)

Quality Control, Audits
 Policies and Procedures

Legal

Housing

Employment

Operations & Management
 Consultant I - SES
 03217
 (13-1111-03)

Senior Attorney (3)
 02772, 03699,
 02902(.5), 03186 (.5)
 (23-1011-04)

Clerk of the
 Commission- SES
 02732
 (23-2092-03)

Attorney-SES (3)
 02717, 02746, 03182
 (23-1011-03)

Investigation Specialist
 II- SES (3)
 03220 (.5), 03222,
 03691(.5),
 (13-1041-03)

Staff Assistant-SES
 03181
 (43-6011-02)

Investigator Supervisor-
 SES
 02733
 (13-1041-04)

Investigation Specialist
 II- SES (2)
 02726, 02898
 (13-1041-03)

Investigation Specialist
 I- SES
 02748
 (13-1041-02)

Investigation Specialist I
 (2)
 03816, 03817
 (13-1041-02)

Secretary Specialist-
 SES
 02739
 (43-6011-01)

Investigator Supervisor – SES
 02975
 (13-1041-04)

Investigation
 Specialist II- SES (3)
 02723, 02728, 02978
 (13-1041-03)

Investigation
 Specialist I-SES (3)
 02718, 02731, 03218,
 (13-1041-02)

Investigator Supervisor- SES
 02725
 (13-1041-04)

Investigation
 Specialist II -SES (6)
 02736, 02744, 02899,
 02721, 02719, 03215
 (13-1041-03)

Investigation
 Specialist I-SES (2)
 02720, 03216
 (13-1041-02)

Regulatory
 Specialist I- SES (3)
 02738, 03190, 03221
 (13-1041-01)

Staff Assistant-SES
 02724
 (43-6011-02)

Senior Clerk-SES (4)
 03184, 03187,
 02716, 02729
 (43-9061-02)

ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8: ACT0680 ACT0700 ACT7040 ACT8010 ACT8020 ACT8030

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

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

*** NO ACTIVITIES FOUND ***

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

*** NO OPERATING CATEGORIES FOUND ***

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

BE	PC	CODE	TITLE	EXPENDITURES	FCO
72400100	1601000000	ACT0675	INTERIOR REFURBISH LEASE SPACE	743,849 (1)	
72900100	1603000000	ACT8040	SPECIAL CATEGORY:	2,199,420 (2)	

TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 72	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	520,499,443	47,512,654
TOTAL BUDGET FOR AGENCY (SECTION III):	520,499,467	47,512,654
DIFFERENCE:	24-	
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

- (1) This represents operating expenditures within the Master Lease Space Tenant Improvement Funds appropriation category.
- (2) This represents expenditures related to the Telecommunications Infrastructure Project Systems (TIPS).

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

Schedule XII Cover Sheet and Agency Project Approval	
Agency: Department of Management Services	Schedule XII Submission Date: 10/01/13
Project Name: Custodial Services	Is this project included in the Agency's LRPP? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
FY 2014-2015 LBR Issue Code:	FY 2014-2015 LBR Issue Title:
Agency Contact for Schedule XII (Name, Phone #, and E-mail address): Darren Fancher, Bureau Chief, DMS Operations & Maintenance, 850-414-6747, Darren.Fancher@dms.myflorida.com .	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII.	
Agency Head:	Date:
Printed Name: Craig Nichols	
Agency Chief Information Officer: (If applicable) N/A	Date: 10/11/13
Printed Name: Joe Wright	
Budget Officer:	Date:
Printed Name: Dobra Forbess	10/11/13
Deputy Secretary:	Date:
Printed Name: Stacy Arias	10/14/13
Project Sponsor:	Date:
Printed Name: Tom Berger	10/10/13

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

I. Background Information	
1. Describe the service or activity proposed to be outsourced or privatized.	This proposal is to contract the custodial functions at the Capitol Center (Capitol, Historic Capitol and Knott), Jacksonville RSC, James Building, Gray Building, Twin Towers, and Marathon Building.
2. How does the service or activity support the agency’s core mission? What are the agency’s desired goals and objectives to be achieved through the proposed outsourcing or privatization and the rationale for such goals and objectives?	<p>This service supports the agency’s mission “Providing Smarter, Better, Faster Services” through the use of uniform cleaning standards at all DMS facilities and a reduction in costs.</p> <p>The goals and objectives for the performance of this service are to provide consistent cleaning standards at all facilities, utilize the latest cleaning techniques (including Green Cleaning), benefit from cost savings, and allow building staff to concentrate their efforts more towards the technical aspects of building operations such as energy conservation, repairs, and maintenance. The rationale for the goals and objectives is the agency mission of “Providing Smarter, Better, Faster Services”.</p>
3. Provide the legal citation authorizing the agency’s performance of the service or activity.	F.S. 255.249 Department of Management Services; responsibility; department rules. (1) The department shall have responsibility and authority for the custodial and preventive maintenance, repair, and allocation of space of all buildings in the Florida Facilities Pool and the grounds located adjacent thereto.
4. Identify the service’s or activity’s major stakeholders, including customers, clients, and affected organizations or agencies.	<p>The major stakeholders include the Department of Management Services (DMS) and the tenant agencies of these six (6) facilities. The tenant agencies are:</p> <ul style="list-style-type: none"> • Florida Department of Law Enforcement • Executive Office of the Governor • Senate • House • Office of Legislative Services • Department of Corrections • State Board of Administration • Department of Military Affairs • Department of Education • Department of Economic Opportunity • Department of Management Services • Department of Veterans Affairs • Department of Legal Affairs • Department of Agriculture and Consumer Services • Department of Financial Services • Department of State • Monroe County Sheriff’s Office • Fish and Wildlife Conservation • Department of Environmental Protection • Department of Juvenile Justice • Department of Children and Families • Department of Revenue • Department of Environmental Protection • Agency for Persons with Disabilities • Agency for Health Care Administration

5. Describe and analyze how the agency currently performs the service or activity and list the resources, including information technology services and personnel resources, and processes used.

The function is currently performed with in-house staff through the utilization of 50.75 FTEs, which are comprised of 35 part-time employees and 33 full-time employees.

Location	0.5 FTEs	0.75 FTEs	1.0 FTEs
Jacksonville RSC	2		7
Twin Towers	12		3
James	6		2
Gray	3		4
Marathon	0		1
Capitol Center	11	1	16
Total Staff	34	1	33

6. Provide the existing or needed legal authorization, if any, for outsourcing or privatizing the service or activity.

DMS intends to pursue appropriate legislative authority to transfer budget from the salaries and benefits category to the contractual services category.

7. Provide the reasons for changing the delivery or performance of the service or activity. What is the current cost of service and revenue source?

DMS reviewed the custodial costs associated with all DMS-managed facilities statewide and looked for opportunities to achieve cost savings. Outsourcing the custodial services at the six buildings still cleaned by DMS in-house staff is expected to produce \$347,754 in annual cost savings, which equates to approximately 22 percent less than current costs. DMS manages 75 facilities that require custodial cleaning; these six (6) buildings are the only remaining locations that still utilize DMS employees as custodians. This effort would make our custodial services delivery model uniform across the DMS-managed facilities pool.

NOTE: The estimated recurring cost savings is \$347,754 per year. However, for Fiscal Year 2014-15 the cost savings will be no less than \$114,146 as a result of an anticipated maximum leave payout of \$233,608 based on affected employees' current leave balances.

The contracting of this service would eliminate service-related issues brought about due to staff turnover. Past turnover resulted in operations and maintenance staff hours being re-directed to personnel hiring functions and constant training rather than allowing the facility managers and maintenance staff to concentrate their efforts on the customer service and technical aspects of facilities operations and maintenance.

The current annual cost (including salaries, benefits and supplies) for the named facilities is \$1,550,480.

Building	Salaries & Benefits	Custodial Supplies	Total Cost
Capitol Center	\$631,050	\$39,026	\$670,076
Gray	\$178,775	\$14,143	\$192,918
Jacksonville	\$234,462	\$27,290	\$261,752
James	\$116,593	\$14,455	\$131,048
Marathon	\$28,888	\$3,132	\$32,020
Twin Towers/DEP Labs	\$242,191	\$20,475	\$262,666
Total	\$1,431,959	\$118,521	\$1,550,480

The revenue source is the income from the rental of state office space.

II. Evaluation of Options

1. Provide a description of the available options for performing the service or activity and list for each option the general resources and processes needed to perform the service or activity. If state employees are currently performing the service or activity, provide at least one option involving maintaining state provision of the service or activity.

Option 1: Include these six (6) additional facilities on the existing DMS custodial contract, effective July 1, 2014.

Option 2: Continue to operate “as is” utilizing DMS employees.

2. For each option, describe its current market for the service or activity under consideration for outsourcing or privatizing. How many vendors are currently providing the specific service or activity on a scale similar to the proposed option? How mature is this market?

Option 1: Commercial custodial services vendors have been widely available for many years. DMS has used custodial services vendors for over 10 years. DMS is currently using two vendors statewide, but there are many vendors that are capable of providing the service. The custodial services market is very mature.

Option 2: DMS would continue to use in-house staff to clean these six facilities.

3. List the criteria used to evaluate the options. Include a cost-benefit analysis documenting the direct and indirect specific baseline costs, savings, and qualitative and quantitative benefits involved in or resulting from the implementation of the recommended option(s).

The primary criterion used to evaluate the options was cost.

Building	Total Cost	2013 Vendor Price (Vendor Services)	Difference (Savings)
Capitol Center	\$670,076	\$445,097	\$224,979
Gray	\$192,918	\$202,947	(\$10,029)
Jacksonville	\$261,752	\$210,964	\$50,788
James	\$131,048	\$116,364	\$14,684
Marathon	\$32,020	\$47,987	(\$15,967)
Twin Towers/DEP Labs	\$262,666	\$196,825	\$65,841
Total	\$1,550,480	\$1,220,184	\$330,296

All costs shown here include salaries, benefits, and supplies. In addition, outsourcing custodial services at the remaining DMS facilities will also produce annual cost savings in the form of the HR assessment fee. These additional costs savings are expected to be \$17,458 ($\$344 \times 50.75 \text{ FTEs} = \$17,458$), thereby increasing the total annual cost savings from \$330,296 to \$347,754.

NOTE: The estimated recurring cost savings is \$347,754 per year. However, for Fiscal Year 2014-15 the cost savings will be no less than \$114,146 as a result of an anticipated maximum leave payout of \$233,608 based on affected employees' current leave balances.

The contracting of this service would eliminate service-related issues brought about due to staff turnover. Past turnover resulted in operations and maintenance staff hours being re-directed to personnel hiring functions and constant training rather than allowing the facility managers and maintenance staff to concentrate their efforts on the customer service and technical aspects of facilities operations and maintenance. Outsourcing these services would allow the DMS facility managers to focus more on the repair, maintenance, and energy conservation needs of their facilities.

<p>4. Based upon the evaluation criteria, identify and analyze the advantages and disadvantages of each option, including potential performance improvements and risks.</p>
<p>Option 1: This option of adding the remaining six (6) facilities to the new DMS contract would provide the greatest advantage to the State. The primary advantage to this option is the expected annual cost savings. Option 1 would also allow facility managers to focus more on the technical aspects of these facilities, such as repairs, maintenance, and energy conservation. The risk to this option is the possibility of contracting with a vendor that fails to perform, but this risk will be mitigated with a performance bond as well as the agency's contract management practices.</p> <p>Option 2: There is no distinct advantage to this option because DMS currently delivers most custodial services statewide through vendor services. Outsourced custodial service is a proven method. The primary disadvantage and risk to this option is that the cost savings and performance improvements will not be realized.</p>
<p>5. For each option, describe the anticipated impact on the agency and the stakeholders, including impacts on other state agencies and their operations.</p>
<p>Option 1: This option affects 62 current DMS employees. Of the 68 current DMS custodial positions that comprise the 50.75 current FTEs, six of those positions are currently vacant. However, it is likely that the new vendor(s) will hire many of the existing DMS employees who currently perform custodial services. There should be no negative impact on stakeholders and other agencies (DMS tenants) other than possibly getting accustomed to new custodial personnel.</p> <p>Option 2: N/A</p>
<p>6. Identify changes in cost and/or service delivery that will result from each option. Describe how the changes will be realized. Describe how benefits will be measured and provide the annual cost.</p>
<p>Option 1: This option should result in a cost reduction. It is expected that this option will provide a higher and more consistent service quality than currently being realized. This is due to consistent, statewide specifications of the vendors and the fact that the DMS has a difficult time keeping the positions filled, resulting in reduced service quality. The change in service delivery would be providing these services with a vendor rather than DMS employees. The primary benefit of this option will be measured through the reduction in the cost of providing the services. Another benefit will be the potential performance improvements of allowing DMS facility managers to focus more on other technical aspects of their facilities.</p> <p>Option 2: N/A</p>
<p>7. List the major risks for each option and how the risks could be mitigated.</p>
<p>Option 1: The primary risk for this option would be if DMS contracts with a vendor that is unable to perform the custodial services adequately. This risk would be mitigated through specific measures and non-performance penalty provisions in the contract as well as a performance bond. The DMS contract has such provisions in place.</p> <p>Option 2: The primary risk for this option would be continued limitations on the department's ability to provide high quality service to its tenants and the public.</p>
<p>8. Describe any relevant experience of other agencies, other states, or the private sector in implementing similar options.</p>
<p>The Department of Management Services, Real Estate Development and Management Division has extensive experience in contracting custodial services and has had positive experiences.</p>
<p>III. Information on Recommended Option</p>
<p>1. Identify the proposed competitive solicitation including the anticipated number of respondents.</p>
<p>The proposed procurement method would be to include these six (6) additional facilities on the new DMS custodial services contract, which is expected to be awarded by October 15, 2013 and effective as of February 1, 2014. For purposes of budget continuity, these six (6) additional facilities would be added to the new DMS contract on July 1, 2014. The current DMS solicitation for custodial services is ITN #DMS-12/13-040.</p> <p>The current DMS custodial contract expires on January 31, 2014. Since the current solicitation was released on July 12, 2013, approximately 38 different vendors participated in the mandatory site visits at all DMS-managed facilities, including the six (6) facilities that are currently cleaned by DMS employees. DMS received bids from 12 vendors on August 19, 2013, and has since initiated negotiations with six (6) firms.</p>

2. Provide the agency's projected timeline for outsourcing or privatization of the service or activity. Include key events and milestones from the beginning of the procurement process through the expiration of a contract and key events and milestones for transitioning the service or activity from the state to the vendor. Provide a copy of the agency's transition plan for addressing changes in the number of agency personnel, affected business processes, employee transition issues including reemployment and retraining assistance plan for employees who are not retained by the agency or employed by the contractor, and communication with stakeholders such as agency clients and the public.

The anticipated time frame for contracting this service is February 1, 2014; however, for purposes of budget continuity as well as providing the affected employees ample notice, the additional six (6) facilities would not be added to the new custodial contract until July 1, 2014.

Solicitation Timeline

- 6/12/2013: Release of Solicitation
- 7/01/2013 – 7/16/2013: Mandatory Site Visits
- 7/25/2013: Questions From Respondents Due
- 8/05/2013: DMS Responses to Questions Due
- 8/19/2013: Responses Due/Opening
- 8/22/2013 – 8/29/2013: Dates of DMS Evaluation
- 9/09/2013: Posting Date of Qualified Respondents to the Vendor Bid System
- 9/16/2013 – 9/19/2013: Dates of First Negotiation Sessions
- 10/03/2013 – 10/04/2013: Dates of Second Negotiation Sessions
- 10/04/2013: Public Meeting for Request for Best and Final Offer
- 10/14/2013: Public Meeting for Recommendation of Award
- 10/21/2013: Post Award to Vendor Bid System (Anticipated)
- 11/30/2013: Contract Executed (Anticipated)
- 12/01/2013: Vendor Transition Period Begins (Anticipated)
- 1/20/2014: Pre-Service Conference (verify background checks, cleaning supplies, work schedules, etc.)
- 2/01/2014: Contract Start Date (for those DMS-managed facilities currently serviced by vendors)
- 6/20/2014: Pre-Service Conference (verify background checks, cleaning supplies, work schedules, etc.)
- 7/01/2014: Contract Start Date (for the six DMS-managed facilities identified for outsourcing)

Talking Points (This message will be delivered to each of the affected employees on October 16, 2013)

1. DMS has proposed the outsourcing of all custodial services positions housed within DMS effective July 1, 2014.
2. The proposed outsourcing would transfer custodial services from employees to vendors at six (6) DMS-managed facilities across the state. These six (6) facilities will be the final group of the 75 DMS-managed office facilities that have been transferred from custodial employees to vendors over the last several years.
3. At this time, this is a proposal that has been made to the Governor and the Legislature.
4. Position eliminations can only be performed through Legislative action.
5. The Legislature will meet in regular session March 4, 2014, through May 2, 2014. At that time, the Legislature will vote on the State's budget and finalize which positions, if any, will be affected by position elimination.
6. In the meantime, DMS is committed to assisting employees who may be adversely affected. We will be posting resources on the DMS website and providing consultation related to resume writing and interview skills beginning in October 2013 and continuing through June 30, 2014.
7. We will continue to keep you updated with messages through your supervisors and with monthly meetings.
8. Staff members should contact Human Resources at 850-487-9877 if they have any questions.

Transition & Communication Timeline (For the affected employees throughout the transition)

1. October 16, 2013 - Initial Communication to the affected employees
 - These meetings will be conducted in person by one member of the Division Leadership or the HR Director. This meeting will notify the affected employees that the agency is pursuing outsourcing, but that the final decision is dependent upon action by the Legislature. The purpose of this meeting is to ensure that DMS employees learn of this possibility from DMS first, rather than another source.

- These initial meetings will include a discussion of pertinent talking points (provided above), including the rationale for the decision, the expected timeline, and the job search tools and resources that will be made available to the affected employees.
 - The affected employees will be provided a letter reflecting all items discussed that also summarizes their rights as career service or SES employees.
2. Mid November 2013 - Meeting with the affected employees led by Division Leadership and HR to discuss 1) available job search resources and tools available to assist in the transition; and 2) provide HR contacts and resources for questions or concerns regarding benefits.
 - The affected employees will be provided a letter outlining the same information and highlighting directions on accessing resources and tools.
 3. Mid December 2013 – Meeting with the affected employees led by Division Leadership and HR to discuss available job search resources and tools available to assist in the transition.
 4. Mid January 2014 – Meeting with the affected employees led by Division Leadership and HR to discuss available job search resources and tools available to assist in the transition; and 2) provide HR contacts and resources for questions or concerns regarding benefits.
 - The affected employees will be provided a letter outlining the same information and highlighting directions on accessing resources and tools.
 - The affected employees will be provided a letter that reflects frequently asked questions and answers regarding benefits (as determined by incoming questions and concerns received by HR and the division).
 5. Mid February 2014 - Meeting with the affected employees led by Division Leadership and HR to discuss available job search resources and tools available to assist in the transition; and 2) provide HR contacts and resources for questions or concerns regarding benefits.
 - The affected employees will be provided a letter outlining the same information and highlighting directions on accessing resources and tools
 - The affected employees will be provided a letter that reflects frequently asked questions and answers regarding benefits (as determined by incoming questions and concerns received by HR and the division).
 6. Mid May 2014 – Meeting with the affected employees led by Division Leadership and HR to share the status of the pending legislative action.
 7. Mid June 2014 or as soon as the budget is approved – Meeting with the affected employees led by Division Leadership and HR to discuss budgetary approval/ final outcome.
 - Written communication to the affected employees regarding final approval of budget and official layoff letters provided to employees as appropriate.

Stakeholder Notification

DMS tenants will be notified of all changes in custodial service providers via regular communication with the official tenant liaisons. All DMS tenants will be consulted throughout the transition period for the purpose of meeting the new vendor supervisors, identifying restricted areas, and identifying any other special tenant needs. These meetings will be scheduled once the vendor transition period is under way.

3. Identify all forms of compensation to the vendor(s) for performance of the service or activity, including in-kind allowances and state resources to be transferred to the vendor(s). Provide a detailed cost estimate of each.

The only form of compensation would be monthly payments to the vendor(s), which are based solely on the annual costs per building identified in the contract.

4. Provide an analysis of the potential impact on federal, state, and local revenues, and expenditures. If federal dollars currently fund all or part of the service or activity, what has been the response of the federal funding agency(ies) to the proposed change in the service delivery method? If federal dollars currently fund all or part of the service or activity, does the change in the service delivery method meet federal requirements?

Option 1 would result in recurring cost savings for the state. DMS does not utilize federal dollars for this purpose.

5. What responsibilities, if any, required for the performance of the service or activity will be retained and performed by the agency? What costs, including personnel costs, will the agency continue to incur after the change in the service delivery model? Provide these cost estimations. Provide the method for monitoring progress in achieving the specified performance standards within the contract.

This service will be totally contracted at the six (6) facilities currently cleaned by DMS employees. DMS will not incur any costs directly related to custodial services once these six (6) facilities are outsourced. The DMS facility managers at these six (6) facilities will perform contract management activities, but these activities are expected to require substantially less time than supervising direct employees. DMS will monitor progress via weekly inspections and performance ratings.

6. Describe the agency's contract management process for the outsourced or privatized service or activity, including a description of the specific performance standards that must be met to ensure adequate performance and how the agency will address potential contractor nonperformance. Attach a copy of any competitive solicitation documents, requests for quote(s), service level agreements, or similar documents issued by the agency for this competitive solicitation if available.

Provisions in the contract allow for the agency to address non-performance issues through the form of financial penalties. The new custodial contract, as well as the existing custodial contract, incorporates 33 distinct performance expectations that are inspected and reported weekly. Per the contract, DMS will impose a penalty in the form of an invoice deduction of three percent per performance deficiency. In addition, staffing shortages will carry a penalty weight of six percent. All of the requisite contract management report forms have been included in the contract documents. Non-performance will be addressed via a performance bond.

The current DMS solicitation for custodial services is ITN #DMS-12/13-040. DMS can provide a copy of the solicitation documents upon request. The documents are too large to be attached to this document.

7. Provide the agency's contingency plan(s) that describes the tasks involved in and costs required for its implementation and how the agency will resume the in-house provision of the service or activity in the event of contract termination/non-renewal.

The agency will need to have proviso language placed in the General Appropriations Act that will allow for the re-establishment of the positions in case the vendor is unable to perform. In the event that the vendor is unable to perform, DMS will need the ability to use the positions and transfer the funds from the contractual services category back to the Salaries & Benefits category.

8. Identify all other Legislative Budget Request issues that are related to this proposal.

There are no other Legislative Budget Request issues related to this proposal.

9. Explain whether or not the agency can achieve similar results by a method other than outsourcing or privatization and at what cost. Please provide the estimated expenditures by fiscal year over the expected life of the project.

In our experience, similar results are not possible without outsourcing. Utilizing employees to perform custodial services is the only other potential option, but we have found that outsourcing these services allows our staff to focus more attention on the repair and maintenance needs of their facilities. The estimated expenditures by fiscal year (not contract year) are as follows:

Year	Estimated Annual Cost
FY 2014/2015	\$1,225,268
FY 2015/2016	\$1,237,521
FY 2016/2017	\$1,249,896
FY 2017/2018	\$1,262,395
FY 2018/2019	\$1,275,019
FY 2019/2020 (Optional Renewal)	\$1,287,769
FY 2020/2021 (Optional Renewal)	\$1,300,647
FY 2021/2022 (Optional Renewal)	\$1,313,653
FY 2022/2023 (Optional Renewal)	\$1,326,790
FY 2023/2024 (Optional Renewal)	\$1,340,058

10. Identify the specific performance measures that are to be achieved or that will be impacted by changing the service's or activity's delivery method.

The performance measures for these services tie back to the technical specifications of the contract. The DMS contract monitoring system requires each facility manager to rate the vendor's performance on a weekly basis. Specifically, the contract will incorporate 33 distinct performance expectations. DMS will impose a penalty in the form of an invoice deduction of three percent per performance deficiency. Staffing levels will carry a weight of six percent.

The performance expectations are as follows:

Restrooms:

1	Floor / Grout
2	Walls / Grout
3	Toilets and Urinals
4	Sinks / Faucets / Pipes
5	Mirrors
6	Towel Dispenser / Tissue Paper Holder
7	Waste Receptacles
8	Counter / Baby Changing Station
9	Soap Dispenser
10	Stalls
11	Vents
12	Doors and Frames

Work Areas:

13	Floor / Carpet
14	Baseboards
15	Break Rooms
16	Walls
17	Window Frames and Sills
18	Blinds
19	Vacuuming
20	Low / High Dusting
21	Waste Receptacles
22	Vents

Public Areas:

23	Light Fixtures
24	Entrance Area/Courtyards
25	Elevator Tracks
26	Food Service Areas
27	Drinking Fountain
28	Stairwells and Landings
29	Loading Zone / Parking

Other:

30	Supply and Equipment
31	Control Book
32/33	Minimum Staffing Level

11. Provide a plan to verify vendor(s) compliance with public records laws.

Section 2.15 of the DMS contract states the following:

“All documentation produced as part of this solicitation after the bid opening shall become a public record of DMS and may not be removed by the Respondent or its agents or be returned. DMS shall have the right to use any or all ideas or adaptations of the ideas presented in any response with the exception of trademark, copyright, patented information and trademark secrets (see Section 2.06). Selection or rejection of a response shall not affect this right.”

The vendor's contract, all payment records, and all performance records are also subject to Florida's public records laws. DMS will make sure the new vendor(s) are aware of these requirements prior to the contract start date.

<p>12. If applicable, provide a plan to verify vender compliance with applicable federal and state law ensuring access by persons with disabilities.</p>
<p>N/A</p>
<p>13. If applicable, provide a description of potential differences among current agency policies or processes and a plan to standardize, consolidate, or revise current policies or processes.</p>
<p>This outsourcing plan will fully standardize the way in which the agency delivers custodial services. The new contract specifications, reporting requirements, and performance standards will be the same for all DMS-managed facilities.</p>
<p>14. If the cost of the outsourcing is anticipated to exceed \$10 million in any given fiscal year, provide a copy of the business case study (and cost benefit analysis if available) prepared by the agency for the activity or service to be outsourced or privatized pursuant to the requirements set forth in s. 287.0571, F.S.</p>
<p>N/A</p>

BUDGET WORKSHEET															
	BUDGET									REVENUES / COMPENSATION			NET IMPACT		
	(a) Current			(b) Proposed Option			(c)=(b)-(a) Incremental Effect of Option			(d) Current	(e) Proposed option	(f)=(e)-(d) Incremental Effect of Option	COMPENSATION LESS COSTS	CUMULATIVE IMPACT	
	General Revenue	Trust Fund	Total	General Revenue	Trust Fund	Total	General Revenue	Trust Fund	Total						
FY 2013-14															
FTE'S	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00						
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	General Revenue	\$0	\$0	\$0		
OPS	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Fees	\$0	\$0	\$0		
Expenses	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Federal Funds	\$0	\$0	\$0		
Contracted Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Special Categories	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
TOTAL FY 2013-14	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0		\$0	\$0	\$0	\$0	\$0
FY 2014-15															
FTE'S	0.00	50.75	50.75	0.00	0.00	0.00	0.00	(50.75)	(50.75)						
Salaries and Wages	\$0	\$1,431,959	\$1,431,959	\$0	\$233,608	\$233,608	\$0	(\$1,198,351)	(\$1,198,351)	General Revenue	\$0	\$0	\$0		
OPS	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Fees	\$0	\$0	\$0		
Expenses	\$0	\$118,522	\$118,522	\$0	\$0	\$0	\$0	(\$118,522)	(\$118,522)	Federal Funds	\$0	\$0	\$0		
Contracted Services	\$0	\$0	\$0	\$0	\$1,220,184	\$1,220,184	\$0	\$1,220,184	\$1,220,184	Other -	\$0	\$0	\$0		
Special Categories	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
HR Statewide Contract	\$0	\$17,458	\$17,458	\$0	\$0	\$0	\$0	(\$17,458)	(\$17,458)	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
TOTAL FY 2014-15	\$0	\$1,567,939	\$1,567,939	\$0	\$1,453,792	\$1,453,792	\$0	(\$114,147)	(\$114,147)		\$0	\$0	\$0	\$114,147	\$114,147
FY 2015-16															
FTE'S	0.00	50.75	50.75	0.00	0.00	0.00	0.00	(50.75)	(50.75)						
Salaries and Wages	\$0	\$1,431,959	\$1,431,959	\$0	\$0	\$0	\$0	(\$1,431,959)	(\$1,431,959)	General Revenue	\$0	\$0	\$0		
OPS	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Fees	\$0	\$0	\$0		
Expenses	\$0	\$118,522	\$118,522	\$0	\$0	\$0	\$0	(\$118,522)	(\$118,522)	Federal Funds	\$0	\$0	\$0		
Contracted Services	\$0	\$0	\$0	\$0	\$1,220,184	\$1,220,184	\$0	\$1,220,184	\$1,220,184	Other -	\$0	\$0	\$0		
Special Categories	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$17,458	\$17,458	\$0	\$0	\$0	\$0	(\$17,458)	(\$17,458)	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
TOTAL FY 2015-16	\$0	\$1,567,939	\$1,567,939	\$0	\$1,220,184	\$1,220,184	\$0	(\$347,755)	(\$347,755)		\$0	\$0	\$0	\$347,755	\$461,902

Function Costs for Custodial Outsourcing **Option: 1**
Produced October 1, 2013 For **DMS** By **Darren Fancher** **F Y 2014-2015**

BUDGET WORKSHEET															
	BUDGET									REVENUES / COMPENSATION			NET IMPACT		
	(a) Current			(b) Proposed Option			(c)=(b)-(a) Incremental Effect of Option				(d) Current	(e) Proposed option	(f)=(e)-(d) Incremental Effect of Option	COMPENSATION LESS COSTS	CUMULATIVE IMPACT
	General Revenue	Trust Fund	Total	General Revenue	Trust Fund	Total	General Revenue	Trust Fund	Total						
FY 2016-17															
FTE'S	0.00	50.75	50.75	0.00	0.00	0.00	0.00	(50.75)	(50.75)						
Salaries and Wages	\$0	\$1,431,959	\$1,431,959	\$0	\$0	\$0	\$0	(\$1,431,959)	(\$1,431,959)	General Revenue	\$0	\$0	\$0		
OPS	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Fees	\$0	\$0	\$0		
Expenses	\$0	\$118,522	\$118,522	\$0	\$0	\$0	\$0	(\$118,522)	(\$118,522)	Federal Funds	\$0	\$0	\$0		
Contracted Services	\$0	\$0	\$0	\$0	\$1,220,184	\$1,220,184	\$0	\$1,220,184	\$1,220,184	Other -	\$0	\$0	\$0		
Special Categories	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$17,458	\$17,458	\$0	\$0	\$0	\$0	(\$17,458)	(\$17,458)	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
TOTAL FY 2016-17	\$0	\$1,567,939	\$1,567,939	\$0	\$1,220,184	\$1,220,184	\$0	(\$347,755)	(\$347,755)		\$0	\$0	\$0	\$347,755	\$461,902
FY 2017-18															
FTE'S	0.00	50.75	50.75	0.00	0.00	0.00	0.00	(50.75)	(50.75)						
Salaries and Wages	\$0	\$1,431,959	\$1,431,959	\$0	\$0	\$0	\$0	(\$1,431,959)	(\$1,431,959)	General Revenue	\$0	\$0	\$0		
OPS	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Fees	\$0	\$0	\$0		
Expenses	\$0	\$118,522	\$118,522	\$0	\$0	\$0	\$0	(\$118,522)	(\$118,522)	Federal Funds	\$0	\$0	\$0		
Contracted Services	\$0	\$0	\$0	\$0	\$1,220,184	\$1,220,184	\$0	\$1,220,184	\$1,220,184	Other -	\$0	\$0	\$0		
Special Categories	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$17,458	\$17,458	\$0	\$0	\$0	\$0	(\$17,458)	(\$17,458)	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
Other -	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	Other -	\$0	\$0	\$0		
TOTAL FY 2017-18	\$0	\$1,567,939	\$1,567,939	\$0	\$1,220,184	\$1,220,184	\$0	(\$347,755)	(\$347,755)		\$0	\$0	\$0	\$347,755	\$809,657
GRAND TOTAL	\$0	\$6,271,755	\$6,271,755	\$0	\$5,114,344	\$5,114,344	\$0	(\$1,157,412)	(\$1,157,412)		\$0	\$0	\$0	\$1,157,412	\$809,657

Include One-Time Costs
 Include on-going agency costs - Direct and Indirect
 Include all forms of compensation whether or not the funds pass through state coffers, whether or not the compensation is cash.

SCHEDULE XIAA-2: COST/BENEFIT ANALYSIS - BENEFITS AND ADDITIONAL COSTS

Function Costs for Custodial Outsourcing	Option: <u>1</u>		
Produced October 1, 2013	For DMS	By Darren Fancher	F Y 2014-2015

List and describe any Benefits not captured on Schedule XIAA-1, such as improved customer service, which could not be quantified:

1	Improved customer service - DMS facility managers will have fewer staff members to oversee, thereby becoming more able to focus on the needs of their tenants.
2	Greater focus on repairs and maintenance - DMS facility managers will spend less time on personnel matters with custodial staff; they will be able to focus more on the technical aspects of the facilities.
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List and describe any expected costs not captured on Schedule XIAA-1 because they could not be quantified:

1	None.
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**SCHEDULE XIIB: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS**

Schedule XII-B Cover Sheet and Agency Project Approval	
Agency: Department of Management Services	Schedule XII-B Submission Date: September 4, 2013
Project Name: Private Prison Monitoring - Blackwater River, Gadsden, Lake City, South Bay Correctional Facilities	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2013-2014 LBR Issue Code: N/A	FY 2013-2014 LBR Issue Title: N/A
Agency Contact for Schedule XII-B (Name, Phone #, and E-mail address): Debra Forbess, 487-9911; debra.forbess@dms.myflorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII-B in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII-B.	
Agency Head:	Date:
<i>Stacy</i> Printed Name: Craig J. Nichols	
Agency Chief Information Officer: <i>(If applicable) N/A</i>	Date:
Printed Name: Joe Wright	
Budget Officer: <i>Debra Forbess</i>	Date: <i>9/10/13</i>
Printed Name: Debra Forbess	
Chief of Staff: <i>Erin Rock</i>	Date: <i>9-30-13</i>
Printed Name: Erin Rock	
Project Sponsor: <i>Michael Weber</i>	Date: <i>09-04-2013</i>
Printed Name: Michael Weber	

**SCHEDULE XIIB-1: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS
– BACKGROUND INFORMATION**

Background Information
<p>1. Provide a narrative summary describing the agency’s decision to outsource or privatize the service or activity.</p> <p>Attach to Schedule XII-B copies of the original business case and cost benefit analysis. If these documents are unavailable, attach any documents which state the original intention of the outsourcing or privatization initiative that will detail its goals, objectives, and expected outcomes. Such documents may include (a) original legislative budget requests, (b) original budget amendments, (c) legislative presentations, or (d) agency planning documents.</p> <p>The Florida Legislature authorized the construction and operation of privately operated institutions in 1989. The privatization purpose was to reduce the costs associated with the state’s rising inmate population and to identify innovative and effective approaches to corrections. In 1993, the Florida Legislature created the Correctional Privatization Commission for the purpose of entering into contracts for the construction and operation of private correctional facilities. In July 2004, the Correctional Privatization Commission was transferred to the Department of Management Services (DMS) for contractual oversight of five private correctional facilities. The Correctional Privatization Commission was abolished in July 2005.</p>
<p>2. Have the anticipated cost savings and benefits of the initiative been realized? Explain.</p> <p>Section 957.07, Florida Statutes, requires the contract or series of contracts for a facility result in a cost savings of 7-percent over the public provision of a similar facility. However, due to difference in educational and substance abuse programs offered and the size of private facilities compared to public facilities, the actual cost savings varies. In 2001, the Legislature created the Prison Per Diem Workgroup to develop consensus per diem rates to determine the level of funding provided to privately operated prisons, which must reflect at least a 7-percent saving when compared to the Department of Corrections (DC). In 2005, DMS re-bid the operations and management contracts for the Lake City and South Bay correctional facilities. The contracts were executed effective July 1, 2006 and ended June 30, 2009. The cost savings achieved over the DCs’ per diem for Lake City over three (3) years was \$4,014,001. The cost savings achieved over the Department of Corrections’ per diem for South Bay over three (3) years was \$13,846,212.45. In 2006, DMS re-bid the operations and management contract for the Bay, Gadsden, and Moore Haven correctional facilities. The contract period began July 10, 2007 (Bay and Gadsden) and July 1, 2009 (Moore Haven), the contracts ended June 30, 2010. The cost savings achieved over the DC per diem over three (3) years was \$1,987,480 at the Bay Correctional Facility, the savings over three (3) years at the Moore Haven Facility was \$2,877,999, and the three (3) year savings at the Gadsden Facility was \$5,273,733. In 2009, DMS re-bid the operations and management contracts for the Lake City and South Bay correctional facilities. The contracts became effective in July 2009 for three year term. The cost savings achieved over the DCs’ per diem was \$6,551,493 for the three (3) year term on the Lake City contract and \$23,638,422 for the three (3) year term on the South Bay contract. In 2010, DMS re-bid the operations and management contracts for the Bay, Gadsden, Graceville and Moore Haven correctional facilities. The total cost savings of the four contracts over three years will be \$3.8 million. Contracts for South Bay, Lake City, Gadsden and Blackwater River were amended or renewed to reduce costs in 2012, and 2013. The 2013 solicitation for the Bay, Moore Haven and Graceville is anticipated to be reconciled by the end of 2013.</p>
<p>3. Provide a narrative description of the competitive solicitation used to outsource or privatize the service or activity.</p>

Attach a copy of any competitive solicitation documents, requests for quote(s), service level agreements, or similar documents issued by the agency for this competitive solicitation, which are deemed by the agency not to be confidential or exempt from public records requirements if available.

The CPC issued a Request for Proposal (RFP) for six correctional facilities. The RFP for the designing, financing, acquiring, leasing, constructing, and operating three adult male and three youthful offender facilities were issued. One adult female facility was transferred from the DC to the CPC in July 1999. Two of the youthful offender facilities, once constructed, were transferred to the Department of Juvenile Justice (DJJ) for oversight of operation. These two facilities were later transferred from the DJJ to the DC for oversight of operation. Since the transfer of the private correctional facilities to the DMS, the following procurements have been completed:

1. An Invitation to Negotiate (ITN) was issued in 2005 for the design-build and operations and management of a new facility in Graceville, Florida. Contracts for both were executed in February 2006. The Graceville Correctional Facility became operational in September 2007;
2. An ITN was issued and a contract was executed in 2005 for a project manager to oversee the design and construction of the new facility in Graceville, Florida. This contract was extended in 2007 to include services for the 384-bed expansion project authorized in the 2007 Legislative Session;
3. ITNs were issued in 2005 for the expansion of three facilities (Bay, Gadsden, and Moore Haven), with both the design-build and operations and management contracts executed in February 2006. The expansions were completed in July 2007;
4. An ITN was issued and a contract was executed in 2005 for a project manager to oversee the design and construction of the expansion of Bay, Gadsden, and Moore Haven correctional facilities;
5. An ITN was issued and a contract was executed in 2006 for a study to be completed which would compare the costs to operate a private correctional facility against the costs to operate a similar state operated facility;
6. ITNs were issued in 2005 for the re-bid of the operations and management contracts at the Lake City and South Bay correctional facilities. The contracts were executed in June 2006, for a three-year period beginning July 1, 2006 – June 30, 2009;
7. ITNs were issued in November 2006 for the re-bid of the operations and management contracts for the Bay, Gadsden, and Moore Haven correctional facilities. The contracts were effective July 2007 – June 30, 2010;
8. An RFP was issued for project management services to include oversight of all authorized design build contracts. The contract was executed in July 2008 for a five year term;
9. An ITN was issued in August 2007 for a 384-bed expansion at the Graceville Correctional Facility. The expansion was completed in February 2009 and inmates were transferred to the additional beds in July 2009;
10. An ITN was issued in September 2008 for the design, build and operations of a new 2,000 bed correctional facility. Since named Blackwater River Correctional Facility, the design build contract was executed on March 18, 2009. The facility became operational in October 2010 and its current contract was renewed for two more years operations, until October 2015; and
11. In 2009, ITNs were issued for the re-bid of the operations and management contracts for the Lake City and South Bay Correctional Facilities. The contracts were effective July 31, 2009 and July 1, 2009 respectively;
12. During the 2009-2010 Fiscal Year, an ITN was issued to re-bid the Bay, Gadsden, Moore Haven and Graceville Correctional Facilities resulted in four new contracts achieving a three year savings of \$3.8 million over the previous contract values, and;
13. Bay Correctional Facility maintained its incumbent operator whereas Gadsden, Moore Haven, and Graceville correctional facilities changed operators.
14. Bay, Moore Haven and Gadsden are currently in a solicitation that was stayed because of a bid specification challenge.

4. Section 287.057(13)(a), *Florida Statutes*, allows for the renewal of contracts for commodities and contractual services for a period that may not exceed 3 years or the term of the original contract, whichever period is longer. Such renewals are contingent upon satisfactory performance evaluations by the agency and subject to the availability of funds.

For the outsourced or privatized service or activity, identify the number of times the contract has been renewed and specify the renewal period of each. Attach a copy of the documentation verifying the contractor's satisfactory performance compliance required prior to each renewal.

Bay Correctional Facility's operations and management contract effective July 1, 2000 contract terminated on June 30, 2002. The contract was renewed for one year periods as follows: July 1, 2002 – June 30, 2003 / July 1, 2003 – June 30, 2004 / July 1, 2004 – June 30, 2005. Due to expansion at the facility, the contract was renewed July 1, 2005 – June 30, 2007. The contract was extended from July 1, 2007 – July 9, 2007 for the final completion of contract negotiations. Gadsden Correctional Facility's operation and management contract effective July 1, 1999 terminating June 30, 2001. The contract was then renewed for a two year period effective July 1, 2001 – June 30, 2003. The contract was then renewed for one year periods as follows: July 1, 2003 – June 30, 2004 / July 1, 2004 – June 30, 2005. The contract was renewed July 1, 2005 – June 30, 2007, due to an expansion project. A new operations and management contract was effective July 10, 2007 and terminated on June 30, 2010. The contract was extended to July 31, 2010 when a new contract was signed for three years. This contract was extended until January 31, 2014 and it is anticipated a new contract will be in place February 1, 2014.

Gadsden Correctional Facility's operation and management contract effective July 1, 1999 contract terminated June 30, 2001. The contract was then renewed for a two year period effective July 1, 2001 – June 30, 2003. The contract was then renewed for one year periods as follows: July 1, 2003 – June 30, 2004 / July 1, 2004 – June 30, 2005. The contract was renewed July 1, 2005 – June 30, 2007, due to expansion at the facility. The July 1, 2005 – June 30, 2007 contract was extended until July 9, 2007 to complete negotiations. A new operations and management contract was effective July 10, 2007 and terminated on June 30, 2010. The contract was extended to July 31, 2010. The contract was renewed through July 31, 2015.

Lake City Correctional Facility's operations and management contract effective February 14, 2000 terminating on June 30, 2001. The contract was then renewed for a two year period effective July 1, 2001 – June 30, 2003. The contract was then renewed for one year periods as follows: July 1, 2003 – June 30, 2004 / July 1, 2004 – June 30, 2005 / July 1, 2005 – June 30, 2006. An ITN was issued in 2005 for the re-bid of the contract. The contract was executed in June 2006, for a three-year period beginning July 1, 2006 – June 30, 2009. Two Two-week renewals were executed in July 2009 to finalize the new contract. An ITN was issued in 2009 for the re-bid of the contract. The contract was executed July 31, 2009 for a three-year term effective July 31, 2009 – June 30, 2012. The contract was renewed through June 30, 2014.

Moore Haven Correctional Facility's operations and management contract effective July 1, 2000 and terminated on June 30, 2002. The contract was renewed for a two year period effective July 1, 2002 – June 30, 2004. The contract was then renewed July 1, 2004 – June 30, 2005. Due to expansion at the facility, the contract was renewed July 1, 2005 – June 30, 2007. A new contract was effective July 1, 2007 and terminated on June 30, 2010. The contract was extended to July 31, 2010 when a new contract was signed for three years. This contract was extended until January 31, 2014 and it is anticipated a new contract will be in place February 1, 2014.

South Bay Correctional Facility's operations and management contract dated February 3, 2000 terminating

on June 30, 2001. The contract was then renewed for a two year period effective July 1, 2001 – June 30, 2003. The contract was renewed for one year periods July 1, 2003 – June 30, 2004 / July 1, 2004 – June 30, 2005 / July 1, 2005 – June 30, 2006. An ITN was issued in 2005 for the re-bid of the contract. The contract was executed in June 2006, for a three-year period beginning July 1, 2006 – June 30, 2009. An ITN was issued in 2009 for the re-bid of the contract. The contract was executed July 1, 2009 for a three-year term effective July 1, 2009 – June 30, 2012. The contract was renewed through June 30, 2014.

Graceville Correctional Facility's operations and management contract became effective in September 2007. On September 26, 2010, a competitive procurement resulted in a new operator taking over operations at the facility. This contract was extended until January 31, 2014 and it is anticipated a new contract will be in place February 1, 2014.

Blackwater River Correctional Facility's operations and management contract became effective October 5, 2010 and was scheduled to terminate October 4, 2013. In 2013, DMS renewed this contract for two additional years, until October 2015.

5. For the outsourced or privatized service or activity, has the contractor satisfactorily complied with all service level requirements? Provide narrative summary describing service level requirements compliance or noncompliance and the method used by the agency for monitoring progress in achieving the specified performance standards within the contract.

Section 957.04, Florida Statutes requires the vendor providing operations must seek, obtain and maintain accreditation by the American Correctional Association (ACA) for each facility. Each facility has achieved ACA accreditation and has maintained re-accreditation every three years. The privately operated facilities have had no inmate escapes ensuring public safety. The vendors continue to implement innovative programs at the facilities to aid inmate transition into society after release.

6. Describe any unexpected benefits from outsourcing or privatization of the service or activity.

The privately operated facilities have been able to maintain educational and substance abuse programs, whereas the Department of Corrections has had to cut programs offered to inmates in the public facilities. The programs are beneficial in ensuring inmates have a General Education Development diploma, training for job placement and an understanding that substance abuse must be managed to prevent recidivism once released from custody.

7. Describe any unexpected problems or issues with the outsourcing or privatization of the service or activity.

Subsequent to the transfer and as a result of the IG Audit, DMS, Bureau of Private Prison Monitoring (Bureau) has:

1. Developed a reporting method comparing vacancies against program numbers which has been consistent since implementation. Calculation of deductions has also been consistent since implementation of the new process in January 2005.
2. Provided to the vendors and its Contract Managers written instructions and enhancements to methods of reporting information to ensure consistency in their reporting methods and response time.
3. Received three (3) additional Full-time equivalent staff. One position is responsible for screening/reviewing criminal background information once completed for each potential new hire at the correctional facilities, interpreting the criminal history, and notifying the vendor whether the potential new hire is clear or not clear to be employed at the correctional facility. The other two (2) positions are Management Review Specialists who are routinely traveling to the correctional facilities to conduct quality reviews, assist the Contract Managers, developing reports and recommendations, and developing policies and procedures.
4. The two (2) Management Review Specialists have met with all respective DC Regional Directors to convey the Bureau's interest in being as reciprocal as possible on information and cooperation.
5. All private prison wardens will be attending monthly regional warden meetings.
6. All facilities will now forward their draft response to these routine audits to us prior to them being sent outside of the private prison system.
7. Mandated weekly meetings between the Wardens and the Contract Monitors. The one-on-one meetings include discussion relating to pending incidents/investigations and their status, policy issues, vacancy issues, follow-up to pending issues, etc. The Contract Managers are providing weekly to the Bureau an update/status of issues discussed.

As a result of the training many new practices have been developed or are in the process of being developed to further enhance oversight as follows:

1. A complete revamping of the Contract Monitoring Manual utilizing the instrument/contract monitoring tools. In 2012 the new monitoring instrument was launched in a web-based database. The database generates approximately 250 indicators that are reviewed on a monthly basis by the

contract managers. The indicators are reviewed and a score is assessed on the vendor's performance;

2. Bureau staff have been added to mailing lists at the DC and Florida Department of Law Enforcement (FDLE) to ensure the Bureau is kept abreast of industry changes and to maintain working relationships between the various agencies;
3. Receive daily updates from the DC in real time through the computer system which reflect any incidents statewide, through the Emergency Action Center and Management Information Notification System (MINS).
4. Bureau staff have been given access to FDLE's Automated Training Management System (ATMS) which will allow staff to view correctional officers' files; access will ensure appropriate monitoring of issues within the facilities;
5. Coordinating with FDLE for the Contract Managers to attend FDLE quarterly meetings;
6. Implemented the use of a standard inmate grievance report as a statewide form for the private facilities;
7. Mandated weekly meetings between the Bureau's on site Contract Managers and the facilities' wardens to improve communications;
8. Developed a reporting mechanism for the Contract Managers to report incidents/investigations to the Bureau in the web-based database in real time;
9. Conduct annual training/retreat;
10. Coordinate with the DC's IG's office on conducting regular quarterly or semi-annually audits (canine unit) at each facility;
11. Additional tours/visits are made to the facilities by central office staff;
12. Added Contract Managers as participants in the Bureau's weekly staff meetings; and
13. Implemented an Inmate Welfare Trust Fund Committee to review and approve proposed expenditure requests for each correctional facility.
14. Implementation of policy on response to official audits, where the Bureau has a uniform system to ensure any findings is corrected or contract credits are applied.

8. Briefly describe your agency's overall level of satisfaction with the results of outsourcing or privatization of the service or activity.

Privatization of correctional facilities has resulted in program participation in the facilities which benefit the inmate population that exceed the participation rates in comparable public facilities. The educational and substance abuse classes will enable the inmates, upon release, to find gainful employment and make life choices that will prevent re-offending and the return to prison.

9. What lessons learned should be shared with other agencies considering the outsourcing or privatization of a similar service or activity?

Implementation of policy and procedures to ensure that guidelines are established would be beneficial for both the state and vendor. The appropriation for the administration of the contracts is within the DMS general government budget and the appropriations for the operation of the facilities are within the DC criminal justice budget. This results in a division of the responsibility and challenges.

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

Section I: Cost Data

Blackwater River Correctional Facility

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned Savings	Actual/Revised Savings
FY 2007 - 2008	\$	\$	\$	\$
FY 2008 - 2009	\$	\$	\$	\$
FY 2009 - 2010	\$	\$	\$	\$
FY 2010 - 2011	\$22,604,736	\$21,920,688	\$	\$684,048
FY 2011 - 2012	\$30,660,000	\$30,111,909	\$	\$548,091
FY 2012 - 2013	\$30,660,000	\$29,740,200	\$	\$919,800
FY 2013 - 2014	\$30,660,000	\$	\$	\$
FY 2014 - 2015	\$30,660,000	\$	\$	\$
FY 2015 - 2016	\$	\$	\$	\$
FY 2016 - 2017	\$	\$	\$	\$

Variance	Reasons			
Cost	FY 2010-11 was partial year funding.			
Savings				

Section II: Deliverables and Milestones Schedule

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

Deliverables and Milestones	Original	Actual Date/ Revised Date
Daily operations of a 2,000 bed adult male correctional facility housing medium and close custody inmates. The facility became operational in October 2010.	10/5/2010	
Amendment #1 - Added NCIC Requirements		10/4/2010
Amendment #2 - Revised Staffing Pattern		9/30/2010
Amendment #3 - Added Section 5.52.5 Regarding Urgent Administrative Problems		11/8/2010
Amendment #4 - Revised Per Diem Rates and Staffing Pattern		6/29/2012

Variance	Reasons			
Schedule				

Office of Policy and Budget - July, 2008

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

7.1.2.3. \$40.74 blended Per Diem.

7.1.2.4 minus monthly deduction for:

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

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

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

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

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

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


STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES



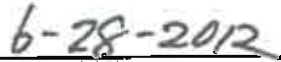
Scott Stewart, Interim Secretary



Date:



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



Date:

THE GEO GROUP, INC.



Amber D. Martin
Vice President, Contracts Administration

6-28-2012

Date:

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

Section I: Cost Data

Gadsden Correctional Facility

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned Savings	Actual/Revised Savings
FY 2007 - 2008	\$	\$	\$	\$
FY 2008 - 2009	\$	\$	\$	\$
FY 2009 - 2010	\$	\$	\$	\$
FY 2010 - 2011	\$	\$	\$	\$
FY 2011 - 2012	\$	\$	\$	\$
FY 2012 - 2013	\$25,504,156	\$24,228,116	\$	\$1,276,040
FY 2013 - 2014	\$	\$	\$	\$
FY 2014 - 2015	\$	\$	\$	\$
FY 2015 - 2016	\$	\$	\$	\$
FY 2016 - 2017	\$	\$	\$	\$

Variance	Reasons			
Cost				
Savings				

Section II: Deliverables and Milestones Schedule

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

Deliverables and Milestones	Original	Actual Date/ Revised Date
Daily operations of a 1,544 bed adult female correctional facility housing minimum and medium custody inmates.	8/1/2010	
Amendment #1 - Added NCIC Requirements		10/25/2010
Amendment #2 - Added Section 5.52.5 Regarding Urgent Administrative Problems		11/3/2010
Amendment #3 - Revised Job Descriptions and Staffing Pattern		2/9/2011
Amendment #4 - Revised Job Descriptions and Staffing Pattern		10/18/2011
Amendment #5 - Adding 24 additional inmates at the facility and revised staffing pattern		2/2/2012
Amendment #6 - Revised Per Diem Rates		7/16/2012
Amendment #7 & Renewal #1 - Renewal for 2 years		7/1/2013

Variance	Reasons			
Schedule				

Office of Policy and Budget - July, 2008

AMENDMENT #5
OPERATION AND MANAGEMENT SERVICES CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
MANAGEMENT AND TRAINING CORPORATION
FOR THE
GADSDEN CORRECTIONAL FACILITY

This Amendment is entered into this 2ND day of ~~January~~ ^{FEBRUARY} 2012, by and between the State of Florida, Department of Management Services, Bureau of Private Prison Monitoring ("Bureau") and MANAGEMENT AND TRAINING CORPORATION ("Contractor or "MTC"), 500 North Marketplace Drive, Centerville, Utah 84014 in recognition of the following:

WHEREAS, the parties hereto have previously entered into Contract DMS 09/10-055, dated April 30, 2010, (the Contract) for the Contractor to operate, maintain and manage the Gadsden Correctional Facility (the Facility); and

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

WHEREAS, The General Appropriation Act of 2011 states, "The department may transfer up to 1,200 beds to existing private prisons with available capacity if it determines that such transfers are in accordance with American Correctional Association and department standards, and would provide a cost savings of at least 7 percent."

WHEREAS, Section 7.6 Supplemental Compensation provides for a contractor to be eligible for supplemental compensation for any inmates housed in the facility in excess of the original capacity.

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

1. In accordance with Section 4.11 and the need of the Florida Department of Corrections, the Contractor will house 24 additional inmates at the Facility.
2. Add Section 7.1.1.3.1 to read as follows: The 24 additional beds housed at the Gadsden Correctional Facility will be at the per diem rate of \$11.15.
3. Contractor will be ready to accept the 24 additional inmates after January 15, 2012.
4. Pursuant to Section 5.41.1 Staffing Requirements, this amendment adds a revised Contractor's Staffing Pattern, as attached, to Exhibit I.

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

IN WITNESS WHEREOF, the undersigned authorized persons have executed this Amendment on behalf of their respective party effective ~~January 2ND~~ ^{FEBRUARY} 2012.

STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES


Name

February 2, 2012
Date

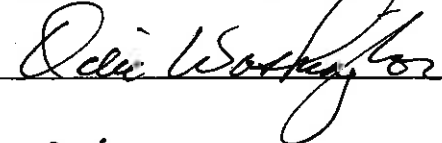
John P. Miles, Secretary
Printed Name

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


Name

1-12-2012
Date

Management and Training Corporation


Name

1-25-12
Date

Odie Washington
Printed Name

Sergeant U. P.
Title

**AMENDMENT #6
CONTRACT DMS 09/10-055
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
MANAGEMENT AND TRAINING CORPORATION
FOR THE
GADSDEN CORRECTIONAL FACILITY**

This amendment, effective as of the last day signed by both parties, is, by and between the State of Florida, Department of Management Services, Bureau of Private Prison Monitoring (Bureau) and MANAGEMENT AND TRAINING CORPORATION (MTC), 500 North Marketplace Drive, Centerville, Utah 84014 (Contractor) in recognition of the following:

WHEREAS, the parties hereto have previously entered into Contract DMS 09/10-055, dated April 30, 2010, (the Contract) for the Contractor to operate, maintain and manage the Gadsden Correctional Facility (the Facility); and

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

WHEREAS, the parties desire to amend the contract to amend the renewal period pricing in anticipation of entering into a renewal, and to adjust the amount of compensation Contractor receives for providing services under the Contract pursuant to the annual appropriations amount in the Florida General Appropriation Act, Line item 673;

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

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

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

- II. Article 7.1.1 and 7.1.2, Compensation and Adjustments, are amended to read as follows:

7.1.1 The Bureau will compensate Contractor at the following per diem rates (inmate, per day) effective July 02, 2012 through July 31, 2013:

- 7.1.1.1. \$47.60 times the minimum occupancy of 90%;
- 7.1.1.2. \$ 8.27 for each inmate over the minimum occupancy rate of 90%;
- 7.1.1.3. \$43.67 blended Per Diem.
- 7.1.1.4 minus monthly deduction for:

7.1.1.4.1. The Major Maintenance and Repair Reserve Fund set forth in Article

4.9, in the monthly amount of \$25,333.00.

7.1.1.4.2. The Contract Monitor set forth in Article 5.44, in the monthly amount of \$4,753.00.

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

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

7.1.2. If the parties renew the Contract pursuant to Section 3.1, the Per Diem Rates shall be as follows as of August 01, 2013 through July 31, 2015:

7.1.2.1. \$47.60 times the minimum occupancy of 90%;

7.1.2.2 \$ 8.27 for each inmate over the minimum occupancy rate of 90%;

7.1.2.3. \$43.67 blended Per Diem.

7.1.2.4 minus monthly deduction for:

7.1.2.4.1. The Major Maintenance and Repair Reserve Fund set forth in Article 4.9, in the monthly amount of \$25,333.00.

7.1.2.4.2. The Contract Monitor set forth in Article 5.44, in the monthly amount of \$4,753.00.


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

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

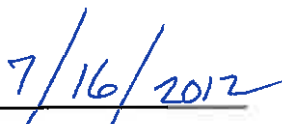
This Amendment sets forth the entire understanding between the parties with regard to the subject matter hereof. All other terms and conditions of the Contract and shall remain in full force and effect.

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


**STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES**




Craig J. Nichols, Secretary



Date:




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




Date:

Management and Training Corporation



Jane Marquardt
Vice Chair



Date:

AMENDMENT #7
RENEWAL #1
OPERATION AND MANAGEMENT SERVICES CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
MANAGEMENT AND TRAINING CORPORATION (MTC)
FOR THE
GADSDEN CORRECTIONAL FACILITY

This Amendment is entered into this 2nd day of ~~June~~^{July} 2013, by and between the State of Florida, Department of Management Services, Bureau of Private Prison Monitoring (Bureau) and MANAGEMENT AND TRAINING CORPORATION (MTC), 500 North Marketplace Drive, Centerville, Utah 84014 (Contractor) in recognition of the following:

WHEREAS, the parties hereto have previously entered into Contract DMS 09/10-055, dated April 30, 2010, (the Contract) for the Contractor to operate, maintain and manage the Gadsden Correctional Facility (the Facility); and

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

WHEREAS, the initial term of the Contract will end on July 31, 2013.

WHEREAS, Section 3.1 of the Contract expressly provides for renewals.

WHEREFORE, In consideration of mutual benefits exchanged and received, the Parties agree as follows:

1. The Contract is renewed for two (2) years and will terminate on July 31, 2015, unless otherwise renewed or extended as authorized by the Contract and law.
2. Compensation is described in Amendment #6 to the Contract.

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

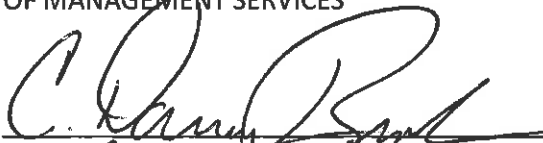
All other terms and conditions of the Contract remain the same.

IN WITNESS WHEREOF, the undersigned authorized persons have executed this Amendment on behalf of their respective party effective ~~June~~^{July} 2nd, 2013.

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Amendment #7
Gadsden Correctional Facility
June 27, 2013


STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES


Name C. DARREN DWYER, Deputy Secretary

7/1/13
Date

for Craig J. Nichols
Agency Secretary

Management and Training Corporation


Jane Marguardt, Vice Chair
for

7/2/13
Date

Odie Washington
Senior Vice President, Corrections

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

Section I: Cost Data

Lake City Correctional Facility

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned Savings	Actual/Revised Savings
FY 2007 - 2008	\$	\$	\$	\$
FY 2008 - 2009	\$	\$	\$	\$
FY 2009 - 2010	\$	\$	\$	\$
FY 2010 - 2011	\$	\$	\$	\$
FY 2011 - 2012	\$	\$	\$	\$
FY 2012 - 2013	\$19,830,494	\$19,234,014	\$	\$596,480
FY 2013 - 2014	\$	\$	\$	\$
FY 2014 - 2015	\$	\$	\$	\$
FY 2015 - 2016	\$	\$	\$	\$
FY 2016 - 2017	\$	\$	\$	\$

Variance	Reasons			
Cost				
Savings				

Section II: Deliverables and Milestones Schedule

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

Deliverables and Milestones	Original	Actual Date/ Revised Date
Daily operations of a 893 bed youthful male correctional facility housing minimum, medium and close custody inmates.	7/31/2009	
Amendment #1 - Revised Cooperative Transfer Agreement		12/10/2009
Amendment #2 - Revised Per Diem Rates		6/10/2010
Amendment #3 - Revised Job Descriptions and Staffing Pattern		10/18/2010
Amendment #4 - Revised Per Diem Rates and Staffing Pattern		6/29/2012
Amendment #5 and Renewal #1 - Renewed for 2 years		6/29/2012
Amendment #6 - Revised Job Descriptions and Staffing Pattern		12/8/2012
Amendment #7 - Added NCIC Requirements		1/8/2013
Amendment #8 - Revised Job Descriptions and Staffing Pattern		5/9/2013

Variance	Reasons			
Schedule				

Office of Policy and Budget - July, 2008

**AMENDMENT #4
CONTRACT DMS 08/09-076
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
CORRECTIONS CORPORATION OF AMERICA
FOR THE
LAKE CITY CORRECTIONAL FACILITY**

This amendment, effective as of the last day signed by both parties, is, by and between the State of Florida, Department of Management Services, Bureau of Private Prison Monitoring (Bureau) and Corrections Corporation of America, 10 Burton Hills Boulevard, Nashville, Tennessee 37215 (CCA).

WHEREAS, the parties entered into a contract that became effective on July 1, 2009, (Contract) for CCA to operate, maintain, and manage the Lake City Correctional Facility (Facility);

WHEREAS, Article 12.15 of the Contract expressly allows for amendments to be made to the Contract;

WHEREAS, the parties desire to amend the contract to amend the renewal periods and to adjust the amount of compensation Contractor receives for providing services under the Contract pursuant to the annual appropriations amount in the Florida General Appropriation Act, Line Item 686.

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

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

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

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

7.1.3.4. The Bureau will compensate CCA at the following per diem rates (inmate, per day) effective July 01, 2012 through June 30, 2014:

\$63.10 times the minimum occupancy of 90%;
\$22.14 for each inmate over the minimum occupancy rate of 90%;
\$59.01 blended Per Diem.

7.1.3.5 minus monthly deduction for:

7.1.3.6 The Major Maintenance and Repair Reserve Fund set forth in Article 4.9, in the monthly amount of \$6,970.04.

7.1.3.7 The Contract Monitor set forth in Article 5.44, in the monthly amount of \$5,213.09.

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

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

3. The payments to CCA cannot exceed the total appropriation of \$19,830,494 for the Fiscal Year 2011/2012 in accordance with the Florida General Appropriations Act, Senate Bill 2000, Line Item 628, as amended. The total paid July 1, 2011 through April 30, 2012 at the higher compensation rates pursuant to the original contract is \$17,192,443. An appropriation balance of \$2,638,050 is available for the May and June 2012 invoices. Notwithstanding any provision herein to the contrary, CCA and the Bureau agree that CCA's monthly invoice for May 2012 shall be \$1,768,232 based upon the higher compensation rates pursuant to the original contract. A onetime deduction of \$1,018,360 will be taken from CCA's monthly invoice for June 2012 to adjust for the higher compensation rates paid or to be paid CCA for invoices from July 1, 2011 to May 31, 2012 pursuant to the original contract.
4. Pursuant to Section 6.3.1 Personnel, this amendment adds a revised Contractor's Staffing Pattern, as attached, to Exhibit 2.

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

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

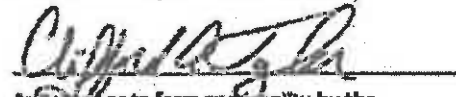
STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES



Scott Stewart, Interim Secretary



Date:



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



Date:

CORRECTIONS CORPORATION OF AMERICA



Natasha K. Metcalf
Vice President, Partnership Development



Date:

**AMENDMENT #5
RENEWAL #1
CONTRACT DMS 08/09-076
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
CORRECTIONS CORPORATION OF AMERICA
FOR THE
LAKE CITY CORRECTIONAL FACILITY**

This amendment, effective as of the last day signed by both parties, is, by and between the State of Florida, Department of Management Services, Bureau of Private Prison Monitoring (Bureau) and Corrections Corporation of America, 10 Burton Hills Boulevard, Nashville, Tennessee 37215 (CCA).

WHEREAS, the parties entered into a contract that became effective on July 1, 2009, (Contract) for CCA to operate, maintain, and manage the Lake City Correctional Facility (Facility);

WHEREAS, Article 12.15 of the Contract allows for amendments to be made to the Contract and Article 3.1 allows for renewals of the Contract;

WHEREAS, the initial term of the Contract will expire on June 30, 2012; and

WHEREAS, the parties desire to renew the Contract for two (2) years.

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

1. The Contract is renewed for two (2) years, and will terminate on June 30, 2014, unless otherwise renewed or extended as authorized by the Contract and law.
2. Compensation is described in Amendment # 4 to the Contract.

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

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

**STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES**

CORRECTIONS CORPORATION OF AMERICA

Scott Stewart

Scott Stewart, Interim Secretary

Date

Natasha K. Metcalf

Natasha K. Metcalf

Date

Vice President, Partnership Development

Chiffon

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

Date

**AMENDMENT #6 OF THE
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
BUREAU OF PRIVATE PRISON MONITORING
AND
CORRECTIONS CORPORATION OF AMERICA
FOR THE
LAKE CITY CORRECTIONAL FACILITY**

This Amendment is entered into by and between the State of Florida Department of Management Services, Bureau of Private Prison Monitoring ("Bureau") and Corrections Corporation of America, 10 Burton Hills Boulevard, Nashville, Tennessee, 37215 ("CCA") in recognition of the following:

WHEREAS, the parties entered into a contract on July 31, 2009, (the "Contract") for CCA to operate, maintain and manage the Lake City Correctional Facility ("Facility").

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

1. Replace the existing Exhibit 3, Job Descriptions and Salary Ranges, with the attached Exhibit 3. This Exhibit 3 incorporates job descriptions for the following positions:
 - a. Mental Health Specialist
 - b. Mental Health Coordinator
 - c. Human Resource Assistant
 - d. Psychologist - Part-time
 - e. Program Coordinator - Canine
 - f. Program Facilitator – Part-time and appendix

All other terms of the Contract not amended herein shall remain unchanged.

IN WITNESS WHEREOF, the undersigned authorized persons have executed this Amendment on behalf of their respective party effective as of December 8, 2012.

STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES

Craig Nichols
Name

12/8/2012
Date

Craig Nichols, Secretary
Printed Name

CORRECTIONS CORPORATION OF AMERICA

Natasha K. Metcalf
Natasha Metcalf, Vice President, Partnership Development

12/5/12
Date

Natasha K. Metcalf
Printed Name

Vice President, Partnership Development
Title

**AMENDMENT #7
CONTRACT DMS 08/09-076
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
CORRECTIONS CORPORATION OF AMERICA
FOR THE
LAKE CITY CORRECTIONAL FACILITY**

This amendment, effective as of the last day signed by both parties, is, by and between the State of Florida, Department of Management Services, Bureau of Private Prison Monitoring (Bureau) and Corrections Corporation of America, 10 Burton Hills Boulevard, Nashville, Tennessee 37215 (CCA).

WHEREAS, the parties hereto have previously entered into Contract DMS 08/09-076, dated July 1, 2009 (the Contract) for the Contractor to operate, maintain and manage the Lake City Correctional Facility (Facility); and

WHEREAS, Article 12.15 of the Contract expressly provides for amendments;

WHEREAS, The Federal Bureau of Investigation (FBI) requires a recognized criminal justice agency to provide criminal justice oversight to ensure compliance with the Security Addendum;

WHEREAS, The Department of Management Services, Bureau of Private Prison Monitoring is not recognized as a criminal justice agency by the Federal Bureau of Investigation (FBI);

WHEREAS, The Lake City Police Department (LCPD) agrees to provide the required criminal justice oversight as required by the FBI for compliance with the Security Addendum;

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

1. Add: Section 5.10.3., CONTRACTOR shall ensure sufficient staff is assigned to conduct FCIC/NCIC background screenings relating to visitation, volunteers and subcontractors. CONTRACTOR shall ensure the training and certification of this staff. Copies of access requests, training and certifications will be maintained at the Facility. This access will be used for criminal justice purposes. To comply with Federal Bureau of Investigation (FBI) regulations, the FBI CJIS security addendum will be incorporated into the Contract and signed by a third party criminal justice agency to provide criminal justice oversight. CCA will adhere to Section 5.1.1.5, Private Contractor User Agreements, of the CJIS Security Policy, requiring the incorporation of the CJIS Security Addendum approved by the Director of the FBI (action for the U.S. Attorney General), as referenced in Title 28 CFR 20.33(a)(7).
2. The Security Addendum, is attached hereto as Exhibit 5 and incorporated into the Contract by reference herein.

EIGHTH AMENDMENT OF THE
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
BUREAU OF PRIVATE PRISON MONITORING
AND
CCA OF TENNESSEE, LLC
FOR THE
LAKE CITY CORRECTIONAL FACILITY

This Amendment is entered into by and between the State of Florida Department of Management Services, Bureau of Private Prison Monitoring ("Bureau") and CCA of Tennessee, LLC, 10 Burton Hills Boulevard, Nashville, Tennessee, 37215 ("CCA") in recognition of the following:

WHEREAS, the parties entered into a contract on July 31, 2009, (the "Contract") for CCA to operate, maintain and manage the Lake City Correctional Facility ("Facility").

WHEREAS, Article 12.15 of the Lake City's Operations and Management Contract expressly provides for amendments to the Contract.

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

1. Replace the existing Exhibit 3, Job Descriptions and Salary Ranges, as referenced in 5.40.3.3., with the attached Exhibit 3.
2. Replace Exhibit 2, Staffing Pattern, as referenced in 6.3.1, with the attached Exhibit 2.
3. Replace the following Job Descriptions, contained in CCA's response as referenced in 1.10, with the attached Job Descriptions:
 - a. Warden
 - b. Assistant Warden
 - c. Chief of Security
 - d. Chief of Unit Management
 - e. Manager, Learning and Development (replaces the Training Manager job description)

All other terms of the Contract not amended herein shall remain unchanged.

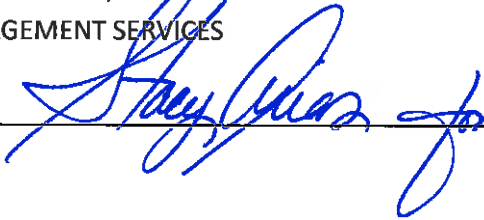
IN WITNESS WHEREOF, the undersigned authorized persons have executed this Amendment on behalf of their respective party effective as of May 9, 2013.

Amendment #3

Lake City Correctional Facility

STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES

Name



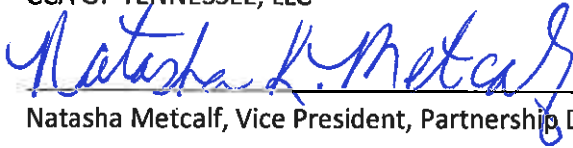
Date



Craig J. Nichols, Secretary

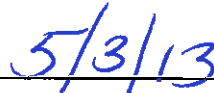
Printed Name

CCA OF TENNESSEE, LLC



Natasha Metcalf, Vice President, Partnership Development

Date





Printed Name



Title

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

Section I: Cost Data

South Bay Correctional Facility

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned Savings	Actual/Revised Savings
FY 2007 - 2008	\$	\$	\$	\$
FY 2008 - 2009	\$	\$	\$	\$
FY 2009 - 2010	\$	\$	\$	\$
FY 2010 - 2011	\$	\$	\$	\$
FY 2011 - 2012	\$	\$	\$	\$
FY 2012 - 2013	\$32,706,610	\$31,728,468	\$	\$978,142
FY 2013 - 2014	\$	\$	\$	\$
FY 2014 - 2015	\$	\$	\$	\$
FY 2015 - 2016	\$	\$	\$	\$
FY 2016 - 2017	\$	\$	\$	\$

Variance	Reasons			
Cost				
Savings				

Section II: Deliverables and Milestones Schedule

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

Deliverables and Milestones	Original	Actual Date/ Revised Date
Daily operations of a 1895 bed adult male correctional facility housing medium and close custody inmates.	7/1/2009	
Amendment #1 - Revised Per Diem Rate		6/1/2010
Amendment #2 - Employment Eligibility Verification agreement, adding 34 additional inmates, and revised staffing pattern		4/19/2012
Amendment #3 - Revised Per Diem Rates		6/29/2012
Amendment #4 and Renewal #1 - Renewed for 2 years		6/28/2012
Amendment #5 - Added NCIC Requirements		2/11/2013
Amendment #6 - Revised Job Descriptions and Staffing Pattern		6/17/2013

Variance	Reasons			
Schedule				

Office of Policy and Budget - July, 2008

AMENDMENT #2
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
THE GEO GROUP, INC.
FOR THE
SOUTH BAY CORRECTIONAL FACILITY

This Amendment is entered into this 19 day of April 2012, by and between the State of Florida, Department of Management Services, Bureau of Private Prison Monitoring ("Bureau") and The GEO Group, Inc., 621 Northwest 53rd Street, Boca Raton, Florida 33487 ("Contractor" or "GEO") in recognition of the following:

WHEREAS, the parties entered into a contract on July 1, 2009, (the "Contract") for GEO to operate, maintain and manage the South Bay Correctional Facility ("Facility").

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

WHEREAS, The General Appropriation Act of 2011 states, "The department may transfer up to 1,200 beds to existing private prisons with available capacity if it determines that such transfers are in accordance with American Correctional Association and department standards, and would provide a cost savings of at least 7 percent."

WHEREAS, Contract Section 7.6 "Supplemental Compensation" provides for a contractor to be eligible for supplemental compensation for any inmates housed in the facility in excess of the original capacity.

WHEREAS, pursuant to Section 7.7 Appropriation Contingency, the State is not obligated for any payments that exceed the amount of the current appropriations, and there was a reduction to the adult male appropriations category in Senate Bill 2000, Line Item 605.

NOW THEREFORE, the parties make this Amendment to the Contract and agree as follows:

1. Employment Eligibility Verification – Contractor agrees that it will enroll and participate in the Employment Eligibility Verification Program ("E-Verify Program") administered by the U.S. Department of Homeland Security ("DHS"), under the terms provided in the "Memorandum of Understanding" with DHS governing the program. Contractor further agrees to provide the Florida Department of Management Services (the "Agency"), within thirty days of the effective date of this Agreement, documentation of such enrollment in the form of a copy of the "Edit Company Profile" page in E-Verify, which contains proof of enrollment in the E-Verify Program. (This page can be accessed from the "Edit Company Profile" link on the left navigation menu of the E-Verify employer's homepage.

Contractor further agrees that it will require each subcontractor that performs work under this Agreement to enroll and participate in the E-Verify Program within ninety days of the effective date of this Agreement or within ninety days of the effective date of the contract between the Contractor and the subcontractor, whichever is later. The Contractor shall obtain from the subcontractor(s) a copy of the "Edit Company Profile" screen indicating enrollment in the E-

Verify Program and make such record(s) available to the Agency and other authorized state officials upon request.

Contractor further agrees to maintain records of its participation and compliance with the provisions of the E-Verify Program, including participation by its subcontractors as provided above, and to make such records available to the Agency and other authorized state officials.

Compliance with the terms of this Employment Eligibility Verification provision (including compliance with the terms of the "Memorandum of Understanding" with DHS) is hereby made an express condition of this Agreement.

2. In accordance with Section 4.11 and the need of the Florida Department of Corrections, the Contractor will house 34 additional inmates at the Facility.
3. Add Section 7.1.5.3 to read as follows: The 34 additional beds housed at the South Bay Correctional Facility will be at the per diem rate of \$9.96.
4. Contractor will be ready to accept the 34 additional inmates after April 01, 2012.
5. Article 7.1.5, In accordance with the Florida General Appropriations Act, Senate Bill 2000, Line Item 605, Compensation and Adjustments are hereby amended to read as follows:

7.1.5.4. The Bureau will compensate GEO at the following per diem rates (inmate, per day):

- 7.1.5.1. \$49.03 times the minimum occupancy of 90%;
- 7.1.5.2. \$ 7.29 for each inmate over the minimum occupancy rate of 90%;
\$44.86 blended Per Diem.

These per diem rates shall be effective April 01, 2012 through June 30, 2012.

6. In executing amendment, Contractor certifies that it is not listed on either the Scrutinized Companies with Activities in Sudan List or the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, created pursuant to section 215.473, Florida Statutes. Pursuant to section 287.135(5), F.S., Contractor agrees the Department may immediately terminate this contract for cause if Contractor is placed on the Scrutinized Companies with Activities in Sudan List or the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List during the term of the contract.
7. Pursuant to Section 6.3.1 Personnel, this amendment adds a revised Contractor's Staffing Pattern, as attached, to Exhibit 2. The "critical" staffing compliment remains unchanged.
8. Such transfers are in accordance with American Correctional Association and Department of Management Services standards, and will provide a cost savings of at least 7 percent.

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

IN WITNESS WHEREOF, the undersigned authorized persons have executed this Amendment on behalf of their respective party effective April 19, 2012.

STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES

Scott Stewart
Name

4/19/2012
Date

John P. Miles, Secretary
Printed Name

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

Clifford
Name

4-5-2012
Date

THE GEO GROUP, INC.

Adm
AMBER D. MARTIN
~~Vice President, Contracts Administration~~
The GEO Group, Inc.

April 3, 2012
Date

Amber D. Martin
Printed Name

Vice President, Contracts Administration
Title

**AMENDMENT #3
CONTRACT DMS 08/09-077
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
THE GEO GROUP, INC.
FOR THE
SOUTH BAY CORRECTIONAL FACILITY**

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

WHEREAS, the parties entered into a contract that became effective on July 1, 2009, (Contract) for GEO to operate, maintain, and manage the South Bay Correctional Facility (Facility);

WHEREAS, Article 12.15 of the Contract expressly allows for amendments to be made to the Contract;

WHEREAS, the parties desire to amend the contract to amend the renewal periods and to adjust the amount of compensation Contractor receives for providing services under the Contract pursuant to the annual appropriations amount in the Florida General Appropriation Act, Line item 661.

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

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

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

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

7.1.6.5. The Bureau will compensate GEO at the following per diem rates (inmate, per day) effective July 01, 2012 through July 31, 2014:

\$51.11 times the minimum occupancy of 90%;
\$ 7.00 for each Inmate over the minimum occupancy rate of 90%;
\$46.71 blended Per Diem.
\$9.96 for the 34 additional inmates added by Amendment # 2 to the Contract

7.1.6.6 minus monthly deduction for:

7.1.6.7 The Major Maintenance and Repair Reserve Fund set forth in Article 4.9, in the monthly amount of \$15,603.97.

7.1.6.7 The Contract Monitor set forth in Article 5.44, in the monthly amount of \$6,076.99.

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

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

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

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

STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES



Scott Stewart, Interim Secretary



Date:



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



Date:

THE GEO GROUP, INC.



Amber D. Martin
Vice President, Contracts Administration

6-28-2012

Date:

**AMENDMENT #4
RENEWAL #1
CONTRACT DMS 08/09-077
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
THE GEO GROUP, INC.
FOR THE
SOUTH BAY CORRECTIONAL FACILITY**

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

WHEREAS, the parties entered into a contract that became effective on July 1, 2009, (Contract) for GEO to operate, maintain, and manage the South Bay Correctional Facility (Facility);

WHEREAS, Article 12.15 of the Contract allows for amendments to be made to the Contract and Article 3.1 allows for renewals of the Contract;

WHEREAS, the initial term of the Contract will expire on June 30, 2012; and

WHEREAS, the parties desire to renew the Contract for 2 years.

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

1. The Contract is renewed for two (2) years, and will terminate on July 31, 2014, unless otherwise renewed or extended as authorized by the Contract and law.
2. Compensation is described in Amendment # 3 to the Contract.

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

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

**STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES**

THE GEO GROUP, INC.





6/28/2012

Scott Stewart, Interim Secretary Date

Amber D. Martin Date

Vice President, Contracts Administration

 6-28-2012

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

**AMENDMENT #5
CONTRACT DMS 08/09-077
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
THE GEO GROUP, INC.
FOR THE
SOUTH BAY CORRECTIONAL FACILITY**

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

WHEREAS, the parties hereto have previously entered into Contract DMS 08/09-077, dated July 1, 2009 (the Contract) for the Contractor to operate, maintain and manage the South Bay Correctional Facility (Facility); and

WHEREAS, Article 12.15 of the Contract expressly provides for amendments;

WHEREAS, The Federal Bureau of Investigation (FBI) requires a recognized criminal justice agency to provide criminal justice oversight to ensure compliance with the Security Addendum;

WHEREAS, The Department of Management Services, Bureau of Private Prison Monitoring is not recognized as a criminal justice agency by the Federal Bureau of Investigation (FBI);

WHEREAS, The Hendry County Sheriff's Office (HCSO) agrees to provide the required criminal justice oversight as required by the FBI for compliance with the Security Addendum;

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

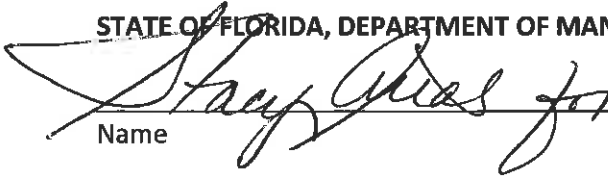
1. Add: Section 5.10.3, CONTRACTOR shall ensure sufficient staff is assigned to conduct FCIC/NCIC background screenings relating to visitation, volunteers and subcontractors. CONTRACTOR shall ensure the training and certification of this staff. Copies of access requests, training and certifications will be maintained at the Facility. This access will be used for criminal justice purposes. To comply with Federal Bureau of Investigation (FBI) regulations, the FBI CJIS security addendum will be incorporated into the Contract and signed by a third party criminal justice agency to provide criminal justice oversight. GEO will adhere to Section 5.1.1.5, Private Contractor User Agreements, of the CJIS Security Policy, requiring the incorporation of the CJIS Security Addendum approved by the Director of the FBI (action for the U.S. Attorney General), as referenced in Title 28 CFR 20.33(a)(7).
2. The Security Addendum is attached hereto as Exhibit 5 and incorporated into the contract by reference herein.

- To correct a scrivener's error amend Contract Amendment #4, Renewal #1, 1., by replacing "July 31" with "June 30."

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

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


STATE OF FLORIDA, DEPARTMENT OF MANAGEMENT SERVICES


Name

2.11.13
Date

Craig J. Nichols, Secretary

THE GEO GROUP, INC.


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

2-4-13
Date

Printed Name

HENDRY COUNTY SHERIFF'S OFFICE


Name

01/22/13
Date

STEPHEN H. WHIDDEN
Printed Name

**AMENDMENT #6
CONTRACT DMS 08/09-077
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
THE GEO GROUP, INC.
FOR THE
SOUTH BAY CORRECTIONAL FACILITY**

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

WHEREAS, the parties entered into a contract that became effective on July 1, 2009, (Contract) for GEO to operate, maintain, and manage the South Bay Correctional Facility (Facility), and renewed for two (2) years on June 29, 2012;

WHEREAS, Article 12.15 of the Contract allows for amendments to be made to the Contract; and

WHEREAS, the renewal term of the Contract will expire on June 30, 2014;

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

1. Pursuant to Section 5.40.1, reclassify and update the position of *Receptionist to Administrative Assistant* with the attached job description.
2. Pursuant to Section 6.3.1, replace Exhibit 2, Staffing Pattern with the attached revised Exhibit 2, Staffing Pattern dated May 09, 2013.

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

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

STATE OF FLORIDA, DEPARTMENT OF MANAGEMENT SERVICES



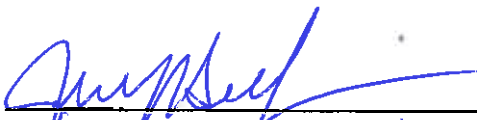
~~Stacy Arias~~, Deputy Secretary

Stacy Arias,

THE GEO GROUP, INC.

6/17/13

Date



Amber D. Martin, Vice President,

Contracts Administration

John Bultin
SRP & General Counsel

6-13-13

Date

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

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

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

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

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

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of Management Services

Contact: Connie Mayo 487-0364

Article III, Section 19(a)3, Florida Constitution, requires each agency Legislative Budget Request to be based upon and reflect the long range financial outlook adopted by the Joint Legislative Budget Commission or to explain any variance from the outlook.

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2013 contain revenue or expenditure estimates related to your agency?

Yes No

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

	Issue (Revenue or Budget Driver)	R/B*	FY 2014-2015 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Pensions and Benefits		\$151,250	\$151,250
b				
c				
d				
e				
f				

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

* R/B = Revenue or Budget Driver



FLORIDA DEPARTMENT of

management
SERVICES

We serve those who serve Florida

4050 Esplanade Way
Tallahassee, Florida 32399-0950
Tel: 850.488.2786 | Fax: 850. 922.6149

Rick Scott, Governor

Craig J. Nichols, Agency Secretary

Schedule XV Contract Reporting N/A

Fiscal Year 2014-15

Executive Direction

Exhibits and Schedules

Fiscal Year 2014-15

Executive Direction

Schedule I Series

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

Department: 72 Management Services **Budget Period:** 2014 - 2015
Program: 72010100 Executive Direction & Administration
Fund: 2021 Administrative Trust
Specific Authority: Section 20.22, Florida Statutes
Purpose of Fees Collected: Assessment fees are charged to operating divisions/programs within the Department to recover costs for departmental administrative services.

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012-13	FY 2013-14	FY 2014-15
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		6,503,365	6,705,849	8,069,844

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	5,427,657	6,649,402	6,733,252
Other Personal Services	45,816	38,329	46,329
Expenses	633,064	693,683	681,927
Operating Capital Outlay	7,055	9,688	9,688
Sp.Cat.: TR to Administrative Hearings		14,497	14,497
Sp.Cat.: Contracted Services	89,587	106,600	193,240
Sp.Cat.: Mail Services	25,564	113,424	113,424
Sp.Cat.: Risk Mgmt Insurance	111,758	27,636	27,636
Sp.Cat.: Contracted Legal Services	166,169	1,150,000	1,142,000
Sp.Cat.: Lease Purchase Equipment	12,191	12,427	12,427
HR Statewide Contract	29,158	29,574	29,574
Data Processing Services - SSRC	192,851	211,496	244,370

Indirect Costs Charged to Trust Fund:

TR to GR-8% Svc Chrg	2,261	1,600	1,600
Refunds	93	-	-
Comp Leave Liability in Beg Bal	(64,022)		
CF B Paid	1,381		
Cert Forward Reversions @ 9/30/2012	(242,044)		
Cert Forward Reversions @ 9/30/2013		(19,638)	
Tsfr for Admin. Assessment from 720103-2021	(2,008)	(1,004)	(1,004)
Contracted Legal Services to be allocated		(1,150,000)	(1,142,000)
Assessment for Investments 890000 - 310403	1,577	0	0
Reverse PY A/P Not CF (Incl In Line A)		0	0
Total Full Costs to Line (2) - Section III	6,438,107	7,887,714	8,106,960

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	6,503,365	6,705,849	8,069,844
TOTAL SECTION II	(B)	6,438,107	7,887,714	8,106,960
TOTAL - Surplus/Deficit	(C)	65,259	(1,181,865)	(37,116)

EXPLANATION:

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

Department: Management Services **Budget Period: 2014-15**
Program: Executive Direction & Administration (72010100)
Fund: Administrative Trust (2021)

(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL	ESTIMATED	REQUEST
	FY 2012-13	FY 2013-14	FY 2014-15
Receipts:			
Admin. Assessment - 724001-2696	1,961,966	1,999,551	2,479,443
Admin. Assessment - 724002-2033	53,466	54,834	67,994
Admin. Assessment - 726002-2699	28,517	27,420	34,001
Admin. Assessment - 726003-2510	71,151	75,252	93,312
Admin. Assessment - 726004-2510	330,655	392,331	486,490
Admin. Assessment - 726005-2510	29,727	32,711	40,562
Admin. Assessment - 726008-1000	81,178	96,363	119,490
Admin. Assessment - 727504-2678	310,634	250,477	310,591
Admin. Assessment - 727505-2678	310,634	250,477	310,591
Admin. Assessment - 727502-2570	131,892	100,694	124,861
Admin. Assessment - 727502-2667	1,847	1,401	1,737
Admin. Assessment - 727502-2668	380,966	286,273	354,979
Admin. Assessment - 727502-2671	1,430	1,321	1,638
Admin. Assessment - 727503-2309	894,370	840,361	1,042,048
Admin. Assessment - 729001-2105	1,050,124	1,032,944	1,280,851
Admin. Assessment - 729001-2344	72,934	68,827	85,345
Admin. Assessment - 729002-2432	209,952	180,106	223,331
Admin. Assessment - 729201-1000	34,314	22,631	28,062
Admin. Assessment - 729201-2558	19,862	22,631	28,062
Admin. Assessment - 729501-2510	57,622	64,895	80,470
Transfer in from Purch TF for Contract Procurement	-	729,694	729,694
Admin. Assessment - 729101-2792	85,094	97,925	97,925
Admin. Assessment - 729601-2792		56,730	28,365
Admin. Assessment			
Reimbursement from Enterprise of Florida			
Miscellaneous Receipts	360,394		
Interest Earnings	24,637	20,000	20,000
Interest Earnings Transfer from Supervision TF			
Total Fee Collection to Line (1) - Section III	6,503,365	6,705,849	8,069,844

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	ADMINISTRATIVE TRUST
LAS/PBS Fund Number:	ADMINISTRATION (72010100)
	2021

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	15,500 (A)		15,500
ADD: Other Cash (See Instructions)	300 (B)		300
ADD: Investments	1,410,572 (C)		1,410,572
ADD: Outstanding Accounts Receivable	14,528 (D)	0	14,528
ADD: Due from Leased Employees in July			0
Total Cash plus Accounts Receivable	1,440,901 (F)	0	1,440,901
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	220,765 (H)		220,765
Approved "B" Certified Forwards	2,172 (H)		2,172
Approved "FCO" Certified Forwards	0 (H)		0
LESS: Other Accounts Payable (Nonoperating)	829 (I)		829
LESS: <u>Unearn Revenue</u>			0
Unreserved Fund Balance, 07/01/13	1,217,135 (K)		1,217,135**

1229547

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 72000 MANAGEMENT SERVICES
Trust Fund Title: Administrative Trust Fund
LAS/PBS Fund Number: 2021

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13 1,219,257.13 (A)
 Total all GLC's 5XXXX for governmental funds;
 GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (2,172.49) (D)

A/P not C/F-Operating Categories 50.00 (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 1,217,135 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 1,217,135 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 720101 Executive Direction/Support Services
Fund: 2105 Communications Working Capital Trust

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

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL	ESTIMATED	REQUEST	
	FY 2012-13	FY 2013-14	FY 2014-15	
Receipts:				
Total Fee Collection to Line (1) - Section III	-	-	-	

SECTION II - FULL COSTS				
Direct Costs:				
Salaries and Benefits	142,135	1,220		
Expenses	6,416			
SC: Contracted Services	81,800			
SC: Risk Management	301			
SC: HR Services	735			
DP Svcs-SSRC	18,873	1,925		
Indirect Costs Charged to Trust Fund:				
Transfer in from 72900100-2105	(250,260)	(3,145)		
Certified Forward Reversions @ 9/30/201:		(2,159)		
Total Full Costs to Line (2) - Section III	-	(2,159)	-	

Basis Used: Accrual

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	-	-	-
TOTAL SECTION II	(B)	-	(2,159)	-
TOTAL - Surplus/Deficit	(C)	-	2,159	-

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	ADMINISTRATIVE TRUST
LAS/PBS Fund Number:	ADMINISTRATION (72010100)
	2105

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	22,914 (A)		22,914
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable			0
ADD: _____			0
Total Cash plus Accounts Receivable	22,914 (F)		22,914
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	22,914 (H)		22,914
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)			0
LESS: Other Accounts Payable			0
Unreserved Fund Balance, 07/01/13	0 (K)		0**

Notes:

*SWFS = Statewide Financial Statement

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

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 720101 Executive Direction/Support Services
Fund: 2510 Operating Trust

Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: _____

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

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

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST	
	FY 2012-13	FY 2013-14	FY 2014-15	
<u>Receipts:</u>				
Total Fee Collection to Line (1) - Section III	-	-	-	-

<u>SECTION II - FULL COSTS</u>				
<u>Direct Costs:</u>				
Salaries and Benefits				
Expenses				
SC: Contracted Services		50,000	50,000	
SC: Risk Management				
SC: HR Services				
DP Svcs-SSRC				
<u>Indirect Costs Charged to Trust Fund:</u>				
Transfer in from 72600400-2510		(50,000)	(50,000)	
Total Full Costs to Line (2) - Section III	-	-	-	-

Basis Used: Accrual

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

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPERATING TRUST
LAS/PBS Fund Number:	ADMINISTRATION (72010100)
	2510

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0 (A)		0
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable			0
ADD: _____			0
Total Cash plus Accounts Receivable	0 (F)		0
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)			0
LESS: Other Accounts Payable			0
Unreserved Fund Balance, 07/01/13	0 (K)		0**

Notes:

*SWFS = Statewide Financial Statement

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

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Office of the Secretary -Administration

Phone Number: (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
IA 2013-198	6/30/2012	CIO/IT	<p>Finding #1:Employee network access privileges were generally removed within one day of the termination of their employment. However, we did find instances where access privileges were not removed in a timely manner or were not removed at all. Recommendation: the CIO/IT services work with the Division of Administration to develop written procedures for the process of promptly disabling an employee’s access when the employee no longer has employment with the Department. The process should include time frame expectations of when an employee’s access should be disabled or removed. In addition, periodic reviews of network access should be conducted and compared to the termination dates of employees.</p>	<p>The CIO agreed that written procedures for the process of promptly removing an employee’s network access privileges should be established. Update September 2013: Twelve month follow up scheduled for May 9, 2014.</p>	
IA 2013-198	6/30/2012	CIO/IT	<p>Finding #2: We identified a number of Internet Protocol (IP) addresses representing devices connected to the network. These devices were not approved by or under the control of the CIO. Recommendation #1: the CIO/ IT services meet with Division Directors to discuss the importance of receiving CIO approval for devices that will be connecting to the network. Recommendation #2: the CIO/IT services conduct periodic tests to determine if unapproved devices are connected to the network and that all unapproved devices be reviewed to determine their status and disconnected if necessary.</p>	<p>The CIO also agreed that meeting and conveying to division leadership the importance of the IT 12-103 policy, and that periodic tests for unapproved devices should be conducted. Update September 2013: Twelve month follow up scheduled for May 9, 2014.</p>	

AG 2013-161	6/30/2014	Finance & Accounting	Finding#12-030: Reconciliations for the Statewide Cost Allocation Plan (SWCAP) disclosed that the Florida Department of Management Service's Purchasing Trust Fund had an excessive balance. Recommendation: We recommend that the FDFS adjust rates as appropriate.	The Department of Management Services will continue to coordinate with the Department of Financial Services in monitoring any excess funds in the Purchasing Trust Fund. It is projected that this issue will be resolved during Fiscal Year 2014-15. Update September 2013: Follow up to be completed by 9/27/13.	
AG 2013-161	6/30/2014	Finance & Accounting	Finding #FS 12-011: The FDMS improperly classified Insurance claims expense totaling \$198,287,076 as Contractual services expense. Recommendation: We recommend that the FDMS enhance its procedures to ensure any changes in a contractual service arrangement affecting the classification of expenses are in accordance with the guidance provided by the SFRS and that expenses are properly classified on the financial statements and disclosed in the notes to the financial statements.	We concur with the Auditor General Office. The payment codes have been changed in the accounting records to reflect the change in the service arrangements. Update September 2013: Follow up to be completed by 9/27/13.	

Office of Policy and Budget - July 2013

Fiscal Year 2014-15

State Employee Leasing Program (SELP)

Exhibits and Schedules

Fiscal Year 2014-15

State Employee Leasing Program (SELP)

Schedule I Series

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72010300 State Employee Leasing Program
Fund: 2021 Administrative Trust

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

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012-13	FY 2013-14	FY 2014-15
Receipts:				
Reimbursement from Enterprise		153,342	235,435	168,017
Reimbursement from BBIB				
Total Fee Collection to Line (1) - Section III		153,342	235,435	168,017

SECTION II - FULL COSTS

Direct Costs:				
Salaries and Benefits		151,216	232,673	166,255
HR Statewide Contract		802	758	758
Indirect Costs Charged to Trust Fund:				
Transfer to 72010100-2021-Admin.Assess.Fee		2,008	1,004	1,004
Reserve for Pay Package				
Total Full Costs to Line (2) - Section III		154,026	234,435	168,017

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	153,342	235,435	168,017
TOTAL SECTION II	(B)	154,026	234,435	168,017
TOTAL - Surplus/Deficit	(C)	(684)	1,000	-

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	ADMINISTRATIVE TRUST
LAS/PBS Fund Number:	STATE EMPLOYEE LEASING (72010300)
	2021

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	(A)		0
ADD: Other Cash (See Instructions)	(B)		0
ADD: Investments	1,810 (C)		1,810
ADD: Outstanding Accounts Receivable	(D)		0
ADD: _____	(E)		0
Total Cash plus Accounts Receivable	1,810 (F)		1,810
LESS Allowances for Uncollectibles	(G)		0
LESS Approved "A" Certified Forwards	1,810 (H)		1,810
Approved "B" Certified Forwards	(H)		0
Approved "FCO" Certified Forwards	(H)		0
LESS: Other Accounts Payable (Nonoperating)	(I)		0
LESS: Other Accounts Payable	(J)		0
Unreserved Fund Balance, 07/01/13	0 (K)		0**

Notes:

*SWFS = Statewide Financial Statement

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



FLORIDA DEPARTMENT of

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Rick Scott, Governor

Craig J. Nichols, Agency Secretary

Fiscal Year 2014-15

Facilities Management

Exhibits and Schedules

Fiscal Year 2014-15

Facilities Management

Schedule I Series

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72400100 Facilities Management
Fund: 2225 Fl. Facilities Pool WCTF
Specific Authority: 255.503, F.S.
Purpose of Fees Collected: Used for Florida Facilities Pool Capital Projects not funded by a specific bond issue.

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

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

<u>SECTION I - FEE COLLECTION</u>	ACTUAL FY 2012-13	ESTIMATED FY 2013-14	REQUEST FY 2014-15
<u>Receipts:</u>			
Interest Earnings	130,208	121,800	121,800
Transfers from Debt Svc (313001)	-	-	-
Transfer in from other Agency	-	-	
Total Fee Collection to Line (A) - Section III	130,208	121,800	121,800

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay	392,659		
Settlement Agreements	122,224		-
Capitol Complex Security			-
<u>Indirect Costs Charged to Trust Fund:</u>			
FCO Certified Forward	8,640	-	-
TR to GR-8% Srv Chrg	9,749	9,744	9,744
FCO Expenditures in Trial Balance	29,535	-	-
Assessment for Investments 890000 - 31	8,346		
Total Full Costs to Line (B) - Section III	571,152	9,744	9,744

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	130,208	121,800
TOTAL SECTION II	(B)	571,152	9,744
TOTAL - Surplus/Deficit	(C)	(440,944)	112,056

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014-2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	FL FAC POOL WCTF
LAS/PBS Fund Number:	FACILITIES MANAGEMENT (72400100)
	2225

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0 (A)		0
ADD: Other Cash (See Instructions)			0
ADD: Investments	6,709,753 (C)		6,709,753
ADD: Outstanding Accounts Receivable	4,012 (D)		4,012
ADD: _____			0
Total Cash plus Accounts Receivable	6,713,765 (F)		6,713,765
LESS Allowances for Uncollectibles	0 (G)		0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards	-		0
Approved "FCO" Certified Forwards	8,640 (H)		8,640
LESS: Other Accounts Payable (Nonoperating)	2,207 (I)		2,207
LESS: <u>Other Accounts Payable</u>	0 (J)		0
Unreserved Fund Balance, 07/01/11	6,702,918 (K)		6,702,918**

Notes:

*SWFS = Statewide Financial Statement

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

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72400100 Facilities Management
Fund: 2313 Florida Facilities Pool Clearing Trust
Specific Authority: 255.251, F.S.
Purpose of Fees Collected: Used to satisfy debt service requirements, capital depreciation, and to transfer to the Div.of Fac.Mgmt. to cover cost of operations and maintenance

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

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

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>		ACTUAL	ESTIMATED	REQUEST
		FY 2012-13	FY 2013-14	FY 2014-15
<u>Receipts:</u>				
Office Space-State		93,224,815	97,421,225	98,550,562
Interest Earnings		83,396	40,000	40,000
Projected Rental Rate Increase				
Transfer in from DFS				
Total Fee Collection to Line (1) - Section III		93,308,211	97,461,225	98,590,562

SECTION II - FULL COSTS

Direct Costs:

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

Indirect Costs Charged to Trust Fund:

Payments to SBA-Capital Deprec.Resrv.		8,614,198	5,547,781	8,040,660
Payments to SBA-Operations/Maint.		49,363,213	53,579,037	52,145,775
Pymts to SBA-Admin Fee				
FCO Budget on Schedule 1 to FCO Exp		(26,253,070)	-	-
Adjustment to CFO Beg Bal		65,291,114		

Total Full Costs to Line (2) - Section III **135,271,144** **97,382,507** **98,442,124**

Basis Used:

Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	93,308,211	97,461,225	98,590,562
TOTAL SECTION II	(B)	135,271,144	97,382,507	98,442,124
TOTAL - Surplus/Deficit	(C)	(41,962,933)	78,718	148,438

EXPLANATION:

Negative balance is offset by cash balance carried forward

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	FL FAC POOL CLEARING TRUST
LAS/PBS Fund Number:	FACILITIES MANAGEMENT (72400100)
	2313

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	154,820 (A)		154,820
ADD: Other Cash (See Instructions)	12,850 (B)		12,850
ADD: Investments	33,291,992 (C)		33,291,992
ADD: Outstanding Accounts Receivable	72,600 (D)	-	72,600
ADD: _____	0 (E)		0
Total Cash plus Accounts Receivable	33,532,262 (F)	0	33,532,262
LESS Unearned Revenue	154,820 (G)		154,820
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards	0 (H)		0
Debt Service-Restricted Asset	2,495,661 (H)		2,495,661
LESS: Other Accounts Payable (Debt Service in T	27,738,568 (I)		27,738,568
LESS: Other Accounts Payable (Debt Service)	0 (I)		0
July & August Interest Payment not in TB	2,629,284 (I)		2,629,284
LESS: <u>Other Accounts Payable</u>	0 (J)		0
Unreserved Fund Balance, 07/01/13	513,929 (K)	0	513,929**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 72000 MANAGEMENT SERVICES
Trust Fund Title: Florida Facilities Pool Clearing Trust Fund
LAS/PBS Fund Number: 2313

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-13 32,697,845.06 (A)

Add/Subtract:

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

(32,183,916.00)

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2013 (C)

ADJUSTED BEGINNING TRIAL BALANCE: 513,929 (D)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 513,929 (E)

DIFFERENCE: 0 (F)*

***SHOULD EQUAL ZERO.**

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2014 -2015**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 1998**

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2012-2013	ESTIMATED FY 2013-2014	REQUEST FY 2014-2015
Interest on Debt	(A) 1,842,356	1,761,426	1,675,406
Principal	(B) 1,790,000	1,870,000	1,960,000
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D)		
Other Debt Service	(E)		
Total Debt Service	(F) 3,632,356	3,631,426	3,635,406

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

SECTION II

ISSUE:

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

ISSUE:

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

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2014 -2015**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 1999**

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2012-2013	ESTIMATED FY 2013-2014	REQUEST FY 2014-2015
Interest on Debt	(A) <input type="text" value="711,988"/>	<input type="text" value="671,508"/>	<input type="text" value="629,648"/>
Principal	(B) <input type="text" value="880,000"/>	<input type="text" value="910,000"/>	<input type="text" value="955,000"/>
Repayment of Loans	(C) <input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees	(D) <input type="text"/>	<input type="text"/>	<input type="text"/>
Other Debt Service	(E) <input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service	(F) <input type="text" value="1,591,988"/>	<input type="text" value="1,581,508"/>	<input type="text" value="1,584,648"/>

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

SECTION II

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL FY 20__ - __	ESTIMATED FY 20__ - __	REQUEST FY 20__ - __
Interest on Debt	(G)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal	(H)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees	(I)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other	(J)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service	(K)	<input type="text"/>	<input type="text"/>	<input type="text"/>

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL FY 20__ - __	ESTIMATED FY 20__ - __	REQUEST FY 20__ - __
Interest on Debt	(G)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal	(H)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees	(I)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other	(J)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service	(K)	<input type="text"/>	<input type="text"/>	<input type="text"/>

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2014 -2015**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 2002**

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2012-2013	FY 2013-2014	FY 2014-2015
Interest on Debt	(A) 1,271,056	1,190,056	1,102,656
Principal	(B) 2,160,000	2,185,000	2,305,000
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D)		
Other Debt Service	(E)		
Total Debt Service	(F) 3,431,056	3,375,056	3,407,656

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

SECTION II

ISSUE:

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

ISSUE:

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

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2014 -2015**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 2003**

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2012-2013	FY 2013-2014	FY 2014-2015
Interest on Debt	(A) 2,281,125	1,796,550	1,286,775
Principal	(B) 9,230,000	9,710,000	10,230,000
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D)		
Other Debt Service	(E)		
Total Debt Service	(F) 11,511,125	11,506,550	11,516,775

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

SECTION II

ISSUE:

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

ISSUE:

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

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2014 -2015**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 2005**

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2012-2013	FY 2013-2014	FY 2014-2015
Interest on Debt	(A) 4,205,394	3,925,894	3,632,644
Principal	(B) 5,590,000	5,865,000	6,160,000
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D)		
Other Debt Service	(E)		
Total Debt Service	(F) 9,795,394	9,790,894	9,792,644

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

SECTION II

ISSUE:

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

ISSUE:

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

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2014 -2015**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 2007**

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2012-2013	ESTIMATED FY 2013-2014	REQUEST FY 2014-2015
Interest on Debt	(A) 3,684,681	3,600,101	3,512,281
Principal	(B) 2,115,000	2,195,000	2,285,000
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D)		
Other Debt Service	(E)		
Total Debt Service	(F) 5,799,681	5,795,101	5,797,281

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

SECTION II

ISSUE:

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

ISSUE:

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

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2014 -2015**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 2008**

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2012-2013	FY 2013-2014	FY 2014-2015
Interest on Debt	(A) 1,779,088	1,754,063	1,728,163
Principal	(B) 715,000	740,000	765,000
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D)		
Other Debt Service	(E)		
Total Debt Service	(F) 2,494,088	2,494,063	2,493,163

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

SECTION II

ISSUE:

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

ISSUE:

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

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72400100 Facilities Management
Fund: 2495 Public Facilities Fin TF
Specific Authority: 255.518, F.S.
Purpose of Fees Collected: Receives bond proceeds from sale of bond issues. Used for construction of DMS facilities.

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

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

<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012-13	FY 2013-14	FY 2014-15
<u>Receipts:</u>			
Interest Earnings	47,906	25,000	5,000
Bond Proceeds	-		
Total Fee Collection to Line (A) - Section I	47,906	25,000	5,000

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
Fixed Capital Outlay		2,500,000	
<u>Indirect Costs Charged to Trust Fund:</u>			
FCO Expenditures in Trial Balance	36,331		
FCO Appropriation Certified Forward			
Payment to SBA - 310229	-		
Assessment for Investments 890000 - 31	3,096		
CPC Activity in Fund Per SWFS	119,035,721		
Total Full Costs to Line (B) - Section II	119,075,149	2,500,000	-

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>				
TOTAL SECTION I	(A)	47,906	25,000	5,000
TOTAL SECTION II	(B)	119,075,149	2,500,000	-
TOTAL - Surplus/Defici	(C)	(119,027,243)	(2,475,000)	5,000

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2014 - 2015

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

	Balance as of 6/30/2013		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0	(A)			0
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	2,589,024	(C)			2,589,024
ADD: Outstanding Accounts Receivable	1,553	(D)			1,553
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	2,590,577	(F)			2,590,577
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards		(H)			0
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards	0	(H)			0
LESS: Other Accounts Payable (Non Operating)	259	(I)			259
LESS: <u>Other Accounts Payable</u>		(J)			0
Unreserved Fund Balance, 07/01/13	2,590,319	(K)			2,590,319 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 72000 MANAGEMENT SERVICES
Trust Fund Title: Public Facilities Financing Trust Fund
LAS/PBS Fund Number: 2495

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

Total all GLC's 5XXXX for governmental funds; (A)

GLC 539XX for proprietary and fiduciary funds

495016 Total Fund Balance Per FLAIR Trial Balance, 07/01/13

495017 Total Fund Balance Per FLAIR Trial Balance, 07/01/13

495018 Total Fund Balance Per FLAIR Trial Balance, 07/01/13

495019 Total Fund Balance Per FLAIR Trial Balance, 07/01/13

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

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

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

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72400100 Facilities Management
Fund: 2510 Operating Trust
Specific Authority: 2006-79 Laws of Florida
Purpose of Fees Collected: Various

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

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

<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012-13	FY 2013-14	FY 2014-15
<u>Receipts:</u>			
Transfer In for Tenant Improvements	-		-
Interest Earnings	74,428	40,000	20,000
Tenant Improvements Revenues			
Total Fee Collection to Line (A) - Section III	74,428	40,000	20,000

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
S.C.:Master Lease Space Tenant Imprv.	743,849	1,535,738	1,500,000
S.C.:Tenant Broker Commissions			-

<u>Indirect Costs Charged to Trust Fund:</u>			
Certified forward Reversions 9/30/2012	(5,565)		
6/30/2012 Cert Forward B Paid	83,448		
Certified forward Reversions 9/30/2013		(838)	
TR to GR-8% Service Charge	5,571	3,200	1,600
Assessments for Investments 890000 - 31	4,792	-	-
Total Full Costs to Line (B) - Section III	832,095	1,538,100	1,501,600

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	74,428	40,000
TOTAL SECTION II	(B)	832,095	1,538,100
TOTAL - Surplus/Deficit	(C)	(757,668)	(1,481,600)

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPERATING TRUST
LAS/PBS Fund Number:	FACILITIES MANAGEMENT (72400100)
	2510

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0		0
ADD: Other Cash (See Instructions)	(B)		0
ADD: Investments	3,812,739 (C)		3,812,739
ADD: Outstanding Accounts Receivable	2,327 (D)		2,327
ADD: _____	(E)		0
Total Cash plus Accounts Receivable	3,815,066 (F)		3,815,066
LESS Allowances for Uncollectibles	(G)		0
LESS Approved "A" Certified Forwards	276,678 (H)		276,678
Approved "B" Certified Forwards	270,610 (H)		270,610
Approved "FCO" Certified Forwards	0 (H)		0
LESS: Other Accounts Payable (Non Operating)	1,293 (I)		1,293
LESS: <u>Other Accounts Payable</u>	(J)		0
Unreserved Fund Balance, 07/01/13	3,266,485.46 (K)		3,266,485 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: OPERATING TRUST
LAS/PBS Fund Number: 2510

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

Total all GLC's 5XXXX for governmental funds: (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

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

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72400100 Facilities Management
Fund: 2696 Supervision Trust
Specific Authority: 255, F.S.
Purpose of Fees Collected: To provide funds for the operation, maintenance, parking, security, and administration of state-owned facilities controlled by the Department of Management Services.

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012 - 13	FY 2013 - 14	FY 2014-15
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		69,141,819	60,420,474	61,445,091

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	12,247,141	13,552,330	12,637,212
Other Personal Services	11,464	517,000	17,000
Expenses	4,761,572	4,502,810	4,404,081
Operating Capital Outlay	119,762	73,727	73,727
Transfer to FDLE-Capitol Police	5,887,512	6,309,622	6,398,585
Contracted Services	8,546,077	8,895,794	14,115,978
DMS/Facilities Security	1,095,909	1,148,387	1,148,387
Interior Reburishment / Lease	1,429,507	1,406,157	1,404,937
Risk Management Insurance	394,386	264,880	264,880
State Utility Payments	12,936,109	19,348,977	16,148,977
Pool Space Reconfiguration		4,371,679	
Capitol Repairs	50,000	50,000	50,000
Contracted Legal Services			
Deferred-Pay Com Contracts	1,420,424	1,657,550	1,657,550
Lease/Purchase/Equipment	87,769	82,261	82,261
HR Statewide Contract	91,737	86,727	69,269
Cabinet Meeting Room	219,627		
Data Processing-SSRC	67,253	71,444	44,305
Fixed Capital Outlay	8,147,965	5,547,781	8,040,660

Indirect Costs Charged to Trust Fund:

TR/DMS Administrative Trust Fund	1,961,966	1,999,551	2,529,443
TR to GR - 8% Srvc Chrg	86,866	80,892	78,092
Refunds	75,777		
Used interest earnings to fund 3% Retirement Issu			
Installment Purchase Contract in Beg Bal	(692,467)		
Comp Leave Liability in Beg Bal	(369,776)		
Cert. Forward A Reversions @ 9/30/2012	(24,011)	-	
Cert. Forward Reversions @ 9/30/2013		(109,314)	
6/30/2012 CF B paid	146,378		
6/30/2011 A/P NOT CF			
FCO Expenditures in Trial Balance	8,381,336		
FCO Certified Forward	9,477,673		
FCO Budget Amount on Schedule 1	(8,147,965)		
Assessment for Investments 89000 - 310403	25,697		
Estimated Utilities Reversions		(6,024,786)	(2,425,060)
Total Full Costs to Line (2) - Section III	68,435,688	63,833,469	66,740,284

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	69,141,819	60,420,474	61,445,091
TOTAL SECTION II	(B)	68,435,688	63,833,469	66,740,284

TOTAL - Surplus/Deficit (C) 706,131 (3,412,995) (5,295,193)

EXPLANATION:

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

Office of Policy and Budget - July, 2013

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72400100 Facilities Management
Fund: 2696 Supervision Trust

Specific Authority: 255, F.S.
Purpose of Fees Collected: To provide funds for the operation, maintenance, parking, security, and administration of state-owned facilities controlled by the Department of Management Services.

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012 - 13	FY 2013 - 14	FY 2014-15
<u>Receipts:</u>			
Transfer from SBA - O&M	51,570,720	53,579,037	52,145,775
Transfer from SBA-Cap. Dep.	15,890,364	5,547,781	8,040,660
Transfer from SBA-Cap. Dep. for Backlog			
Transfer of Interest Earnings from other TF	250,000		
Central Maintenance Facility			
Interest Earnings-Oper & Maint	408,891	300,000	265,000
Utility Collections & Landscaping	29,716	30,000	30,000
Misc.Services-Build.Tenants	3,562	3,562	3,562
Rental Receipts	23,990	24,000	24,000
Transfer from SBA to use Cash Balance			
Reimbursements & Refunds	28,483		
Projected Rental Rate Increase	-		
Paid Parking Fees-State Agencies	224,943	224,943	224,943
Paid Parking Fees - Non-State	62,003	62,003	62,003
Paid Parking Fees-Employees	649,148	649,148	649,148
Total Fee Collection to Line (1) - Section III	69,141,819	60,420,474	61,445,091

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014- 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	SUPERVISION TRUST
LAS/PBS Fund Number:	FACILITIES MANAGEMENT (72400100)
	2696

	Balance as of 6/30/2013		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	510,409	(A)			510,409
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	15,720,856	(C)			15,720,856
ADD: Outstanding Accounts Receivable	2,487,097	(D)	0		2,487,097
ADD: <u>Restricted Investments at Cost, SBA</u>	9,477,673	(E)			9,477,673
Total Cash plus Accounts Receivable	28,196,036	(F)	0		28,196,036
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	2,774,304	(H)			2,774,304
Approved "B" Certified Forwards	449,648	(H)			449,648
Approved "FCO" Certified Forwards	9,477,673	(H)			9,477,673
LESS: Other Accounts Payable (Non Operating)	18,427	(I)			18,427
LESS: Other Accounts Payable			0		0
LESS: <u>Deferred Revenue</u>	492,243	(J)			492,243
Unreserved Fund Balance, 07/01/13	14,983,740.56	(K)	0		14,983,741 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

Total all GLC's 5XXXX for governmental funds; 13,855,607 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (449,648) (D)

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

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

Compensated Absences Liability 1,577,781.25 (D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 14,983,741 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 14,983,741 (F)

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

DEPARTMENT OF MANAGEMENT
SERVICES, DIVISION OF REAL ESTATE
DEVELOPMENT AND MANAGEMENT -
SCHEDULE IV-B FOR INTEGRATED
FACILITIES MANAGEMENT SYSTEM
(FACT REPLACEMENT)

For Fiscal Year 2014-15

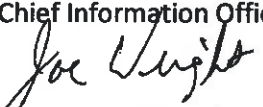


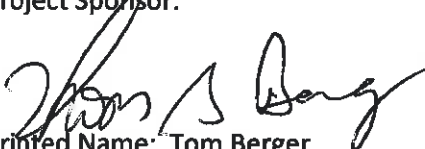


October 15, 2013

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Management Services Division of Real Estate Development and Management	Schedule IV-B Submission Date: October 15, 2013
Project Name: Integrated Facilities Management System	Is this project included in the Agency's LRPP? ___ Yes ___X___ No
FY 2014-15 LBR Issue Code: 3634500	FY 2014-15 LBR Issue Title: Facilities Management System (FACT)
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): LeighAnne, 488-0211 leighanne.payne@dms.myflorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Craig Nichols	Date:
Agency Chief Information Officer (or equivalent):  Printed Name: Joe Wright	Date: 10/11/13
Budget Officer:  Printed Name: Debra Forbess	Date: 10/10/13 10/11/13
Planning Officer:  Printed Name: Jeff Dykes / Stacy Arias	Date: 10/14/13
Project Sponsor:  Printed Name: Tom Berger	Date: 10/10/13

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Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

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

Problem Statement: *The State of Florida (State), Department of Management Services (DMS or Department), Division of Real Estate Development and Management (REDM or Division) performs extensive routine manual data validation and collection because the current ill-configured, homegrown application does not provide credible information due to its inflexibility, sub-standard configuration, and limited scope. Without replacing the aged and problematic system in place today (while retaining existing functions and data), DMS finds itself unable to trust the accuracy of information processed by the system, unable to efficiently provide requested information to stakeholders to make informed decisions, and unable to cost-effectively perform projections based on market changes. The risk associated with inaccurate or flawed data could jeopardize DMS' ability to meet bond covenants that require REDM to maintain the FFP in an efficient and economical manner such that investors have confidence in the assets that back their bonds. Decreased confidence could potentially impact Florida's bond rating.*

A. Background and Strategic Needs Assessment

1. Business Need

The Division needs to procure an Integrated Facilities Management System for the long-term management, tracking and reporting functions required to perform its statutory responsibilities and comply with bond covenants. The system would replace the FACT (Facilities Accountability and Communications Tool) system, a legacy system that has been used for almost 15 years to automate Division-related processes and track performance and operational information.

The State has a decentralized model for ownership, leasing operations and management of real estate assets. State agencies, the Florida College System, State University System of Florida, and Water Management Districts collectively manage and operate the State's 20,387 facilities.

Chapter 255, Florida Statutes, provides DMS-REDM with statutory oversight for the construction, operation, custodial care, preventive maintenance, repair, alteration, modification and allocation of space for all buildings in the Florida Facilities Pool (FFP) and administrative oversight of the State's lease procurement process. DMS manages 113 facilities totaling 12.36 million square feet including five federal surplus buildings and 108 REDM-managed facilities totaling 12.2 million square feet. DMS lease oversight currently includes 1,111 active leases for 12.8 million square feet.

The FACT system was developed by DMS staff as a tool to assist with budgetary functions. As additional needs and functions associated with REDM's various processes were identified for which the FACT system might be used, staff expanded the system to include additional applications. The FACT system, which was written in Oracle/Forms and Microsoft ASP, is a transaction-based system and includes components created over the course of many years, including:

- Lease Administration
- Facilities Inventory
- Maintenance Management

- Paid Parking Management
- Budget Management

Lacking a mature, central application development group at the time, the system is not built on defined standards in architecture, security, integration, documentation, and data organization. This has resulted in issues that include gaps in data and processes, and with data integrity, a poor security model, and a lack of confidence in system output. Because the various FACT applications lack documentation, operate seemingly independently, and include a number of redundant tables and fields with incorrect and/or inconsistent values for the data across the tables, REDM developed a scope of work and engaged an outside contractor to analyze and reverse engineer the system, and provide onsite technical support services during an eight-week assignment. However, despite additional upgrades and services, the system has severe limitations and complexities which render it inefficient and ineffective for optimal use by REDM staff in the performance of their work responsibilities.

The Auditor General has written findings on several shortcomings of the FACT system, as well as processing gaps that could lead to problems. Fixing these issues would mean a substantial re-write of much of the application. System modification work over a period of time has resulted in some security being at the database layer and some security being at the application layer, depending on the component. Leasing processes related to billing include many manual steps, with few checks and balances. Some of the system is thin-client (browser-based) and some is thick-client (windows-based). DMS has found itself with an inability to extract meaningful information to meet requests from stakeholders in the Governor's office and the Legislature.

The procurement of a scalable, comprehensive real estate management system for long-term management, tracking and reporting functions will enable REDM to more efficiently and effectively perform daily data management and business functions, thereby mitigating the risk of non-compliance with bond covenants and ensuring protection of the bond rating. It will allow for increased automation and data integrity through the establishment of interfaces to other business processes and systems, such as Finance and Accounting, FLAIR, DFS' Florida Accountability Contract Tracking System (FACT), State data warehouses such as the Florida State Owned Lands and Records Information System (FL-SOLARIS) that provides data snapshots, and the State's Human Resource Management system People First. Procurement of a scalable system would provide the flexibility and expansion capacity to meet changing portfolio needs and oversight responsibilities, and would allow for the potential economy of scale for the statewide portfolio of over 20,000 facilities.

2. Business Objectives

The business objective for this project is to enable REDM to collect, retain, and analyze performance information that supports data-driven strategy decisions, provides greater operational efficiencies, and increases the ability of the Division to effectively respond to authority and oversight changes.

The current FACT system is limited in its capacity and is unable to capture 100 percent of the data elements REDM needs to monitor, track, improve and automate business processes and performance. To compensate for the system shortfalls, many of REDM's business processes must be tracked or completed manually, which is very labor intensive.

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Problem Statement: *DMS-REDM performs extensive routine manual data validation and collection because the current ill-configured, homegrown application does not provide credible information due to its inflexibility, sub-standard configuration, and limited scope. Without replacing the aged and problematic system in place today (while retaining existing functions and data), DMS finds itself unable to trust the accuracy of information processed by the system, unable to efficiently provide requested information to stakeholders to make informed decisions, and unable to cost-effectively perform projections based on market changes. The risk associated with inaccurate or flawed data could jeopardize DMS' ability to meet bond covenants that require REDM to maintain the FFP in an efficient and economical manner such that investors have confidence in the assets that back their bonds. Decreased confidence could potentially impact Florida's bond rating.*

Ref #	Problem Statement: (Section II A)	Project Objective: (Section II A)
II. A. 1	Manual data validation/analytics	Allow REDM to more effectively manage its facility and lease inventory. Allow the application of business rules to data elements to reduce entry error and allow for exception reporting.
II. A. 2	Poor data credibility	Allow REDM and agencies to proactively manage lease data and transactions, improving collaboration and data validity. Improve data quality to empower REDM and state agencies to become more effective stewards of the state's financial responsibility for facility occupancy and management. Increase confidence in the information available to Governor, House, Senate, and Agency leadership and staff.
II. A. 3	System limitations/Flaws	Ability to modify the system as needed including type or quantity of data elements to capture necessary changes in processes. Maintain historical data for trend analysis. Provide a tool for inter-agency collaboration for space utilization.
II. A. 4	Communication(s) often requiring multiple validation steps or manual data gathering	Improve responsiveness to requests for routine and ad hoc information requests with increased confidence in the data used.
II. A. 5	Manual work processes	Automate repetitive or manual work processes created through system limitations.
II. A. 6	Associated risk in not meeting statutory responsibilities.	Reduce risk by implementing a system designed to capture all data elements, automate business processes, accurately monitor performance, and allow for flexibility and customization of data to meet DMS REDM objectives which mitigates REDM's business risk and allows REDM to meet its statutory responsibilities to stakeholders.
II. A. 7	No analysis capabilities on missing data links within the system or between other systems.	Increase data availability by linking and correlating data elements that allow for the utilization of trend analysis, forecasting, and other predictive analysis tools.
II. A. 8	Risk of dropping existing functions and data associated with the FACT system when transitioning to replacement system.	Retain and transfer existing REDM functions and data associated with the current FACT system to a new, more standardized integrated facilities management system.
II. A. 9	Manually tracked spreadsheet data that can be redundant and conflicting.	Eliminate the need for manual data tracking, and provide a single, reliable data source for operational, transactional, and other facility information.

Project Success Measures

To gauge the successfulness of the project, the measurements listed below will reflect a “Yes” response to each system requirement as it relates to the key critical functions required by REDM to meet the objectives listed above.

Proposed Project Success Criteria / Measure	Response	
	Yes	No
Are all data elements necessary for business operations captured within the system?	<input type="checkbox"/>	<input type="checkbox"/>
Can data elements be linked?	<input type="checkbox"/>	<input type="checkbox"/>
Can predictive analysis be performed on data elements?	<input type="checkbox"/>	<input type="checkbox"/>
Can the system produce canned and customized reports?	<input type="checkbox"/>	<input type="checkbox"/>
Does the system have the capacity to expand the number of data elements?	<input type="checkbox"/>	<input type="checkbox"/>
Does the system have the capacity to expand the number of records held in the system?	<input type="checkbox"/>	<input type="checkbox"/>
Does the system allow for the automation of tasks currently performed manually?	<input type="checkbox"/>	<input type="checkbox"/>
Does the solution reduce or eliminate the need for manual/Excel spreadsheet tracking of data elements?	<input type="checkbox"/>	<input type="checkbox"/>
Does the solution include a web interface solution for data collection, validation, editing, and storage in a relational database?	<input type="checkbox"/>	<input type="checkbox"/>
Does the solution include document management functionality?	<input type="checkbox"/>	<input type="checkbox"/>
Are standard views and reports provided with the ability to utilize flexible, user-friendly ad-hoc filtering and reporting and data extraction?	<input type="checkbox"/>	<input type="checkbox"/>
Is import and export functionality provided for internal and external stakeholders?	<input type="checkbox"/>	<input type="checkbox"/>
Does system security and verification allow for audit trails, modification, and appropriate user roles associated with different levels of access?	<input type="checkbox"/>	<input type="checkbox"/>
Does the system allow for the collection of sub-contract information such as sub-leases, agency-to-agency leases, and interagency agreements?	<input type="checkbox"/>	<input type="checkbox"/>
Does the system have the capability to import and store the current and historical information?	<input type="checkbox"/>	<input type="checkbox"/>
Does the system have the ability to retain data so that analytics can be performed on a monthly, quarterly, and/or yearly basis?	<input type="checkbox"/>	<input type="checkbox"/>

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.

REDM has a substantial role in the management of Florida's owned and leased office facilities:

- Management and oversight of the 108 facilities in the FFP, comprising the second largest portfolio in terms of square footage. DMS-REDM manages 12.2 million square feet within the FFP.
 - Oversight and administration for 1,111 active lease files as of June 30, 2013 for more than 12.8 million square feet totaling \$226.2 million.
 - Leases within the FFP space total 291 valued at over \$95.5 million in rent income for about 5.9 million square feet.
- Other private and government leases total 820 valued at over \$130.7 million for 7 million square feet.
- Project management for more than 200 active construction projects valued at over \$105 million.
- Quality customer service for over 25,000 maintenance and work order requests annually.
- Deferred maintenance expenditures of about \$60 million for FFP.
- Over \$800,000 in parking revenue from approximately 30,000 parking contracts covering 91 parking lots and garages.
- Management of more than 500 loading zone permits and 100 disabled parking permits.

The information contained in the FACT system is utilized by many stakeholder groups external to REDM including:

- FFP Bond Holders
- Small Business Administration
- Governor's Office, House, and Senate Staff
- State of Florida Taxpayers
- State Agency Leadership and Staff
- Private Business Partners such as Construction Contractors and Tenant Brokers
- Other DMS Divisions: Information Technology, Budget, Finance and Accounting, Telecommunications, Procurement

1. Current Business Process(es)

REDM houses several business processes that will be affected by the project including the Bureau of Lease Management, Bureau of Facilities Maintenance, Bureau of Construction, Division leadership, finance, budget, and planning. The implementation of FACT almost 15 years ago as a budget tracking tool met the needs at the time. The supplemental modules were highly customized to meet the operational needs at the time. Over the course of the past 15 years, business processes and technology have changed significantly, leaving REDM with an antiquated and inflexible system that no longer supports its changing business operations. It is a transaction-based database system that provides limited information, reporting and processing for leasing functions, parking contract management and payments, facilities work order life

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cycle management, preventative maintenance activities, and fixed capital outlay and budget tracking.

The lack of an integrated facilities management system and the large number of processes that must be performed manually increases the amount of staff time and effort required to meet REDM’s business objectives and increases the opportunity for error. While great progress has been made with respect to accomplishing those objectives, most of the successes have been realized in spite of, rather than because of, the FACT system. Even with an outdated system, REDM has achieved over \$25 million in lease cost savings over two fiscal years and more than a million dollars in energy savings for two consecutive fiscal years.

The project is expected to address the following problems (by business process):

Section II. B. 1. Current Business Process(es): Lease Oversight and Administration		
The Leasing (L) section utilizes FACT to manage both public and private leases, strategic planning, financial management and forecasting, lease analysis, transaction management, lease billing, space management, paid parking, and floor plan versioning (Auto CADD) through the Lease Administration and Paid Parking components of the system.		
Ref #	Problem(s) the Project Addresses	Perf Metric(s)
L.1	Provide the ability to run analytics, metrics, and reporting on Requests for Space Needs, which is a key function for the Leasing Bureau. Currently, staff is unable to link a customer’s Request for Space Needs to a lease record, track prior and final approval, or allow customers to amend their Request for Space Need once it is has been submitted.	None
L.2	Provide the ability to view, track or update vacant space within the FFP facilities. Currently, staff must create and maintain a separate spreadsheet that is updated manually when a change occurs, which increases the potential for error(s) and missed opportunities to fill vacant space.	None - manually maintained via Excel spreadsheet on shared network drive.
L.3	Provide the ability to generate public lease invoices on a quarterly basis for leases with changes occurring in the middle of the billing cycle. Currently, staff must hold pending files until the effective date of the modification and process the bill manually, which consists of multiple steps that are complex and time consuming and increases the potential for error(s).	None - ad-hoc invoices are created and tracked manually via Excel spreadsheet on shared network drive.
L.4	Provide the ability to update and save rate changes for government leases. Currently, to compensate for the inability to update and save government lease rate changes, staff must manually update the rate every year to reflect changes, which increases the potential for error(s) and omissions of rate changes.	None. Manual analysis performed based off of historical spreadsheets (if available).
L.5	Provide the ability to retain public lease data after cancellation. Currently, once a public lease has been cancelled, it must be deleted from the system to avoid continued invoicing of customers. This system limitation takes away all historical information regarding the public lease and precludes the ability to run analytics and metrics for trending and forecasting future needs.	None. Manual analysis performed based off of historical spreadsheets (if available).
L.6	Provide the ability to document and track an agency’s next lease actions to increase the ability of REDM to be proactive prior to lease expirations. Currently, staff compensates for the lack of functionality by soliciting the agency’s next leasing actions and creating, storing, and updating the information in a separate document that is not linked to the system and manually compiling the data for each lease reported by the agency.	None - we are working on the development of a 24-month outlook database in SharePoint.
L.7	Provide a real-time link among the FACT system, facility floor plans and vacancy reports. The current FACT system limitations result in the need to create and update these items manually and causes an increase in inconsistencies between information sources, meaning manual validation of multiple sources of information.	None
L.8	Provide a user-friendly interface for Paid Parking. Currently within FACT, Agency users are easily confused by multiple optional and required fields, depending on the action being pursued.	None
L.9	Provide the ability to automatically track and maintain daily vacancy information with respect to Paid Parking. The FACT system does not provide the ability to effectively analyze data and produce reports regarding overall use of parking facilities.	The system does not currently provide the capabilities to perform these tasks. Captured manually.
L.10	Provide the ability to add custom fields for Paid Parking, including state vehicle license tag number, EO code, OCA code and object codes for annual contracts to assist with invoicing/refund requests. FACT’s inconsistent application design makes programming changes difficult and creates a high risk of system failure.	The system does not currently provide the capabilities to perform these tasks. Captured manually.
L.11	Provide the ability to track Paid Parking revenue on a periodic basis in relation to the FFP facility that produced the revenue.	The system does not currently provide the capabilities to perform these tasks. Captured manually.

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Section II. B. 1. Current Business Process(es): Operations and Maintenance		
<p>The Operations and Maintenance (M) section utilizes FACT to manage and track costs related to the operations and maintenance of facilities, work orders, and equipment through the Facility Management, Preventative Maintenance, and Work Request components of the system. The Operations and Maintenance section also utilizes the Customer Work Order System which facilitates communication with agency customers, onsite facility managers, and Trade Groups. Agency staff use the Customer Response portion of the Work Order System to submit work requests online, view and track work requests, view and print historical work request(s) history, identify possible equipment failures, and provide feedback to the Operations and Maintenance section regarding their experience at the completion of the work order.</p>		
Ref #	Problem(s) the Project Addresses	Perf Metric(s)
M.1	Provide a fully integrated Work Order System which includes permanent, detailed request and work order life cycle tracking, dashboard view of real-time service level conditions and requests, automated work order routing and escalation, and meaningful, reportable timeline tracking.	Partially handled through FACT. Reporting capabilities are severely limited, and data must be validated prior to communicating.
M.2	Provide an interactive Preventive Maintenance system that details asset maintenance tracking, real-time views of project management work order status, work forecasting and planning with predicted service request loads, and storage for applicable PDF files with information about relevant building mechanical systems.	The system does not currently provide the capabilities to perform these tasks. Captured manually.
M.3	Provide the ability to create and store a historical record of Capital Improvement projects, tracked by facility, which includes information about the type of Capital Improvement, the cost, a time line of when it was identified, and when it was removed or remedied.	The system does not currently provide the capabilities to perform these tasks. Captured manually.
M.4	Provide a web-based portal for outside agencies to enter and submit energy usage information for their facilities in accordance with the State Energy Management Plan (SEMP). This information should be retained on an historical basis and should be available to query and run reports on energy use by building or agency.	The system does not currently provide the capabilities to perform these tasks. Captured manually.
M.5	Provide the ability to track vendor performance on contracts for work on FFP facilities and to be able to query and run reports by vendor, by building, or some other unique identifier.	The system does not currently provide the capabilities to perform these tasks. Captured manually.
M.6	Provide the ability to link operating costs, purchase orders, credit card purchases and other expenses/spending to their appropriate building in order to be able to accurately report annual operating expenses by building.	The system does not currently provide the capabilities to perform these tasks. Captured manually.
M.7	Provide wireless access to system functions, information and reporting via mobile phones, tablets, laptop computers and other wireless devices.	None

Section II. B. 1. Current Business Process(es): Building Construction		
<p>The Building Construction section utilizes FACT to manage multi-million dollar construction projects, resource management, and linking project costs to budgets through the State Facility Inventory and Project Management components of the system.</p>		
Ref #	Problem(s) the Project Addresses	Perf Metric(s)
C.1	Provide the ability to store complete building information in one central location and have a history on projects performed within the building, which is critical for day-to-day operation for the Building Construction Bureau. Currently, the FACT system requires staff to invest a significant amount of time performing extensive searches to gather pertinent information regarding buildings and linking them to projects, and when staff is unable to gather the necessary information, additional costs are incurred to have the architects, engineers, etc. conduct fact-finding research regarding the building(s) and/or project(s).	No current metrics. The system does not currently provide the capabilities to perform these tasks.
C.2	Provide the ability for document management and linkage of floor plan designs, and American Disability Act (ADA) Compliance reports to a building or project. Currently, staff has to manually create and maintain a separate electronic file system for floor designs and ADA Compliance reports. Staff must also manually research and link data from the floor designs, ADA Compliance issues, and FLAIR, which is not easily accessible to the Building Construction Bureau.	No current metrics, the system does not currently provide the capabilities to perform these tasks.
C.3	Provide the ability to run robust, custom reports on Project Management system data. The current report function within the Project Management Module is rendered obsolete. Due to the home-grown nature of the system, there is no user support or documented manual for some of the system components. Staff who held the historical background and knowledge of these modules are no longer with the agency; hence the modules are not used. Staff must manually create and maintain routine reports, which is a key function for the Building Construction Division.	No current metrics, the system does not currently provide the capabilities to perform these tasks.

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Section II. B. 1. Current Business Process(es): Budget and Financial Management		
The Budget (B) section utilizes FACT to monitor fixed capital outlay budgets and expenses for construction projects and for fiscal reporting through the Budget Management component of the system. This section is also responsible for generating the quarterly FFP rent invoices and monitoring the accounts receivable aging for rent collection. The Division's operational expenditures and fund balances are tracked within this unit.		
Ref #	Problem(s) the Project Addresses	Perf Metric(s)
B.1	The ability to transfer, retain, and report on all historical project data from the FACT system to the replacement system.	None
B.2	The ability to capture FFP rent invoice information by quarter, fiscal year, invoice number, building, lease, agency, etc.	None
B.3	The ability to run analytical reports on rent invoice activity within the FFP.	None
B.4	The ability to forecast rent streams and operational expenditure trends.	None

Section II. B. 1. Current Business Process(es): Strategic Planning		
The Strategic Planning (S) section relies on key data elements housed within the FACT system, which are uploaded nightly into the Florida State Owned Lands and Records Information System (FL-SOLARIS), to perform data analysis, generate reports, research backfill strategies, identify areas or opportunities for adding, deleting, and improving state owned facilities within REDM's purview. This unit is also responsible for the Annual Data Gathering whereby all state agencies are asked to manually submit portfolio information to DMS-REDM to be used for strategy development, analysis, and forecasting.		
Ref #	Problem(s) the Project Addresses	Perf Metric(s)
S.1	Provide the ability to capture agency lease portfolio information used in the development of the annual reports. Currently, this information is requested from agencies through an Excel template and returned for manual processing and aggregation for analytics.	None
S.2	Provide the ability to automate repetitive reporting on historical and future trends in portfolio activity for inclusion in the annual reports, communications, and strategy development.	None
S.3	Provide the ability for data exception reporting and safeguards to improve the integrity of system data. Provide for standard analytical reports that identify data outliers for further research.	None
S.4	Provide the foundation data for the development and implementation of Division, Bureau, process, and employee performance reporting.	None

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Section II. B. 1. Current Business Process(es): Information Technology		
The Information Technology (IT) section is responsible for maintaining and overseeing the FACT system and responding to requests for specialized reports, data extractions, system changes, enhancements, security and access.		
Ref #	Problem(s) the Project Addresses	Perf Metric(s)
I.1	Provide a well documented, supported, and current technology solution. FACT does not have defined standards in architecture, security, integration, documentation, and data organization, resulting in gaps in data processes, data integrity questions, a poor security model, and a lack of confidence in system output.	No current metrics. The system does not provide the capability for these tasks.
I.2	Provide a user-friendly system that is intuitive and consistent across modules/applications. Currently, FACT has inconsistent system commands, which require different responses to execute the same or similar functions within the system.	No current metrics. The system does not provide the capability for these tasks.
I.3	Reduce the number of high-priority problem reports to Information Technology (IT) staff. FACT failure or problem incidents result in requests to IT for urgent assistance. System process failures typically range from 10-20 requests for service per month. Because each request must be triaged and researched, time spent on each incident is often measured in days, not hours, making it difficult to follow structured work plans in REDM and DMS IT.	Not Applicable. This metric is measured through the IT helpdesk system.
I.4	Provide strong data integrity controls for both the user interface and batch processing. FACT failures are often the result of a lack of data integrity controls in both data entry user interface forms and batch processes. To provide a timely solution to a break deemed urgent by the business unit, correction often requires modifying data directly in the backend database, risking the bypassing of unknown business rules, and then researching where system processing gaps may reside.	Not Applicable. This metric is measured through the IT helpdesk system.
I.5	Provide current user security measures including the appropriate role assignments, user verification, and audit trails. User roles and permissions within FACT have been developed over time and took separate tracks of how security is handled. They are dispersed across multiple, unrelated database entities, each with unique rules and roles for administering permissions in the various modules of FACT. Although receiving and approving user access requests is a function served by the business unit, the actual addition and/or expiration of user permissions requires manual data manipulation in the backend database by DMS IT staff. The number of requests to IT for administering user access is also 10-20 per month.	Not Applicable. This metric is measured through the IT helpdesk system.
I.6	Provide for consistent, reliable reporting. As FACT has aged, reporting results in the various FACT modules have been identified as slow, erroneous, or no longer relevant. Due to a lack of confidence in data output, the business unit often requests validation assistance from DMS IT. Requests to IT for FACT data reports and validation are prevalent at the end of certain time periods (monthly, quarterly, annually) aligning with reporting needs of REDM business units.	Not Applicable
I.7	Provide an automated invoicing function for FFP rent. The function of invoicing for services in FACT is not automated and requires either manual business unit workarounds using FACT data (invoices manually created in Word, PDF, or Excel) or, as in the case of quarterly lease invoicing, requires a request to IT to create and export invoices executing scripts and performing direct modifications to the backend database.	Not Applicable

2. Assumptions and Constraints

The Division operates under the authority granted by the Legislature in Florida Statutes, Chapters 215, 216, 255, 272, 281, 288 and 489. The Division is also required to maintain the FFP in a manner that protects the investment of the bondholders and insures confidence in the FFP assets.

Division processes must ensure that all statutory requirements are fully met. As REDM’s authority changes, it must be reflected in the Division’s processes whereby the chosen technology solution must allow the flexibility to meet the modified obligations and requirements. Should the scope of REDM’s authority change, the chosen technology solution must have the capacity to expand to meet changing demand.

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

The following chart crosswalks the Business Process project need with the functional requirements, problem statement, and necessary changes:

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Section II. C. 1. Proposed Business Process Requirements				
Business Process Project Need [Describe/document what needs to happen.]	Functional Requirement [Describe how it needs to happen.]	Problem Statement from Section II. A. 2	Changes Needed from Section II. B. 1	Revised/Future Performance Metric
Facilities Inventory Tracking - Identify and track all owned facilities, inventory status and status change dates, social information such as address, their conditions, space types, maintenance costs, operation levels, land leases, and environmental, health and safety issues (e.g.: Americans with Disabilities Act documentation).	This system component is essential to performing the functions of REDM; it is what houses all basic building data. This system component is integrative and provides building data to each of the modules, feeding building data to other essential external systems such as People's First and FL-SOLARIS.	All (1-9)	L: 1-11 M: 1-7 C: 1-3 B: 1-4 S: 1-4 I: 1-7	Maximize the ability to realize rent revenue and minimize operational costs in the FFP. This module provides supporting data for all performance metrics to be reported by building.
Preventive and Work Order Maintenance – Identify and capture all elements of building maintenance management; preventative, just-in-time, deferred, and reactive maintenance; work order generation, tracking, and management with work flow and approvals; and parts and inventory management. Ideally would provide linkage to capital improvements and building assessments.	Web-based, interactive system for entering, storing, tracking and reporting on the existence and status of Preventive and Work Order maintenance events.	3, 4, 6, 7, 8	M: 1-7 C: 1-3 I: 1-7	The timely completion of work orders and customer satisfaction. Monitor work orders that have been open for more than 30 days, and work orders that are complete versus incomplete.
Lease Administration - Ability to perform lease administration and oversight responsibilities that includes predictive lease actions and analysis, agency space needs requests, space management, vacancy/occupancy data capture and analytics, lease analysis, tracking of lease savings/costs, transaction management, document management and workflow, and floor plan versioning (computer aided drawing - CAD).	Complete transactional management for leases, requests for space occupancy and vacancy, work order requests, tenant improvement requests, workflow support, and space type change history. Web based accessibility for our end users who could access data in real time, allowing agencies to modify their Request for Space Need (RSN) if changes are necessary, and create reports for their leadership based on their agency's lease data. All aspects of a transaction (i.e., RSN, Prior Approval, Final Approval) should be linked with the associated requirements and documents, allowing us to be more proactive instead of reactive. Automate standard or custom reporting such as the lease cost savings initiative, which is currently a heavily manual process.	All (1-9)	L: 1-11 S: 1-4 I: 1-7	Process Prior Lease Approvals faster. Implement standardized review checklist to streamline review process. Communicate criteria to agencies and provide training on factors considered for Prior Lease Approval. Proactively notify agencies of pending lease expiration to expedite approval commencement.
Occupancy / Space Management - Includes capturing occupancy/vacancy information by space type, rental rate, building, and tenant. Ideally would be linked to CAD for space allocation, workspace assignment, and agency allocation data analytics.	Having one tool that can capture all occupancy/vacancy information in real time. This would include breaking down the occupancy/vacancy by space type and rental rate. It would allow us to easily pull historical data. This solution would be a system that would be accessible to both DMS Tallahassee and to our Operations & Management staff in each of the buildings.	All (1-9)	L: 1, 2, 4, 7, 9, 11 C: 1-3 S: 1-4 I: 1-7	
Paid Parking Administration – Includes issuing and tracking reserved parking places, billing and depositing of revenues, managing disabled parking, managing parking contracts, and cost/revenue forecasting.	Business process needs to occur via web-based interface for administering the duties and functions of the Paid Parking section, including the ability to query data and produce necessary reports.	All (1-9)	L: 8-11 I: 1-7	Improve timely collection and deposit of parking fees. Improve timely execution of new parking contracts and invoicing of parking fees. Review past due parking receivables weekly, and commence actions to collect for items approaching past due status. Ensure deposits are made promptly and posted to employee's account.
Financial and Budget Management - Ability to track and compare budgets and expenditures. Ability to timely generate reports. Analytics that support historical spend analysis and forecasting. Ability to generate reports on and track revenue for FFP rent and parking. Integration capability with the accounting system (FLAIR) for receivables aging detail. Ability to perform predictive forecasts based on anticipated changes in occupancy and look at historical trends in revenue fluctuations.	Transfer and retain all historical project data from the FACT system to replacement system. Incorporate existing FACT system capabilities into replacement system to: (1) provide fixed capital outlay appropriations management and client agency project management capabilities for Agency projects contracted with DMS; (2) track fixed capital outlay project budgets for Agency projects which are required to be managed by DMS as referenced in the General Appropriations Act.	7, 8	B: 1-3 C: 2 I: 1-7	Timely process FFP invoices; timely generate reports; integrate with FLAIR for cost management; monitor rent and parking revenue receipts; track expenditures relative to budget; retain budget data archives
Project Management for Capital/Construction Projects – Capital improvement project (CIP) tracking, monitoring, trending, and historical data. Project management and tracking including project start-up, communications, tasks, budget, project metrics, key milestones, scheduling, and resource management.	Transfer and retain all historical project data from FACT system to replacement system. Incorporate existing FACT system capabilities into replacement system to track project schedules, dates, and all architect, engineer and contractor providers that contract with DMS on fixed capital outlay projects. Interactive, web-based interface that can capture pertinent data relative to Capital Improvement Construction Projects which will allow querying and reporting. Establish an integrative document management system that will allow for tracking and storing floor plan designs and ADA compliance issues, while linking the data to the building and project, and providing a historical record of building activities and projects. Ability to auto generate routine reports and offer web interface capabilities that will allow reports, floor designs, and other building data to be assessed and made available to architects, engineers, and other stakeholders.	All (1-9)	M: 1-7 C: 1-3 I: 1-7	Evaluate all needed capital improvements and prioritize them based on rate of return including efficiencies gained, increased FFP revenue, and decreased operational costs.
Strategic Planning - Support for the long-range facilities planning and backfill strategy development, including forecasting, communication tools, and document tracking. Ability to extract current and historical data to support the development and drafting of the statutorily required Master Leasing Report and Five-Year Strategic Leasing Plan as defined in section 255.249, F.S. and section 255.55, F.S. Ability to track and monitor performance.	Flexibility to collect facility and lease information from agencies on an annual basis to include information such as space forecasts, personnel information, telecommuting information, anticipated next lease actions. Decrease the total amount of private leased space. Strategically identify space realignments and backfill candidates to increase occupancy. Target current or potential private leases to ensure maximum utilization of state-owned space first - when it is in the best interest of the state.	All (1-9)		Closely monitor vacancies against eligible private leases as candidates for FFP space. Prepare quarterly FFP occupancy/vacancy report. Provide agency portfolio metrics to include private versus state-owned (FFP) space, including historical trend information to agencies, governor's office, etc.

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Business Process Project Need [Describe/document what needs to happen.]	Functional Requirement [Describe how it needs to happen.]	Problem Statement from Section II. A. 2	Changes Needed from Section II. B. 1	Revised/Future Performance Metric
Energy Management - Monitor and track energy consumption and expenditures. Track impact of energy savings initiatives on consumption/costs.	A web-based portal for outside agencies to enter and submit required energy usage information with respect to the State Energy Management Plan (SEMP). This would include the ability to query the data and run reports.	All (1-9)	M: 3-6	Evaluate energy consumption on a building-by-building basis. Use energy efficiency as one of the key decision points in prioritizing capital improvements and repairs to reduce costs. Collect and analyze energy data to include temperature set points, operating schedules, and energy/utility bills. Compare expenditures to GSF and to FFP revenue generated quarterly. Provide a technical review of performance contracts to review and validate savings estimates as compared to performance. Certify that estimated project savings are sufficient for the term of the contract or project. Respond to agency requests for review/support within 10 business days.
Contract Management and Oversight - Facility contract oversight, management, and performance metrics including construction, maintenance, and real estate services (tenant brokers).	Must be able to retain interfaces to other business processes currently performed within the SFI and project management modules of the FACT system, and establish web-based capability for posting advertisements.	1, 3, 5, 7, 8	L: 6, 7 M: 1-3, 5-7 C: 1-3 B: 1, 3 I: 1, 2, 7	Improve communication and education for contract managers on the importance of service providers meetings performance expectations. Ensure that contract managers capture any performance deficiency information and rate service providers accurately and timely. Monitor and audit contract performance to identify and realize performance penalties to offset costs.

2. Business Solution Alternatives

The following business solution alternatives were evaluated:

- (1) **Maintain the status quo (Not Recommended)** – An option to continue using the FACT system as currently designed.
- (2) **Modify the current FACT system (Not Recommended)** – An option to redesign the FACT system to meet operational needs.
- (3) **Replace the FACT system (Recommended)** – An option to completely replace the FACT system with a commercially available integrated real estate/facilities management system.

3. Rationale for Selection

Evaluation of the Department’s and Division’s goals of focusing on quality customer service, meeting foundational obligations, reducing the burden on agencies, and reducing operational costs requires the Division to implement process improvements and efficiencies, and to monitor performance. The Division strives to be the trusted resource for comprehensive real estate services. The current FACT system does not allow the Division to collect data necessary to meet its goals or measure performance. The FACT reverse engineering project clearly outlined the risks associated with modifying the existing table structures and how other modules may be impacted or broken. Neither option to continue to use FACT supports the Division’s changing business processes, the Department’s goals, or monitoring performance.

The preferred alternative is to replace the FACT system with a commercially available facilities/real-estate management information system. A current, comprehensive technology solution would allow the Division to meet current, future, and changing business needs and statutory obligations. The Division could provide improved customer service, high data integrity and enhanced analytics, while gaining operational efficiencies.

- **Priorities**
 - Efficient and economical management of the FFP to maximize bondholders’

- confidence in the assets that back their bonds.
- Operational and cost efficiencies for taxpayers such as energy conservation and reduced costs.
- Proper maintenance to defer risk and avoid future damage.
- Proper utilization and resourcing to reach the maximum potential of revenue and operational efficiencies.
- Benefits
 - Ensure continued compliance with Florida Statute and bond covenants
 - Improve strategy development and alignment
 - Establish benchmarks and measure what matters
 - Assess the impact of service or process changes
 - Accountability, greater transparency, and reduced silos
 - Improved consistency and more reliable data
 - Eliminate multiple data sets
 - Risk mitigation
 - Resource maximization
 - Integration of business process data and other technology systems
 - Automated and enhanced reporting
 - System architecture standardization
 - Deeper cost savings
 - Greater operational efficiencies
- Assumptions
 - Industry has a commercially available solution that is economical and will require limited customization.
 - A high risk of failure exists if the system is not replaced.
- Constraints
 - Limited time to procure and implement
 - Limited budget available
- Specific requirements of customers, users, and stakeholders
 - User-friendly
 - Budget and finance functionality
 - Standard and customized reporting capability
 - Data import and extract capability

- Integration between modules and with other external systems.
- Current technology with high-quality support
- Secure and tracked user access roles
- Increased accuracy of and confidence in data
- Flexibility to customize or modify as needed
- Document management capabilities
- Critical data tracking and notification
- Workflow capabilities
- Best practices
 - **Support strategic legislative and business initiatives.** Further Legislative, Department and Division missions, goals and objectives through technology systems and solutions.
 - **Optimize process performance.** Enhance operational efficiencies and effectiveness through automation and integration with other systems. Develop a dashboard of operational indicators which allow consistent monitoring and measurement of important operational characteristic.
 - **Monitor and improve performance.** Assess the impact of strategy implementation for comparison with industry standards.
 - **Maximize limited resources.** Minimize redundancy and automate processes.
 - **Minimize costs.** Reduce ongoing expenditures through automation and increased efficiency.
 - **Maximize value and useful life cycle of assets.** For example, Original Equipment Manufacturer (OEM) automated technologies allow for remote monitoring of the health and long-term equipment availability to ensure the equipment is running at its highest level of efficiency.
 - **Provide quality customer service.** Serve stakeholders in the best possible ways using accurate, timely and meaningful information.
 - **Provide accountability.** Meet foundational obligations and communicate results.
 - **Manage risks.** Allow for expansion and improvements while minimizing liabilities and the potential for error or failure.

4. Recommended Business Solution

Maintain Status Quo: The option to continue utilizing the FACT system with no system changes puts the Division and the Department at risk for not meeting statutory requirements or bond covenants. The current system requires significant manual data validation and tracking in order to meet current business requirements. Business and stakeholder needs as identified will continue to be unfulfilled and manual data validation and collection will continue to be necessary. When the FACT system malfunctions or breaks, information technology support personnel do not have the documentation or resources necessary to quickly triage the problem.

The Division is unable to make changes in response to Auditor General criticisms of the FACT system because of the non-standard architecture, security flaws, lack of data credibility and potential for system failure. **This option is not recommended.**

Modify the current FACT system: The reverse engineering project revealed the extent to which the system designs and architecture are non-standard. Changes to the system will likely cause failures in other modules that are seemingly unrelated. The risk associated with modifying the current system and the redesign necessary to meet current operational needs make this an undesirable option. **This option is not recommended.**

Replace the FACT system: Many commercial, off-the-shelf technology solutions exist for facilities management business functions. This option could allow the Division to meet its statutory and bond covenant obligations and implement key efficiency strategies that mitigate the investment cost. The specific technology solution to be procured is yet to be determined; however, the Division may either use a State Term Contract or an Invitation to Bid. **Replacing FACT with a commercial system solution is recommended.**

D. Functional and Technical Requirements

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

A full system replacement must meet specific functional and technical requirements including:

- Transferring all current and historical data housed in the FACT system.
- No loss of current functionality.
- A web-based system that allows user access with appropriate security and permission controls. The solution must be functional with industry standard browsers (Chrome, Firefox, Internet Explorer, Opera, and Safari).
- Responsive design development techniques to respond visually and functionally to industry standard mobile devices (eg: tablets and smart phone devices).
- Comply with security standards set forth in Rule 71-A, Florida Administrative Code, Florida Information Technology Resource Security Policies and Standards.
- Comply with Americans with Disabilities Act (ADA).

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Section II. D. Functional and Technical Requirements			
Business Process Project Need [Describe/document what needs to happen.]	Functional Requirement [Describe how it needs to happen.]	Problem Statement from Section II. A. 2	Changes Needed from Section II. B. 1
Accessibility - Establishing web services for information access and integration by external stakeholders is desirable, but the ability to define and execute data extracts is also an option.	The ability for external stakeholders to gain access, integration and reporting capabilities related to non-secure system data.	All (1-9)	L: 1-11 M: 1-7 C: 1-3 B: 1-4 S: 1-4 I: 1-7
Data Migration/Conversion - Utilities for converting data from existing legacy systems (Oracle database) into the new system are necessary. This will be for information related to facilities, leases, parking permits, preventive maintenance, etc.	Transfer and retain all data from the FACT system to replacement system.	8	L: 1-11 M: 1-7 C: 1-3 B: 1-4 S: 1-4 I: 1-7
User Security - A roles-based security model is necessary, with the ability to provide rights, at a minimum, based on agency in which the user is employed, location and role.	Identify defined roles for users according to their system access privileges and statutory requirements.	3	L: 1-11 M: 1-7 C: 1-3 B: 1-4 S: 1-4 I: 1-7
Reporting Capability - Dynamic reporting is required, including the ability to build custom reports by choosing elements of information and defining criteria. Ability to access system information and reports utilizing web-based mobile devices, including cell phones, tablets and other mobile devices.	To establish enhanced reporting capabilities that will allow for automation and remote web access.	All (1-9)	L: 1-11 M: 1-7 C: 1-3 B: 1-4 S: 1-4 I: 1-7
Flexibility and Customization - The ability to create customer defined fields (or custom fields) is necessary to collect data that may be specific to Florida business rules, and to store derived data specific to Florida needs. These fields may be related to facilities, work orders and maintenance, leases, real estate customers, etc.	The system must be scalable in a way that allows for flexibility and expansion capacity to meet changing portfolio needs and oversight responsibilities. The system should allow for flexibility and customization of routine and ad hoc report requests.	All (1-9)	L: 1-11 M: 1-7 C: 1-3 B: 1-4 S: 1-4 I: 1-7
System / Data Integration - Interface capability with other systems such as FL-SOLARIS, FLAIR, and People First.	Must be able to establish interfaces to other business processes. Examples include: i. Integrating lease and other billing information with Finance and Accounting (F&A) to establish receivables and manage appropriate accounting. ii. Integrating project budgets with Finance & Accounting. iii. Feeding information to State data warehouses such as the Florida State-Owned Land and Inventory Reporting System (FL-SOLARIS) for public reporting. iv. Integrating with the State's Human Resource Management system, People First, to update facility information in which State FTE's are assigned.	All (1-9)	L: 1-11 M: 1-7 C: 1-3 B: 1-4 S: 1-4 I: 1-7

III. Success Criteria

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

Following are draft criteria that will be more clearly defined and measured upon the development of the selected technology project implementation plan. This table will be updated with the submission of the revised Schedule IV-B.

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Success Criteria Table				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date
				(MM/YY)
1	Are all data elements necessary for business operations captured within the system?	To be determined upon project plan development based on selected solution.	FFP Bond Holders Small Business Administration Governor's Office, House, and Senate Staff State of Florida Taxpayers State Agency Leadership and Staff Private Business Partners such as Construction Contractors and Tenant Brokers Other DMS Divisions: Information Technology, Budget, Finance and Accounting, Telecommunications, Procurement	Jun-15
2	Can data elements be linked?	To be determined upon project plan development based on selected solution.	System users.	Jun-15
3	Can predictive analysis be performed on data elements?	To be determined upon project plan development based on selected solution.	FFP Bond Holders Small Business Administration Governor's Office, House, and Senate Staff State of Florida Taxpayers State Agency Leadership and Staff Private Business Partners such as Construction Contractors and Tenant Brokers Other DMS Divisions: Information Technology, Budget, Finance and Accounting, Telecommunications, Procurement	Jun-15
4	Can the system produce canned and customized reports?	To be determined upon project plan development based on selected solution.	Internal and external users with access to reporting functionality.	Jun-15
5	Does the system have the capacity to expand the number of data elements?	To be determined upon project plan development based on selected solution.	System users and information technology support personnel.	Jun-15
6	Does the system have the capacity to expand the number of records held in the system?	To be determined upon project plan development based on selected solution.	System users and information technology support personnel.	Jun-15
7	Does the system allow for the automation of tasks currently performed manually?	To be determined upon project plan development based on selected solution.	System users and information technology support personnel.	Jun-15
8	Does the solution reduce or eliminate the need for manual/Excel spreadsheet tracking of data elements?	To be determined upon project plan development based on selected solution.	System users.	Jun-15
9	Does the solution include a web interface solution for data collection, validation, editing, and storage in a relational database?	To be determined upon project plan development based on selected solution.	Internal and external users who contribute data.	Jun-15
10	Does the solution include document management functionality?	To be determined upon project plan development based on selected solution.	System users.	Jun-15

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#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date
				(MM/YY)
11	Are standard views and reports provided with the ability to utilize flexible, user-friendly ad-hoc filtering and reporting and data extraction?	To be determined upon project plan development based on selected solution.	System users.	Jun-15
12	Is import and export functionality provided for internal and external stakeholders?	To be determined upon project plan development based on selected solution.	FFP Bond Holders Small Business Administration Governor's Office, House, and Senate Staff State of Florida Taxpayers State Agency Leadership and Staff Private Business Partners such as Construction Contractors and Tenant Brokers Other DMS Divisions: Information Technology, Budget, Finance and Accounting, Telecommunications, Procurement	Jun-15
13	Does system security and verification allow for audit trails, modification, and appropriate user roles associated with different levels of access?	To be determined upon project plan development based on selected solution.	System users.	Jun-15
14	Does the system allow for the collection of sub-contract information such as sub-leases, agency-to-agency leases, and interagency agreements?	To be determined upon project plan development based on selected solution.	System users.	Jun-15
15	Does the system have the capability to import and store the current and historical information?	To be determined upon project plan development based on selected solution.	FFP Bond Holders Small Business Administration Governor's Office, House, and Senate Staff State of Florida Taxpayers State Agency Leadership and Staff Private Business Partners such as Construction Contractors and Tenant Brokers Other DMS Divisions: Information Technology, Budget, Finance and Accounting, Telecommunications, Procurement	Jun-15
16	Does the system have the ability to retain data so that analytics can be performed on a monthly, quarterly, and/or yearly basis?	To be determined upon project plan development based on selected solution.	FFP Bond Holders Small Business Administration Governor's Office, House, and Senate Staff State of Florida Taxpayers State Agency Leadership and Staff Private Business Partners such as Construction Contractors and Tenant Brokers Other DMS Divisions: Information Technology, Budget, Finance and Accounting, Telecommunications, Procurement	Jun-15

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

A. Benefits Realization Table

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

The benefits associated with the proposed project outline the advantages or assistance to REDM that is not otherwise achievable for REDM. Tangible benefits include those that can be quantified through a positive financial value such as increased revenue, decreased costs or reduced personnel costs. Intangible benefits are those that are not able to be easily or consistently measured such as avoiding system failure or the risk of communicating erroneous communications.

The Integrated Facilities Management System (FACT Replacement) project will require the establishment of a full project management and implementation plan once the appropriate technology solution is selected. Included in the plan will be a Benefits Realization Plan that incorporates the specific benefits the anticipated solution will provide with associated measures.

Confidence in FACT data creates challenges in establishing baseline performance metrics. Accurate measurement of benefits realization will need to be based on data from other sources such as expenditures from FLAIR or manually tracked performance data.

Following are draft benefits that will be more clearly defined and measured upon the development of the selected technology project implementation plan. This table will be updated with the submission of the revised Schedule IV-B.

BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible or Intangible?	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Ensure Continued Compliance with Florida Statute and Bond Covenants	Intangible	FFP Bond Holders, Legislature, State of Florida Taxpayers, and All Other Stakeholders	Reduced exposure to risk associated with the lack of quality data for performance monitoring and optimal management of the FFP.	Improved ability to capture key performance data.	06/15
2	Improve Strategy Development and Alignment	Intangible	FFP Bond Holders, Legislature, State of Florida Taxpayers, and All Other Stakeholders	Improved ability to develop key strategies that are prioritized based on valid and reliable data.	Improved ability to identify and prioritize strategies, and measure the subsequent impact of implementation.	06/15
3	Establish Benchmarks and Measure What Matters	Tangible	FFP Bond Holders, Legislature, State of Florida Taxpayers, and All Other Stakeholders	Establish reliable baseline data that allows for progress monitoring.	Increased number of performance metrics for REDM.	06/15

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4	Assess the Impact of Service or Process Changes	Tangible	FFP Bond Holders, Legislature, State of Florida Taxpayers, and All Other Stakeholders	Establish reliable baseline data that allows for progress monitoring. Flexibility to add measures as needed.	Increased number of process/service measures.	06/15
5	Accountability, Greater Transparency, and Reduced Silos	Intangible	FFP Bond Holders, Legislature, State of Florida Taxpayers, and All Other Stakeholders	Standardization and centralization of data will reduce data duplication and errors. Provides for long-term budget forecasting and documented savings.	Improved data quality and fewer errors and inconsistencies.	06/15
6	Improved Consistency and More Reliable Data	Intangible	FFP Bond Holders, Legislature, State of Florida Taxpayers, and All Other Stakeholders	Standardization and centralization of data will reduce data duplication and errors.	Improved data quality and fewer errors and inconsistencies	06/15
7	Eliminate Multiple Data Sets	Intangible	FFP Bond Holders, Legislature, State of Florida Taxpayers, and All Other Stakeholders	Standardization and centralization of data will reduce data duplication and errors.	Improved data quality and fewer errors and inconsistencies	06/15
8	Risk Mitigation	Intangible	FFP Bond Holders, Legislature, State of Florida Taxpayers, and All Other Stakeholders	Reduced exposure to risk associated with the lack of quality data for performance monitoring and optimal management of the FFP.	Improved ability to capture key performance data.	06/15
9	Resource Maximization	Intangible	FFP Bond Holders, Legislature, State of Florida Taxpayers, and All Other Stakeholders	Improved ability to develop key strategies that are prioritized based on valid and reliable data.	Improved ability to identify and prioritize strategies, and measure the subsequent impact of implementation.	06/15
10	Integration of Business Process Data and other Technology Systems	Intangible	FFP Bond Holders, Legislature, State of Florida Taxpayers, and All Other Stakeholders	Improved ability to develop key strategies that are prioritized based on valid and reliable data.	Improved ability to identify and prioritize strategies, and measure the subsequent impact of implementation.	06/15

B. Cost Benefit Analysis Forms (CBA)

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

Best practices for IT investment management require an analysis showing a return on investment (ROI) for IT projects. The CBA tool is used to quantify the financial return the State will realize from the investment in the project. DMS-REDM continues to gather the necessary information for the full and accurate completion of the Cost Benefit Analysis forms, and will include the completed forms in the amended Schedule IV-B.

DMS-REDM advertised a Request for Information (RFI) [Appendix B] on the Florida Vendor Bid System on September 12, 2013, and responses were due on September 26, 2013. The RFI indicated that DMS-REDM is interested in procuring an integrated workplace real estate management system for the long-term management, tracking and reporting of all items listed in the RFI. The new system will need to perform the functions provided by the current legacy system, that included (quoted from the RFI):

- *Facilities Inventory Tracking - Identify and track all the owned facilities, their conditions, space types, maintenance costs, operation levels, floor plans, and land leases.*
- *Preventive and Work Order Maintenance – Includes building maintenance management, preventative and reactive maintenance, work order generation with work flow and approvals, warrant management, parts and inventory management, and building assessments.*
- *Lease Administration - Includes managing leases, strategic planning, space management, financial management and forecasting, lease analysis, transaction management, document management and workflow, lease billing and invoicing, and floor plan versioning (AutoCAD).*
- *Paid Parking Administration – Includes issuing and tracking reserved parking places, billing and depositing of revenues, managing disabled parking, managing parking contracts, and forecasting costs.*
- *Budget Management and Tracking - Tracking budgets and expenditures for capital/construction projects, energy efficiency management and reporting.*
- *Project Management for Capital/Construction Projects – Managing projects utilizing work breakdown structures, resource management and linking project costs to budgets.*

The RFI was seeking information from qualified vendors regarding software solutions that could be best suited for this purpose. Responses were received from 12 different vendors that offered eight different software packages as a potential solutions. Those solutions ranged from full integrated real estate management systems to software that simply manages real property leasing. Given the limited information available to the responding vendors, the responses included project cost ranges that varied based on their assumed project scope (example: estimated number of users). Once a full evaluation of the responses is completed, DMS will either release an Invitation to Negotiate or procure a product from State Term Contract. **Revised project costs will be included in the amended IV-B submission.**

Baseline project cost estimates from the State Term Contract were used to estimate the amount needed for the fiscal year 2014-15 Legislative Budget Request (\$4 million, non-recurring) and the subsequent recurring need estimated at \$200,000. System components and modules were selected

based off of vendor responses to the RFI, and license quantities are estimated based on the current number of potential users housed in REDM. Should the State choose to leverage the technology solution to provide standardization for facilities management outside the FFP, additional licenses can be purchased in a supplemental budget request. Supporting documentation for State Term Contract #252-500-09-1 is included in Appendix A.

V. Schedule IV-B Major Project Risk Assessment

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

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

The specific elements needed to complete the Project Risk Assessment tool are not yet known. The submission of a complete risk assessment will be included with the amended Schedule IV-B.

VI. Schedule IV-B Technology Planning

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

This documentation requirement involves mapping the business and functional requirements for a system to the application, data, and infrastructure components of the proposed technologies.

A. Current Information Technology Environment

The FACT system is a transaction-based system that provides processing for the leasing functions (billing, collection, lease changes, lease request evaluation, etc.) and handles paid parking transactions, facilities work order life cycle transactions, preventive maintenance transactions, fixed capital outlay, and budget tracking.

The history of recreating functionality and the years of making only tactical modifications have led to redundancy in the data, which in turn has led to data integrity issues. The database has lost any meaningful architectural design, and includes many tables that are similar but are used for undocumented reasons. Core redundant tables exist with conflicting information concerning facilities.

1. Current System

a. Description of current system

If an automated or manual information system exists, describe the following characteristics:

- 1) Total number of users and user types (e.g., power, casual, data entry):
 - Lease Management, State Facility Inventory, Preventative Maintenance, Fixed Capital

Outlay Management - 182 total users (REDM business operational users)

- Request Space Need System - 147 total users (REDM administrators and agency representatives)
- Paperless Invoicing System - 650 users (read-only; lessees)
- Paid Parking System - 357 (REDM administrators and agency representatives)
- Work Order System - 1770 (this system has more granular roles than any other FACT component.)
 - USER: Users in our FFP facility. Permissions to view only their own work orders.
 - SUSER: Chief users in our FFP facility. Permissions to view all work orders in chief's purview.
 - MANAGER: Building managers and direct reports.
 - TRADE: Support staff handling building maintenance. Permissions to view/update work orders have been transferred to support staff's ownership.
 - PUSER: User in Master Lease buildings.
 - PSUSER: Chief users in Master Lease buildings.
 - PMANAGER: Building Managers in Master Lease buildings

- 2) Number and percent of transactions (online, batch, and concurrent) handled by the current system (if possible, indicate the amount of data that is moved or processed in each transaction type):

Although a tool to monitor actual database transactions is not readily available or mastered by internal staff, the system offers measurable elements which can provide substance for identifying business transactions:

- FACT houses 820 private and other governmental entity leases with an annual contractual obligation of over \$130 million.
- FACT generates quarterly FFP invoices for 291 leases totaling \$95.5 million in rental income.
- FACT Fixed Capital Outlay Management System currently has over 200 active projects totaling over \$105,000,000 in cost.
- FACT Work Order and Preventative Maintenance System has approximately 20,000 work orders annually.

- 3) Requirements for public access, security, privacy, and confidentiality:

- Public access: certain data is available for public access through data warehouse information.
- Security: FACT currently lacks the benefit of defined standards in architecture, security, integration, documentation, and data organization.
- Privacy and confidentiality: certain employees or service locations require 'location

confidentiality; lease escalation rates are confidential.

- 4) Hardware characteristics (e.g., hosts, servers, network devices, storage, archival equipment, etc.):

The hardware is solely provided and managed by Southwood Shared Resource Center (SSRC) via "Managed Servers" service.

- 5) Software characteristics (GUI, procedural language, object-oriented language, operating system, embedded program, batch program, real-time transaction, etc.):

Internal applications:

- Oracle Forms / Reports / Packages (PL/SQL) - real time transactional
- Oracle Scheduler
- Oracle Application and Database Server
- Unix-based cron jobs (for scheduled data exports and database view refresh)
- Operating System: Unix/Solaris
- Database: Oracle

Web-facing applications:

- ASP classic - real time transactional
- Operating System: Windows 2003

- 6) Existing system or process documentation:

Existing system or process documentation is at best sketchy, primarily formed by technical staff when the system or sub-systems need attention or change.

- 7) Internal and external interfaces:

- FL-SOLARIS directly consumes a database view of leasing data via authentication and trusted IP address
- Leasing invoices are imported into DMS Oracle Financials Suite for tracking and accounts receivables
- State Facilities building information is exported to a file for consumption by the People First State Personnel System

- 8) Consistency with the Department's software standards and hardware platforms:

No. FACT currently lacks the benefit of defined standards in architecture, security, integration, documentation, and data organization.

Via data center managed services, the hardware, operating system, and database system platforms receive monthly updates albeit with the ever-present risk of deprecating legacy application code.

- 9) Scalability to meet long-term system and network requirements:

FACT is not scalable due to architectural flaws.

b. Current system resource requirements

- 1) Hardware and software requirements (e.g., CPU, memory, I/O):

The hardware resources (CPU, memory, I/O) have been tweaked over the course of the application's lifetime to meet operational needs and are controlled by the state data center administrators.

Internal applications:

- Oracle Forms / Reports / Packages (PL/SQL)
- Oracle Scheduler
- Oracle Application Server
- Oracle Database Server
- Operating System: Unix/Solaris

Web-facing applications:

- ASP classic
- Windows Application Server

- 2) Cost/availability of maintenance or service for existing system hardware or software:

Requirements and maintenance of existing system hardware and software are serviced by the SSRC at a cost of approximately \$2,900 per month. Total Annual cost is \$34,800.

- 3) Staffing requirements, identifying key roles (e.g., system management, data entry, operations, maintenance, and user liaison); include contractors, consultants, and state staff:

Staffing requirements in the Information Technology Environment supporting FACT require a business analyst, an application developer, and a database administrator.

Today, we have been unable to retain adequate technical resources to support and fulfill the technology needs of FACT.

Technology staffing resources needed to maintain the current state of FACT are:

- Full time business analyst (2000 hours @ \$65/hourly) = \$130,000 annually
- Full time application developer (2000 hours @ \$80/hourly) = \$160,000 annually
- Total cost for all staff resources: \$290,000 annually

- 4) Summary of the cost to operate the existing system (detailed costs will be entered into the Cost-Benefit Analysis Worksheets):

- 1) and 2) (listed above) provided by SSRC at an annual cost of \$34,800
- 3) (listed above) annual estimation of technology staff needed: \$290,000
- Total annual cost of current system resource requirements is estimated at \$324,800

c. Current system performance

- 1) The ability of the system to meet current and projected workload requirements:

The system is not scalable to meet the projected workload requirements of managing a proposed greater number of facilities.

- 2) Level of user and technical staff satisfaction with the system:

The level of user and technical staff satisfaction with the FACT system is extremely low. The system's state of having no defined standards in architecture, security, integration, documentation and data organization has resulted in gaps in data and processes, issues with data integrity, a poor security model, and an overall lack of confidence in accurate system output.

- 3) Current or anticipated failures of the current system to meet the objectives and functional requirements of an acceptable response to the problem or opportunity:

Monthly patching of the operating system and database layers which support the FACT platform create the risk of deprecating the features of the legacy code which is not getting needed code framework modernization attention.

The risk of failure and the lack of confidence in the ability to respond to a failure increase with each monthly patching cycle.

- 4) Experienced or anticipated capacity or reliability problems associated with the technical infrastructure or system:

System reliability is proven fragile by the number of problem incidents reported to the Information Technology (IT) team. The statistics for requests for assistance to IT for incidents relating to poorly defined data entry validity checkpoints, system process failure, or unknown output failures is 10-20 requests for service per month. Often, the incidents are reported as critical.

2. Information Technology Standards

- The information technology application development team adheres to a methodology, best practices, and standards for all new development.
- Rule 71A-1, Florida Administrative Code, Florida Information Technology Resource Security Policies and Standards.
- ADA technology compliance (Americans with Disabilities Act).

B. Current Hardware and/or Software Inventory

The current system, FACT, is hosted at the Southwood Shared Resource Center (SSRC). As such, it uses hardware farms that are managed by the SSRC. Monthly charges from the SSRC for managing the Unix and windows servers, operating systems, and storage is \$2,719.04 per month. Redundancy is very problematic in the FACT system. The original system was a fat-client application (large application footprint at the desktop) created with Oracle Forms and Reports. To reduce the footprint, the application functionality was re-created using Oracle Web Forms. Although this created browser access, there were still some components that needed to be loaded onto the PC for user access. When FACT access was needed by select people outside of DMS, some of the functionality was again recreated using Microsoft ASP (Active Server Pages) to provide access without a need to load any utilities or application components. However, this is only for some of the functionality, and the ASP provide mostly read-only access. Today, this redundancy in functionality creates excessive work when repairing or modifying the application,

as changes have to be made twice, with different technologies. Today the Oracle Forms and Reports and the ASP components run on the Windows platform, while the Oracle database runs on the Unix platform.

The mode of application maintenance over the years has also led to a security scheme that differs depending on the part of the application being used. In some areas the security is within the application code, while in other areas it is database driven down to row level access rules.

Unix scripts are used for batch processing for processes such as customer billing. However, these scripts rely on manual intervention to validate information and kick off next steps.

Little documentation was established for the current system, and the developer that created it has since retired. Although the performance in terms of response time is adequate, the confidence in the information is low, there is little ability to implement changes without significant system impact, scaling the system will be problematic, and data analysis and reporting are increasingly done with spreadsheets.

C. Proposed Solution Description

1. Summary description of proposed system

A solution is needed that will continue the functions that are currently being performed today in REDM. Research shows that the market has very mature systems available that perform this myriad of functions. Following are the functions that the new solution must be able to perform.

Section IV. C. 1. Summary Description of Proposed System
Business Process Project Need
<p>Facilities Inventory Tracking - Identify and track all owned facilities, inventory status and status change dates, social information such as address, their conditions, space types, maintenance costs, operation levels, land leases, and environmental, health and safety issues (e.g.: Americans with Disabilities Act documentation).</p>
<p>Preventive and Work Order Maintenance – Identify and capture all elements of building maintenance management; preventative, just-in-time, deferred, and reactive maintenance; work order generation, tracking, and management with work flow and approvals; and parts and inventory management. Ideally would provide linkage to capital improvements and building assessments.</p>
<p>Lease Administration - Ability to perform lease administration and oversight responsibilities that include predictive lease actions and analysis, agency space needs requests, space management, vacancy/occupancy data capture and analytics, lease analysis, track lease savings/costs, transaction management, document management and workflow, and floor plan versioning (computer aided drawing - CAD).</p>
<p>Occupancy / Space Management - Includes capturing occupancy/vacancy information by space type, rental rate, building, and tenant. Ideally would be linked to CAD for space allocation, workspace assignment, and agency allocation data analytics.</p>
<p>Paid Parking Administration – Includes issuing and tracking reserved parking places, billing and depositing of revenues, managing disabled parking, managing parking contracts, and cost/revenue forecasting.</p>
<p>Financial and Budget Management - Ability to track and compare budgets and expenditures. Ability to timely generate reports. Analytics that support historical spend analysis and forecasting. Ability to generate reports on and track revenue for FFP rent and parking. Integration capability with the accounting system (FLAIR) for receivables aging detail. Ability to perform predictive forecasts based on anticipated changes in occupancy and look at historical trends in revenue fluctuations.</p>
<p>Project Management for Capital/Construction Projects – Capital improvement project (CIP) tracking, monitoring, trending, and historical data. Project management and tracking including project start-up, communications, tasks, budget, project metrics, key milestones, scheduling, and resource management.</p>
<p>Strategic Planning - Support for the long-range facilities planning and backfill strategy development, including forecasting, communication tools, and document tracking. Ability to extract current and historical data to support the development and drafting of the statutorily required Master Leasing Report and Five-Year Strategic Leasing Plan as defined in section 255.249, F.S. and section 255.55, F.S. Ability to track and monitor performance.</p>
<p>Energy Management - Monitor and track energy consumption and expenditures. Track impact of energy savings initiatives on consumption/costs.</p>
<p>Contract Management and Oversight - Facility contract oversight, management, and performance metrics including construction, maintenance, and real estate services (tenant brokers).</p>

The solution will be a web-based, on-line transaction processing system, with built-in analytics, forecasting, and reporting. Requirements include:

- The ability to create customer-defined fields (or custom fields) to collect data that may be specific to Florida business rules and to store derived data specific to Florida needs. These fields may be related to facilities, work orders and maintenance, leases, real estate customers, etc.
- Ability to establish interfaces to other business processes. Examples include:
 - Integrating lease and other billing information with Finance and Accounting (F&A) to establish receivables and manage appropriate accounting.
 - Integrating project budgets with F&A.
 - Feeding information to State data warehouses such as the Florida State-Owned Land and Inventory Reporting System (FL-SOLARIS) for public reporting.
 - Ability to import data from FLAIR or the DFS Florida Accountability Contract Tracking System (FACT)
 - Integrating with the State's HRM system, People First, to update facility information in which State FTE's are assigned.
- The use of web services for information access and integration is desirable, but the ability to define and execute data extracts is also an option.
- Utilities for converting data from existing legacy systems (Oracle database) into the new system are necessary. This will be for information related to facilities, leases, parking permits, preventive maintenance, etc.
- A roles-based security model, with the ability to provide rights, at a minimum, based on state agency in which the user is employed, location and role.
- Dynamic reporting, including the ability to build custom reports by choosing elements of information and defining criteria.
- Flexibility to collect specific facility and lease information from agencies on an annual basis to include information such as space forecasts, personnel information, telecommuting information, and anticipated next lease actions.
- Must be ADA compliant.
- Although the information is generally not confidential, due to login IDs and passwords being used, web-based transactions shall be encrypted.

The procurement and implementation approach will be driven by the solution delivery model. Today, there are mature systems on the market, and developing a custom system would truly be reinventing the wheel, given the poor state of the current system architecture and data model. Initial research shows that some of the providers today offer their solutions in both an on-premise and Software-as-a-Service model (SaaS). The SaaS model is attractive, as it generally means a "pay for what you use" approach, and the flexibility is there to expand or contract and allow costs to follow. This approach eliminates the large up-front investment associated with on-premise solutions in which the system is paid for up front, and then costs are reduced to just the maintenance and upgrade costs.

The procurement process can ask for both delivery models to be presented for comparison purposes. For the on-premise model, vendor recommended equipment specifications would be provided to the state primary data center and cost quotes will be developed. For SaaS models, the chargeable unit will be identified with appropriate rates (by number of users, transactions, page views, etc.) The Department would like to consider both solution delivery models to compare total cost of ownership.

2. **Resource and summary level funding requirements for proposed solution (if known)**

Not known at this time.

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

The current system supports the following capacities:

- Management and oversight of the 108 facilities in the FFP, comprising the second largest portfolio in terms of square footage. DMS-REDM manages 12.2 million square feet within the FFP.
- Oversight and administration for 1,111 active lease files as of June 30, 2013 for more than 12.8 million square feet totaling \$226.2 million.
 - Leases within the FFP space total 291 valued at over \$95.5 million in rent income for about 5.9 million square feet.
 - Other private and government leases total 820 valued at over \$130.7 million for 7 million square feet.
- Project management for more than 200 active construction projects valued at over \$105 million.
- Quality customer service for over 25,000 maintenance and work order requests annually.
- Deferred maintenance expenditures of about \$60 million for FFP.
- Over \$800,000 in parking revenue from approximately 30,000 parking contracts covering 91 parking lots and garages.
- Management of more than 500 loading zone permits and 100 disabled parking permits.

The current solution creates a very high risk for the current capacity of the system. Data integrity concerns, data redundancy, gaps in checks and balances, manual activity, inadequate security, lack of analytics, and lack of detail system knowledge make the successful operations with current capacities unsustainable.

However, strategies are currently being discussed that include expanding the facilities management responsibilities of DMS-REDM to take advantage of the experience of the team, the benefits of standardization, and continued development of best practices. This expansion may mean substantial growth beyond current capacities. The current system in place will simply produce a significant drag on operational processes. A solution that is scalable, either on-premise or in a hosted SaaS arrangement, is necessary.

VII. Schedule IV-B Project Management Planning

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

DEPARTMENT OF MANAGEMENT SERVICES, DIVISION OF REAL ESTATE DEVELOPMENT AND MANAGEMENT - SCHEDULE IV-B FOR INTEGRATED FACILITIES MANAGEMENT SYSTEM (FACT REPLACEMENT)

The specific details needed to fully a Project Management Plan will not be fully known until a technology solution (Saas or On Premise) is known. The plan details below are an estimate based on current knowledge. The submission of a complete Project Management Plan will be included with the amended Schedule IV-B.

Project Scope – Baseline definition of the project’s objectives and what the project will deliver.

The purpose of the Integrated Facilities Management System is to replace the current facility management system, FACT.

The project is expected to deliver system capability for the following (at a minimum):

Business Process Project Need
Facilities Inventory Tracking - Identify and track all owned facilities, inventory status and status change dates, social information such as address, their conditions, space types, maintenance costs, operation levels, land leases, and environmental, health and safety issues (e.g.: Americans with Disabilities Act documentation).
Preventive and Work Order Maintenance – Identify and capture all elements of building maintenance management; preventative, just-in-time, deferred, and reactive maintenance; work order generation, tracking, and management with work flow and approvals; and parts and inventory management. Ideally would provide linkage to capital improvements and building assessments.
Lease Administration - Ability to perform lease administration and oversight responsibilities that include predictive lease actions and analysis, agency space needs requests, space management, vacancy/occupancy data capture and analytics, lease analysis, track lease savings/costs, transaction management, document management and workflow, and floor plan versioning (computer aided drawing - CAD).
Occupancy / Space Management - Includes capturing occupancy/vacancy information by space type, rental rate, building, and tenant. Ideally would be linked to CAD for space allocation, workspace assignment, and agency allocation data analytics.
Paid Parking Administration – Includes issuing and tracking reserved parking places, billing and depositing of revenues, managing disabled parking, managing parking contracts, and cost/revenue forecasting.
Financial and Budget Management - Ability to track and compare budgets and expenditures. Ability to timely generate reports. Analytics that support historical spend analysis and forecasting. Ability to generate reports on and track revenue for FFP rent and parking. Integration capability with the accounting system (FLAIR) for receivables aging detail. Ability to perform predictive forecasts based on anticipated changes in occupancy and look at historical trends in revenue fluctuations.
Project Management for Capital/Construction Projects – Capital improvement project (CIP) tracking, monitoring, trending, and historical data. Project management and tracking including project start-up, communications, tasks, budget, project metrics, key milestones, scheduling, and resource management.
Strategic Planning - Support for the long-range facilities planning and backfill strategy development, including forecasting, communication tools, and document tracking. Ability to extract current and historical data to support the development and drafting of the statutorily required Master Leasing Report and Five-Year Strategic Leasing Plan as defined in section 255.249, F.S. and section 255.55, F.S. Ability to track and monitor performance.
Energy Management - Monitor and track energy consumption and expenditures. Track impact of energy savings initiatives on consumption/costs.
Contract Management and Oversight - Facility contract oversight, management, and performance metrics including construction, maintenance, and real estate services (tenant brokers).

Project Phase Planning – For projects greater than one year, this section defines the independent phases or subprojects.

It is anticipated that this IT project would be completed within the fiscal year funding is appropriated.

DEPARTMENT OF MANAGEMENT SERVICES, DIVISION OF REAL ESTATE DEVELOPMENT AND MANAGEMENT - SCHEDULE IV-B FOR INTEGRATED FACILITIES MANAGEMENT SYSTEM (FACT REPLACEMENT)

Baseline Schedule – *Identifies the high level tasks and major milestones for the project to include, where appropriate, procurement, analysis, design, development, configuration, data conversion, testing, training, and implementation.*

Project Phase / Major Milestone	Estimated Start	Estimated Completion
Legislative Budget Request Submission RFI / Product Evaluation Procurement Determination (State Term Contract or Invitation to Negotiate)	October 2013	December 2013
Initiate Procurement Next Steps	October 2013	Depends on Procurement
Revised Schedule IV-B Development and Submission	October 2013	December 2013
Funding Appropriated and Released Engage Vendor	July 2014	June 2015
Strategy Planning	July 2014	September 2014
System Discovery, Analysis, and Data Review	September 2014	December 2014
System Design, Configuration, and Build	December 2014	April 2015
Transition of Current Data to New Environment	April 2015	May 2015
Testing/Quality Assurance	April 2015	May 2015
Deployment and Pilot of New System	May 2015	June 2015
System Administration Knowledge Transfer	May 2015	September 2015 (CF)
System User Training	May 2015	September 2015 (CF)

Project Organization – *Defines the project’s governance structure, including the sponsor, executive steering committee, oversight entities, and project management and implementation teams.*

Project Governance Team / Role	Responsibility
Executive Steering Committee	Establish and provide direction as needed. Set overall strategic scope. Provide general project oversight.
Executive Sponsor(s)	Set tactical scope and direction. Provide specific project oversight. Influence interactions with stakeholders. Accept major product deliverables. Final arbiter of project issues.

DEPARTMENT OF MANAGEMENT SERVICES, DIVISION OF REAL ESTATE DEVELOPMENT AND MANAGEMENT - SCHEDULE IV-B FOR INTEGRATED FACILITIES MANAGEMENT SYSTEM (FACT REPLACEMENT)

Independent Verification & Validation Vendor (IV & V)	<p>Monitors project management processes.</p> <p>Validates system solution is developed according to validated requirements and designs.</p> <p>Verifies project deliverables meet accepted specifications.</p> <p>Informs Executive Sponsors and Project Manager of process or deliverable deficiencies.</p> <p>Reports process or deliverable deficiencies to Executive Steering Committee.</p>
Project Manager	<p>Provides project oversight, management tools, and project models.</p> <p>Documents project charter.</p> <p>Consolidates business objectives into project plan.</p> <p>Reports project status.</p> <p>Maintains and monitors project financials.</p> <p>Manages project changes, risks, problems, and actions.</p> <p>Facilitates team interaction and communication.</p>
Stakeholders	<p>Act as business or technical advocates.</p> <p>Speak to the strategic business interests.</p> <p>Provide perspective of current and future business or technical requirements.</p> <p>Communicate project information to their constituents.</p> <p>Perform user acceptance testing.</p>
Project Team Members	<p>Perform business or technical activities as documented in the project plan.</p> <p>Report business or technical activity completion or status.</p> <p>Perform user acceptance testing.</p>

Quality Assurance Plan – *Describes the agency’s approach to quality measurement and control that may include a deliverable acceptance plan, phase gate process, project change/contract management plans, status reporting, testing plans, and independent verification and validation (IV & V).*

The Quality Assurance Plan will be developed based on the selected solutions (SaaS or On Premise) and included in the amended Schedule IV-B.

Risk Management – *Describes the agency’s process for identifying, documenting, and mitigating project issues and risks.*

The Risk Management Plan will be developed based on the selected solutions (SaaS or On Premise) and included in the amended Schedule IV-B.

Implementation Plan – *Describes the approach for placing the system into production and retiring the current system including a transition plan, knowledge transfer plans, and organizational change management.*

The Implementation Plan will be developed based on the selected solutions (SaaS or On Premise) and included in the amended Schedule IV-B.

VIII. Appendices

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

A. State Term Contract # 252-500-09-1

Applicable Pricing Information (link to full document: <https://www-304.ibm.com/easyaccess3/fileserve?contentid=105804>)

B. Request for Information #12/13-048 released on September XX, 2013.

C. Cost Benefit Analysis Forms (CBA) *[To be revised with amended IV-B submission.]*

D. Major Project Risk Assessment *[To be revised with amended IV-B submission.]*

E. Project Management Planning *[To be revised with amended IV-B submission.]*

REQUEST FOR INFORMATION (RFI)

Integrated Workplace Management System
(RFI #12/13-048)

I. INTRODUCTION / STATEMENT OF NEED

The Department of Management Services (DMS), Division of Real Estate Development and Management Facilities (REDM) anticipate procuring an integrated workplace real estate management system for the long term management, tracking and reporting of all items listed in this RFI. Towards this end we are seeking information from qualified vendors regarding software solutions that would be best suited for this purpose.

II. BACKGROUND AND CURRENT SITUATION

The State of Florida has a decentralized model for ownership, leasing operations and management of real estate assets. The State of Florida owns 20,387 facilities, including facilities owned by state agencies, the Florida College System, State University System of Florida, and Water Management Districts. DMS manages 108 facilities in the Florida Facilities Pool (FFP) and five Federal Surplus Property Facilities, totaling 113 DMS-managed facilities. By total number, DMS manages less than one percent of total state-owned facilities. However, DMS manages the second largest portfolio in terms of square footage.

The department has statutory oversight for the construction, operation, custodial care, preventive maintenance, repair, alteration, modification and allocation of space for all buildings in the FFP and administers the state's lease procurement process. Agency-to-agency leases, outside of those for FFP space, are not under DMS oversight. As of June 30, 2013, agencies have entered into 291 leases for FFP space. Agencies have entered into an additional 820 leases with private landlords or other governmental entities for a total of 1,111 leases within the private sector, other governmental properties and public (FFP) facilities.

REDM uses a home-grown (in-house developed) system called FACT (Facilities Accountability and Communications Tool) to automate division related processes and track information. FACT is almost 15 years old, and is written in Oracle/Forms and Microsoft ASP. The FACT system is a transaction-based system that has several components created over the course of many years, including;

- Lease Administration: Includes managing leases, strategic planning, financial management and forecasting, lease analysis, transaction management, lease billing, space management, and floor plan versioning (auto CADD).
- Facilities Inventory: A comprehensive program to identify and track all the owned facilities, their conditions, maintenance costs, operation levels and land leases.

- Maintenance Management: Includes building maintenance management, preventative and reactive maintenance, work order generation, warrant management, parts and inventory management and building assessments.
- Paid Parking Management: Includes issuing and tracking reserved parking places, billing and depositing of revenues, managing disabled parking, managing parking contracts, and cost forecasting.
- Budget Management: Tracking capital projects / construction projects, energy efficiency management, and reporting.

FACT currently lacks the benefit of defined standards in architecture, security, integration, documentation, and data organization. This has resulted in gaps in data and processes, issues with data integrity, a poor security model, as well as a lack of confidence in system output. Modifications, added modules, and changes in client-side technology have taken its toll on this business system, and today there is data duplication, usability, reporting, and flexibility issues that are increasing the risks for this division. Mixed backend architectures and flawed underlying database structures make fixing the current system infeasible.

REDM is requesting information on available options for a scalable Integrated Workplace Management System that would provide the capacity to manage anywhere from the current 108 structures to potentially managing the state-wide portfolio at over 20,000 facilities.

III. PURPOSE OF THE RFI

The purpose of this RFI is to establish base line budget estimates for funding, and to determine the scope of available software products.

Pursuant to Rule 60A-1.042, Florida Administrative Code, an agency may request information from the business community by issuing a written RFI. Agencies may use RFI's in circumstances including, but not limited to, determining what solicitation process to use for a particular need, or researching general, special, and/or technical specifications for the issuance of a solicitation. A vendor's answer to an RFI is **NOT** an offer and shall not be used to justify a contract with that vendor without otherwise complying with Chapter 287, Florida Statutes and Chapter 60A-1, Florida Administrative Code. Vendors submitting answers to an agency's RFI are not prohibited from responding to any related subsequent solicitation. The Department reserves the right to use or reject any information supplied in response to this RFI.

Interested parties are requested to respond to questions/statements contained in Section VI of the RFI. Additionally, interested parties shall provide details on additional features and other applications that may apply to the technology needs described within the RFI.

IV. REQUIREMENTS:

Information and Functionality

The new system will need to perform the functions provided by the current legacy system, including:

- Facilities Inventory Tracking - Identify and track all the owned facilities, their conditions, space types, maintenance costs, operation levels, floor plans, and land leases.
- Preventive and Work Order Maintenance – Includes building maintenance management, preventative and reactive maintenance, work order generation with work flow and approvals, warrant management, parts and inventory management, and building assessments.
- Lease Administration - Includes managing leases, strategic planning, space management, financial management and forecasting, lease analysis, transaction management, document management and workflow, lease billing and invoicing, and floor plan versioning (auto CADD).
- Paid Parking Administration – Includes issuing and tracking reserved parking places, billing and depositing of revenues, managing disabled parking, managing parking contracts, and cost forecasting.
- Budget Management and Tracking - Tracking budgets and expenditures for capital projects / construction projects, energy efficiency management and reporting.
- Project Management for Capital/Construction Projects – Managing projects utilizing work breakdown structures, resource management and linking project costs to budgets.

Current System Statistics and Data

Lease Administration

- Statistics on all private leases:
 - 1,111 active leases as of June 30, 2013
 - 12.8 million square feet of leased space for all state agencies
 - \$226.2 million in annual lease contract rent
- Statistics on lease management in owned facilities (included in above numbers):
 - 291 FFP leases
 - 5.9 million leased square feet
 - \$95.5 million annual FFP rent income
 - 291 rent invoices generated quarterly to agencies for FFP leases
 - Accounts receivable tracking
- Information maintained about leases and lease administration includes, but is not limited to, the following:
 - Location address
 - County
 - City
 - State
 - Zip code
 - Landlord name and address
 - Property size
 - Space type
 - Property manager
 - Lease start and end dates
 - Lease actions (renewal, expired, etc.)
 - Square foot rental rate

- Monthly rent
- Yearly rent
- Escalations costs
- Service type (full service, less electricity, etc.)
- Number of employees housed
- Types of amenities (i.e. day care, cafeterias, etc.)
- Rent billing (see Budget Management)

Facilities Inventory

- Statistics on Facilities Inventory:
 - \$60 million spend on maintenance (deferred)
 - Potential of 32 agencies housed in buildings

Paid Parking

- Statistics on Paid Parking Management:
 - Over \$800,000 in parking income annually
 - 30,000 parking contracts
 - 91 parking lots
 - 500 loading zone permits
 - 100 disabled parking permits
- Information maintained about Paid Parking includes, but is not limited to:
 - Amount deposited/refunded
 - Active dates (start and end dates) for the parking contract
 - Employee name
 - Social Security Number/Employee ID Number
 - Agency name
 - Employee parking violations
 - Garage number, level number, place number
 - Budget billing code
 - Percent of lots over sold
 - Vacancies (percent, location, duration, etc.)

Budget Management System

- Statistics on Budget Management:
 - Current Active Projects Funding: \$97,249,306: Projects in Warranty: \$233,388,264
 - Current Number of Active Projects: 189; Number of Projects in Warranty: 123
 - Capital Improvement needs- Current Capital Improvement needs for the Florida Facilities Pool: Life Safety-\$611,911; ADA-\$3,713,870; Capital Depreciation-\$92,151,614
- Budget tracking information maintained includes, but is not limited to:
 - Facility Name
 - Facility Location & Address
 - Lessor

- Lessor Contact & Billing Information
- Space Type
- Rental Rate
- Lease Beginning and ending Date
- Modification Type and date (if applicable)
- Active Projects
- All Projects
- Project/Update
- Project Distribution/Update
- Accounting fields
- Architect/Engineer Contractors, active and historical
- Construction Contractor, active and historical
- Contract Number
- Contracts by Type (Architect/Engineer, Construction Company, etc.)
- Change Order
- Project Administrator
- Project Manager
- Agency
- Project Advertisements available to Public
- Building Manager
- All financials related to a Project by fund, by types, by agency, % billed, etc.
- Financial Change Orders
- Projects (active, historical, by manager, without a manager, etc)
- Projects Status (complete percent, substantial completion, etc.)
- Warranty/Hold/Contract Complete Projects
- Project Manager Workload
- Minority Contractor Contracts

Maintenance Management

- Statistics regarding facilities maintenance:
 - 25,000 work orders on average annually
- Information maintained regarding maintenance includes, but is not limited to:

Work orders

- Request Type (electrical, plumbing, etc.)
- Date and time Requested
- Date and time Closed
- Mechanic that made the repair
- Agency Name
- Building name and location of repair needed
- Description field
- Building Manager Comment
- Customer Comment

Preventive maintenance

- Equipment identification
- Building and equipment location

- Make, model, serial number
- Frequency of maintenance
- Maintenance performed by
- Maintenance completion dates
- Note/comments

V. **TECHNICAL REQUIREMENTS**

- The ability to create customer defined fields (or custom fields) is necessary to collect data that may be specific to Florida business rules, and to store derived data specific to Florida needs. These fields may be related to facilities, work orders and maintenance, leases, real estate customers, etc.
- Must be able to establish interfaces to other business processes. Examples include:
 - Integrating lease and other billing information with Finance and Accounting (F&A) to establish receivables and manage appropriate accounting.
 - Integrating project budgets with F&A.
 - Feeding information to State data warehouses such as the Florida State-Owned Land and Inventory Reporting System (FL-SOLARIS) for public reporting.
 - Integrating with the State's HRM system People First to update facility information in which State FTE's are assigned.
- Establishing web services for information access and integration is desirable, but the ability to define and execute data extracts is also an option.
- Utilities for converting data from existing legacy systems (Oracle database) into the new system are necessary. This will be for information related to facilities, leases, parking permits, preventive maintenance, etc.
- A roles-based security model is necessary, with the ability to provide rights, at a minimum, based on agency in which the user is employed, location and role.
- Dynamic reporting is required, including the ability to build custom reports by choosing elements of information and defining criteria.
- Application Model – The department prefers, if cost-beneficial, a hosted solution, similar to a Software-as-a-Service model, or cloud solution. The department would like to consider both a S-a-a-S model and on-premise model to compare total cost ownership.
- Flexibility to collect specific facility and lease information from agencies on an annual basis to include information such as space forecasts, personnel information, telecommuting information, anticipated next lease actions.

VI. **VENDOR RESPONSE**

All responses to the RFI are requested to contain, at a minimum, the following information:

Technology Solution

Respondents are asked to describe the technology solution that addresses the department's needs. In describing your proposal solutions(s), please include the following information:

- Name/description of the solution.
- Major functions your solution designed to address.
- Delivery models your solution available in. (SaaS, On-Premise, etc.)
- For on-premise, describe the system platform (OS, language and framework, back-end database, etc.).

- User prerequisites to implementing the solution.
- Technical requirements for system implementation.
- Ability to establish interfaces to other systems and ability to establish data extracts.
- Ability to upload or import data files to the system.
- Ability to accommodate custom fields throughout the system to meet Florida-specific data needs.
- Value added features and functions (e.g. potential cost savings or other positive outcomes).
- User agency staff needed and associated skill sets required maintaining the solution.
- How an agency or group of agencies should be organized to best implement your solution – whether the solution is better suited for centralized or distributed deployment.
- Description of system security model.
- What the suggested level of in-house support is including suggested resources for administering the service (as it relates to creating/issuing accounts, creating reports, adding additional codes, etc.).
- Reporting and analysis capabilities for performance indicators and ability to make information available to stakeholders.
- Both standard (“canned”) and ad hoc/customizable report capabilities.
- The web reporting/publishing capabilities.
- For SaaS model, describe your typical Service Level Agreement that addresses service availability (including % if up-time and time frame, maintenance periods and communications process for notifying customers or events, upgrades, support response time, etc.).
- Disaster recovery and backup approach.
- Typical engagement approach for configuring the services for an organization and recommended trainings.
- Information about relevant technologies, services and products.
- White papers, product literature, web seminars, etc.
- A list of current customers, or at a minimum a description of the type of client and size of the client organization, using the system solution.

Estimated Costs

The department understands that vendors may not be able to provide exact costs under this RFI without having specific information on which solution may be implemented; however, we would appreciate vendors providing information on known costs associated with the solutions described.

For SaaS model:

- What are recurring costs, what’s the basis for them and what are the variables?
- What are up-front costs and how are they determined?
- What costs are not included in the standard recurring costs and how are they determined?
- What should be expected for initial data load costs on the part of the vendor?

For On-Premise:

- Provide an anticipated range of what your system costs.
- Are there licensing requirements? Individual or enterprise?
- What are the costs of individual licenses?
- Are there after installation/maintenance costs?
- What is an anticipated range of maintenance costs?

- First year cost to own.
- Ongoing annual costs (please break down by subsequent year if costs will change over time).
- Costs to install/implement broken down by hardware, software and vendor personnel by function.

For Both:

- Cost justification methods/arguments, including customer examples and/or case studies.

Experience with other Government Projects

Respondents are asked to identify other state, county or municipal governmental entities where they have performed similar services consistent with the content of this RFI and provide a summary of the services provided and the results achieved. Experience with the federal government and/or foreign governments may also be included.

Areas of Concern

Are there any specific areas of concern, not mentioned herein, that your firm would like to see addressed in a solicitation resulting from the RFI? Be sure to address any known risks to implementing the solution, as well as any data sharing agreements required, any potential performance impacts, as well as any technological requirements (e.g. additional bandwidth, etc.).

Expertise

Describe your specific experience and expertise as a company and staff specifically in performing the services contemplated in the RFI and identify whether services are provided by sub-contractors or employees of the vendor. Also, describe your experience working with and integrating these types of systems. Describe how long your proposed solution has been available and what the version is.

Demonstrations

As a second phase to this RFI process, after receiving vendor responses, DMS may request on-site presentations from each vendor who responded for the purposes of demonstrating product capabilities. DMS may also request proof-of-concept demonstrations to better understand the product capabilities. There will not be any negotiations or discussions of subsequent procurement during these meetings.

VII. PUBLIC RECORDS

The Department takes its public records responsibilities, as provided under chapter 119, Florida Statutes and Article I, Section 24 of the Florida Constitution, very seriously. If Respondent considers any portion of the documents, data or records submitted in response to this request to be confidential, proprietary, trade secret or otherwise not subject to disclosure pursuant to chapter 119, Florida Statutes, the Florida Constitution or other authority, Respondent must also simultaneously provide the Department with a separate redacted copy of its Reply and briefly describe in writing the grounds for claiming exemption from the public records law, including the specific statutory citation for such exemption. This redacted copy shall contain the Department's request name, number and the name of the Respondent on the cover, and shall be clearly titled "Redacted Copy."

The Redacted Copy shall be provided to the Department at the same time Respondent submits its Reply to the request and must only exclude or obliterate those exact portions which are

claimed confidential, proprietary, trade secret or otherwise not subject to disclosure. The Respondent shall be responsible for defending its determination that the redacted portions of its Reply are confidential, proprietary, trade secret or otherwise not subject to disclosure. Further, Respondent shall protect, defend and indemnify the Department for any and all claims arising from or relating to Respondent's determination that the redacted portions of its Reply are confidential, proprietary, trade secret or otherwise not subject to disclosure. If Respondent fails to submit a Redacted Copy with its Reply, the Department is authorized to produce the entire documents, data or records submitted by Respondent in answer to a public records request for these records.

IIX. SUBMISSION OF INFORMATION

Responses must be in writing and submitted via mail to the following person no later than 1:00 p.m. on **September 26, 2013**. Responses must reference the RFI number, DMS-12/13-048, the company name, address, telephone number and the name and email address of the company's contact person. Please submit your response to:

Mr. Lysle Robinson, Purchasing Analyst
Departmental Purchasing
Department of Management Services
4050 Esplanade Way, Suite 335.6X
Tallahassee, FL 32399-0950
Telephone: (850) 410-1423
Fax: (850) 414-8331
lysle.robinson@dms.myflorida.com

Please send 4 copies of your response.

No contract will be awarded as a result of issuing this document. The Department of Management Services appreciates your time and interest in responding to this Request for Information. Vendors submitting responses to this RFI are not prohibited from responding to any related subsequent solicitations.

IX. GENERAL TERMS

This is only a Request for Information (RFI) and should not be construed as an intent, commitment or promise to acquire or purchase the proposed solution by a vendor.

The department will not be obligated to any vendor as a result of this RFI. The department is not obligated for any costs incurred by vendors in the preparation of their response to this Request for information. The department will not pay for any information herein requested nor be liable for any costs incurred by the vendor. For economy of presentation, special bindings, colored displays, promotions materials and the like are not required but if they are presented, the department will not be responsible for the costs.

This RFI is being released strictly for the purpose of gaining knowledge of the products and services available on the market for the installation of a solution for the agency, related services, options available and anticipated costs.

From the information collected through this RFI and any subsequent presentations the department will review all information and options related to the purchase of this technology solution, related services, and desirable options. It is anticipated that we will release a competitive solicitation at a later time for the required solution.

TRIRIGA APPLICATION BUILDER

TRIRIGA APPLICATION BUILDER

IBM Price List

LICENSE + SW SUBSCRIPTION & SUPPORT

D0N65LL	IBM TRIRIGA APPLICATION BUILDER AUTHORIZED USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	33512.00	34765.00
D11FVLL	IBM TRIRIGA APPLICATION BUILDER FOR LINUX ON SYSTEM Z AUTHORIZED USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	34546.00	36890.00

SW SUBSCRIPTION & SUPPORT RENEWAL

E0D9DLL	IBM TRIRIGA APPLICATION BUILDER AUTHORIZED USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	6702.00	6953.00
E0ID0LL	IBM TRIRIGA APPLICATION BUILDER FOR LINUX ON SYSTEM Z AUTHORIZED USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	6909.00	7378.00

SW SUBSCRIPTN & SUPT REINSTATEMENT

D0N66LL	IBM TRIRIGA APPLICATION BUILDER AUTHORIZED USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	20139.00	20825.00
D11FWLL	IBM TRIRIGA APPLICATION BUILDER FOR LINUX ON SYSTEM Z AUTHORIZED USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	20696.00	22100.00

TRIRIGA APPLICATION PLATFORM

TRIRIGA APPLICATION PLATFORM

LICENSE + SW SUBSCRIPTION & SUPPORT

D0N5VLL	IBM TRIRIGA APPLICATION PLATFORM CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	7076.00	7336.00
D11I2LL	IBM TRIRIGA APPLICATION PLATFORM FOR LINUX ON SYSTEM Z CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	7291.00	7786.00

SW SUBSCRIPTION & SUPPORT RENEWAL

E0D98LL	IBM TRIRIGA APPLICATION PLATFORM CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1417.00	1471.00
E0IE1LL	IBM TRIRIGA APPLICATION PLATFORM FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1457.00	1556.00

SW SUBSCRIPTN & SUPT REINSTATEMENT

D0N5WLL	IBM TRIRIGA APPLICATION PLATFORM CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	4243.00	4403.00
D11I3LL	IBM TRIRIGA APPLICATION PLATFORM FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	4378.00	4675.00

TRIRIGA CAD INT/PUB

TRIRIGA CAD INT/PUB

1474 \$

IBM Price List

LICENSE + SW SUBSCRIPTION & SUPPORT

D0N5ZLL	IBM TRIRIGA CAD INTEGRATOR/PUBLISHER AUTHORIZED USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	4800.00	4973.00
D11F5LL	IBM TRIRIGA CAD INTEGRATOR/PUBLISHER FOR LINUX ON SYSTEM Z AUTHORIZED USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	4943.00	5279.00

SW SUBSCRIPTION & SUPPORT RENEWAL

E0D9ALL	IBM TRIRIGA CAD INTEGRATOR/PUBLISHER AUTHORIZED USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	963.00	995.00
E0ICWLL	IBM TRIRIGA CAD INTEGRATOR/PUBLISHER FOR LINUX ON SYSTEM Z AUTHORIZED USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	987.00	1054.00

SW SUBSCRIPTN & SUPT REINSTATEMENT

D0N60LL	IBM TRIRIGA CAD INTEGRATOR/PUBLISHER AUTHORIZED USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	2882.00	2984.00
D11HPLL	IBM TRIRIGA CAD INTEGRATOR/PUBLISHER FOR LINUX ON SYSTEM Z AUTHORIZED USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	2969.00	3171.00

TRIRIGA CAP PROJ MGR

TRIRIGA CAP PROJ MGR

LICENSE + SW SUBSCRIPTION & SUPPORT

D0N70LL	IBM TRIRIGA CAPITAL PROJECTS MANAGER CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	5994.00	6214.00
D11HMLL	IBM TRIRIGA CAPITAL PROJECTS MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	6177.00	6596.00

SW SUBSCRIPTION & SUPPORT RENEWAL

E0D9TLL	IBM TRIRIGA CAPITAL PROJECTS MANAGER CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1202.00	1241.00
E0IDULL	IBM TRIRIGA CAPITAL PROJECTS MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1234.00	1318.00

SW SUBSCRIPTN & SUPT REINSTATEMENT

D0N71LL	IBM TRIRIGA CAPITAL PROJECTS MANAGER CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	3598.00	3732.00
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IBM Price List

D11HNLL	IBM TRIRIGA CAPITAL PROJECTS MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	3709.00	3961.00
TRIRIGA CONN FOR BUSINESS APPS			
TRIRIGA CONN FOR BUSINESS APPS			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0N6FLL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	11781.00	12240.00
D0N76LL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS FOR NON- PRODUCTION ENVIRONMENT INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	5906.00	6120.00
D11FXLL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	12099.00	12920.00
D11HULL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS FOR NON-PROD ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	6081.00	6494.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9ILL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2356.00	2448.00
E0D9WLL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS FOR NON- PRODUCTION ENVIRONMENT INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1178.00	1224.00
E0ID1LL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2420.00	2584.00
E0IDXLL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS FOR NON-PROD ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1218.00	1301.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N6GLL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7068.00	7344.00
D0N77LL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS FOR NON- PRODUCTION ENVIRONMENT INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	3542.00	3672.00

IBM Price List

D11FYLL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7260.00	7752.00
D11HVLL	IBM TRIRIGA CONNECTOR FOR BUSINESS APPLICATIONS FOR NON-PROD ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	3646.00	3893.00
TRIRIGA ENERGY OPTIMIZATION			
TRIRIGA ENERGY OPTIMIZATION			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0JYALL	IBM TRIRIGA ENERGY OPTIMIZATION 1 MILLION SQUARE FEET LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	168752.00	175100.00
D0JYCLL	IBM TRIRIGA ENERGY OPTIMIZATION 1 HUNDRED THOUSAND SQUARE METERS LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	182284.00	188700.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0C9ILL	IBM TRIRIGA ENERGY OPTIMIZATION 1 MILLION SQUARE FEET ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL	33750.00	35020.00
E0C9JLL	IBM TRIRIGA ENERGY OPTIMIZATION 1 HUNDRED THOUSAND SQUARE METERS ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL	36457.00	37740.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0JYBLL	IBM TRIRIGA ENERGY OPTIMIZATION 1 MILLION SQUARE FEET SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	101092.00	105400.00
D0JYDLL	IBM TRIRIGA ENERGY OPTIMIZATION 1 HUNDRED THOUSAND SQUARE METERS SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	109052.00	113050.00
TRIRIGA FAC ASSESSMENT			
TRIRIGA FAC ASSESSMENT			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0N63LL	IBM TRIRIGA FACILITY ASSESSMENT CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	4800.00	4973.00
D11ETLL	IBM TRIRIGA FACILITY ASSESSMENT FOR LINUX ON SYSTEM Z CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	4943.00	5279.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9CLL	IBM TRIRIGA FACILITY ASSESSMENT CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	963.00	995.00

IBM Price List

E0ICQLL	IBM TRIRIGA FACILITY ASSESSMENT FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	987.00	1054.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N64LL	IBM TRIRIGA FACILITY ASSESSMENT CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	2882.00	2984.00
D11EULL	IBM TRIRIGA FACILITY ASSESSMENT FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	2969.00	3171.00
TRIRIGA FACILITIES MGR			
TRIRIGA FACILITIES MGR			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0N6NLL	IBM TRIRIGA FACILITIES MANAGER CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	9472.00	9860.00
D11DULL	IBM TRIRIGA FACILITIES MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	9791.00	10455.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9MLL	IBM TRIRIGA FACILITIES MANAGER CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1894.00	1972.00
E0ICALL	IBM TRIRIGA FACILITIES MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1958.00	2091.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N6PLL	IBM TRIRIGA FACILITIES MANAGER CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	5683.00	5916.00
D11DVLL	IBM TRIRIGA FACILITIES MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	5874.00	6273.00
TRIRIGA INTEGRATED WORKPLACE MANAGER			
TRIRIGA INTEGRATED WRKPLCE MGR			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D115QLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER CONCURRENT USER LIC + SW S&S 12 MO	21890.00	23375.00
D11FILL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	22527.00	24055.00
SW SUBSCRIPTION & SUPPORT RENEWAL			

IBM Price List

E0I8ZLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER CONCURRENT USER ANNUAL SW S&S RNWL	4378.00	4675.00
E0ICYLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4505.00	4811.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D115RLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER CONCURRENT USER SW S&S REINSTATE 12 MO	13134.00	14025.00
D11FJLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	13532.00	14450.00
TRADE UP LIC + SW SUBSCR & SUPT			
D115SLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER CONCURRENT USER FROM TRIRIGA REAL ESTATE MANAGER CONCURRENT USER TRADE UP LIC + SW S&S 12 MO	15283.00	16320.00
D115TLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER CONCURRENT USER FROM TRIRIGA FACILITIES MANAGER CONCURRENT USER TRADE UP LIC + SW S&S 12 MO	15283.00	16320.00
D115ULL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER CONCURRENT USER FROM TRIRIGA WORK OPERATIONS MANAGER CONCURRENT USER TRADE UP LIC + SW S&S 12 MO	15283.00	16320.00
D115VLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER CONCURRENT USER FROM TRIRIGA CAPITAL PROJECTS MANAGER CONCURRENT USER TRADE UP LIC + SW S&S 12 MO	18388.00	19635.00
D11FKLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER FROM TRIRIGA REAL ESTATE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER TRADE UP LIC + SW SUBSCRIPTION & SUPPORT 12 MONTHS	15681.00	16745.00
D11FLLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER FROM TRIRIGA FACILITIES MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER TRADE UP LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	15681.00	16745.00
D11FMLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER FROM TRIRIGA WORKPLACE OPERATIONS MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER TRADE UP LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	15681.00	16745.00

IBM Price List

D11FNLL	IBM TRIRIGA INTEGRATED WORKPLACE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER FROM TRIRIGA CAPITAL PROJECTS MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER TRADE UP LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	18865.00	20145.00
TRIRIGA OFFLINE FORMS			
TRIRIGA OFFLINE FORMS			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0N61LL	IBM TRIRIGA CONNECTOR FOR OFFLINE FORMS CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	3001.00	3111.00
D11FZLL	IBM TRIRIGA CONNECTOR FOR OFFLINE FORMS FOR LINUX ON SYSTEM Z CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	3088.00	3298.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9BLL	IBM TRIRIGA CONNECTOR FOR OFFLINE FORMS CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	600.20	622.20
E0ID2LL	IBM TRIRIGA CONNECTOR FOR OFFLINE FORMS FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	617.70	659.60
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N62LL	IBM TRIRIGA CONNECTOR FOR OFFLINE FORMS CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	1799.00	1870.00
D11G0LL	IBM TRIRIGA CONNECTOR FOR OFFLINE FORMS FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	1855.00	1981.00
TRIRIGA PORTFOLIO DATA MANAGER			
TRIRIGA PORTFOLIO DATA MANAGER			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0N6HLL	IBM TRIRIGA PORTFOLIO DATA MANAGER CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	7076.00	7336.00
D11DSL	IBM TRIRIGA PORTFOLIO DATA MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	7291.00	7786.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9JLL	IBM TRIRIGA PORTFOLIO DATA MANAGER CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1417.00	1471.00

IBM Price List

E0IC9LL	IBM TRIRIGA PORTFOLIO DATA MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1457.00	1556.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N6ILL	IBM TRIRIGA PORTFOLIO DATA MANAGER CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	4243.00	4403.00
D11DTLL	IBM TRIRIGA PORTFOLIO DATA MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	4378.00	4675.00
TRIRIGA RE ENVIR SUS IMPACT MGR			
TRIRIGA RE ENVIR SUS IMPACT MGR			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0N5PLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY IMPACT MANAGER INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	35342.00	36635.00
D0N5RLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAIN IMPACT MANAGER FOR NON-PRODUCTION ENVIROMENT INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	17671.00	18360.00
D11EVLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY IMPACT MANAGER FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	36377.00	38845.00
D11EZLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY IMPACT MANAGER FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	18228.00	19465.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D95LL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY IMPACT MANAGER INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	7068.00	7327.00
E0D96LL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAIN IMPACT MANAGER FOR NON-PRODUCTION ENVIRONMENT INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	3534.00	3664.00
E0ICRLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY IMPACT MANAGER FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	7275.00	7769.00
E0ICTLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY IMPACT MANAGER FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	3646.00	3893.00

IBM Price List

SW SUBSCRIPTN & SUPT REINSTATEMENT

D0N5QLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY IMPACT MANAGER INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	21174.00	22015.00
D0N5SLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAIN IMPACT MANAGER FOR NON-PRODUCTION ENVIRONMENT INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	10587.00	10965.00
D11EWLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY IMPACT MANAGER FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	21810.00	23290.00
D11F0LL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY IMPACT MANAGER FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	10905.00	11645.00

TRIRIGA RE ENVIR SUS MGR

TRIRIGA RE ENVIR SUS MGR

LICENSE + SW SUBSCRIPTION & SUPPORT

D0N5KLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY MANAGER CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	5882.00	6095.00
D11EXLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	6058.00	6469.00

SW SUBSCRIPTION & SUPPORT RENEWAL

E0D93LL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY MANAGER CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1178.00	1216.00
E0ICSLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1210.00	1292.00

SW SUBSCRIPTN & SUPT REINSTATEMENT

D0N5LLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY MANAGER CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	3526.00	3655.00
D11EYLL	IBM TRIRIGA REAL ESTATE ENVIRONMENTAL SUSTAINABILITY MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	3638.00	3885.00

IBM Price List

TRIRIGA REAL ESTATE MANAGER

TRIRIGA REAL ESTATE MANAGER

LICENSE + SW SUBSCRIPTION & SUPPORT

D0N6JLL	IBM TRIRIGA REAL ESTATE MANAGER CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	9472.00	9860.00
D11E0LL	IBM TRIRIGA REAL ESTATE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	9791.00	10455.00

SW SUBSCRIPTION & SUPPORT RENEWAL

E0D9KLL	IBM TRIRIGA REAL ESTATE MANAGER CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1894.00	1972.00
E0ICDLL	IBM TRIRIGA REAL ESTATE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1958.00	2091.00

SW SUBSCRIPTN & SUPT REINSTATEMENT

D0N6KLL	IBM TRIRIGA REAL ESTATE MANAGER CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	5683.00	5916.00
D11E1LL	IBM TRIRIGA REAL ESTATE MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	5874.00	6273.00

TRIRIGA REQUEST CENTRAL

TRIRIGA REQUEST CENTRAL

LICENSE + SW SUBSCRIPTION & SUPPORT

D0N5ILL	IBM TRIRIGA REQUEST CENTRAL CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	515.80	534.70
D11FGLL	IBM TRIRIGA REQUEST CENTRAL FOR LINUX ON SYSTEM Z CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	530.90	567.00

SW SUBSCRIPTION & SUPPORT RENEWAL

E0D92LL	IBM TRIRIGA REQUEST CENTRAL CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	103.50	107.10
E0ICXLL	IBM TRIRIGA REQUEST CENTRAL FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	105.90	113.10

SW SUBSCRIPTN & SUPT REINSTATEMENT

D0N5JLL	IBM TRIRIGA REQUEST CENTRAL CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	309.60	320.50
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IBM Price List

D11FHLL	IBM TRIRIGA REQUEST CENTRAL FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	318.40	340.00
TRIRIGA STRAT FAC PLANNING			
TRIRIGA STRAT FAC PLANNING			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0N69LL	IBM TRIRIGA STRATEGIC FACILITY PLANNING FOR NON-PRODUCTION ENVIRONMENT INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	11701.00	12155.00
D0N6QLL	IBM TRIRIGA STRATEGIC FACILITY PLANNING INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	23402.00	24225.00
D11EGLL	IBM TRIRIGA STRATEGIC FACILITY PLANNING FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	24119.00	25755.00
D11EILL	IBM TRIRIGA STRATEGIC FACILITY PLANNING FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	12020.00	12835.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9FLL	IBM TRIRIGA STRATEGIC FACILITY PLANNING FOR NON-PRODUCTION ENVIRONMENT INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2340.00	2423.00
E0D9NLL	IBM TRIRIGA STRATEGIC FACILITY PLANNING INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4680.00	4845.00
E0ICLLL	IBM TRIRIGA STRATEGIC FACILITY PLANNING FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4824.00	5151.00
E0ICMLL	IBM TRIRIGA STRATEGIC FACILITY PLANNING FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2404.00	2567.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N6ALL	IBM TRIRIGA STRATEGIC FACILITY PLANNING FOR NON-PRODUCTION ENVIRONMENT INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7021.00	7268.00
D0N6RLL	IBM TRIRIGA STRATEGIC FACILITY PLANNING INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	14010.00	14535.00
D11EHLL	IBM TRIRIGA STRATEGIC FACILITY PLANNING FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	14487.00	15470.00

IBM Price List

D11EJLL	IBM TRIRIGA STRATEGIC FACILITY PLANNING FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7212.00	7701.00
TRIRIGA WP OPERATIONS			
TRIRIGA WP OPERATIONS			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0N6ULL	IBM TRIRIGA WORKPLACE OPERATIONS MANAGER CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	9472.00	9860.00
D11EBLL	IBM TRIRIGA WORKPLACE OPERATIONS MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	9791.00	10455.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9QLL	IBM TRIRIGA WORKPLACE OPERATIONS MANAGER CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1894.00	1972.00
E0ICJLL	IBM TRIRIGA WORKPLACE OPERATIONS MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	1958.00	2091.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N6VLL	IBM TRIRIGA WORKPLACE OPERATIONS MANAGER CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	5683.00	5916.00
D11ECLL	IBM TRIRIGA WORKPLACE OPERATIONS MANAGER FOR LINUX ON SYSTEM Z CONCURRENT USER SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	5874.00	6273.00
TRIRIGA WP RES MGR			
TRIRIGA WP RES MGR			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0V3XLL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER PER INSTALL LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	119400.00	127500.00
D0V4ELL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER NON PRODUCTION ENVIRONMENT PER INSTALL LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	59700.00	63750.00
D11F1LL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	123380.00	131750.00
D11F3LL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER FOR NON-PRODUCTION FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	61531.00	65705.00

IBM Price List

SW SUBSCRIPTION & SUPPORT RENEWAL

E0F44LL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER PER INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	23880.00	25500.00
E0F47LL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER NON PRODUCTION ENVIRONMENT PER INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	11940.00	12750.00
E0ICULL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	24676.00	26350.00
E0ICVLL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER FOR NON-PRODUCTION FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	12338.00	13175.00

SW SUBSCRIPTN & SUPT REINSTATEMENT

D0V3YLL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER PER INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	71640.00	76500.00
D0V4FLL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER NON PRODUCTION ENVIRONMENT PER INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	35820.00	38250.00
D11F2LL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	74028.00	79050.00
D11F4LL	IBM TRIRIGA WORKPLACE RESERVATION MANAGER FOR NON-PRODUCTION FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	36934.00	39440.00

TRIRIGA WPM FACILITIES

TRIRIGA WPM FACILITIES

LICENSE + SW SUBSCRIPTION & SUPPORT

D0N6SLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	23402.00	24225.00
D0N74LL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES NON-PRODUCTION ENVIRONMENT INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	11701.00	12155.00
D11DWLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	24119.00	25755.00

IBM Price List

D11E7LL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	12020.00	12835.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9PLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4680.00	4845.00
E0D9VLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES NON-PRODUCTION ENVIRONMENT INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2340.00	2423.00
E0ICBLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4824.00	5151.00
E0ICHLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2404.00	2567.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N6TLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	14010.00	14535.00
D0N75LL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES NON-PRODUCTION ENVIRONMENT INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7021.00	7268.00
D11DXLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	14487.00	15470.00
D11E8LL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7212.00	7701.00
TRIRIGA WPM OPERATIONS			
TRIRIGA WPM OPERATIONS			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0N6WLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	23402.00	24225.00
D0N6YLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS FOR NON-PRODUCTION ENVIRONMENT INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	11701.00	12155.00

IBM Price List

D11E9LL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	24119.00	25755.00
D11HJLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	12020.00	12835.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9RLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4680.00	4845.00
E0D9SLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS FOR NON-PRODUCTION ENVIRONMENT INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2340.00	2423.00
E0ICILL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4824.00	5151.00
E0IDTLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL LICENCE ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2404.00	2567.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N6XLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	14010.00	14535.00
D0N6ZLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS FOR NON-PRODUCTION ENVIRONMENT INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7021.00	7268.00
D11EALL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	14487.00	15470.00
D11HKLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7212.00	7701.00
TRIRIGA WPM PROJECTS			
TRIRIGA WPM PROJECTS			
LICENSE + SW SUBSCRIPTION & SUPPORT			
D0N6DLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR NON-PRODUCTION ENVIRONMENT INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	11701.00	12155.00

IBM Price List

D0N72LL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	23402.00	24225.00
D11EKLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	12020.00	12835.00
D11HLLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	24119.00	25755.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9HLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR NON-PRODUCTION ENVIRONMENT INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2340.00	2423.00
E0D9ULL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4680.00	4845.00
E0ICNLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2404.00	2567.00
E0IEELL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4824.00	5151.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N6ELL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR NON-PRODUCTION ENVIRONMENT INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7021.00	7268.00
D0N73LL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	14010.00	14535.00
D11ELLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7212.00	7701.00
D11IXLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	14487.00	15470.00

TRIRIGA WPM REAL ESTATE

TRIRIGA WPM REAL ESTATE

LICENSE + SW SUBSCRIPTION & SUPPORT

IBM Price List

D0N6BLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE FOR NON-PRODUCTION ENVIRONMENT INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	11701.00	12155.00
D0N6LLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	23402.00	24225.00
D11DYLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	12020.00	12835.00
D11E2LL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	24119.00	25755.00
SW SUBSCRIPTION & SUPPORT RENEWAL			
E0D9GLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE FOR NON-PRODUCTION ENVIRONMENT INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2340.00	2423.00
E0D9LLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4680.00	4845.00
E0ICCLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	2404.00	2567.00
E0ICELL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	4824.00	5151.00
SW SUBSCRIPTN & SUPT REINSTATEMENT			
D0N6CLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE FOR NON-PRODUCTION ENVIRONMENT INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7021.00	7268.00
D0N6MLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	14010.00	14535.00
D11DZLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	7212.00	7701.00
D11E3LL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	14487.00	15470.00

TRIRIGA WRKPLCE PERFRMNC MGMT ENTPR

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TRIRIGA WKPLC PERFM MGT ENT

LICENSE + SW SUBSCRIPTION & SUPPORT

D115WLL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE INSTALL LIC + SW S&S 12 MO	75222.00	80325.00
D118YLL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT INSTALL LIC + SW S&S 12 MO	37651.00	40205.00
D11EMLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	38765.00	41395.00
D11FPLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR LINUX ON SYSTEM Z INSTALL LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	77451.00	82705.00

SW SUBSCRIPTION & SUPPORT RENEWAL

E0I90LL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE INSTALL ANNUAL SW S&S RNWL	15044.00	16065.00
E0IATLL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT INSTALL ANNUAL SW S&S RNWL	7530.00	8041.00
E0ICPLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	7753.00	8279.00
E0ICZLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR LINUX ON SYSTEM Z INSTALL ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL 12 MONTHS	15522.00	16575.00

SW SUBSCRIPTN & SUPT REINSTATEMENT

D115XLL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE INSTALL SW S&S REINSTATE 12 MO	45133.00	48195.00
D1193LL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT INSTALL SW S&S REINSTATE 12 MO	22606.00	24140.00
D11ENLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	23243.00	24820.00

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D11FQLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR LINUX ON SYSTEM Z INSTALL SW SUBSCRIPTION & SUPPORT REINSTATEMENT 12 MONTHS	46486.00	49640.00
TRADE UP LIC + SW SUBSCR & SUPT			
D115YLL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE INSTALL TRADE UP LIC + SW S&S 12 MO	60655.00	64770.00
D115ZLL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES INSTALL TRADE UP LIC + SW S&S 12 MO	60655.00	64770.00
D1160LL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS MANAGEMENT INSTALL TRADE UP LIC + SW S&S 12 MO	60655.00	64770.00
D1161LL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS INSTALL TRADE UP LIC + SW S&S 12 MO	60655.00	64770.00
D118ZLL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT REAL ESTATE FOR NON-PRODUCTION ENVIRONMENT INSTALL TRADE UP LIC + SW S&S 12 MO	30328.00	32385.00
D1190LL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES FOR NON-PRODUCTION ENVIRONMENT INSTALL TRADE UP LIC + SW S&S 12 MO	30328.00	32385.00
D1191LL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS MANAGEMENT FOR NON-PRODUCTION ENVIRONMENT INSTALL TRADE UP LIC + SW S&S 12 MO	30328.00	32385.00
D1192LL	IBM TRIRIGA INTEGRATED WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR NON-PRODUCTION ENVIRONMENT INSTALL TRADE UP LIC + SW S&S 12 MO	30328.00	32385.00

IBM Price List

D11EPLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL FROM TRIRIGA WPM REAL ESTATE FOR NPE FOR LINUX ON SYSTEM Z INSTALL TRADE UP LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	31283.00	33405.00
D11EQLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MGMNT FACILITIES FOR NPE FOR LINUX ON SYSTEM Z INSTALL TRADE UP LIC + SW SUBSCRIPTION & SUPPORT 12 MO	31283.00	33405.00
D11ERLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT OPERATIONS FOR NPE FOR LINUX ON SYSTEM Z INSTALL TRADE UP LIC + SW S&S 12 MONTHS	31283.00	33405.00
D11ESLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR NON-PRODUCTION ENVIRONMENT FOR LINUX ON SYSTEM Z INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR NPE FOR LINUX ON SYSTEM Z INSTALL TRADE UP LIC + SW S&S 12 MO	31283.00	33405.00
D11FRLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR LINUX ON SYSTEM Z INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE REAL ESTATE FOR LINUX ON SYSTEM Z INSTALL TRADE UP LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	62486.00	66725.00
D11FSLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR LINUX ON SYSTEM Z INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT FACILITIES FOR LINUX ON SYSTEM Z INSTALL TRADE UP LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	62486.00	66725.00
D11FTLL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR LINUX ON SYSTEM Z INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE OPERATIONS MANAGEMENT FOR LINUX ON SYSTEM Z INSTALL TRADE UP LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	62486.00	66725.00
D11FULL	IBM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT ENTERPRISE FOR LINUX ON SYSTEM Z INSTALL FROM TRIRIGA WORKPLACE PERFORMANCE MANAGEMENT PROJECTS FOR LINUX ON SYSTEM Z INSTALL TRADE UP LICENCE + SW SUBSCRIPTION & SUPPORT 12 MONTHS	62486.00	66725.00

TSM FASTBACK
TSM FASTBACK

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Facilities Management

Phone Number: (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AG 2013-090	6/30/2012	Facilities Management	Finding #1: Contrary to State law, the Department had not adopted rules providing guidance for several leasing processes, such as, for example, the processes relating to State agency reporting. Recommendation: To ensure State agencies and other parties are provided with authoritative lease management direction, we recommend that the Department adopt rules to incorporate provisions required by State law.	The Department amended its Annual Regulatory Plan on May 15, 2013 to include appropriate rulemaking. Notification of the amended plan has been sent to the Office of Fiscal Responsibility and Regulatory Reform (OFARR). Update September 2013: The follow-up is in progress.	
AG 2013-090	6/30/2012	Facilities Management	Finding 2: Policies and Procedures - The Department had not updated its Leasing Manual and Guidelines (Manual) since 2006. In addition, the Manual contained several errors. Recommendation: We recommend the department update its manual to provide current and correct information.	The manual revisions are in progress. The anticipated completion date is December 2013. Update September 2013: The follow-up is in progress.	
AG 2013-090	6/30/2012	Facilities Management	Finding 3: Leasing Reports - Reports issued by the department did not provide or adequately address all the information required by law. Recommendation: We recommend the department work to ensure all required statutory report elements are included within the Master Leasing Report (MLR) and Strategic Leasing Plan (SLP)	The Strategy and Planning Team is finalizing the draft of the 2013 Master Leasing Report/Strategic Leasing Plan (combined this year) and they are reviewing the AG report to ensure the findings are appropriately addressed within the report/plan. The final due date is October 1, 2013. Update September 2013: The follow-up is in progress.	

AG 2013-090	6/30/2012	Facilities Management	<p>Finding 4: Florida Facilities Pool Lease Revenue - Florida Facilities Pool (FFP) lease payments were not always timely received, and the department had not established procedures to reasonably ensure the collection. We recommend the department establish written procedures ensuring agency and department compliance with bond covenant terms relating to the payment of lease charges.</p>	<p>This is in progress and the anticipated completion date is 11/2013. Update September 2013: The follow-up is in progress.</p>	
AG 2013-090	6/30/2012	Facilities Management	<p>Finding 5: Florida Facilities Pool Lease Rental Rates - Contrary to bond resolution clause, the department, in some instances, had set and applied rental rates for space in the FFP that were nominal in amount. We recommend that the department establish procedures to ensure that leases for all FFP space are accounted for, all rental income is collected, and that lease agreement data is accurately and completely recorded in Facilities Accountability Communications Tool (FACT).</p>	<p>This is in progress and the anticipated completion date is 12/2013. This will not be implemented until July 1, 2015. Update September 2013: The follow-up is in progress.</p>	
AG 2013-090	6/30/2012	Facilities Management	<p>Finding 6: Contrary to the requirements of State law and Department contracts, the Department did not conduct tenant-broker customer satisfaction surveys. We also found that the tenant broker contracts with the Department were extended, then renewed, despite not having performed such surveys. Recommendation: We recommend that periodic customer satisfaction surveys be conducted of tenant broker services in accordance with State law and Department contracts.</p>	<p>This is completed. A link for the tool was created. Update September 2013: The follow-up is in progress.</p>	
AG 2013-090	6/30/2012	Facilities Management	<p>Finding 7: The Department did not have written procedures for assigning, reviewing, or terminating system access to the Facilities Accountability Communications Tool (FACT) and to the Department's accounts receivable application. Recommendation: We recommend that the Department establish written procedures for assigning reviewing, and terminating access to FACT and the accounts receivable application. Additionally, we recommend that the Department limit access privileges to only that needed in the performance of assigned job duties.</p>	<p>This is complete a copy of the FACT manual has been provided. Update September 2013: The follow-up is in progress.</p>	

AG 2013-090	6/30/2012	Facilities Management	Finding 8: Other security controls protecting Department information technology resources needed improvement. Recommendation: We recommend that the Department strengthen certain security controls to reduce the risk of Department data and IT resources being compromised.	We are unable to comply due to the system limitation. We consider this finding to be closed until a new system is in place. <u>Update</u> September 2013: The follow-up is in progress.	
AG 2013-090	6/30/2012	Facilities Management	Finding #9: The Department had not developed a FACT user manual. Recommendation: We recommend that the Department create and maintain a FACT user manual and establish a periodic review process to ensure that the manual is updated as appropriate to reflect current system operations.	This is complete a copy of the FACT manual has been provided. <u>Update</u> September 2013: The follow-up is in progress.	

Office of Policy and Budget - July 2013

Fiscal Year 2014-15

Building Construction

Exhibits and Schedules

Fiscal Year 2014-15

Building Construction

Schedule I Series

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72400200 Building Construction
Fund: 2033 Architects' Incidental Trust
Specific Authority: 255, F.S.
Purpose of Fees Collected: To provide funds for the administration and supervision of planning, design and construction of state-owned facilities.

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012 -13	FY 2013 -14	FY 2014-15
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		543,751	1,097,458	766,845

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	665,125	743,655	754,062
Other Personal Services	-	-	-
Expenses	54,996	120,434	121,588
Operating Capital Outlay			
S.C.: Contracted Services	8,707	46,341	46,341
S.C.: Risk Management Insurance	15,872	17,772	17,772
Lease/Purchase	1,612	1,613	1,613
Data Processing Services - SSRC	9,593	2,633	1,089
HR Statewide Contract	3,359	3,175	3,175
FCO - Supplemental Contracts			

Indirect Costs Charged to Trust Fund:

TR to GR-8% Service Charge	1,352	800	800
TR to 2021-Admin. Assess. Fee	53,466	54,834	67,994
Refunds		-	-
Cert Forward Reversions @ 2012	(16)		
Cert Forward Reversions @ 2013			
Comp Leave Liability	(19,123)		
Prior Year FCO Expend in Trial Balance			
5% Trust Fund Reserve	-		54,873
Assessment on Investments 890000 - 310403	1,061		
Statewide Post Closing Adjustment 990000 -	(96,000)	-	-
Fleet Management Enterprise Initiative			

Total Full Costs to Line (2) - Section III	700,005	991,257	1,069,307
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Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	543,751	1,097,458	766,845
TOTAL SECTION II	(B)	700,005	991,257	1,069,307
TOTAL - Surplus/Deficit	(C)	(156,253)	106,201	(302,462)

EXPLANATION:

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

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72400200 Building Construction
Fund: 2033 Architects' Incidental Trust
Specific Authority: 255, F.S.
Purpose of Fees Collected: To provide funds for the administration and supervision of planning, design, and construction of state-owned facilities.

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012 -13	FY 2013 -14	FY 2014-15
<u>Receipts:</u>			
Construction Services	526,791	1,087,458	756,845
Permit & Inspection Services			
Supplemental Contracts	-	-	-
Computer Charges (FLEET)	-	-	-
Interest Earnings	16,960	10,000	10,000
Miscellaneous		-	-
Total Fee Collection to Line (1) - Section III	543,751	1,097,458	766,845

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014-2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	ARCHITECT'S INCIDENTAL TRUST
LAS/PBS Fund Number:	BUILDING CONSTRUCTION
	2033

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	16,157 (A)		16,157
ADD: Other Cash (See Instructions)			0
ADD: Investments	700,305 (C)		700,305
ADD: Outstanding Accounts Receivable	13,450 (D)	96,000	109,450
ADD:	0 (E)		0
Total Cash plus Accounts Receivable	729,912	96,000	825,912
LESS Deferred Revenues	282,922 (G)		282,922
LESS Approved "A" Certified Forwards	18,866 (H)		18,866
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards	0 (H)		0
LESS: Other Accounts Payable (Non Operating)	305 (I)		305
LESS: <u>Other Accounts Payable</u>			0
Unreserved Fund Balance, 07/01/13	427,818.15 (K)	96,000	523,818**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 72000 MANAGEMENT SERVICES
Trust Fund Title: Architects Incidental Trust Fund
LAS/PBS Fund Number: 2033

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
 Total all GLC's 5XXXX for governmental funds; 336,325 (A)
 GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description-increase accounts receivable 96,000 (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Compensated Absences Liability 91,493.04 (D)

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

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 523,818 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 523,818 (F)

DIFFERENCE: (0) (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Building Construction

Phone Number: (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			There are no issues or findings to report for Building Construction.		



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4050 Esplanade Way
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Rick Scott, Governor

Craig J. Nichols, Agency Secretary

Fiscal Year 2014-15

Aircraft Management

Exhibits and Schedules



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Fiscal Year 2014-15

Aircraft Management

Schedule I Series

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72600100 Aircraft Management
Fund: 2066 Bureau of Aircraft Trust
Specific Authority: 287.161, F.S.
Purpose of Fees Collected: To recover the normal direct costs of operating aircraft assigned to the Executive Aircraft Pool, and the total operational costs of the special purpose aircraft.

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL FY 2012 - 13	ESTIMATED FY 2013 - 14	REQUEST FY 2014-15
Receipts:				
Revenues from Oper.-Executive Air Pool				
Reimbursements				
Sale of Aircraft				
Interest Earnings		40	-	-
Total Fee Collection to Line (1) - Section III		40	-	-

SECTION II - FULL COSTS

Direct Costs:				
Salaries and Benefits				
Other Personal Services				
Expenses				
Operating Capital Outlay				
S.C.:Contracted Services				
S.C.:Risk Management Insurance				
S.C.:Deferred-Pay Commodity Contracts				
S.C.:Aircraft Maintenance & Repairs				
HR Statewide Contract				
Data Processing Services-SSRC				
Indirect Costs Charged to Trust Fund:				
TR to GR-8% Srvc Chrg		3	-	-
TR to 2021-Admin.Assess.Fee			-	-
Transfer to General Revenue				
Cur Cap Lease Liability- in Beg Bal				
Cert Forward A Reversions @ 9/30/2009				
Cert Forward Reversions @ 9/30/2010				
Uncollectble Receivables			-	-
5% Trust Fund Reserve				
Legislative Cash Sweep		36,443		-
Total Full Costs to Line (2) - Section III		36,446	-	-

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	40	-	-
TOTAL SECTION II	(B)	36,446	-	-
TOTAL - Surplus/Deficit	(C)	(36,406)	-	-

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	BUREAU OF AIRCRAFT TRUST
LAS/PBS Fund Number:	AIRCRAFT (72600100)
	2066

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0 (A)	0	0
ADD: Other Cash (See Instructions)	0 (B)		0
ADD: Investments	0 (C)		0
ADD: Outstanding Accounts Receivable	0 (D)	-	0
ADD:	(E)		0
Total Cash plus Accounts Receivable	0 (F)	0	0
LESS Allowances for Uncollectibles	0 (G)		0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards	(H)		0
LESS: Other Accounts Payable (Non Operating)	0 (I)		0
LESS: <u>Other Accounts Payable</u>	(J)		0
Unreserved Fund Balance, 07/01/12	0 (K)	0	0**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and I

Budget Period: 2014 - 2015

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: Aircraft Trust Fund
LAS/PBS Fund Number: 2066

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-13

Add/Subtract:

Property Value Recorded In FLAIR As Assets/Not Recorded On
Schedule 1C. General Ledger Code 53600 Overstated and General
Ledger Code 53900 Understated

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

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

Allowances for Uncollectibles recorded on Schedule 1C
Not Recorded in FLAIR

Supply Inventory Not Recorded On Schedule 1C/
Included In FLAIR Retained Earnings Unreserved

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2013

ADJUSTED BEGINNING TRIAL BALANCE:

UNRESERVED FUND BALANCE, SCHEDULE IC

DIFFERENCE:

***SHOULD EQUAL ZERO.**

Fiscal Year 2014-15

Federal Property Assistance

Exhibits and Schedules

Fiscal Year 2014-15

Federal Property Assistance

Schedule I Series

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72600200 Federal Property Assistance
Fund: 2699 Surplus Property Revolving Trust
Specific Authority: Chapter 217, F.S.
Purpose of Fees Collected: The agency administers the Federal Surplus Property Utilization Program for the State of Florida. Service charges are placed on federal property and are passed on to certified donees whereby funds are generated.

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

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

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST	
	FY 2012 - 13	FY 2013 - 14	FY 2014-15	
<u>Receipts:</u>				
Service Charges - Fed. Surp. Property	211,257	250,000	250,000	
U.S.Govt.Public Sale Reimbursements	117,233	80,000	80,000	
Motor Vehicle Sales	-	-	-	
Interest Earnings	8,402	8,000	8,000	
Refunds and Reimbursements	1,749			
Projected Fee Increase	-			
Property Transfer In	-			
Total Fee Collection to Line (1) - Section III	338,641	338,000	338,000	
<u>SECTION II - FULL COSTS</u>				
<u>Direct Costs:</u>				
Salaries and Benefits	191,756	243,989	248,937	
Other Personal Services	-			
Expenses	82,339	63,231	83,799	
Operating Capital Outlay	-			
S.C.:Transfer to Fixed Capital Outlay	-			
S.C.:Contracted Services	2,047	6,379	6,379	
S.C.:Risk Management Insurance	854	837	837	
Lease/Purchase/Equipment				
HR Statewide Contract	1,526	1,443	1,443	
Data Processing Services/SSRC	1,039	1,253	552	
<u>Indirect Costs Charged to Trust Fund:</u>				
TR to 2021-Admin.Assess.Fee	28,517	27,421	34,002	
Refunds		-	-	
Cert Forward A Reversions @ 9/30/2012		-		
Cert Forward Reversions @ 9/30/2013		(246)		
Assessment for Investments 890000 - 31	545	-	-	
Comp Leave Liability in Beg Bal	(5,905)			
Reserve for Pay Package			-	
Total Full Costs to Line (2) - Section III	302,718	344,307	375,949	

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	338,641	338,000	338,000
TOTAL SECTION II	(B)	302,718	344,307	375,949
TOTAL - Surplus/Deficit	(C)	35,924	(6,307)	(37,949)

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	SURPLUS PROPERTY REVOLVING TRUST
LAS/PBS Fund Number:	FEDERAL PROPERTY ASSISTANCE (72600200)
	2699

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	43,111 (A)		43,111
ADD: Other Cash (See Instructions)	150 (B)		150
ADD: Investments	465,772 (C)		465,772
ADD: Outstanding Accounts Receivable	62,179 (D)	0	62,179
ADD:			-
Total Cash plus Accounts Receivable	571,213 (F)	0	571,213
LESS Allowances for Uncollectibles			-
LESS Approved "A" Certified Forwards	11,468 (H)		11,468
Approved "B" Certified Forwards	0 (H)		-
Approved "FCO" Certified Forwards			-
LESS: Other Accounts Payable (Non Operating)	46 (I)		46
LESS: <u>Other Accounts Payable</u>			-
Unreserved Fund Balance, 07/01/13	559,699 (K)	0	559,699 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Compensated Absences Liability (D)

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Federal Property Assistance

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<p>Internal Audit Report No. 2012-239</p> <p>Dated: 6/30/2012</p>	<p>6/30/2012</p>	<p>Federal Property Assistance</p>	<p>Finding 1—Marketing Strategy</p> <p>The Federal Property Assistance Program would benefit from a marketing strategy that identifies, reaches out to, and provides all eligible state customers with information regarding the availability and benefits of the Program. The SASP Program relies solely on email marketing to provide registered entities with information on available property. The current strategy is only reaching a fraction of customers potentially eligible to participate in this program.</p> <p>Recommendation 1: The Bureau initiate a marketing strategy that, as a minimum, includes:</p> <ul style="list-style-type: none"> a. Identifying a list of eligible customers throughout the state. b. Developing a website which contains necessary information regarding the Program so that current as well as perspective customers understand the benefits. c. Creating and maintaining a list of frequently sold and requested items from the management information system. With an anticipated demand, the Program could then pursue the request and donation of those items. d. Developing procedures to periodically reduce service charges in an effort to continuously turnover inventory. 	<p>CONCUR: The Federal Property Assistance Program will discuss the recommendations and options with the Agency Head. Actions and improvements related to the recommendations will vary based on the direction provided from this program.</p> <p>Update July 2013 with Follow up Audit: The Program has developed a procedure to reduce service fees at periodic “shelf life” intervals. Also, the Program staff routinely informs customers about the direct pick-up option. <u>This issue is closed.</u> The department will continue to run the program within funding restrictions.</p>	

		<p>e. Periodically performing customer surveys to determine the strengths and weaknesses of the Program so that any changes may be implemented quickly.</p> <p>f. Informing customers located at long distances from the warehouse of the potential for direct pick-up at nearby holding agencies.</p>	
		<p>Finding 2—Information Technology System The inventory tracking system currently in use is not configured to the particular needs of the Program. The system used by the Program does not allow the use of bar code scanners to simplify and automate the conduct of inventory nor does the system include a component which would allow the customers to view the inventory in an online website. While these components are available for inclusion in the system, steps have not been taken to upgrade the system.</p>	<p>CONCUR: The Federal Property Assistance Program will discuss the recommendations and options with the Agency Head. Actions and improvements related to the recommendations will vary based on the direction provided from this program.</p> <p><u>Update July 2013 with Follow up Audit:</u> The current inventory management system meets the inventory management needs for the Program, is compatible with the General Services Administration’s surplus property accounting system, and is used by the federal surplus programs in many other states. In September 2012 the Web Module functionality of the system was activated, thereby providing our customers the ability to view the current inventory (including photos) of surplus federal property available at the Starke warehouse. Program staff have been educated on additional system features to improve inventory management efficiency. Also, the program will survey all other state SASP programs to determine what other systems are being used and compare the pros and cons of these alternative systems. <u>The issue is closed.</u> The department will continue to run the program within funding restrictions.</p>
		<p>Finding 3—Employee Job Classifications</p>	<p>CONCUR: The Federal Property Assistance</p>

			<p>The Program's employee job classifications and salary structures show that the four current employees are, by any measure, under compensated. After consolidation, the local distribution location and its employees assumed the Program's statewide function. However, the department failed to adequately staff the Starke location with the necessary and appropriate staffing levels. Consequently, the Starke staff was required to assume all duties for the statewide Program.</p> <p>Recommendation 3:</p> <p>The Bureau, in conjunction with the human resources department, review all employee job positions, broadband levels, and current salaries to determine if the positions are appropriately classified and employees adequately compensated.</p>	<p>Program will discuss the recommendations and options with the Agency Head. Actions and improvements related to the recommendations will vary based on the direction provided from this program.</p> <p><u>Update July 2013 with Follow up Audit:</u></p> <p>The Bureau reported that a review of the employee job positions, broadband levels, and salaries has not yet been completed. The Bureau Chief will conduct a review of the current job descriptions within the Program, perform an analysis of DMS Class titles and their respective average salaries, and propose any recommended changes to DMS management for further action. The Bureau reported that in August 2012 slight increases in salaries were made possible for three staff members due to the retirement of a long-term employee, filling the position at a lower rate, and redistributing the difference. <u>The issue is closed.</u> The department will continue to run the program within funding restrictions.</p>	
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Fiscal Year 2014-15

Motor Vehicle and Watercraft Management

Exhibits and Schedules

Fiscal Year 2014-15

Motor Vehicle and Watercraft Management

Schedule I Series

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72600300 Motor Vehicle/Watercraft Management
Fund: 2510 Operating Trust
Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: For maintenance of EMIS

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012-13	FY 2013-14	FY 2014-15
Receipts:				
Equipment Mgmt.Report Fees		526,609	378,000	378,000
Security/Escrow Deposits		3,705,712	3,800,000	3,800,000
Interest Earnings		14,316	13,000	13,000
Fleet Management Enterprise Initiative		-		-
Refunds		75	-	-
Total Fee Collection to Line (1) - Section III		4,246,712	4,191,000	4,191,000

SECTION II - FULL COSTS

Direct Costs:				
Salaries and Benefits		426,246	488,777	496,637
Other Personal Services				
Expenses		45,062	65,174	66,101
Operating Capital Outlay		6,780		
S.C.:Pay/Exp/Sale Agency Vehicles		689,742	725,000	695,000
S.C.:Contracted Services		28,661	293,332	99,333
S.C.:Risk Management Insurance		808	841	841
Lease/Purchase/Equipment		1,380	1,247	1,247
HR Statewide Contract		2,749	2,599	2,599
Data Processing Svcs-SSRC		19,226	18,319	17,120

Indirect Costs Charged to Trust Fund:

Transfer to GR-8% Svc Charge		1,065	1,040	1,040
Transfer Vehicle Auction Sales Proceeds		2,903,316	2,961,000	2,991,000
Transfer to 2021-Admin.Assess.Fee		71,151	75,252	93,312
Refunds		1,744	-	-
TR from 72600400-2510		(375,000)	(375,000)	(375,000)
Current Compensated Leave Liability		(12,220)	-	-
AP not Certified Forward @ 06/30/12		(12,114)	-	-
Cert Forward A Reversions @ 9/30/201		(17,055)		-
Cert Forward Reversions @ 9/30/2013			(2,093)	-
Statewide Post Closing Adjustment 991		(112)	-	-
Assessment for Investments 890000 - 310		1,006	-	-
Total Full Costs to Line (2) - Section III		3,782,435	4,255,488	4,089,230

Basis Used

SECTION III - SUMMARY

TOTAL SECTION I	(A)	4,246,712	4,191,000	4,191,000
TOTAL SECTION II	(B)	3,782,435	4,255,488	4,089,230
TOTAL - Surplus/Deficit	(C)	464,277	(64,488)	101,770

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPERATING TRUST FUND
LAS/PBS Fund Number:	MOTOR VEHICLE & WATERCRAFT MANAGEMENT (72600300)
	2510

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	46,049 (A)		46,049
ADD: Other Cash (See Instructions)			0
ADD: Investments	1,392,689 (C)		1,392,689
ADD: Outstanding Accounts Receivable	66,270 (D)	112	66,382
ADD:			0
Total Cash plus Accounts Receivable	1,505,008 (F)	112	1,505,120
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	66,421 (H)		66,421
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Non Operating)	560,412 (I)		560,412
LESS: <u>Other Accounts Payable</u>			0
Unreserved Fund Balance, 07/01/13	878,175 (K)	112	878,287**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 72000 MANAGEMENT SERVICES
Trust Fund Title: Motor Vehicle & Watercraft Management Grants & Donations
LAS/PBS Fund Number: 2510

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

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

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description-Increase accounts receivable (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Compensated Absences Liability (D)

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

*SHOULD EQUAL ZERO.

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Motor Vehicle & Watercraft Management

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings for Motor Vehicle & Watercraft Management.		

Fiscal Year 2014-15

Purchasing Oversight

Exhibits and Schedules

Fiscal Year 2014-15

Purchasing Oversight

Schedule I Series

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72600400 Purchasing Oversight
Fund: 2510 Operating Trust

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

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

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

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST	
	FY 2012 - 13	FY 2013 - 14	FY 2014 - 15	
<u>Receipts:</u>				
State Term Contract Vendor User Fees	21,204,391	20,004,369	20,004,369	
Pride	54,375	43,500	43,500	
Refunds	63,963			
State Purchasing Card Transaction Fee	3,278,828	3,796,313	3,416,682	
Interest Earnings - Purchasing	180,801	170,000	180,000	
Interest Earnings - PPM		-	-	
Restitution - PPM				
TR From DOC for Major Repairs - PPM		-	-	
<u>Total Fee Collection to Line (1) - Section III</u>	24,782,358	24,014,182	23,644,551	

SECTION II - FULL COSTS

<u>Direct Costs:</u>			
Salaries and Benefits	3,107,535	3,763,193	3,810,580
Other Personal Services	6,871	10,000	10,000
Expenses	291,092	356,384	346,841
Operating Capital Outlay	15,749	15,859	15,859
Sp.Cat.:Risk Management Insurance	27,424	11,116	11,116
Sp. Cat.: Web-Based E-Proc System	12,810,290	11,255,892	11,079,501
Lease/Purchase/Equipment	3,805	4,000	4,000
HR Statewide Contract	13,740	14,328	14,328
Private Prison-Maint/Repair			
Contracted Services	90,997	91,267	894,187
Legal Services	29,400	30,000	30,000
Project Mgmt Prof Training	57,932	60,000	60,000
TR/Dept. Financial Services	350,000	350,000	350,000
Data Processing Services - SSRC	276,292	131,004	119,512

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72600400 Purchasing Oversight
Fund: 2510 Operating Trust

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

	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013 - 14	(4) REQUEST FY 2014 - 15
<u>Indirect Costs Charged to Trust Fund</u>			
TR to GR-8% Srvc Chrg (PO)	5,339,179	1,921,135	1,891,564
TR to GR-8% Srvc Chrg (PPM)		-	-
Transfer to 2021-Admin.Assess. Fee	330,655	392,331	506,490
TR to GR-8% Srvc Chrg (PO) Prior Years			
Refunds- Non-State Revenues.	13,806		
Transfer to Admin TF-Legal Procurement Sec		729,694	729,694
6/30/2012 Cert Forward B Paid	58,206		
TR to 72600300-2510	375,000	375,000	375,000
TR to 72600500-2510	380,577	443,573	456,177
TR to 72010100-2510		50,000	50,000
Cert Forward A Reversions @ 9/30/2012	(4,105)		
Leave Liability in CFO Beg Bal	(117,705)		
5% Trust Fund Reserve - PO			1,200,709
Cert Forward Reversions @ 9/30/2013		(18,769)	
Legislative Cash Sweep	1,500,000		-
Assessment for Investments 890000 - 310403	11,641	-	-
Rounding	(4)		-
Estimated July to June Cost MFMP 104502			
<u>Total Full Costs to Line (2) - Section III</u>	24,968,375	19,986,007	21,955,558

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	24,782,358	24,014,182	23,644,551
TOTAL SECTION II	(B)	24,968,375	19,986,007	21,955,558
TOTAL - Surplus/Deficit	(C)	(186,017)	4,028,175	1,688,993

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPERATING TRUST FUND
LAS/PBS Fund Number:	PURCHASING OVERSIGHT (72600400)
	2510

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	142,189 (A)		142,189
ADD: Other Cash (See Instructions)			
ADD: Investments	10,329,985 (C)		10,329,985
ADD: Outstanding Accounts Receivable	5,851 (D)		5,851
ADD:			
Total Cash plus Accounts Receivable	10,478,025 (F)	0	10,478,025
LESS Allowances for Uncollectibles			
LESS Approved "A" Certified Forwards	1,072,911 (H)		1,072,911
Approved "B" Certified Forwards	1,872 (H)		1,872
Approved "FCO" Certified Forwards			
LESS: Other Accounts Payable (Non Operating)	1,947,463 (I)		1,947,463
LESS: <u>Other Accounts Payable</u>	0 (J)		
Unreserved Fund Balance, 07/01/13	7,455,778.24 (K)	0	7,455,778**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 72000 MANAGEMENT SERVICES
Trust Fund Title: Purchasing Oversight Operating Trust Fund
LAS/PBS Fund Number: 2510

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

Total all GLC's 5XXXX for governmental funds: (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

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

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Purchasing Oversight

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no issues or findings to report for State Purchasing Oversight		

Fiscal Year 2014-15

Office of Supplier Diversity

Exhibits and Schedules

Fiscal Year 2014-15

Office of Supplier Diversity

Schedule I Series

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 72 MANAGEMENT SERVICE **Budget Period: 2014 - 15**
Program: 72600500 OFFICE OF SUPPLIER DIVERSITY
Fund: 2510 Operating Trust
Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: To cover the projected administrative and project service costs of the on-line procurement systems. Provides for entering into contracts with contractors for the designing, financing, acquiring, leasing, constructing and operating of private correctional facilities.

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

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

(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013 - 14	(4) REQUEST FY 2014 - 15
Receipts:			
Reimbursements			
Total Fee Collection to Line (A) - Section III	-	-	-

(1) SECTION II - FULL COSTS	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013 - 14	(4) REQUEST FY 2014 - 15
Direct Costs:			
Salaries and Benefits	273,472	328,820	335,171
Other Personal Services			
Expenses	49,167	55,996	56,769
Operating Capital Outlay			
Sp.Cat.:Contracted Services	15,127	11,573	11,573
Sp.Cat.:Risk Management Insurance	3,117	1,817	1,817
HR Statewide Contract	3,278	3,099	3,099
Data Processing Services-SSRC	6,689	9,557	8,040
Indirect Costs Charged to Trust Fund:			
TR to 2021-Admin.Assess.Fee	29,727	32,711	39,580
TR to Police & Firefighters TF			
TR from 72600400-2510	(380,577)	(443,573)	(456,177)
Cert Forward Reversions @ 9/30/2010			
Reserve for Pay Package			
Total Full Costs to Line (B) - Section III	-	-	(128)

Basis Used: Accrual

SECTION III - SUMMARY			
TOTAL SECTION I	(A)	-	-
TOTAL SECTION II	(B)	-	(128)
TOTAL - Surplus/Deficit	(C)	-	128

EXPLANATION:

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPERATING TRUST FUND
LAS/PBS Fund Number:	OFFICE OF SUPPLIER DIVERSITY (72600500)
	2510

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	10,119 (A)		10,119
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable			0
ADD:			0
Total Cash plus Accounts Receivable	10,119 (F)		10,119
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	7,224 (H)		7,224
Approved "B" Certified Forwards	2,895 (H)		2,895
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Non Operating)			0
LESS: <u>Other Accounts Payable</u>			0
Unreserved Fund Balance, 07/01/13	0 (K)		0 **

Notes:

*SWFS = Statewide Financial Statement

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

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Office of Supplier Diversity

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no issues or findings to report for the Office of Supplier Diversity.		

Fiscal Year 2014-15

Private Prison Monitoring

Exhibits and Schedules

Fiscal Year 2014-15

Private Prison Monitoring

Schedule I Series

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72600800 Private Prison Monitoring
Fund: 2510 Operating Trust

Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: Transfer from Dept. of Corrections: for the major maintenance and repair for Correctional Facilities overseen by Private Prison Monitoring.

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

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

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL FY 2012 - 13	ESTIMATED FY 2013 - 14	REQUEST FY 2014 - 15
Receipts:			
Interest Earnings - PPM	118,555	111,000	111,000
Restitution - PPM			
TR From DOC for Major Repairs - PPM	1,546,924	1,546,924	1,546,924
Total Fee Collection to Line (1) - Section III	1,665,479	1,657,924	1,657,924

SECTION II - FULL COSTS

<u>Direct Costs:</u>			
Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
Sp.Cat.:Risk Management Insurance		78	78
Sp. Cat.: Web-Based E-Proc System			
HR Statewide Contract			
Private Prison-Maint/Repair	955,447	959,588	1,500,000
Contracted Services			
Legal Services			
Project Mgmt Prof Training			
Data Processing Services - SSRC			

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72600800 Private Prison Monitoring
Fund: 2510 Operating Trust

Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: Transfer from Dept. of Corrections: for the major maintenance and repair for Correctional Facilities overseen by Private Prison Monitoring.

	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013 - 14	(4) REQUEST FY 2014 - 15
<u>Indirect Costs Charged to Trust Fund</u>			
TR to GR-8% Svc Chrg (PPM)	8,869	8,880	8,880
Transfer to 2021-Admin.Assess. Fee		-	-
Budget Amendment EOG# B0170		482,311	
Refunds- Non-State Revenues.			
Cert Forward A Reversions @ 9/30/2012			
6/30/2012 Cert Forward B Paid	353,194		
Cert Forward Reversions @ 9/30/2010	-		
5% Trust Fund Reserve - PPM			82,453
Assessment for Investments 890000 - 310403	7,695		-
<u>Total Full Costs to Line (2) - Section III</u>	1,325,205	1,450,857	1,591,411

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	1,665,479	1,657,924	1,657,924
TOTAL SECTION II	(B)	1,325,205	1,450,857	1,591,411
TOTAL - Surplus/Deficit	(C)	340,273	207,067	66,513

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPERATING TRUST FUND
LAS/PBS Fund Number:	PRIVATE PRISONS MONITORING (72600800)
	2510

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	10,651 (A)		10,651
ADD: Other Cash (See Instructions)	0 (B)		0
ADD: Investments	6,715,301 (C)		6,715,301
ADD: Outstanding Accounts Receivable	261,844 (D)		261,844
ADD:			
Total Cash plus Accounts Receivable	6,987,796 (F)	0	6,987,796
LESS Allowances for Uncollectibles			
LESS Approved "A" Certified Forwards	15,104 (H)		15,104
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards			
LESS: Other Accounts Payable (Non Operating)	2,188 (I)		2,188
LESS: <u>Other Accounts Payable</u>	0 (J)		
Unreserved Fund Balance, 07/01/12	6,970,504 (K)	0	6,970,504**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Private Prisons Monitoring (72600800)
LAS/PBS Fund Number:	2510

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13	
Total all GLC's 5XXXX for governmental funds:	6,970,504
GLC 539XX for proprietary and fiduciary funds	

Subtract Nonspendable Fund Balance (GLC 56XXX)	
---	--

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description	
-----------------------------------	--

SWFS Adjustment # and Description	
-----------------------------------	--

Add/Subtract Other Adjustment(s):

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

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

A/P not C/F-Operating Categories	
----------------------------------	--

ADJUSTED BEGINNING TRIAL BALANCE:	6,970,504
--	------------------

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	6,970,504
--	------------------

DIFFERENCE:	-
--------------------	----------

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Private Prisons

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no issues or findings to report for Private Prison Monitoring.		

Fiscal Year 2014-15

Human Resource Management (HRM)

Exhibits and Schedules

Fiscal Year 2014-15

Human Resource Management

Schedule I Series

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72750100 Human Resource Management
Fund: 2510 Operating Trust
Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: For training purposes and to record deposit of federal grant dollars.

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

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

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>		ACTUAL	ESTIMATED	REQUEST
		FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>				
Federal Grant				
Goods and Services				
Interest Earnings				
Reimbursements				
Total Fee Collection to Line (1) - Section III		-	-	-

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
Contracted Services			

Indirect Costs Charged to Trust Fund:

Transfer to General Revenue	20,476		
Cert Forward Reversions			
5% Trust Fund Reserve			
Total Full Costs to Line (2) - Section III	20,476	-	-

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	-	-	-
TOTAL SECTION II	(B)	20,476	-	-
TOTAL - Surplus/Deficit	(C)	(20,476)	-	-

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPERATING TRUST FUND
LAS/PBS Fund Number:	HUMAN RESOURCE MANAGEMENT - ADA (72750100)
	2510

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	(A)		
ADD: Other Cash (See Instructions)	(B)		0
ADD: Investments	0 (C)		0
ADD: Outstanding Accounts Receivable	(D)		0
ADD:	(E)		0
Total Cash plus Accounts Receivable	0 (F)	0	0
LESS Allowances for Uncollectibles	(G)		0
LESS Approved "A" Certified Forwards	(H)		0
Approved "B" Certified Forwards	(H)		0
Approved "FCO" Certified Forwards	(H)		0
LESS: Other Accounts Payable (Non Operating)	(I)		0
LESS: <u>Other Accounts Payable</u>	(J)		0
Unreserved Fund Balance, 07/01/13	0 (K)		0 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: HUMAN RESOURCE MANAGEMENT - ADA (72750100)
LAS/PBS Fund Number: 2510

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

Total of all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

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

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: **0** (E)

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

DIFFERENCE: **0** (G)*

***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72750100 Human Resource Management
Fund: 2678 State Personnel System Trust
Specific Authority: Section 110.125, F.S.
Purpose of Fees Collected: To maintain and administer the Personnel Program

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

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

	(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013 - 14	(4) REQUEST FY 2014 - 15
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		-	-	-

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
Sp.Cat.:Contracted Services			
Sp.Cat.:Risk Management Insurance			
St. Emp. Charitable Campaign			
TR DMS/Human Res SVC			
HR Statewide Contract			
Legal Services			
Deferred Payments Contract			
Data Processing Services-SSRC			

Indirect Costs Charged to Trust Fund:

TR to GR- 8% Srvc Chrg		-	-
TR to 2021 - Admin. Assess. Fee		-	-
Refunds			
Transfer to BE 72750400			
Cert.Forward A Reversions @9/30/201			
Accounts Payable not CF @ 6/30/2011			
Cert.Forward Reversions @9/30/2012			
Total Full Costs to Line (2) - Section III		-	-

Basis Used: Accrual

SECTION III - SUMMARY

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

EXPLANATION:

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

Department: Management Services **Budget Period:** 2014-15
Program: Human Resource Management (72750100)
Fund: State Personnel System Trust (2678)

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

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>			
TR from Agencies/HR Svcs Assessmen	<input type="text"/>	<input type="text" value="-"/>	<input type="text" value="-"/>
Interest Earnings	<input type="text"/>	<input type="text" value="-"/>	<input type="text" value="-"/>
Refunds and Reimbursements	<input type="text"/>	<input type="text"/>	<input type="text"/>
Miscellaneous	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Fee Collection to Line (1) - Section III	<input type="text" value="-"/>	<input type="text" value="-"/>	<input type="text" value="-"/>

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	STATE PERSONNEL SYSTEM TRUST
LAS/PBS Fund Number:	HUMAN RESOURCE MANAGEMENT (72750100)
	2678

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	(A)		
ADD: Other Cash (See Instructions)	(B)		0
ADD: Investments	(C)		
ADD: Outstanding Accounts Receivable	(D)	(6,291)	
ADD:	(E)		
Total Cash plus Accounts Receivable	0 (F)	-6,291	0
LESS Allowances for Uncollectibles	(G)		0
LESS Approved "A" Certified Forwards	(H)		
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards	(H)		0
LESS: Other Accounts Payable (Non Operating)	(I)		
LESS: <u>Other Accounts Payable</u>	(J)		0
Unreserved Fund Balance, 07/01/13	(K)		0 **

Notes:

*SWFS = Statewide Financial Statement

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

Fiscal Year 2014-15

Insurance Benefits Administration (DSGI)

Exhibits and Schedules



FLORIDA DEPARTMENT of

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SERVICES

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Rick Scott, Governor

Craig J. Nichols, Agency Secretary

Fiscal Year 2014-15

Insurance Benefits Administration (DSGI)

Schedule I Series

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

Department: 72 Management Services **Budget Period: 2014-15**
Budget Entity: 72750200 Insurance Benefits Administration
Fund: 2570 Pretax Benefits Trust
Specific Authority: 110.161, F.S.
Purpose of Fees Collected: Employee Benefits Plan

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

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

(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013 - 14	(4) REQUEST FY 2014 - 15
Receipts:			
Employee Contributions	23,991,123	28,900,000	28,900,000
Savings	19,413,931	21,000,000	21,000,000
Interest Earnings	420,479	390,000	390,000
Supplemental Plan Premiums	69,264,112	74,300,000	74,300,000
Refunds	129,304	-	-
Penalties	-	-	-
Total Fee Collection to Line (1) - Section III	113,218,949	124,590,000	124,590,000

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	370,520	375,167	380,210
Other Personal Services	-	2,500	2,500
Expenses	19,722	48,832	48,832
Operating Capital Outlay	-	10,000	10,000
Sp.Cat.:Risk Management Insurance	5,861	2,457	2,457
HR Statewide Contract	3,960	3,744	3,744
Contracted Services	33,483	348,505	348,505
Data Processing Services - SSRC	-	2,423	2,432

Indirect Costs Charged to Trust Fund:

TR to Health Fund-2668	22,650,000	22,000,000	22,000,000
Reimbursement of Claims	23,168,402	27,000,000	27,000,000
Payment of Premiums	69,811,300	74,300,000	74,300,000
Refunds	313,939	-	-
Employer/Employee Adjustments	205	-	-
TR to 2021-Admin.Assess.Fee	131,892	100,694	124,861
PY CF B Paid in FY 2011/12	117,404		
Cert Forward A Reversions @ 9/30/2012			
Assessment for Investments 890000 - 31040	28,753	-	-

Total Full Costs to Line (2) - Section III	116,655,441	124,194,322	124,223,541
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Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	113,218,949	124,590,000	124,590,000
TOTAL SECTION II	(B)	116,655,441	124,194,322	124,223,541
TOTAL - Surplus/Deficit	(C)	(3,436,492)	395,678	366,459

EXPLANATION:

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	PRETAX BENEFITS TRUST
LAS/PBS Fund Number:	INSURANCE BENEFITS ADMINISTRATION (72750200)
	2570

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,527,528 (A)		1,527,528
ADD: Other Cash (See Instructions)			0
ADD: Investments	7,394,956 (C)		7,394,956
ADD: Outstanding Accounts Receivable	865,806 (D)	0	865,806
ADD: <u>2008/2009 Premiums</u>			0
Total Cash plus Accounts Receivable	9,788,290 (F)		9,788,290
LESS Allowances for Uncollectibles	0 (G)		0
LESS Approved "A" Certified Forwards	8,926 (H)		8,926
Approved "B" Certified Forwards	0 (H)		0
LESS: Other Accounts Payable (Non-Operating)	17,917 (H)	-	17,917
LESS: <u>Unearned Revenue</u>	9,688,610 (I)		9,688,610
LESS: Other Accounts Payable	0 (J)		0
Unreserved Fund Balance, 07/01/13	72,837 (K)		72,837**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Compensated Absences Liability (D)

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72750200 Insurance Benefits Administration
Fund: 2667 State Employees Life Insurance Trust
Specific Authority: 110.123, F.S.
Purpose of Fees Collected: Employee Benefits Plan

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
Receipts:				
Contributions		30,304,299	31,500,000	31,500,000
Interest Earnings		45,839	42,795	42,795
<i>Proposed Premium Increase</i>		-	-	-
Miscellaneous		372	-	-
Refund from Prudential		-	-	-
Transfer In From Disability Trust Fund		-	-	-
Total Fee Collection to Line (1) - Section III		30,350,510	31,542,795	31,542,795

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits		-	21,196	21,479
Expenses		-	1,984	1,984
Sp.Cat.:Risk Management Insurance		1,020	428	428
TR/DMS/HR Svcs/STWD Contract		276	261	261
Data Processing Services - SSRC		-	511	512

Indirect Costs Charged to Trust Fund:

Refunds		43,771		
Adj.to Employee/Employer Contrib.		147	-	-
Payment of Premiums		30,644,371	31,500,000	31,500,000
TR to 2021-Admin.Assess.Fee		1,847	1,401	1,737
Certified Forward Reversions		-	-	-
Assessment for Investments 890000 - 31		3,044	-	-
Reserve for Pay Package		-	-	-
Total Full Costs to Line (2) - Section III		30,694,476	31,525,781	31,526,401

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	30,350,510	31,542,795	31,542,795
TOTAL SECTION II	(B)	30,694,476	31,525,781	31,526,401
TOTAL - Surplus/Deficit	(C)	(343,966)	17,014	16,394

EXPLANATION:

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	STATE EMPLOYEE LIFE INSURANCE TRUST
LAS/PBS Fund Number:	INSURANCE BENEFITS ADMINISTRATION (72750200)
	2667

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	331,811 (A)		331,811
ADD: Other Cash (See Instructions)			0
ADD: Investments	2,699,060 (C)		2,699,060
ADD: Outstanding Accounts Receivable	1,706 (D)	-	1,706
ADD: <u>2008/2009 Premiums</u>	0 (E)		0
Total Cash plus Accounts Receivable	3,032,577 (F)	0	3,032,577
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable	262 (I)		262
LESS: <u>Unearned Revenue</u>	2,519,723 (J)		2,519,723
Unreserved Fund Balance, 07/01/13	512,592 (K)	0	512,592**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

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

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (D)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) (E)

DIFFERENCE: (F)*

***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72750200 Insurance Benefits Administration
Fund: 2668 State Employees Health Insurance Trust
Specific Authority: 110.123, F.S.
Purpose of Fees Collected: Employee Benefits Plan

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

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

(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013 - 14	(4) REQUEST FY 2014 - 15
Receipts: SEE ATTACHED LISTING			
Total Fee Collection to Line (1) - Section III	1,842,748,736	2,025,800,000	2,147,600,000

(1) SECTION II - FULL COSTS	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013 - 14	(4) REQUEST FY 2014 - 15
Direct Costs:			
Salaries and Benefits	1,150,443	1,352,465	1,370,638
Other Personal Services	48,312	140,772	140,772
Expenses	157,852	294,096	296,709
Operating Capital Outlay	-	10,000	10,000
Sp.Cat.:TR to Div.of Admin.Hearings	5,820	46,492	46,492
Sp.Cat.:ASO Contract/Health Ins.	48,162,332	51,100,000	58,600,000
Sp.Cat.:Prescription Drug Claims Ad.	149,304	287,280	287,280
Sp.Cat.: Risk Management Insurance	18,090	7,585	7,585
Sp.Cat:Post Payment Claims/Svcs	80,649	400,000	400,000
Sp.Cat.: Contracted Services	879,817	1,599,157	1,099,157
Contracted Legal Services	48,880	50,000	50,000
Pymt Employer/HSA Custodian	823,178	786,443	1,210,904
Deferred-Pay Com Contracts	-		
HR Statewide Contract	10,898	10,303	10,303
Sp.Cat.: Contracted Bank Services	31,904	79,000	79,000
Lease/Purchase/Equipment	3,431	4,435	4,435
Data Processing Services-SSRC	13,974	6,088	2,861

Indirect Costs Charged to Trust Fund:			
Payments to Health Maint. Orgs.	259,672,960	279,400,000	309,000,000
Payments to Self Insured Health Maint.Orgs.	510,465,565	588,200,000	650,600,000
TR to Health Claims Bank Account	1,024,595,550	1,115,000,000	1,189,000,000
Pymt of Participant to HSA Custodian	1,048,463	813,557	813,557
Refunds	3,164,540		
Adj. to E/E Contributions	17,839		
Prior Year Accounts Payable not Certified Forward	(4,206,280)		
TR to 2021-Admin.Assess.Fee	380,966	286,273	374,979
Transfer to Admin TF for Contracted Legal Services		100,000	250,000
CF B Paid not in Beg Bal	357,086		
Cert Forward A Reversions @ 9/30/2012	(22,666)		
Cert Forward Reversions @ 9/30/2013		(243,418)	
Federal Patient Protection Affordable Care Act Assessment for Investments 890000 - 310403	345,345	-	-
Total Full Costs to Line (2) - Section III	1,847,404,252	2,039,730,528	2,213,654,672

Basis Used: Accrual

TR to Health Claims Bank Account

SECTION III - SUMMARY			
TOTAL SECTION I	(A)	1,842,748,736	2,147,600,000
TOTAL SECTION II	(B)	1,847,404,252	2,213,654,672
TOTAL - Surplus/Deficit	(C)	(4,655,516)	(66,054,672)

EXPLANATION:

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

Department: Management Services **Budget Period: 2014-15**
Program: Insurance Benefits Administration (72750200)
Fund: State Employees Health Insurance Trust (2668)

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

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>			
<u>Employee/Employer Contributions</u>	1,744,813,276	1,707,600,000	1,806,700,000
<u>Health Saving Account Employer Contributions</u>	-	1,600,000	1,600,000
<u>Contributions-Medicare Part D Subsidy</u>	15,878,394	19,700,000	21,100,000
<u>Interest Earnings</u>	5,312,339	5,100,000	4,100,000
<u>Reimbursements & Refunds (TPA & PBM Rebates)</u>	53,096,721	39,200,000	35,500,000
<u>Non-Employee Contributions</u>	-	230,600,000	246,600,000
<u>Prior Year Warrant Cancellations & Misc</u>	998,006	-	-
<u>Transfer from 72750200-2570</u>	22,650,000	22,000,000	22,000,000
<u>Proposed Premium Increases</u>			10,000,000
Total Fee Collection to Line (1) - Section III	1,842,748,736	2,025,800,000	2,147,600,000

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	STATE EMPLOYEE HEALTH INSURANCE TRUST
LAS/PBS Fund Number:	INSURANCE BENEFITS ADMINISTRATION (72750200)
	2668

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	16,164,663 (A)		16,164,663
ADD: Cash in Claims Bank Account	996,573 (B)		996,573
ADD: Investments	328,295,538 (C)		328,295,538
Total Cash and Investments, (DSGI Cash Balance)	345,456,774		345,456,774
ADD: Outstanding Accounts Receivable	16,536,504 (D)	-	\$ 16,536,503.82
ADD: <i>Proposed Premium Increase</i>			-
Total Cash, Investments and Accounts Receivable	361,993,278 (F)	0	361,993,278
LESS Allowances for Uncollectibles			-
LESS Approved "A" Certified Forwards	53,635 (H)		53,635
Approved "B" Certified Forwards	647,022 (H)		647,022
LESS: Other Accounts Payable (Non_Operating)	148,686,595 (H)		148,686,595
LESS: Other Accounts Payable			-
LESS: <u>Unearned Revenue</u>	131,270,299 (J)		131,270,299
Unreserved Fund Balance, 07/01/13	81,335,727 (K)	0	81,335,727**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; 78,426,692 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (647,022) (D)

Compensated Absences Liability 167,017 (D)

A/P not C/F-Operating Categories 3,389,040 (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 81,335,727 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 81,335,727 (F)*

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds;
GLC 539XX for proprietary and fiduciary funds **78,426,692** (A)

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description _____ (C)

SWFS Adjustment # and Description _____ (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS **(647,022)** (D)

Compensated Absences Liability **167,017** (D)

A/P not C/F-Operating Categories **3,389,040** (D)

_____ (D)

_____ (D)

_____ (D)

ADJUSTED BEGINNING TRIAL BALANCE: **81,335,727** (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) **81,335,727** (F)*

DIFFERENCE: **0** (G)*

***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72750200 Insurance Benefits Administration
Fund: 2671 State Employees Disability Insurance Trust
Specific Authority: 110.123, F.S.
Purpose of Fees Collected: Employee Benefits Plan

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

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

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST	
	FY 2012 - 13	FY 2013 - 14	FY 2014 - 15	
<u>Receipts:</u>				
Contributions	501,987	525,000	525,000	
Interest Earnings	47,646	44,500	44,500	
Refunds	745	-	-	
Total Fee Collection to Line (1) - Section III	550,378	569,500	569,500	

<u>SECTION II - FULL COSTS</u>				
<u>Direct Costs:</u>				
Salaries and Benefits	-	27,744	28,117	
Other Personal Services	-			
Expenses	-	2,875	2,875	
HR Statewide Contract	131	124	124	
Sp.Cat.:Risk Management Insurance	509	213	213	
Data Processing Services-SSRC	-	947	950	
<u>Indirect Costs Charged to Trust Fund:</u>				
Refunds				
Employee/Employer Adjustments	2			
Payment of Claims	382,942	450,000	450,000	
TR to 2021-Admin.Assess.Fee	1,430	1,321	1,638	
Post Closing Adj.by Statewide Fin.	-			
Assessment for Investments 890000 - 31	3,098	-	-	
Reserve for Pay Package	-			
Total Full Costs to Line (2) - Section III	388,112	483,224	483,917	

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>				
TOTAL SECTION I	(A)	550,378	569,500	569,500
TOTAL SECTION II	(B)	388,112	483,224	483,917
TOTAL - Surplus/Deficit	(C)	162,266	86,276	85,583

EXPLANATION:

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	STATE EMPLOYEE DISABILITY INSURANCE TRUST
LAS/PBS Fund Number:	INSURANCE BENEFITS ADMINISTRATION (72750200)
	2671

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	29,343 (A)		29,343
ADD: Other Cash (See Instructions)	(B)		0
ADD: Investments	2,657,467 (C)		2,657,467
ADD: Outstanding Accounts Receivable	1,594 (D)		1,594
Total Cash plus Accounts Receivable	2,688,405 (F)		2,688,405
LESS Allowances for Uncollectibles	(G)		0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards	(H)		0
Approved "FCO" Certified Forwards	(H)		0
LESS: Other Accounts Payable (Non-Operating)	266 (I)		266
LESS: <u>Unearned Revenue</u>	42,729 (J)		42,729
Unreserved Fund Balance, 07/01/13	2,645,410 (K)		2,645,410**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

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

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

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

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Insurance Benefits Administration

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no issues or findings to report for Insurance Benefits Administration.		

Fiscal Year 2014-15

Retirement Benefits
Administration

Exhibits and Schedules

Fiscal Year 2014-15

Retirement Benefits
Administration

Schedule I Series

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72750300 Retirement Benefits Administration
Fund: 2510 Operating Trust
Specific Authority: 121.031, F.S.
Purpose of Fees Collected: Employee Benefits Plan

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

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

(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL	ESTIMATED	REQUEST
	FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
Receipts:			
SEE ATTACHED LISTING	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Fee Collection to Line (1) - Section III	14,835,365	18,180,930	19,480,930
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	8,805,733	9,992,478	10,156,143
Other Personal Services	431	6,029	6,029
Expenses	2,355,322	3,108,741	2,879,268
Operating Capital Outlay	95,748	100,000	151,750
Sp.Cat.:TR to DOAH	13,581	39,993	39,993
Sp.Cat.:Contracted Services	4,066,787	4,184,919	4,386,919
Sp.Cat.:Overtime	25,423	122,571	122,571
Sp.Cat.:Risk Management Insurance	54,497	48,498	48,498
Contracted Legal Services	29,713	159,872	159,872
Lease/Purchase/Equipment	20,054	23,571	23,571
HR Statewide Contract	56,016	52,957	52,957
Data Processing Services-SSRC	258,014	297,799	266,053
Indirect Costs Charged to Trust Fund:			
Certified Forward B Paid not in Beg Bal	137,075	<input type="text"/>	<input type="text"/>
Cert Forward A Reversions @ 9/30/2012	(63,593)	<input type="text"/>	<input type="text"/>
Cert Forward Reversions @ 9/30/2013	<input type="text"/>	(115,708)	<input type="text"/>
Refunds	448	<input type="text"/>	<input type="text"/>
Assessment on Investments 590000 - 31040	1,198	-	-
Total Full Costs to Line (2) - Section III	15,856,446	18,021,720	18,293,624

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	14,835,365	18,180,930	19,480,930
TOTAL SECTION II	(B)	15,856,446	18,021,720	18,293,624
TOTAL - Surplus/Deficit	(C)	(1,021,081)	159,210	1,187,306

EXPLANATION:

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

Department: 72 Management Services **Budget Period: 2014-15**
Budget Entity: 72750300 Retirement Benefits Administration
Fund: 2510 Operating Trust

Specific Authority: 121.031, F.S.
Purpose of Fees Collected: Employee Benefits Plan

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>			
TR in from 72750300-2309	14,700,000	18,050,000	19,350,000
Interest Earnings	19,321	18,100	18,100
Sales - State	112,830	112,830	112,830
Refunds & Reimbursements	3,214		
Total Fee Collection to Line (1) - Section III	14,835,365	18,180,930	19,480,930

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SER
Budget Entity:	FRS OPERATING TRUST
LAS/PBS Fund Number:	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2510

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	11,321 (A)	0	11,321
ADD: Cash on Hand & Cash in Bank	2,892 (B)	0	2,892
ADD: Investments	1,472,931 (C)	0	1,472,931
Total Cash and Investments	1,487,144	0	1,487,144
ADD: Outstanding Accounts Receivable	300,755 (D)	0	300,755
Total Cash, Investments and Accounts Receivable	1,787,900 (F)	0	1,787,900
LESS Allowances for Uncollectibles	(G)	0	0
LESS Approved "A" Certified Forwards	1,347,168 (H)	0	1,347,168
Approved "B" Certified Forwards	65,807 (H)	0	65,807
Approved "FCO" Certified Forwards	(H)	0	0
LESS: Other Accounts Payable	538 (I)	0	538
Unreserved Fund Balance, 07/01/13	374,386 (K)	0	374,386 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	40,504 (A)
Subtract Nonspendable Fund Balance (GLC 56XXX)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments:	
SWFS Adjustment # and Description	(C)
SWFS Adjustment # and Description	(C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(65,807) (D)
Compensated Absences Liability	823,086 (D)
A/P not C/F-Operating Categories	(D)
Property Value in Net Assets Unrestricted-Fiduciary Fund	(423,396) (D)
	(D)
	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	374,386 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	374,386 (F)*
DIFFERENCE:	0 (G)*

***SHOULD EQUAL ZERO.**

**DEPARTMENT OF MANAGEMENT
SERVICES**

**UPDATED
SCHEDULE IV-B**

**FOR
DIVISION OF RETIREMENT
IRIS MODERNIZATION PROJECT**

**FOR
FISCAL YEAR 2014-2015**



State of Florida

The Florida Legislature

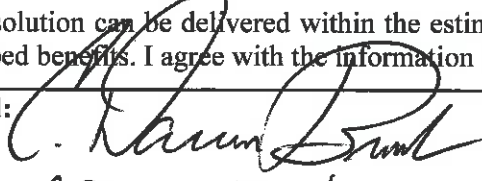
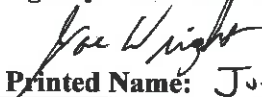


Governor's Office of Policy and Budget

October 15, 2013
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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Management Services Division of Retirement	Schedule IV-B Submission Date: October 15, 2013
Project Name: IRIS Modernization Project	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2014-15 LBR Issue Code: 36332CO	FY 2014-15 LBR Issue Title: Information Technology Integrated Retirement Information System (IRIS)
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Gerald L. (Jerry) Haynes, (850) 778-4410, jerry.haynes@dms.myflorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 10/11/13
Printed Name: C. DARREN BROOKS	
Agency Chief Information Officer (or equivalent): 	Date: 10/11/13
Printed Name: Joe Wright	
Budget Officer: 	Date: 10/11/13
Printed Name: Debra Folsom	
Planning Officer:	Date:
Printed Name:	
Project Sponsor: Elizabeth Stevens on behalf of Dan Drake 	Date: 10/15/2013
Printed Name: Elizabeth Stevens	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

A. Update to Original Schedule IV-B Created June 30, 2011

Purpose: To update the original Schedule IV-B in support of the FY 2014-2015 Legislative Budget Request and new project approach.

The current FY 2014-15 Legislative Budget Request (LBR) which this updated Schedule IV-B supports, requests \$1 million for a comprehensive Requirements and Process Design and Market Analysis to determine the most appropriate approach for modernizing the Division of Retirement’s Information Technology. Although the original IRIS Modernization Study, completed June 30, 2011, and the supporting Schedule IV-B recommends a complete replacement of the IRIS, consideration should be given to the alternative solution to upgrade the current information technology platform rather than replace it. The department believes consideration should be given to modernizing IRIS by upgrading the current system because it may be much less expensive than a full replacement since the current system has many components which would not need to be replaced. Approval of the \$1 million FY 2014-15 Legislative Budget Request would provide the funds needed to develop the Requirements and Process Design and to prepare a Market Analysis of build/upgrade versus buy/replace approaches to modernizing the division’s information technology platform.

The following chart shows the various components of the information technology platform and which components would be upgraded or replaced, added, enhanced or retained. The Line of Business and Reports components noted below would either be upgraded or replaced depending upon the market analysis. The remainder of the components shown below must be addressed as noted regardless of the approach selected.

DIVISION OF RETIREMENT INTEGRATED RETIREMENT INFORMATION SYSTEM (IRIS)					
		IRIS SYSTEM COMPONENTS			
RETIREMENT STAFF AND OTHER USERS OF IRIS	BUSINESS PROCESSES (RETAIN)	LINE OF BUSINESS (UPGRADE or REPLACE)	REPORTS (UPGRADE or REPLACE)	DATABASE (RETAIN)	
		IMAGING WORKFLOW ARCHIVES (POTENTIALLY REPLACE)	FORMS (RETAIN)		
	SYSTEM REQUIREMENTS FUNCTIONAL & NON-FUNCTIONAL (ENHANCE)	RETIREMENT ONLINE (RETAIN)	BUSINESS RULES ENGINE (ADD)		

II. Schedule IV-B Business Case

A. Background and Strategic Requirements and Process Design

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

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

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



Administering:

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

Monitoring Florida's 487 local government public retirement systems covering 101,087 active members and six school board early retirement programs covering 8,625 school board employees for compliance with Part VII of chapter 112, F.S.

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

Ensuring Compliance with Article X, Section 14, of the Florida Constitution, which requires concurrent funding of benefit increases on a sound actuarial basis, and with section 112.61, F.S., the Florida Protection of Public Employee Retirement Benefits Act. The division depends heavily on the Integrated Retirement Information System (IRIS) and FRS Online to serve the FRS members.

The IRIS is based on aging technology and system architecture. The IRIS was originally developed in 1997, when client-server architecture was a leading technology and the IRIS was viewed by other states as a model for a modern retirement information technology system. In the ensuing 16 years, changes in program services, program complexity, technology, membership size, and member and partner expectations have increased. While the current system still supports the majority of the division's business needs, its underlying architecture prevents the division from implementing modernizations and

innovating to the next level in customer service and administrative cost control. The division is challenged to respond quickly to legislative mandates and the cost of maintaining its system has increased. The division is concerned about risks related to the longevity and flexibility of the system.

The following items have been identified by an independent study (The IRIS Modernization Study), completed June 30, 2011, and an updated risk assessment completed August 21, 2013, conducted by the same third party consulting firm (at the request of the division) as areas of concern with the current IRIS system:

- 1. Business needs remain unfulfilled:** As part of an ongoing commitment to continuous process improvement and enhanced customer service, the division continues to strive to increase customer self-service by providing increased functionality and faster response times through automated processes. The division has identified 24 business needs that continue to remain unfulfilled. The division has prioritized 11 business needs as “High” (required today, refer to Gap Fit analysis in the IRIS Modernization Study). It is imperative that these needs be fulfilled to maintain and potentially enhance customer satisfaction and employee productivity. The division requires increased flexibility to support newer customer requirements, legislative mandates and market conditions, and to continue to provide excellent customer service. The current system’s architecture limits this much-needed functionality.
- 2. Ongoing viability of the current architecture is in question:** Although the IRIS system is meeting the division’s current basic needs, it is unlikely that the system will continue to meet the division’s current level of service and customer satisfaction. The division identified 24 business needs that need to be fulfilled, and the division is unable to make progress in this direction due to the fixed amount of resources at its disposal and the fact that seemingly simple requirements are consuming significant resources due to the inflexibility and complexity of the current architecture. Many small inefficiencies linger in the current system which prevents the division from moving to the next level in terms of administrative cost control or enhancing customer service. In addition, components such as PowerClass (the core development framework for the IRIS) are already unsupported by the Original Equipment Manufacturer (OEM). It is unlikely that the IRIS can be supported or enhanced significantly on tools and technologies that are no longer supported by their OEMs.
- 3. Maintaining the IRIS:** Sufficient technical resources exist to prevent a crisis in maintaining the current environment, but the cost of these resources are approximately 20% higher than they would be with modern architecture. A staffing analysis showed a trend of diminishing external knowledge base in the legacy technology, leading to the likelihood that resources will become scarcer over time. The availability of staff was confirmed as a risk of the current system and has a potential long-term impact on cost and the ability to maintain the system. Resources skilled in modern architectures are easier to find and cost less.
- 4. Membership is increasing:** The FRS membership is estimated to grow by 73% by Fiscal Year 2019-20 (compared to Fiscal Year 2000-01). Over the past 12 years, the number of members served per division employee has increased by 55% while the division staffing levels have decreased by 22%. To serve the increased FRS membership, the division will likely need to either proportionately increase the staffing levels (which may not guarantee the same level of workforce

efficiency) or upgrade or replace the system to implement a more modern IRIS to help the division maintain a cost effective program while maintaining customer satisfaction.

- 5. Administrative costs may increase:** The current administrative cost will increase as the FRS membership grows and the aging technology system requires more manual work arounds. The division will need to increase staffing to maintain current customer service levels. Upgrading or replacing the information technology platform will provide the flexibility needed to make more efficient programmatic changes that limit future staffing increases.

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

2. Business Objectives

The Division of Retirement administers the payment of more than \$6.2 billion annually from the \$132.41 billion FRS trust fund as of June 30, 2013. Legislative changes and a growing population are conditions that will put stress on the current IRIS system. The objective of this project is to get ahead of those problems by updating the FRS technology. This will allow the division to manage the FRS trust money efficiently and ultimately save the State of Florida and its taxpayers' money.

B. Baseline Analysis

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

1. Current Business Process Requirements

While the current management processes for the FRS are acceptable, the division faces challenges in maintaining its performance level because of the age and abilities of the current IRIS system. That said, the division continues to be one of the lowest cost operations in the country because of the efficiencies gained 16 years ago when the current IRIS was implemented. In implementing a modern IRIS system, little business process requirements transformation, if any, will likely be required.

To more fully understand the necessity of modernizing IRIS, it is important to have a general understanding of the FRS as a whole. Below is a brief summary of the FRS along with comparisons to other public pension systems of similar size and scope.

Facts about the Florida Retirement System (FRS):

- FRS is the fifth largest public retirement system in the United States.
- FRS continues to remain as one of the most economical systems in terms of administrative costs.
- FRS current member satisfaction is 96%.

Comparing the Size of Florida to Other States:

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

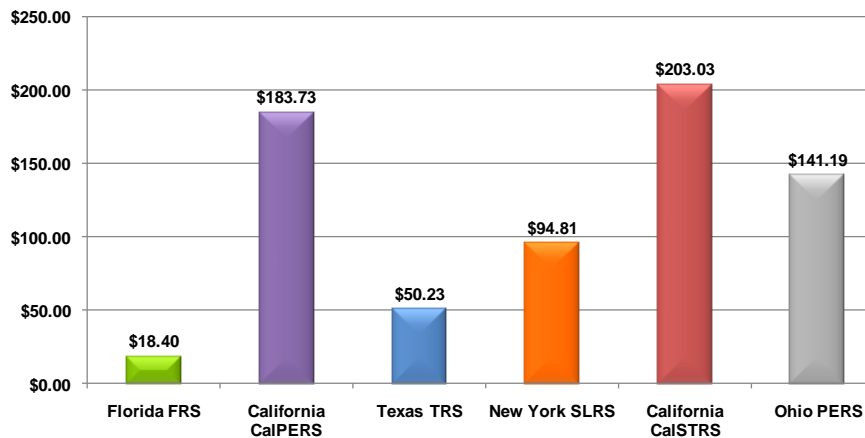
Exhibit 1 : Retirement Membership by State

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

Comparing Florida Administrative Costs to Other States:

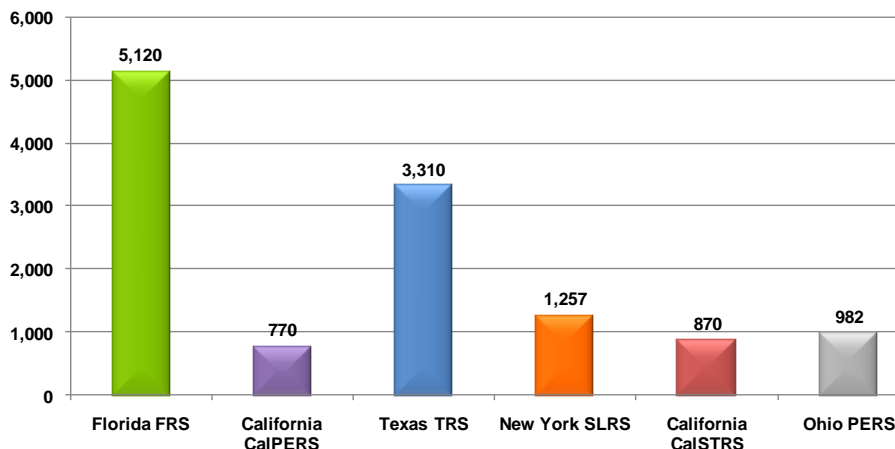
The Florida Retirement System’s administrative costs are lower than other states. The FRS per member administrative cost is \$18.40 per year. The closest published comparison is to Texas with an administrative cost of \$50.23 per member (173% more than FRS). The following table shows the administrative cost by state as of FY 2009-10.

Administrative Cost Per Member



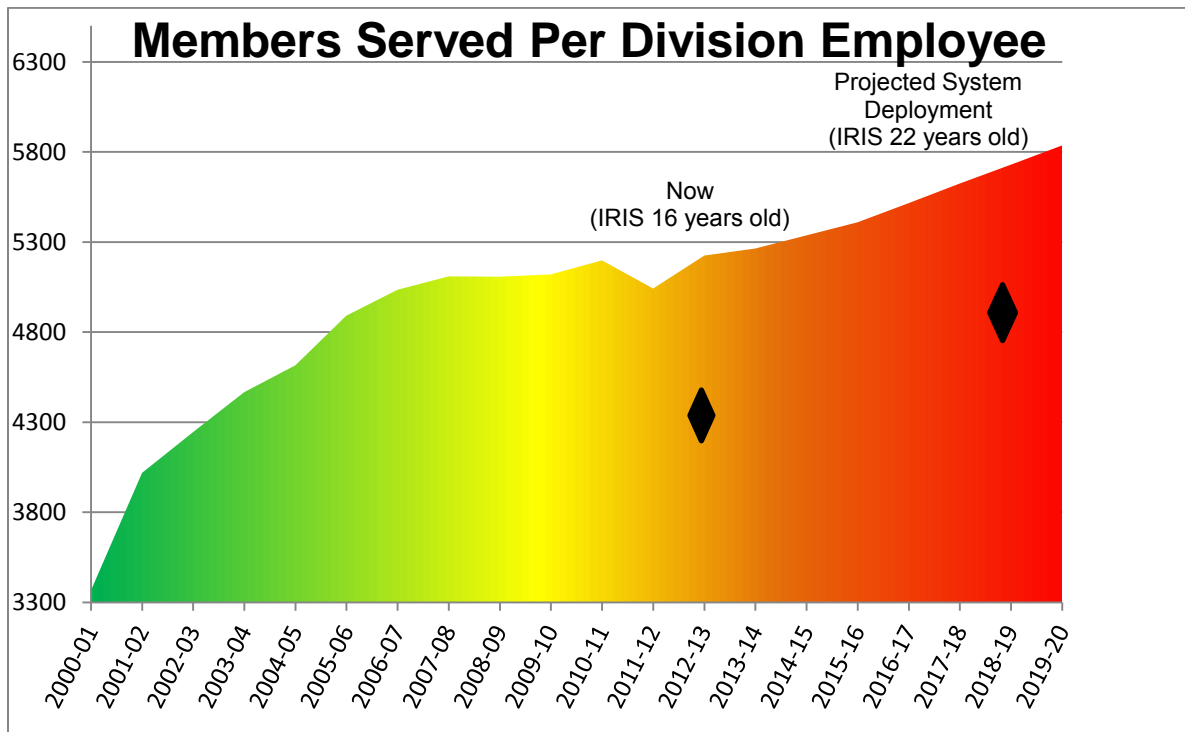
Using a different metric and comparing the FRS program membership size to the number of division employees shows the FRS has a higher member-to-employee service ratio than other states. In FY 2009-10, the FRS served 5,120 members per division employee. The closest published comparison is Texas which serves 3,310 members per division employee. Florida serves 54% more members per division employee than Texas.

Members Served Per Division Employee



Ability to Maintain Low Administrative Costs:

The division’s software maintenance vendor and the general marketplace indicates that the IRIS has allowed the division to achieve most, if not all, of the efficiencies that it can practically achieve within the limitations of the current system’s architecture. Over the past 12 years the division’s FTE staffing levels have decreased by 22% while the FRS membership has increased by 22% and the retirement programs have grown in complexity. This has had an impact on the “Members Served Per Division Employee” metric. The division projected the estimated FRS membership volume and compared this to the division’s planned staffing levels in order to better understand the impacts on business. The FRS membership is estimated to grow by 73% by Fiscal Year 2019-20 (compared to Fiscal Year 2000-01). As of FY 2012-13, below is the plotted “Members Served Per Division Employee” metric for the previous 12 years, with an estimate through the next seven years.



The FRS membership is increasing which puts pressure on the current technical architecture’s ability to meet increased service and functionality demands, avoid manual process work arounds, and respond to legislative changes efficiently. The division will need to either increase staffing to maintain current service levels to the FRS membership or upgrade or replace the system to a more modern IRIS that can help the division maintain its cost effective program with a high level of customer satisfaction.

2. Assumptions and Constraints

The division operates in a regulated environment and is subject to numerous State statutes and rules as well as professional standards relating to data protections and

integrity. These requirements will need to be carefully considered during requirement analysis and eventual system selection.

C. Proposed Business Process Requirements

1. Proposed Business Process

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

ID Business Need Identified (as of June 30, 2012)	
4	<p>Ability to roll out new code without installing on individual machines.</p> <ol style="list-style-type: none"> 1. Replace “thick” client-server with “thin” or browser-based client-server architecture. (SWOT)
Secure – System access control and data protection.	
5	<p>Ability to define and implement robust and fine grain security controls for system access (e.g. least privilege, default deny – access by exception, cascading password changes).</p> <ol style="list-style-type: none"> 1. Implement interchangeable off-the-shelf component for security to help address weaknesses of the IRIS and improve the IRIS. (SWOT) 2. The current security management software uses a “remove” rather than “add” approach to access rights. This means that when a new user is added, he or she receives access to the full application and rights must be taken away to get to the correct access level. Newer systems take an additive approach, where a user starts out with access to nothing and rights are specifically granted for appropriate access. This control style is easier to implement, introduces less risk and has fewer opportunities for human error. (SWOT) 3. Users currently must be added and maintained in three locations (database, application and Windows), which makes requiring frequent password changes unmanageable. (SWOT)
Portable – The data can be migrated to other platforms as dictated by the division’s needs.	
6	<p>Ability to export data in multiple formats (e.g. excel, csv, pdf)</p> <ol style="list-style-type: none"> 1. Users need to be able to export reports to multiple formats. Users are not able to export to Excel with Crystal Reports. (Interview with Enrollment and Contributions) 2. Users need to be able to modify comments in reports after they are archived. This is a limitation of Crystal Reports. (Interview with Retirement Calculations) 3. Users need to be able to run spell check on their reports. This is not available in Crystal Reports. (Interview with Retirement Calculations)
7	<p>Ability to import data from external sources.</p> <ol style="list-style-type: none"> 1. Health insurance subsidy tax exclusion upload is a manual process.
Digital recording – Record telephone conversations.	
8	<p>Ability to record, index and search telephone conversations.</p> <ol style="list-style-type: none"> 1. Retirement Calculations may use voice recording for training. (Interview with Retirement Calculations) 2. System should link a recording to the information in the IRIS. (Interview with Enrollment and Contributions)
Reports – Formatted output of system for a specific business purpose.	
9	<p>Ability to track and report on files received electronically and in paper.</p> <ol style="list-style-type: none"> 1. The division relies upon file transfer protocol (FTP) heavily for contributions and payroll submissions. FTP has very limited reporting capabilities. Reports on success or failure of file transmissions cannot be edited or sorted to make them more usable. Not being able to track receipt of certain files can put the division at risk of liabilities for loss of earnings. (SWOT) 2. The IRIS does not provide a count of the disability applications received. Therefore, applications currently have to be tracked manually on a spreadsheet. (Interview with Benefit Payments)

ID Business Need Identified (as of June 30, 2012)

10 Ability to generate Ad Hoc reports.

1. Users must be able to generate report of State University System Optional Retirement Program (SUSORP) / Community College Optional Retirement Program (CCORP) Buyback HIS Interest. (Hold (proposed SIR not yet approved) SIR 3338)
2. Users must be able to identify Deferred Retirement Option Program (DROP) accounts that are missing contribution reports. (Hold (proposed SIR not yet approved) SIR 3361) This information is currently being obtained on a quarterly basis. This information should be available on a monthly basis.

Forms management – Ability to manage forms and standard communications.

11 Ability to modify forms individually or in a group (for example, utilize template components for commonalities like letterhead).

1. FRS Online users must use the same version of forms that the division staff use. “PDF” forms are available for FRS Online users but staff use an older version of the form (Interview with Benefit Payments).
2. The ability to modify document headings more easily identified in the original Schedule IV-B is being addressed through implementing a new forms management software.

12 Ability to generate forms with pre-populated data (to minimize manual data entry).

1. Users must be able to generate batch print job for monthly DROP term packets with pre-populated fields (Hold (proposed SIR not yet approved) SIR 3362).
2. The IRIS currently pre-populates forms that the Bureau of Benefit Payments staff print and mail to the members. Members then complete and mail the form back to the division. They currently download pre-populated IRS Form 1099-R from FRS Online. Members need to be able to download additional pre-populated forms from FRS Online. (Interviews with Benefit Payments)

Audit trail – Enable and view audit trail information pertaining to data changes.

13 Ability to track and report on changes to records at all levels (e.g. entity level, by user, date, before and after values).

1. Users must be able to track agency name changes. (Withdrawn due to other priorities SIR 3343)

Workflow – Structured, system-guided work processes.

14 Ability to create, configure and modify workflows.

1. Send error report for re-edit process to Supervisor. (Withdrawn SIR 3300)
2. The division must be able to notify member that a form has been processed or received. (Withdrawn SIRs 3199 and 3202)
3. User must be able to create notification in Message Center to notify members that their address has been updated. (Withdrawn SIR 3210)

15 Ability to generate workflow reports to support staff performance evaluations.

1. Users need to be able to generate report on the number of returned items in workflow. This will be objective data needed for performance evaluations of staff. (Interview with Benefit Payments)

Customer Relationship Management (CRM) – Ability to track and manage client interactions across

ID Business Need Identified (as of June 30, 2012)	
multiple touch points.	
16	<p>Ability to document and track phone calls.</p> <ol style="list-style-type: none"> The ability to document and track phone calls will be addressed as a separate Legislative Budget Request and is no longer part of this project.
17	<p>Members must be able to easily access their records by phone without requiring division staff assistance.</p> <ol style="list-style-type: none"> Members need to be able to call the IVR for specific account information. (Interview with Benefit Payments) List pay dates for retired payroll.
Printing – Ability to print.	
18	<p>Ability to configure printing options to print documents in batch.</p> <ol style="list-style-type: none"> Users must be able to print monthly DROP term packet in batches. (Hold (proposed SIR not yet approved) SIR 3362) Users need batch printing capabilities. (Interview with State University System Optional Retirement Program (SUSORP) the Senior Management Service Optional Annuity Program (SMSOAP)) Users need to be able to print from the library and automatically mail it (that is, batch printing for mailing purposes). (Interview with Retirement Calculations)
Data Standards – Adheres to industry standard data exchange formats.	
19	<p>Ability to exchange information with external systems.</p> <ol style="list-style-type: none"> Senate Bill 31, passed in 2010, which mandates a replacement of the State’s financial system. Interaction with the state’s financial system is a critical element of the IRIS system and it is possible, depending on the technology selected for the financial system that the IRIS would not be capable of interfacing with it directly. (SWOT) Bureau of Accounting staff must be able to initiate refunds in the IRIS that subsequently initiate the correct vouchers/entries in FLAIR. (Interview with Accounting and SUS ORP/SMS ORP) Office of General Counsel (OGC) and the Bureaus must be able to share case information in the IRIS and link it to the closed case files. (Interview with Benefit Payments and OGC)
Document management system – Ability to manage storage and retrieval of system generated documents or objects in their native format.	
20	<p>Ability to add additional indexes for enhancing document search capability.</p> <ol style="list-style-type: none"> Cannot add new index (e.g. Member ID) Current system has limited indexing capabilities due to fixed fields and is unable to do full text indexing of scanned documents. (Interview with Office of General Counsel (OGC))
Usability – Intuitive interfaces.	
21	<p>Decrease time and effort required to train new users (because of inconsistent user interfaces in the IRIS).</p> <ol style="list-style-type: none"> Retirement Payroll screens need to better relate to each other (pass SSN) (Interview with Benefit Payments)

ID Business Need Identified (as of June 30, 2012)	
2.	Modernized IRIS must consistently retain SSNs when moving from screen to screen within a module. (Interview with SUS SMS)
22	<p>Decrease time and effort required to cross train users between Bureaus.</p> <ol style="list-style-type: none"> 1. User interface style is inconsistent between bureaus. (Interview with Deloitte) 2. As a governmental entity, the division is subject to budgetary considerations when determining the number of employees (current and future) that are allocated to it. As such, the division could lose full-time equivalencies or may not receive approval or funding for additional needed staff. Therefore, staff may need to know how to accomplish tasks in more than one Bureau. (SWOT)
Validation and business rules – Ability to automatically check for pre-defined inconsistencies or errors.	
23	<p>Ability to standardize business rules across system modules (e.g. rounding).</p> <ol style="list-style-type: none"> 1. Users currently experience rounding errors/inconsistencies with the IRIS. (Interview with Retirement Calculations). Sometimes when the current system calculates service credit, it will use two different formulas that create outputs that are different by .01.
Training – On-line Help, tutorials, context sensitive assistance.	
24	<p>Need context sensitive help throughout the system.</p> <ol style="list-style-type: none"> 1. Currently the IRIS system does not provide context sensitive help. (Interview with Deloitte) 2. The division requires skilled workers who understand its complexities and nuances. Like many agencies nationwide, the division faces a potential loss of subject matter expertise as its most experienced staff approach retirement age. Loss of knowledge base will reduce the ability to communicate the business processes. Therefore, users need context sensitive help to transfer knowledge to other staff members.

3. Business Solution Alternatives

The current FY 2014-15 Legislative Budget Request (LBR) which this updated Schedule IV-B supports, requests \$1 million for a comprehensive Requirements and Process Design and Market Analysis to determine the most appropriate approach for modernizing the Division of Retirement’s Information Technology. Although the original IRIS Modernization Study, completed June 30, 2011, and the supporting Schedule IV-B recommends a complete replacement of the IRIS, consideration should be given to both the full replacement and the alternative solution to upgrade the current information technology platform rather than replace it.

The following solution alternatives were evaluated:

Option 1: Maintain Status Quo: The option to continue using the current IRIS system without any modifications. Business needs identified by the division will remain unfulfilled.

Option 2: Upgrade the Current IRIS System: The option to modify the current IRIS system to fulfill the business needs (gaps in current architecture).

Option 3: Replacing the IRIS System: The option to replace the current IRIS system with a more modern architecture to allow the division to fill its business needs.

4. Rationale for Selection

Option 1 - Maintain Status Quo (Rejected)

Maintaining status quo would likely result in:

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

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

Option 2 - Upgrade the Current IRIS System (To Be Considered)

This alternative is considered due to:

- Multiple components of the current system will not need to be upgraded (see chart on Page 4). Some of the current infrastructure such as Oracle licenses could be reused with an updated system, which in turn could lower the system integration cost for the division.
- The current system is complex but the level of effort required to modify targeted components and system functionality is accomplishable.
- The current system is capable of being updated to support all the business needs identified by the division.
- The investment required to upgrade and fulfill the division's business needs within the current aging architecture could be significantly less than the cost of replacing IRIS.

Option 3 - Replace the IRIS System (To Be Considered)

This alternative is considered due to:

- Replacement and integration of specified components in the current system may be more efficient than upgrading.
- A new system, built on newer technologies are more product-oriented in nature, offer increased flexibility and are likely to have longer lifespan as compared to completely custom solutions such as the current system.
- Systems that are based on leading and flexible platforms are likely to be better supported by the vendor community as the resources and knowledge are widely

available. Alternatives considered will include available cloud-based solutions.

- Some of the current infrastructure such as Oracle licenses could be reused with a new system, which in turn could lower the system integration cost for the division.

5. Recommended Business Solution

Once the FY 2014-15 Legislative Budget Request is approved and the Requirements and Process Design, and the Market Analysis are completed, enough information will be available to make a fully informed recommendation for upgrade or replacement of the information technology platform. Further research since the original IRIS Modernization Study was completed suggests upgrading may be a more cost-effective approach at this time.

6. New Information Technology Project Approach

In lieu of the original IRIS Modernization Study, completed June 30, 2011, which recommended a complete replacement of the IRIS, consideration should be given to upgrading the current information technology platform rather than replacing it. We believe that modernizing IRIS by upgrading the current system could be much less expensive than previously thought as the investment made in the current system has many components which would not need to be replaced. These components include FRS Online self-service application, business process, the IRIS database and possibly the imaging and workflow products. The components that will need to be addressed in this new project are: the line of business application, build rules engine, possibly imaging and workflow, report writing and the functional and non-functional system requirements. Lower cost would of course shorten the payback period and improve the return on investment.

The division's business application platform is based on aging technology and system architecture, originally developed in 1997, when client-server architecture was a leading technology and viewed as a model for modern retirement information technology systems. The system was developed in response, in part, to Y2K, which resulted in compressed timeframes and required manual workarounds to complete the project requirements. In the ensuing 16 years, changes in program services, program complexity, technology, membership size, and member and partner expectations have increased and manual workarounds from the original implementation still exist. While the current business application platform currently supports the division's basic business needs and allows members to be served adequately, its underlying architecture prevents the division from implementing modernizations and innovating to the next level in customer service and administrative cost control. Impacts to current work process include:

- Additional time needed to implement legislative changes.
- Errors resulting from manual workarounds and data integrity issues.
 - This has resulted in miscalculated benefit payments and benefit overpayments.
- Loss of efficiency and effective operation resulting from lack of data integrity.
 - This has resulted in time delay and accuracy problems in the delivery of estimates and other information.

Our current FY 2014-15 Legislative Budget Request (LBR) which this updated Schedule IV-B supports, requests \$1 million for a comprehensive requirements and process design

and market analysis to determine the most appropriate approach for modernizing the Division of Retirement's Information Technology. The division's current proprietary business application platform provides enrollment, contribution, retirement calculation, and benefit payment services to approximately one million active and retired members of the Florida Retirement System (FRS) and their 1,000 employers, but these functions are fulfilled via aging technology and system architecture. In today's environment, retirement systems throughout the country are expected to respond quickly to new legislative direction and the rapidly changing landscape of technology offerings. As such, the Department intends to contract with a third-party provider to perform a detailed analysis documenting the State's current and future requirements, analyze the market for potential technology solutions and develop a recommended approach for going forward. Following the completion of these activities, the department will establish a definitive cost/benefit analysis and seek additional funding to assist with solicitation development, analysis and design. Recommendations will be designed to best mitigate current and future risks associated with a dated business application platform, enhance the Division's ability to avoid future cost increases associated with system changes and improve service.

The division is increasingly challenged to respond quickly to legislative mandates and the cost of maintaining the business application platform has increased. The division is concerned about risks related to the longevity and flexibility of the system. To date, the agency has been able to implement these business rule changes in a timely manner, but only by shifting system maintenance and enhancement attention almost exclusively to legislatively mandated changes, forgoing other efficiency and customer service improvements.

Going forward, implementing legislative mandates will be increasingly difficult, due to the limitations of the aging technology. Delays in the implementation of future legislative mandates would result in significant opportunity costs. For example, implementation of the 2011 legislative changes took 12,500 hours and \$1.375 million (within the current contract) which could have been reduced by 20-40 percent with updated technology. This represents an opportunity loss of \$275,000 - \$550,000 that could have been used for other enhancements to generate efficiencies and mitigate risk. Another way to look at this would be that the 2011 legislative changes could have been implemented 20-40 percent faster with updated technology.

In addition, continually modifying aging technology increases the risk of impacting the integrity and accuracy of retirement payments, and therefore poses greater risk over the longer term. A preliminary review of the current business application platform was performed more than two years ago which included this Schedule IV-B which has been updated to move the project timeline forward and recalculate the cost and benefits based on the criteria used in the original Schedule IV-B.

The current business application platform is already 16 years old. Industry data indicates that replacement or modernization will take at least three to four years, by which time the business application platform will be more than 20 years old. Critical components such as the PowerClass (development framework for PowerBuilder), are already unsupported by their Original Equipment Manufacturers (OEM). It is unlikely that current business application platform can be supported or enhanced significantly on tools and technologies that are no longer supported by their OEMs. The option of maintaining status quo is not a preferred option for the division due to the aging architecture of the current system,

changing business needs and increasing customer and stakeholder expectations.

An updated risk assessment was completed in August 2013 and is attached as support to this updated Schedule IV-B. This assessment used a different technology risk-assessment approach and accounts for the impact of legislative and technological changes since the previous study was performed. The study results indicated that the division is currently confronted with failing IRIS components, aging infrastructure, unsupported products, and lack of resources with requisite knowledge to support the outdated platforms. The risk assessment study further found that the division needs to take prompt action in order to decrease the risk of not being able to timely meet legislative mandates, adequately protect itself from sophisticated cyber-attacks, ensure against the possibility that FRS retired members and surviving beneficiaries (e.g. retired teachers, firefighters, police officers) receiving more than \$6.9 billion annually in benefits could get paid less accurately or less timely, and to avoid being burdened with additional administrative costs.

The FY 2014-15 LBR will provide the funding needed to:

- Develop Requirements and Process Design – (see Scope of Work below)
- Prepare Market Analysis of Build/Update versus Buy/Replace

The current business application platform consists of the line of business application (IRIS), enterprise content management (imaging and workflow), business rules management, correspondence and forms management, an integration approach with other state IT platforms, member and employer self-service, and internal and external security design. The division relies on this business application platform to provide enrollment, contribution, retirement calculation, and benefit payment services to the approximately one million active and retired members of the FRS and their more than 1,000 employers. This LBR is in keeping with our fiduciary duty to act in the best interest of FRS members and beneficiaries. Without funds to complete the requirements and process design and market analysis, understanding the best alternatives for modernizing IRIS is not possible.

The urgency to complete this assessment timely is further demonstrated by increased cyber threats that are intent upon obtaining personal identifying information. Any enhancements to the current business application platform must include enhancements to strengthen our ability to prevent cyber attacks.

Although the initial cost estimates remain in this Schedule IV-B, they may not be realistic given the age of the estimate, the current Scope of Work, and enhancements completed since the initial estimate was created. Many of the items in the original business needs are either completed, not needed, or part of another project. This new approach should not be delegated to the old estimate. Once the first phase of this project is completed (requirements, process design and market analysis), we will be able to determine (through an RFI process), a more accurate and realistic cost estimate, time line, pay back, and return on investment.

7. Scope of Work for Requirements and Process Design

The overall purpose of the scope of work is to produce functional and non-functional requirement specifications specific to the laws, rules, and legislation governing the Florida Retirement System. The scope of work to be performed under the requirements project is made up of three primary sub-projects. Through an application decomposition

(or current business functionality assessment) of the division's Line of Business application, Integrated Retirement Information System (IRIS), the division and the division's current 3rd party IT Management Services provider will detail the different modules and their associated business purpose and functionality. IRIS was built in the 1990s when client server computing was becoming a popular replacement for mainframe legacy systems. The requirements, analysis, and design started in 1995 and the project came to completion in December of 1999. As-Built documentation was delivered with the original implementation but was designed from a technical perspective, not a business perspective. End user procedures and documentation have been kept current throughout the years. However, over the years the system has been enhanced significantly. New legislative mandates, both Federal and State, have required changes to the system. These changes produced detailed designs that form the basis of the documentation over a 15 year period but are not consolidated. The division adopted a very formal SIR management process that was used to capture the requirements and detail designs of system changes on a case by case basis. The purpose of this scope of work would be (1) for each module in the system, update the "As-Is" business process and functional documentation (not just technical), (2) document the To-Be Process Documentation, and (3) build the functional and non-functional (technical) requirements from the prior two deliverables.

(1) "As-Is" Documentation Updates

"As-Is" documentation would create a clear set of documents detailing the current business functionality. Extracting the current functionality would be achieved through an application decomposition (or current business functionality assessment) that will detail each application module and their associated business functionality in the current system. The current technical documentation and user procedure documentation exists today but lacks detailed business process flows and business rules. The system has been enhanced via hundreds of SIRs over the 15 year period it has been in production, producing documentation with only the changes detailed. A more formal change control process was created in 2007 under the new contract that more closely documented the enhancements. In addition to hundreds of SIRs, several large projects were executed through independent efforts that created separate documentation. Technical documentation for IRIS is maintained using an automated tool that details the application modules and objects.

The current IT service provider would be responsible for documenting the "As-Is" business process and functional documentation. This effort entails summarizing the current business functionality of each IRIS module. IRIS supports approximately one million members and agencies, five business units, and 65 distinct business processes to administer pension benefits. There are approximately 655 windows, 1,500 data controls, 244 stored procedure references, and more than 400 non-visual components. The database schema contains over 500 tables and occupies 450GB of disk space. In this approach, a joint team of subject matter experts would work through analysis sessions to review the current business functionality and document the results in a new work product (Current Functionality Assessment). As part of this process, each IRIS component would be decomposed to a detailed level so the third party responsible for documenting the functional requirements could extract the information necessary to develop accurate and complete functional requirement matrices.

(2) “To-Be” Process Documentation

“To-Be” documentation captures enhancements that have been identified but not implemented, and other process improvements through best practices that have become industry standard since the system was originally designed. Examples of technical standards include a service oriented architecture, business rules engine implementation, mobile computing and improvements to retirement business processes through further automation, creating higher efficiencies in processing. There are certain business processes such as processing a service retirement within the Bureau of Retirement Calculations that are critical to the division and are in need of redesign. Today, certain types of accounts are prone to manual processing that cause under/overpayment of benefits which result in unnecessary corrective activity (overpayment invoicing and collections). Because of work-arounds that have caused data integrity issues, the division is inefficient in the delivery of retirement benefit estimates. Additional work (account audits) occurs on a high percentage of the accounts being worked. Although these are just a few examples, there are other gaps/inefficiencies in which similar high priority issues exist that would be identified for correction during this project. Other projects and ideas to improve efficiency and automation throughout the division have been deferred and were identified in the KPMG business case study.

(3) Functional and Non-Functional Requirements

The output of the two documentation sub-projects would form the basis for building the functional and non-functional requirements matrices used to solicit information or bids for a system upgrade or replacement. The requirements are the same regardless whether the project is a complete replacement of IRIS or an upgrade of IRIS to a modern architecture. This deliverable of the overall requirements project will need to be completed by a third party.

Required input to effectively develop functional and non-functional requirements matrices includes an assessment of features, functions and capabilities of modern pension administration solutions. To this end, sessions would be conducted with subject matter experts knowledgeable in existing pension system modernizations and the features and functions of new systems and industry trends. The division management would document and bring to light existing gaps/inefficiencies with the current legacy solution and match those with features and functions prevalent in modern pension administration solutions. IRIS was originally designed as a Y2K replacement and was architected to take advantage of technologies available at that time. Modern technologies such as SOA architectures and Business Rule Engine advancements available today provide great flexibility, maintainability and lower operational risk than is available in the current legacy environment.

Additionally, there are opportunities for improvements in business automation as well as improvements to be realized in data consistency, integrity, and analytics. A number of larger enhancements that have been previously considered have instead been deferred until an architecture modernization effort takes place. These enhancements have been identified and documented in the division’s 2011 case study.

8. Supporting Documentation

Documentation Item	Documentation Type	Description
Original System RFP	RFP	The original RFP document issued by the Division in 1996 contains the original requirements for IRIS.
Original System Proposal	Proposal	The proposal submitted that outlined the approach to meeting the requirements set forth in the RFP.
Original System Detail Design	Detail Design	Extensive functional detail design documents were created during the original implementation based on requirement/JAD sessions with the Division.
Original System Technical Design	Detail Design	Extensive technical detail design documents were created during the original implementation based on requirement/JAD sessions with the Division.
Subsequent Additional Functionality Detail Designs	Detail Design	<p>Since the original system implementation there have been several large enhancements (mostly legislative mandates) made to the system.</p> <p>Subsequent Detail Design Documents:</p> <p>DROP</p> <p>FRS Online Self-Service</p> <p>Investment Plan</p> <p>CCORP</p> <p>SUSORP/SMSOAP (Optional Integration)</p> <ul style="list-style-type: none"> • National Guard • Investment Plan Remediation
As Built Documentation	As-Built	During the original implementation, as-built documentation was created for the various modules and processes that make up the IRIS application. These as-built documents contain screen-shots, input/output parameters, descriptions, table usage, called modules, and process flow diagrams.
Power Builder Visual Expert	As-Built	The Visual Expert tool creates a visual, organized, web-based reference document of all the PowerBuilder objects that make up the IRIS system. This includes menus, functions, windows, data windows, variables, etc. The tool is run monthly to refresh the documentation.

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Documentation Item	Documentation Type	Description
SIR Tracking	Detail Design	Enhancements and bug fixes made to IRIS are handled through the SIR Tracking system. The SIR tracking system contains detail designs, test scripts, meeting minutes, and peer reviews.
Database Dictionary/Model	Data Model	The data dictionary/model is maintained through the Erwin software tool. Tables, columns, descriptions, entity-relationships and keys are maintained in Erwin.
Architecture Diagrams	Diagram	Various architecture diagrams have been created for the IRIS system. Some of these were created during the original implementation and some have been created as part of subsequent enhancements to the system.
Workflow As-Built	Workflow Map, end user procedures, and original as-built documentation.	The workflow documentation outlines the flow of work and documents through the processes defined by the Division. These maps are maintained in the current workflow product (Process360 by OpenText) as well as user maintained documents on the network.
IRIS Help Documentation	Help Reference	IRIS contains help documentation that is available from within the application itself. This documentation contains internal procedures, retirement laws and rules and module specific information. This documentation is maintained through the RoboHelp tool.

III. Schedule IV-B Cost Benefit Analysis

A. The Cost-Benefit Analysis Forms

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

B. CBA Forms

The purpose of the Cost Benefit Analysis is to explain the costs and benefits of undertaking the IRIS Modernization Project. The need for the IRIS modernization is fundamentally grounded in the division’s mission to deliver a high quality, innovative and cost-effective retirement system. The division currently serves approximately one million members and has around 1,200 partners. The State of Florida, Division of Retirement, FRS Members, and Partners will benefit from either an upgrade or a complete replacement of the current IRIS System by FY 2018-19 with a web based retirement information system consisting of modern architecture, components and technologies such as Business Rules Engine, Content Management, Data Warehouse, Business Intelligence, Analytics, and Reporting, Security Management and Workflow, in addition to the line of business modules.

1. Benefits Realization Table

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

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

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

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

At regular reporting periods during the program lifecycle, the Steering Committee and program manager will meet to review progress and monitor the current ability of the program to meet the business objectives. Rigid progress reporting will be used to successfully track Benefits Realization during the program or project.

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

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#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How Will The Realization Of The Benefit Be Assessed/Measured?	Realization Date (FY)
1	<ul style="list-style-type: none"> Reduction in maintenance costs 	Tangible	The division, State of Florida Taxpayers, members of the FRS.	<ul style="list-style-type: none"> Potentially avoids and increase in the number of staff needed to maintain the FRS 	<ul style="list-style-type: none"> In dollars 	2019-20 – 2030-31
	<ul style="list-style-type: none"> Increased employee productivity 	Intangible	The division, State of Florida Taxpayers, members of the FRS	<ul style="list-style-type: none"> Reduction in the number of workarounds each employee must conduct 	<ul style="list-style-type: none"> In employee hours charged to workarounds or other activities related to an outdated or inefficient system 	Starting 2019-20
	<ul style="list-style-type: none"> Increased member satisfaction 	Intangible	Members of the FRS, the division	<ul style="list-style-type: none"> Upgrades in the technology will lead to a more efficient system. This will allow the maintenance team to address problems faster and improve customer service. 	<ul style="list-style-type: none"> Customer satisfaction surveys 	Starting 2019-20
	<ul style="list-style-type: none"> Increased partner collaboration 	Intangible	Members of the FRS, the division, division's partners	<ul style="list-style-type: none"> Upgrades in technology will allow the division to collaborate more easily with their partners' technology systems. 	<ul style="list-style-type: none"> Increased number of partners Reduction in employee hours charged to workarounds 	Starting 2019-20
	<ul style="list-style-type: none"> Increased ability of the division to meet rising program membership, added complexity and changing legislative and programmatic requirements 	Intangible	Members of the FRS, the division	<ul style="list-style-type: none"> A more effect system will allow the division to address changes and added complexity due to growing membership, and legislative or programmatic requirements 	<ul style="list-style-type: none"> Cost avoidance through slow staff growth relative to membership growth. 	Starting 2019-20

2. Tangible Benefits, Project Costs and Investment Summary

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

The division is in the early stages of planning its Modernization project and has not yet defined detailed requirements that could be used to develop a vendor statement of work. This is partly because the division has not yet performed the Requirements and Process Design and Market Analysis to determine whether an upgrade or replacement is the appropriate solution. The projected costs of the upgrade or replacement approach are shown below:

UPGRADE

Further research since the original IRIS Modernization Study was completed suggests upgrading may be a more cost-effective approach at this time.

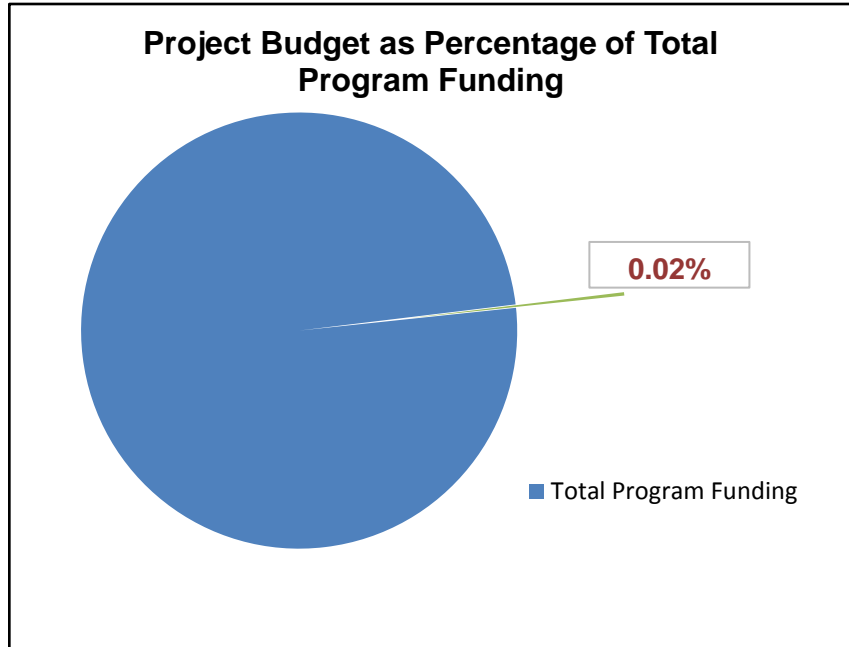
- An estimated \$1.50 million was included for the Requirements and Process Design, Market Analysis, and Procurement phase
- The division added \$6 million for hardware and software to the estimated \$11 million needed for system integration
- An estimated \$4.1 million was included for Project Management Office (PMO) services throughout the duration of the project
- An estimated \$2.2 million was included for contingency for project years 3, 4, and 5 to account for scope and direction changes (if any)
- An estimated total of \$24.8 million for the total replacement of the IRIS over a duration of five years
- The IRIS System support costs are assumed to remain same.

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

PROJECT COST ELEMENTS	Year - 1	Year - 2	Year - 3	Year - 4	Year - 5	TOTAL
	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	
Requirements and Process Design	\$750,000	-	-	-	-	\$750,000
Market Analysis	\$250,000	-	-	-	-	\$250,000
Procurement	-	-	\$500,000	-	-	\$500,000
System Integration (Includes Software and Hardware)	-	-	\$3,400,000	\$6,800,000	\$6,800,000	\$17,000,000
PMO	-	-	\$1,379,734	\$1,379,733	\$1,379,733	\$4,139,200
IV&V	-	-	-	-	-	\$0
Contingency	-	-	\$527,974	\$817,973	\$817,973	\$2,163,920
Total Project Costs	\$1,000,000	\$0	\$5,807,708	\$8,997,706	\$8,997,706	\$24,803,120

The estimated investment required to upgrade the IRIS system is \$24.8 million over a five-year period, which is less than two one hundredths of a penny-on-a-dollar of the funds in the FRS trust fund.

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



REPLACEMENT

A survey was conducted by a third party consulting firm as part of the IRIS Modernization Study. The survey asked system integration vendors to provide a rough order magnitude estimate for a modern web based retirement information system. Specifically, the question was stated as follows:

6. Please provide a rough order magnitude estimate for a web based retirement information system consisting of modern architecture, components and technologies such as Business Rules Engine, Content Management, IVR, Customer Relationship Management, Data warehouse, Business Intelligence, Analytics, and Reporting, Security Management and Workflow, in addition to the line of business modules.

- Less than \$15 million
- \$15 million to \$25 million
- \$25 million to \$40 million
- \$40 million to \$60 million
- More than \$60 million

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The system integration vendors’ responses to the above question averaged to \$34 million.

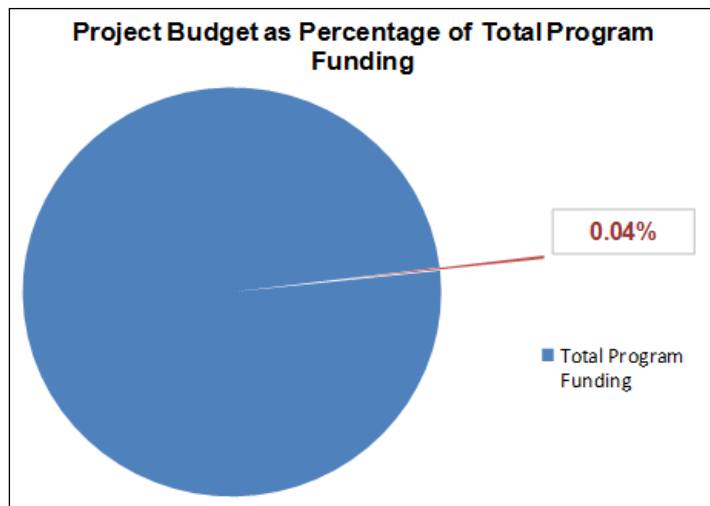
- An estimated \$1.50 million was included for the Requirements and Process Design, Market Analysis, and Procurement phase
- The division added \$6 million to the \$34 million for system integration to account for the following:
 - Hardware
 - Software
- An estimated \$4.1 million was included for Project Management Office (PMO) services throughout the duration of the project
- An estimated \$1.9 million was included for Independent Verification and Validation services throughout the duration of the project
- An estimated \$4.7 million was included for contingency for project years 3, 4, and 5 to account for scope and direction changes (if any)
- An estimated total of \$52.2 million for the total replacement of the IRIS over a duration of five years
- The IRIS System support costs are assumed to remain same.

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

PROJECT COST ELEMENTS	Year - 1	Year - 2	Year - 3	Year - 4	Year - 5	TOTAL
	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	
Requirements and Process Design	\$750,000	-	-	-	-	\$750,000
Market Analysis	\$250,000	-	-	-	-	\$250,000
Procurement	-	-	\$500,000	-	-	\$500,000
System Integration (Includes Software and Hardware)	-	-	\$8,000,000	\$16,000,000	\$16,000,000	\$40,000,000
PMO	-	-	\$1,379,734	\$1,379,733	\$1,379,733	\$4,139,200
IV&V	-	-	\$644,800	\$644,800	\$644,800	\$1,934,400
Contingency	-	-	\$1,052,454	\$1,802,453	\$1,802,453	\$4,657,360
Total Project Costs	\$1,000,000	\$0	\$11,576,988	\$19,826,986	\$19,826,986	\$52,230,960

The estimated investment required to replace the IRIS system is \$52.2 million over a five-year period, which is less than four one hundredths of a penny-on-a-dollar of the funds in the FRS trust fund.

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



3. CBA Forms

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

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UPGRADE

CBAForm 1 - Net Tangible Benefits

(Upgrade)

Agency <u>Division of Retirement</u>	Project <u>IRIS Modernization</u>
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Agency (Operations Only -- No Project Costs)	Project Year 1 FY 2014-2015			FY 2014-2015 (NO ACTIVITY)			Project Year 2 FY 2016-17			Project Year 3 FY 2017-18			Project Year 4 FY 2018-19			FY 2019-20		
	(a)	(b)	(c) = (a)+(b)	(a)	(b)	(c) = (a)+(b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel -- Total FTE Costs (Salaries & Benefits)	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$11,330,000	(\$715,000)	\$10,615,000
A.b Total FTE	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	206.00	(13.00)	193.00
A-1.a. State FTEs (Salaries & Benefits)	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$11,330,000	(\$715,000)	\$0
A-1.b. State FTEs (# FTEs)	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	206.00	(13.00)	193.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Operational Costs (Rows A through E)	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$11,330,000	(\$715,000)	\$10,615,000
F. Additional Tangible Benefits:		\$0			\$0			\$0		\$0		\$0		\$0		\$0		\$0
F-1. Specify		\$0			\$0			\$0		\$0		\$0		\$0		\$0		\$0
F-2. Specify		\$0			\$0			\$0		\$0		\$0		\$0		\$0		\$0
F-3. Specify		\$0			\$0			\$0		\$0		\$0		\$0		\$0		\$0
Total Net Tangible Benefits:		\$0			\$0			\$0		\$0		\$0		\$0		\$0		\$715,000

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

**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
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CBAForm 2 - Project Cost Analysis

(Upgrade)

Agency	<u>Division of Retirement</u>	Project	<u>IRIS Modernization</u>
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PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A						TOTAL
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$1,000,000	\$0	\$5,807,708	\$8,997,706	\$8,997,706	\$0	\$24,803,120
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0
COTS Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Misc. Equipment Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$1,000,000	\$0	\$5,807,708	\$8,997,706	\$8,997,706	\$0	\$24,803,120
CUMULATIVE PROJECT COSTS	\$1,000,000	\$1,000,000	\$5,807,708	\$9,997,706	\$18,995,412	\$18,995,412	
INVESTMENT SUMMARY	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	TOTAL
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
CUMULATIVE INVESTMENT (*)	\$0	\$0	\$0	\$0	\$0	\$0	

(*) Total Costs and Investments are carried forward to CBAForm 3 Project Investment Summary worksheet.

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

**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

CBAForm 3 - Project Investment Summary
(Upgrade)

Agency	<u>Division of Retirement</u>	Project	<u>IRIS Modernization</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A							
	1	2	3	4	5	6	
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	TOTAL
Project Cost	\$1,000,000	\$0	\$5,807,708	\$8,997,706	\$8,997,706	\$0	\$24,803,120
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$715,000	\$715,000
Return on Investment	(\$1,000,000)	\$0	(\$5,807,708)	(\$8,997,706)	(\$8,997,706)	\$715,000	(\$24,088,120)
Year to Year Change in Program Staffing	0	0	0	0	0	(13)	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$19,609,662)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Treasurer's Investment Interest Earning Yield -- CBAForm 3C						
Fiscal Year	FY 2014-15	2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20
Cost of Capital	5.38%	5.38%	5.38%	5.38%	5.38%	5.38%

**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

REPLACEMENT

CBAForm 1 - Net Tangible Benefits

(Replacement)

Agency <u>Division of Retirement</u>	Project <u>IRIS Modernization</u>
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Agency (Operations Only -- No Project Costs)	Project Year 1 FY 2014-2015			FY 2014-2015 (NO ACTIVITY)			Project Year 2 FY 2016-17			Project Year 3 FY 2017-18			Project Year 4 FY 2018-19			FY 2019-20		
	(a)	(b)	(c) = (a)+(b)	(a)	(b)	(c) = (a)+(b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel -- Total FTE Costs (Salaries & Benefits)	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$11,330,000	(\$715,000)	\$10,615,000
A.b Total FTE	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	206.00	(13.00)	193.00
A-1.a. State FTEs (Salaries & Benefits)	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$11,330,000	(\$715,000)	\$0
A-1.b. State FTEs (# FTEs)	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	193.00	0.00	193.00	206.00	(13.00)	193.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Operational Costs (Rows A through E)	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$10,615,000	\$0	\$10,615,000	\$11,330,000	(\$715,000)	\$10,615,000
F. Additional Tangible Benefits:		\$0			\$0			\$0		\$0		\$0		\$0		\$0		\$0
F-1. Specify		\$0			\$0			\$0		\$0		\$0		\$0		\$0		\$0
F-2. Specify		\$0			\$0			\$0		\$0		\$0		\$0		\$0		\$0
F-3. Specify		\$0			\$0			\$0		\$0		\$0		\$0		\$0		\$0
Total Net Tangible Benefits:		\$0			\$0			\$0		\$0		\$0		\$0		\$715,000		\$0

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

**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

CBAForm 2 - Project Cost Analysis

(Replacement)

Agency	<u>Division of Retirement</u>	Project	<u>IRIS Modernization</u>
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PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A						TOTAL
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$1,000,000	\$0	\$11,576,988	\$19,826,986	\$19,826,986	\$0	\$52,230,960
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0
COTS Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Misc. Equipment Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$1,000,000	\$0	\$11,576,988	\$19,826,986	\$19,826,986	\$0	\$52,230,960
CUMULATIVE PROJECT COSTS	\$1,000,000	\$1,000,000	\$11,576,988	\$20,826,986	\$40,653,972	\$40,653,972	
INVESTMENT SUMMARY	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	TOTAL
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
CUMULATIVE INVESTMENT (*)	\$0	\$0	\$0	\$0	\$0	\$0	

(*) Total Costs and Investments are carried forward to CBAForm 3 Project Investment Summary worksheet.

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

**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

CBAForm 3 - Project Investment Summary
(Replacement)

Agency	<u>Division of Retirement</u>	Project	<u>IRIS Modernization</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A							
	1	2	3	4	5	6	
	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	TOTAL
Project Cost	\$1,000,000	\$0	\$11,576,988	\$19,826,986	\$19,826,986	\$0	\$52,230,960
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$715,000	\$715,000
Return on Investment	(\$1,000,000)	\$0	(\$11,576,988)	(\$19,826,986)	(\$19,826,986)	\$715,000	(\$51,515,960)
Year to Year Change in Program Staffing	0	0	0	0	0	(13)	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$41,654,263)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

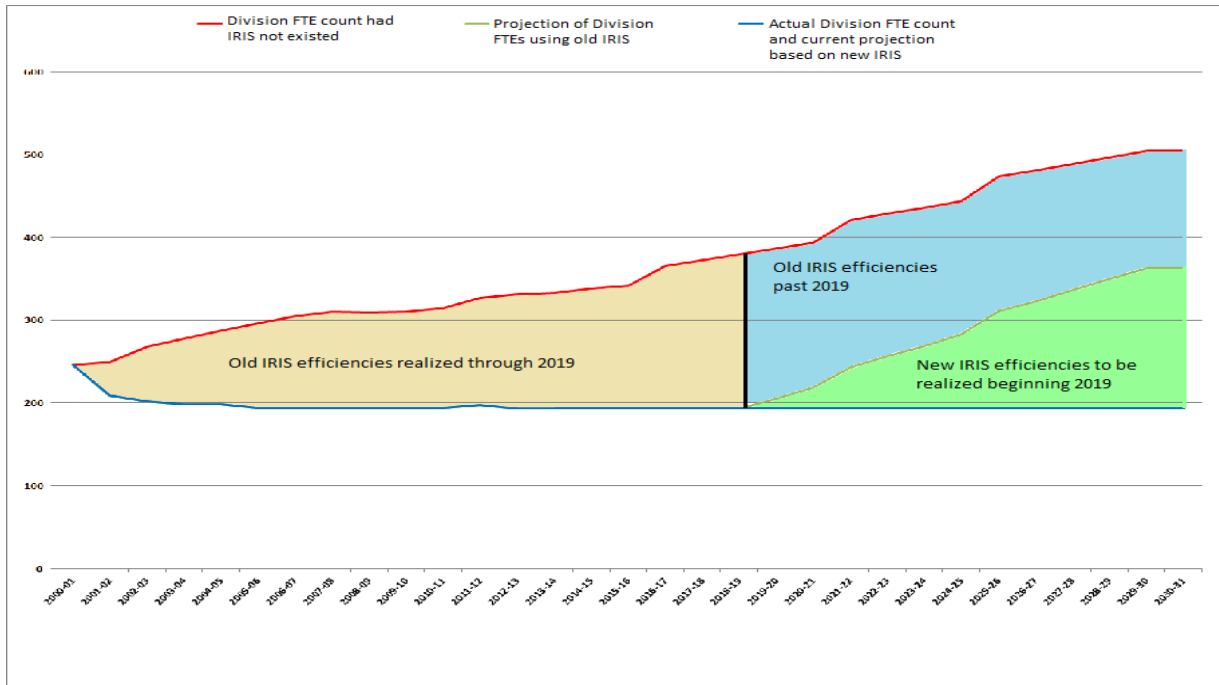
Treasurer's Investment Interest Earning Yield -- CBAForm 3C						
Fiscal Year	FY 2014-15	2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20
Cost of Capital	5.38%	5.38%	5.38%	5.38%	5.38%	5.38%

4. Cost Benefit Analysis Results

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

However, beginning around 2019, the growth in retirement activity will exceed the ability of the IRIS system to absorb the increased workload and the division will likely have to add staff to handle the growth to maintain the same level of service and customer satisfaction. In addition, limitations of the system to handle changes in workflows, new requirements made by legislative actions and similar impacts may lead to the division implementing workarounds or manual tasks which will further decrease organizational efficiency and the number of participants each FTE can support. This may again lead to the division needing to add staff.

To maintain the division’s efficiencies and existing standards of service, an upgraded or replaced system will need to support the benefits IRIS provides today, plus additional efficiencies that can be gained through system flexibility and capacity to adapt.



- The bottom blue line of the graph shows the actual current FTE count of the division. The blue line shows the immediate reduction in staff achieved when IRIS was implemented, as well as the stability of staffing levels since that time. The line continues to remain flat after 2019 with the assumption that the division implements an upgrade of the existing IRIS or replacement for IRIS.

- The top red line of the graph shows the projected FTE count of the division, had IRIS never been implemented. The projected FTE count is based on two factors: the growth of participants in the FRS system and the complexity of managing the FRS system:
 - Participant growth - The FRS has maintained a steady growth of participants. The division projected its historic participant per FTE ratio prior to IRIS over a 25 year period (FY 1999-2000 – FY 2024-2025), factoring in annual participant growth.
 - The complexity of the FRS - The FRS program has evolved over a period of years. Many responsibilities and services currently provided by the division have been added to the program over time. Over the past sixteen years, the division has expanded its services to support a major program change on average every four years. As the division supported more programs, the complexity of the division’s processes increased, which would have reduced the count of participants each FTE can support. To account for future increases in complexity, the division added a 5% “complexity factor” to the projected staff need each four years on the chart.
- The difference of staffing between “with” and “without” IRIS is identified as the “IRIS Efficiency” and shaded in cream between the two FTE count lines. The IRIS efficiency factor is expected to peak at 44%, meaning the division has been able to support its workload with 44% fewer FTE than if IRIS had never existed.
- Beginning around 2019, the age of the IRIS system will lead to a decrease in the IRIS Efficiency factor, represented by the blue shading above. The decrease in efficiency is expected because IRIS would be more than 20 years old, multiple components are already unsupported by the OEMs, program complexity and membership increases and customer expectations grow. The division estimates that the efficiency realized from the system will decrease by an average of 5% annually beginning in 2019-2020. A decrease in efficiency correlates with the division adding staff because less of the work is done in the system.
- The green line on the graph shows what may happen to the division’s FTE counts if IRIS is not replaced. The line picks up at the same level as current staffing at 2015, at which point the division may need to start adding resources. The line rises with the decrease in the projected IRIS efficiency, showing that as more work must be supported outside the system, staffing levels have to increase in correlation.
- If the IRIS is upgraded or replaced by the end of FY 2018-2019, the division can continue to benefit from the efficiency gains from IRIS, avoid the reduction in efficiency due to IRIS aging and offset growing program complexity to retain current-day staffing levels. The difference between the expected and projected FTE counts is shown in green shading above and quantified as the number of FTEs saved multiplied by an average division salary of \$55,000.

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

UPGRADE

Investment Term	Estimated Value	Present Value
1. Total Cost	\$24,803,120	\$22,560,346
2. Total Benefits	\$66,440,000	\$48,573,449
3. Return on Investment	167.87%	115.30%
4. Payback Period	8 Years (3 years following completion of project)	N/A
5. Net Present Value	\$26,013,103	N/A
6. Internal Rate of Return	11.74%	N/A

REPLACEMENT

Investment Term	Estimated Value	Present Value
1. Total Cost	\$52,230,960	\$47,400,913
2. Total Benefits	\$66,440,000	\$48,573,449
3. Return on Investment	27.20%	2.47%
4. Payback Period	11 Years (6 years following completion of project)	N/A
5. Net Present Value	\$1,172,536	N/A
6. Internal Rate of Return	2.68%	N/A

In addition to the estimated financial benefits of upgrade or replacement, the IRIS modernization may also have the following positive impacts :

- As manual workarounds are increasing due to an aging IRIS system, division employee productivity is being impacted. A modernized IRIS is likely to have a positive impact on employee productivity.
- Increased member satisfaction as the division offers additional functionality and information to its members.
- Increased partner collaboration as the division is able to exchange data with over 1200 partners (providers, agencies, and employers).

**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

- Increased ability of the division to meet rising program membership, added complexity and changing legislative and programmatic requirements.

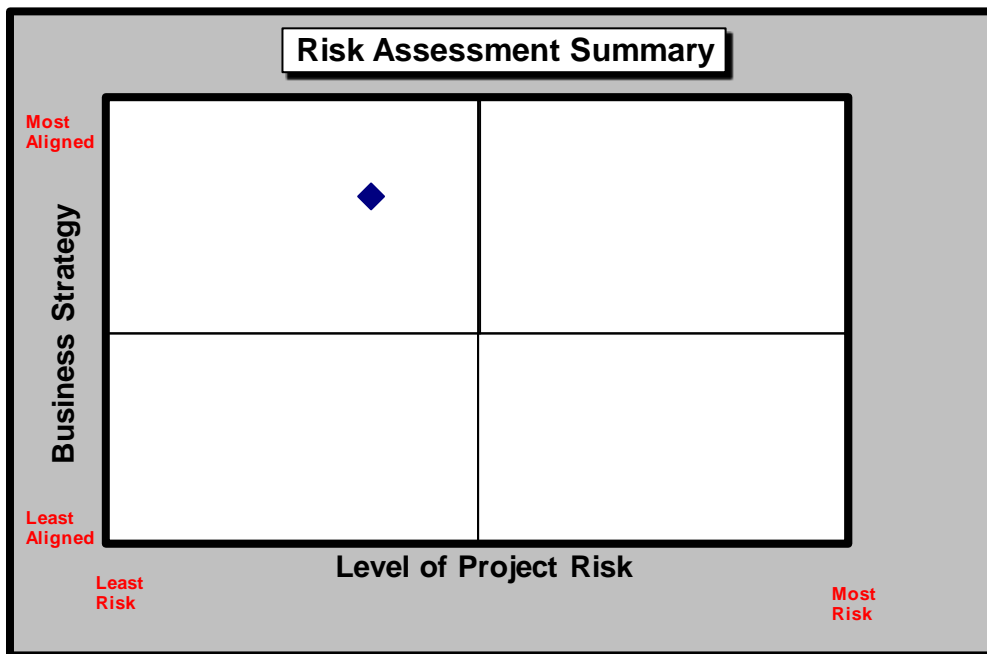
When you consider the costs and benefits associated with the IRIS modernization, you find that the IRIS Modernization Project is a good investment for the State of Florida.

IV. Major Project Risk Assessment Component

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

A. Risk Assessment Tool

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



B. Risk Assessment Summary

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

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

The detailed risk assessment template is located at Appendix B.

V. Technology Planning Component

The current IRIS system was developed in 1997. The system is based on a client server architecture, which was considered as one of the leading technologies in the marketplace. Over the past 16 years, significant advances in the technology landscape have rendered the IRIS system outdated. Several internal and external stakeholders and constituents are placing demands that the IRIS may not be able to meet.

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

Legislative Mandates: Business process and technical changes in the IRIS require a marathon effort by the division. The division undertakes a massive effort and diverts a significant amount of its resources to implement modifications in order to keep current with the changing laws. An example is the changes required to implement required employee contributions as the division diverted all of its technical resources to ensure IRIS was ready when the law became effective. With a modernized IRIS changes could be implemented with a less resource intensive effort.

Technology Landscape: The technology landscape has changed significantly over the past 16 years. Client server is no longer considered a viable architecture when compared to other architectures such as "Service Oriented Architecture" (SOA). The division may benefit significantly, if its retirement system could be deployed in an SOA model. SOA facilitates exchange of data with other systems (internal and external) with much more ease when compared to client server architecture. In addition, components such PowerClass (the core development framework for the IRIS) are unsupported by their Original Equipment Manufacturers (OEM).

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

External Partner Systems: The FRS program has about 1200 partners (providers/ agencies/ employers) that exchange data with the IRIS system. The current data exchange mechanism (i.e. File Transfer Protocol {FTP}) requires a significant amount of manual involvement to verify transmission and receipt of data. For instance, partners would submit a file through FTP and sometimes a Zero Kilobyte (0KB) file without any data is received by the division. The partner does not get a report of the issue and neither does the division. It is not until the file upload fails, that the division realizes the error and requests a re-transmission of the file. Furthermore, the external partners have implemented newer architectures and are finding it difficult to interact with the division's outdated technology architecture.

The division's strengths in management and the governance and longevity of their relationship with the current maintenance vendor will mitigate some risks going forward. Weaknesses of the

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

A. Current Information Technology Environment

1. Current System

a. Description of current system

	Retirement Online (Web Application)	IRIS (Line of Business Application)	Process 360 (Document Management/Automated Workflow)
Total number of users by type (power, casual, data entry only, etc.)	Approximately 277,000 External Casual Users, Approximately 900 Power Users	120 Power Users, 40 Casual, 10 Data Entry	120 Power Users, 40 Casual, 10 Data Entry
Number of transactions by type (online, batch, concurrent, etc.)	150 average concurrent users, 750+ Maximum current users, Approximately 1,000,000 page hits per month	Avg. transactions per second online: 15 Avg. transactions per second batch: 200+	Avg. transactions per second online = 17 Avg. batch requests per second online = 44
Size of transactions (amount of data moved or processed by transaction type)	N/A	1 Week’s worth of archive logs = 22.8GB	N/A
Requirements for public access, security, and confidentiality	Retirement Online is the self-service component of the IRIS system and is publicly available. Standard security practices are in place similar to other systems requesting confidential information.	The IRIS does not have a requirement for public access. Confidential information is stored in databases. Standard security practices are in place similar to other systems requesting confidential information.	Process 360 does not have a requirement for public access. There is confidential information stored in the database. Standard security practices are in place similar to other systems requesting confidential information.
Hardware characteristics	Dell Intel-Based Servers, Cisco Switches/Firewalls, EMC Storage, Dell Tape Library	Dell Intel-Based Servers, Cisco Switches/Firewalls, EMC Storage, Dell Tape Library	Dell Intel-Based Servers, Cisco Switches/Firewalls, EMC Storage, Dell Tape Library
Software characteristics	VMWare VSphere, Windows Server OS, IIS, MS SQL Reporting Services, Global Scape EFT Server/Gateway, .NET, Symantec Backup Exec	VMWare VSphere, RedHat Linux, Oracle Database, Windows Server OS, PowerBuilder, .NET, MS SQL Server Reporting Services, OpenText Enterprise Fax Server, IIS, Pitney Bowes AddressRight Pro	VMWare VSphere, Windows Server OS, IIS, MS SQL Server, Symantec Backup Exec, VB Script, OpenText Enterprise Fax Server
External interfaces	MYFRS Portal	<ul style="list-style-type: none"> FRS Participating Agencies, 	NONE

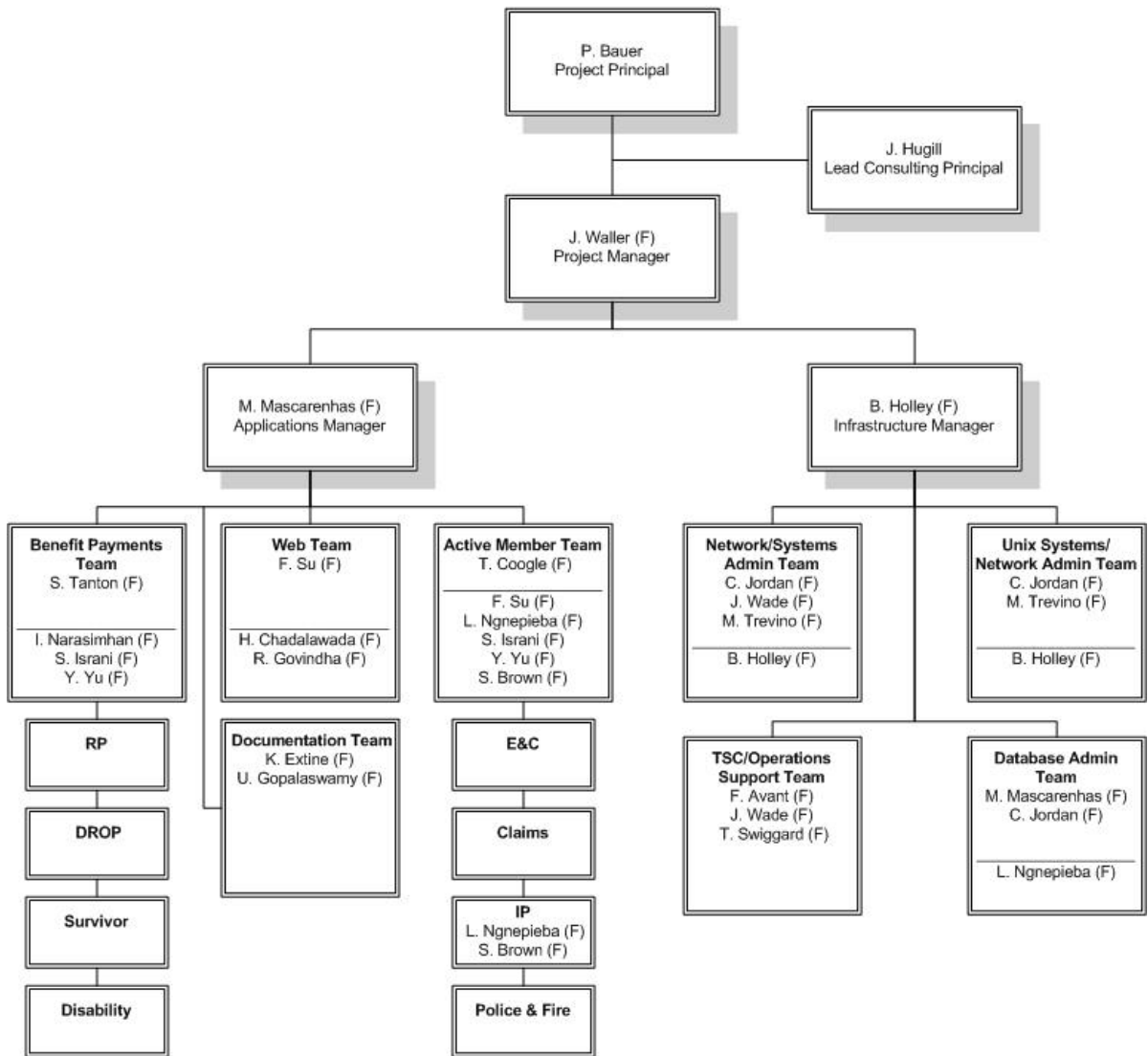
**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

	Retirement Online (Web Application)	IRIS (Line of Business Application)	Process 360 (Document Management/Automated Workflow)
		<ul style="list-style-type: none"> • SAMAS (State Automated Management Accounting System)/State Comptroller, Florida Department of Financial Services, • Internal Revenue Service (IRS), • Bureau of Vital Statistics - Florida Department of Health, • Actuary Consultant, Insurance Provider Companies, • Florida Auditor General's Office, • Florida Department of Law Enforcement, • Florida Department of Children and Families, • ORP and OAP Provider Companies, • PeopleFirst (Northgate Arinso), • Florida Records Administrator (SunGard), • MyFRS.com Portal (Idhasoft), • FRS Investment Plan Third Party Administrator (Aon Hewitt), • Choice Service (Financial Engines), • IRS Form 1099-R and FRS Member Annual Statements Print Vendor 	
Scalability to meet long-term and network requirements (Y/N)	Y	Y	Y

b. Current system resource requirements

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

Deloitte FRS Project Org Chart



c. Current system performance

Although, the IRIS system is meeting the division's current basic needs, it is unlikely that the system would continue to meet the division's needs in the future. The division identified 24 business needs that need to be fulfilled. The division is unable to make progress in this direction due to the fixed amount of resources at its disposal and the fact that seemingly simple requirements are consuming significant resources due to the inflexibility and complexity of the current architecture. Many small inefficiencies linger in the current system which could prevent the division from moving to the next level in terms of administrative cost control or enhancing customer service. In addition, components such as PowerClass (the core development framework for the IRIS) are already unsupported by the Original Equipment Manufacturer (OEM). It is unlikely that the IRIS can be supported or enhanced significantly on tools and technologies that are no longer supported by their OEMs.

2. Strategic Information Technology Direction

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

3. Information Technology Standards

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

B. Proposed Solution Description

1. Summary description of proposed system

Category	Definition	Benefits	Constraints
Commercial Off-The-Shelf (COTS)	<ul style="list-style-type: none"> •Commercially available •Configurable feature set •Core code custom feature modifications not allowed 	<ul style="list-style-type: none"> •Least expensive •Vendor support •Shorter implementation timeline •Least risk 	<ul style="list-style-type: none"> •Vendor dependent •Least customized to business needs
Modified Off-The-Shelf (MOTS)	<ul style="list-style-type: none"> •Commercially available •Configurable feature set •Core code custom feature modifications allowed 	<ul style="list-style-type: none"> •Less expensive •Vendor support options •Moderate implementation timeline •Less risk 	<ul style="list-style-type: none"> •Vendor dependent •Less customized to business needs
Transfer	<ul style="list-style-type: none"> •Commercially available •Defined feature set •Core code custom feature modifications necessary 	<ul style="list-style-type: none"> •More customized to business needs •Proven product 	<ul style="list-style-type: none"> •More expensive •Longer implementation timeline •More risk •Limited vendor options
Custom Build	<ul style="list-style-type: none"> •Not commercially available 	<ul style="list-style-type: none"> •Most customized to business needs 	<ul style="list-style-type: none"> •Most expensive
	<ul style="list-style-type: none"> •Defined custom feature set •Core code custom feature development necessary 	<ul style="list-style-type: none"> •Vendor independent 	<ul style="list-style-type: none"> •Longest Implementation timeline •Most risk
Retain Current System	<ul style="list-style-type: none"> •Not commercially available 	<ul style="list-style-type: none"> •No implementation costs 	<ul style="list-style-type: none"> •Increasing costs
	<ul style="list-style-type: none"> •Defined feature set •Core code custom feature modifications made 	<ul style="list-style-type: none"> •Users are familiar with system •Vendor independent 	<ul style="list-style-type: none"> •Increasing system problems •Misalignment with business

2. Resource and summary level funding requirements for proposed system

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

Phase 1				Phase 2								Phase 3								
Year 1				Year 2				Year 3				Year 4				Year 5				
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Requirements and Process Design & Market Analysis																				
			RFI					Procurement												
										Analysis										
										Design										
												Build								
																		Test		
																			Deploy	

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

- Adequate preparation: Preparation takes many aspects, can be nearly as time consuming as the system implementation itself, and will include the following elements:
 - Governance: Placing a priority on establishing a strong governance structure, especially change management.
 - Organization: Taking the time to prepare the organization. Gaining the buy-in of necessary executive leadership to have the right people dedicated to the re-engineering process and the implementation project, to shepherd changes throughout the organization.
 - Adequate project planning: Project planning involves budgeting, defining project scope and developing strong requirements that are clearly traceable to established objectives and have defined acceptance criteria.
 - Simplified scope: When planning the system, especially when defining the requirements, the goal will be simplicity. This is an appropriate time to look at the services the organization is providing as well, to determine if there are any responsibilities that can be eliminated or moved.
 - Balanced perspectives: When determining project scope, approach or requirements, a single viewpoint should not overshadow or “trump” others. This applies to both business functionality and technical architecture or platform.
 - Adequate funding: In analysis of project failures, under-capitalization is consistently seen as a root cause. Whether due to poor budgeting caused by a failure to plan appropriately, or due to a failure to obtain the necessary funding because of other factors.

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

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

C. Capacity Planning

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

D. Analysis of Alternatives

1. Assessment of Alternatives

Alternative 1 – Retain Existing System (Rejected)

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

A need to proportionately increase the division's staffing levels to serve the rising membership in FRS, which may not guarantee the same level of workforce efficiency as the current IRIS system is already 16 years old and aging rapidly.

Increased staff workload as manual workarounds are required to perform many day-to-day tasks that are not automated in the current system

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

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

Alternative 2 – Upgrade (To be Considered)

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

An upgraded technology environment can be designed, built and deployed to meet the specific needs of the division. The cost to upgrade a system is typically more difficult to estimate with many variables to consider.

Overall, a system upgrade requires strong project and risk management.

Alternative 3 – Replacement (To be Considered)

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

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

2. Assessment Process

The assessment process consisted of the following activities:

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

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

Evaluation Criteria	
Criteria	Description
User Interaction	Delivers simple, easy to use, and consistent solutions.
Functional Capabilities	Supports statutes, policy and processes with automated functional capabilities.
Non-Functional Capabilities	Built on technically sound principles and foundations.
Data Management	Underlying data structures are manageable and scalable to meet current and future growth.
Vendor Support & Stability	Viable partners for implementation and support.
Risk	Solution alternative mitigates the perceived risks.
Cost	Overall cost of product or services.

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

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

A point scale was used to score each alternative. The description of each score can be

found in the Scoring Criteria table below.

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

The results shown below are based on the status of IRIS more than two years ago. The division believes these results may not be realistic given the age of the study, the current Scope of Work, and enhancements completed since the initial study was created. Due to these considerations, Vendor Support and Stability, Risk, and Cost were not adequately valued; an upgrade may be a viable alternative.

In the original chart below each criterion’s score was multiplied by the weighting factor to determine a total score for each criterion. All total criteria scores were added up to give a “Total Weighted Score” for each solution alternative.

Criteria	Weight	Replacement		Upgrade		Retain Existing System	
		Score	Total	Score	Total	Score	Total
User Interaction	15	4	60	4	60	2	30
Functional Capabilities	15	4	60	4	60	2	30
Non-Functional Capabilities	15	4	60	4	60	2	30
Data Management	15	4	40	4	40	2	20
Vendor Support & Stability	10	4	40	0	0	0	0
Risk	15	2	30	0	0	0	0
Cost	15	2	30	0	0	2	30
TOTALS	100	24	320	16	220	10	140

3. Technology Recommendation

The Requirements and Process Design and Market Analysis to upgrade or replace the existing technology environment will allow the division to make a technology recommendation that will maximize technical and business benefits, providing the agility, flexibility and scalability needed for the future.

VI. Project Management Planning Component

A. Project Charter

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

Name

This project is referred to as the IRIS Modernization Project.

Purpose

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

Objectives

This project will meet the following objectives:

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

Scope

Included in the scope of this project are:

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

Exclusions from the scope of this project are:

- Financial and Accounting system

Approach

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

Planning: Seek funding from the legislature to define the Requirements and Process Design in addition preparing a Market Analysis to determine the best approach to modernize IRIS. The original system requirements for the IRIS from early 1990s are still available. These system requirements need to be reviewed and confirmed with stakeholders to ascertain their validity in the current business and technological environment. In addition, the division has implemented many modifications to the IRIS over the past 16 years. These modifications are documented as approved System Information Requests (SIR – the division’s method of requesting and implementing system changes). The approved and pending SIRs will need to be reviewed and confirmed with the stakeholders.

The business needs (i.e. gaps in current system) identified during the “Gap-Fit Analysis” of this study is another source for requirements. The current system could also be used as a source to reverse engineer and extract some requirements of a modern system. Additionally, business strategy and process improvement sessions with internal and external stakeholders would be helpful to identify new and refine past and current requirements. Together, these sources represent the complete set of requirements for the IRIS. At the end of the Planning phase the division will use the information obtained to issue a Request for Information (RFI) to prospective IT service providers to determine an estimated cost of the modernization project.

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

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

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

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

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

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

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

Deliverables

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

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

Milestones

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

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

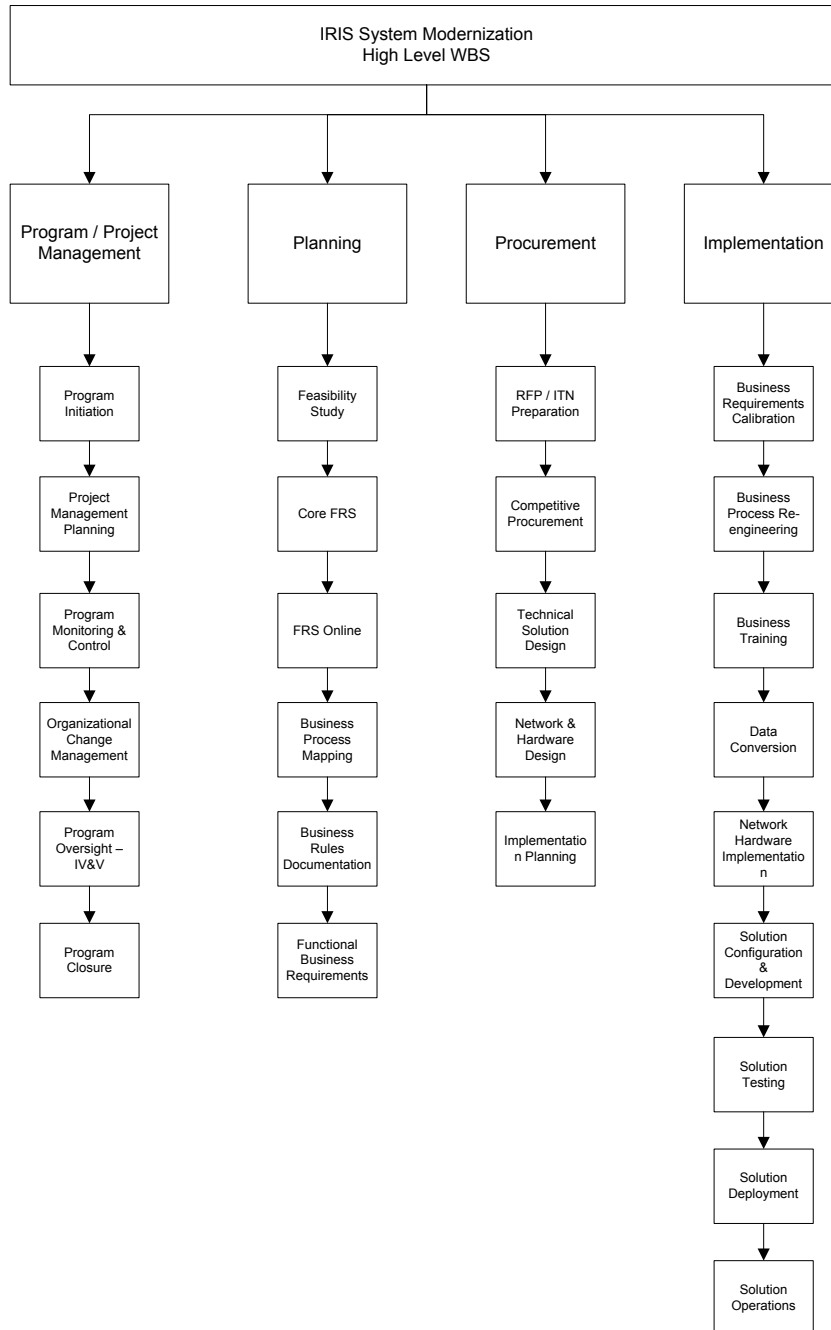
Stakeholders

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

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

C. Work Breakdown Structure

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



D. Resource Loaded Project Schedule

The division will not have the information needed to develop a resource loaded project schedule until the planning and procurement activities have occurred. The division understands the overall work to be done, but until the Requirement and Process Design and the Market Analysis are completed, the division will not know how many resources will be required to meet the overall timeline.

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

Phase 1				Phase 2								Phase 3							
Year 1				Year 2				Year 3				Year 4				Year 5			
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Requirements and Process Design & Market Analysis																			
			RFI					Procurement											
									Analysis										
										Design									
											Build								
															Test				
																			Deploy

E. Project Budget

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

UPGRADE

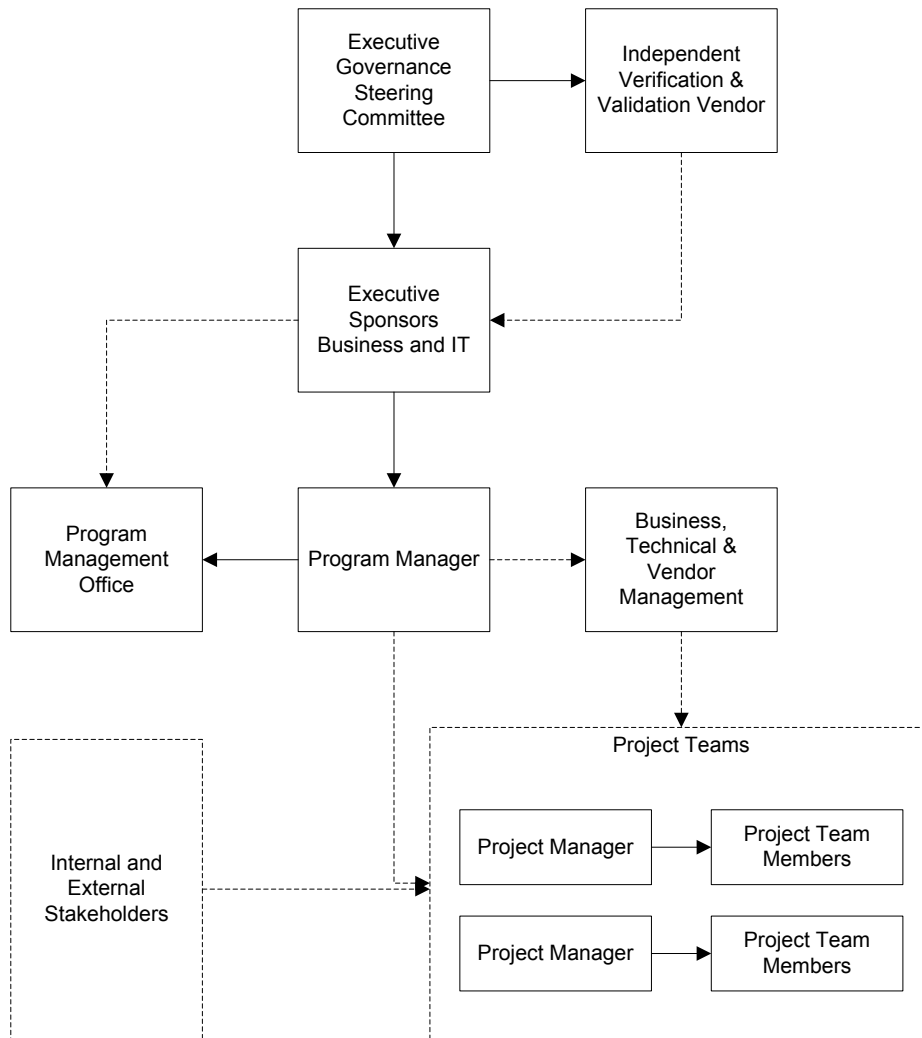
PROJECT COST ELEMENTS	Year - 1	Year - 2	Year - 3	Year - 4	Year - 5	TOTAL
	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	
Requirements and Process Design	\$750,000	-	-	-	-	\$750,000
Market Analysis	\$250,000	-	-	-	-	\$250,000
Procurement	-	-	\$500,000	-	-	\$500,000
System Integration (Includes Software and Hardware)	-	-	\$3,400,000	\$6,800,000	\$6,800,000	\$17,000,000
PMO	-	-	\$1,379,734	\$1,379,733	\$1,379,733	\$4,139,200
IV&V	-	-	-	-	-	\$0
Contingency	-	-	\$527,974	\$817,973	\$817,973	\$2,163,920
Total Project Costs	\$1,000,000	\$0	\$5,807,708	\$8,997,706	\$8,997,706	\$24,803,120

REPLACEMENT

PROJECT COST ELEMENTS	Year - 1	Year - 2	Year - 3	Year - 4	Year - 5	TOTAL
	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	
Requirements and Process Design	\$750,000	-	-	-	-	\$750,000
Market Analysis	\$250,000	-	-	-	-	\$250,000
Procurement	-	-	\$500,000	-	-	\$500,000
System Integration (Includes Software and Hardware)	-	-	\$8,000,000	\$16,000,000	\$16,000,000	\$40,000,000
PMO	-	-	\$1,379,734	\$1,379,733	\$1,379,733	\$4,139,200
IV&V	-	-	\$644,800	\$644,800	\$644,800	\$1,934,400
Contingency	-	-	\$1,052,454	\$1,802,453	\$1,802,453	\$4,657,360
Total Project Costs	\$1,000,000	\$0	\$11,576,988	\$19,826,986	\$19,826,986	\$52,230,960

F. Project Organization

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



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

**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

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

Role	Responsibility
	<ul style="list-style-type: none"> ▪ Provides a perspective of current and future business or technical requirements ▪ Communicates project information to their constituent communities ▪ Performs user acceptance testing
Project Team Members	<ul style="list-style-type: none"> ▪ Performs business or technical activities as documented in the project plan ▪ Reports business or technical activity completion status

G. Project Quality Control

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

Three processes are associated with project quality management:

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

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

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

In summary, quality management is incorporated into the project.

H. External Project Oversight

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

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

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

I. Risk Management

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

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

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

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

**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

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

J. Organizational Change Management

The IRIS Modernization Project will likely select a technology product that requires changes to the division's established processes. Therefore, if process changes are required, organizational change management will become a critical success factor of the system implementation. Two types of change activities are integral to the success of the project:

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

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

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

K. Project Communication

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

Three clear communication channels will be established for this project. They include:

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

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

**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
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What	Who	Owner	Purpose	Frequency	Type
Project Plan (Integrated Project Plans)	Key stakeholders	Project Manager	Update stakeholders and project teams on project progress, dependencies and milestones.	Bi-Weekly	Document distributed via hardcopy or electronically.
Executive Status Report	All stakeholders	Project Manager	Update stakeholders on progress of the project.	Monthly	Distribute electronically and post on project repository
Steering Committee Meeting	Project Steering Committee,	Project Manager	Update Project Steering Committee on status and discuss critical issues. Approve changes to Project Plan.	Monthly	Meeting
Executive Sponsor Meeting	Sponsor	Project Manager	Update executive sponsor(s) on status; discuss critical issues and risks; and review changes to Project Plan.	Bi-Weekly	Meeting
Project Workbook	Project and project teams.	Project Managers	To monitor and track project specific milestone status, issues, actions, decisions and risks, assumptions, constraints and scope tracking.	Weekly	Distribute electronically and post on project repository
Team Meetings	Entire project team. Individual meetings for sub-teams, technical team, and functional teams as appropriate.	Project Managers	To review detailed plans (tasks, assignments, issues, and action items).	Regularly Scheduled	Meeting Template
Project Repository	ALL project team members.	Project Managers	Central location to house status reports, meeting minutes, project description, and Project Initiation Plan. For any shared communication.	Regularly Scheduled	TBD
Periodic Demos and Presentations	Focus on specific groups	Project Managers	To gain inputs and approvals from special groups and keep them abreast of the project's status.	As needed	Presentation/ Discussion
Other	To be determined by the project team	Project Members	General communications.	As needed	Email lists, announcements, etc.

L. Special Authorization Requirements

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

VII. Appendices

A. Appendix A - CBA Forms

UPGRADE



FY 2014-2015
Schedule IV-B -- CBAF

REPLACEMENT



FY 2014-2015
Schedule IV-B -- CBAF

B. Appendix B - Risk Assessment Tool



Risk Assessment
7-9-12.xls

C. Appendix – Business Impact Analysis

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

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

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

**FY 2014-15 UPDATED SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

ID	Business Need Identified	Business Impact (if need is not fulfilled)
	<ol style="list-style-type: none"> 4. Save changes to Notes. (Withdrawn SIR 3109) 5. Hide W-4P menu item. (Withdrawn SIR 3347) 6. Automate the SUSORP/CCORP Buyback HIS Interest buyback. (Hold SIR 3338) 7. Users must be able to specify e-mail address on Correspondence Checklist. (Withdrawn SIR 3332) 	
Maintainable – Able to manage change and update the system.		
3	<p>Ability to replace aging components of the system without major re-engineering effort or impact to the current functionality of the system.</p> <ol style="list-style-type: none"> 1. The document management system replacement issue from the original Schedule IV-B is being addressed separately through implementing a new forms management software. 2. The Department of Management Services and the State of Florida have considered or are considering establishing technical standards for Enterprise Document Management, Customer Relationship Management (CRM) systems, Enterprise Resource Planning (ERP) systems, security, databases and others. It is not practical to implement these standards within the current IRIS architecture. (SWOT) 	<ul style="list-style-type: none"> • Risk of information loss • Inconsistent products from the application • Inability to meet customer expectations • Extensive effort and multiple steps required to process simple changes • Extensive effort and multiple steps required to produce a final product for the customer
4	<p>Ability to roll out new code without installing on individual machines.</p> <ol style="list-style-type: none"> 1. Replace “thick” client-server with “thin” or browser-based client-server architecture. (SWOT) 	<ul style="list-style-type: none"> • Inconsistent application version control between users • Business users need to spend extra time collaborating with IT to get the newer version of the application which in turn takes their time away from core duties
Secure – System access control and data protection.		
5	<p>Ability to define and implement robust and fine grain security controls for system access (e.g. least privilege, default deny – access by exception, cascading password changes).</p> <ol style="list-style-type: none"> 1. Implement interchangeable off-the-shelf component for security to help address weaknesses of IRIS and improve IRIS. (SWOT) 2. The current security management software uses a “remove” rather than “add” approach to access rights. This means that when a new user is added, he or she receives access to 	<ul style="list-style-type: none"> • Potential for errors • Risk of information loss, theft, and security • Risk of non-compliance with rules and statutes • Timeliness issue in giving and removing privileges/access, which negatively impacts work

ID	Business Need Identified	Business Impact (if need is not fulfilled)
	<p>the full application and rights must be taken away to get to the correct access level. Newer systems take an additive approach, where a user starts out with access to nothing and rights are specifically granted for appropriate access. This control style is easier to implement, introduces less risk and has fewer opportunities for human error. (SWOT)</p> <p>3. Users currently must be added and maintained in three locations (database, application and Windows), which makes requiring frequent password changes unmanageable. (SWOT)</p>	<p>progress</p>
<p>Portable – The data can be migrated to other platforms as dictated by the Division’s needs.</p>		
<p>6</p>	<p>Ability to export data in multiple formats (e.g. excel, csv, pdf)</p> <ol style="list-style-type: none"> 1. Users need to be able to export reports to multiple formats. Users are not able to export to Excel with Crystal Reports. (Interview with Enrollment and Contributions) 2. Users need to be able to modify comments in reports after they are archived. This is a limitation of Crystal Reports. (Interview with Retirement Calculations) 3. Users need to be able to run spell check on their reports. This is not available in Crystal Reports. (Interview with Retirement Calculations) 	<ul style="list-style-type: none"> • Extensive manual efforts and workarounds to provide data to customers • Decreases Customer satisfaction • Reputation risk • Increased probability of errors
<p>7</p>	<p>Ability to import data from external sources.</p> <ol style="list-style-type: none"> 1. System Administrators must be able to update IRIS with addresses after a review of vested termination accounts. (Proposed SIR 3365. Currently in development.) 2. Health insurance subsidy tax exclusion upload is a manual process. 	<ul style="list-style-type: none"> • Reputation risk • Increases manual effort due to multiple steps • Decreases customer satisfaction • Increases cost • Wasted resources (time, money, and effort) • Increases data processing time
<p>Digital recording – Record telephone conversations.</p>		
<p>8</p>	<p>Ability to record, index and search telephone conversations.</p> <ol style="list-style-type: none"> 1. Retirement Calculations may use voice recording for training. (Interview with Retirement Calculations) 2. System should link a recording to the information in IRIS. (Interview with Enrollment 	<ul style="list-style-type: none"> • Difficulty in resolving disputes • Difficulty in monitoring customer satisfaction • Reputation risk

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

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

ID	Business Need Identified	Business Impact (if need is not fulfilled)
	Benefit Payments)	performance evaluations <ul style="list-style-type: none"> • Difficulty in identifying back log
Customer Relationship Management (CRM) – Ability to track and manage client interactions across multiple touch points.		
16	Ability to document and track phone calls. <ol style="list-style-type: none"> 1. The ability to document and track phone calls will be addressed as a separate Legislative Budget Request and is no longer part of this project. 	<ul style="list-style-type: none"> • Increases time and effort required to perform day-to-day tasks • Increased manual workarounds • Lost opportunity for process improvements • Duplicative efforts
17	Members must be able to easily access their records by phone without requiring Division staff assistance. <ol style="list-style-type: none"> 1. Members need to be able to call the IVR for specific account information. (Interview with Benefit Payments) 2. List pay dates for retired payroll. 	<ul style="list-style-type: none"> • Lost opportunity for providing increased customer service (i.e. satisfaction) • Reputation risk • Takes staff away from core duties
Printing – Ability to print.		
18	Ability to configure printing options to print documents in batch. <ol style="list-style-type: none"> 1. Users must be able to print monthly DROP term packet in batches. (Hold (proposed SIR not yet approved) SIR 3362) 2. Users need batch printing capabilities. (Interview with State University System Optional Retirement Program (SUSORP) the Senior Management Service Optional Annuity Program (SMSOAP)) 3. Users need to be able to print from the library and automatically mail it (that is, batch printing for mailing purposes). (Interview with Retirement Calculations) 	<ul style="list-style-type: none"> • Negatively impacts customer service • Decreases customer satisfaction • Difficulty in complying with legislative mandates • Reputation risk • Decreases the Division’s ability to process payments to members
Data Standards – Adheres to industry standard data exchange formats.		
19	Ability to exchange information with external systems.	<ul style="list-style-type: none"> • Loss of information

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IRIS MODERNIZATION PROJECT**

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

ID	Business Need Identified	Business Impact (if need is not fulfilled)
	determining the number of employees (current and future) that are allocated to it. As such, the Division could lose full-time equivalencies or may not receive approval or funding for additional needed staff. Therefore, staff may need to know how to accomplish tasks in more than one Bureau. (SWOT)	error)
Validation and business rules – Ability to automatically check for pre-defined inconsistencies or errors.		
23	Ability to standardize business rules across system modules (e.g. rounding). 1. Users currently experience rounding errors/inconsistencies with IRIS. (Interview with Retirement Calculations). Sometimes when the current system calculates service credit, it will use two different formulas that create outputs that are different by .01.	<ul style="list-style-type: none"> • Increases manual workarounds • Increases potential for errors • Reputation risk • Decreased customer satisfaction
Training – On-line Help, tutorials, context sensitive assistance.		
24	Need context sensitive help throughout the system. 1. Current IRIS system does not provide context sensitive help. (Interview with Deloitte) 2. The Division requires skilled workers who understand its complexities and nuances. Like many agencies nationwide, the Division faces a potential loss of subject matter expertise as its most experienced staff approach retirement age. Loss of knowledge base will reduce the ability to communicate the business processes. Therefore, users need context sensitive help to transfer knowledge to other staff members.	<ul style="list-style-type: none"> • Increases potential for errors • Users have to learn by experimenting (trial and error) • Reputation risk • Customer satisfaction • Decreased user productivity • Longer training times

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72750300 Retirement Benefits Administration
Fund: 2517 Optional Retirement Program Trust
Specific Authority: 121.35, F.S.
Purpose of Fees Collected: Employee Benefits Plan

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

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

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>		ACTUAL	ESTIMATED	REQUEST
		FY 2012- 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>				
Contributions from Employers		165,665,651	165,660,000	165,660,000
Interest Earnings		92,556	86,000	86,000
Property Transfer In				
Total Fee Collection to Line (1) - Section III		165,758,207	165,746,000	165,746,000

<u>SECTION II - FULL COSTS</u>				
<u>Direct Costs:</u>				
Salaries and Benefits		136,007	144,524	203,587
Other Personal Services				
Expenses		10,880	16,133	28,011
Operating Capital Outlay				
Sp.Cat.:Contracted Services		225,319	75,500	500
Sp.Cat.:Risk Management Insurance				
HR Statewide Contract		567	536	1,224
Data Processing Services - SSRC				
<u>Indirect Costs Charged to Trust Fund:</u>				
Payments to Annuity Companies 310181		158,548,635	131,000,000	131,000,000
Transfers Funds Unfunded Actuarial-FRS 181153		7,319,091	35,040,000	35,040,000
Refunds		5,650	-	-
Certified Forward Reversions @ 9/30/2013			(78,750)	-
Budget Amendment EOG B0079			78,750	-
Trans to Admin TF for Contracted Legal Svcs			25,000	-
Assessment for Investments 890000 -310403		6,011	-	
Total Full Costs to Line (2) - Section III		166,252,160	166,301,693	166,273,322

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>				
TOTAL SECTION I	(A)	165,758,207	165,746,000	165,746,000
TOTAL SECTION II	(B)	166,252,160	166,301,693	166,273,322
TOTAL - Surplus/Deficit	(C)	(493,953)	(555,693)	(527,322)

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPTIONAL RETIREMENT PROG TRUST
LAS/PBS Fund Number:	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2517

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	10,502 (A)		10,502
ADD: Other Cash on Hand			0
ADD: Investments	4,258,761 (C)		4,258,761
Total Cash and Investments	4,269,263 (D)		4,269,263
ADD: Outstanding Accounts Receivables	14,129 (C)		14,129
Total Cash, Investments and Accounts Receivable	4,283,392 (F)		4,283,392
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	149,685 (H)		149,685
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Non-Operating)	520 (I)		520
Unreserved Fund Balance, 07/01/13	4,133,187 (K)		4,133,187 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; 4,101,264 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments;

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Compensated Absences Liability 31,923.32 (D)

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 4,133,187 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 4,133,187 (F)*

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72750300 Retirement Benefits Administration
Fund: 2532 Municipal Police/Firemen Premium Tax Trust
Specific Authority: 175.041; 175.091; 175.101; 185.03; 185.07; 185.08
Purpose of Fees Collected: Employee Benefits Plan

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

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

(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL FY 2012 - 13	ESTIMATED FY 2013 - 14	REQUEST FY 2014 - 15
Receipts:			
Insurance Premium Tax	169,215,084	172,900,000	179,700,000
Interest Earnings	336,100	336,100	336,100
Net Appreciation/Depreciation in Fair Market Value	673,623	673,000	673,000
Refunds	231,695		
Transfer from Within Agency	80,738		
Total Fee Collection to Line (1) - Section III	170,537,240	173,909,100	180,709,100

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	169,490	784,823	797,677
Other Personal Services			
Expenses	49,903	83,389	83,389
Operating Capital Outlay			
Contracted Services	191,355	191,355	191,355
Lease/Purchase/Equipment	1,130	2,000	2,000
HR Statewide Contract	4,040	3,819	3,819
Data Processing Services - SSRC			

Indirect Costs Charged to Trust Fund:

TR to Firefighters Supplemental Comp	17,941,795	18,288,881	18,288,881
Refunds	16,519		-
Aid to Municipalities	134,240,640	135,079,370	146,262,951
S.C. to GR - 8%	13,537,207	13,832,000	14,376,000
SBA Administrative Fee	1,019	1,020	1,020
Transfer to Dept of Revenue	100,000	100,000	100,000
Cert Forward A Reversions @ 9/30/2012	(5,590)		
Cert Forward Reversions @ 9/30/2013		(131,455)	
Total Full Costs to Line (2) - Section III	166,247,508	168,235,202	180,107,092

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	170,537,240	173,909,100	180,709,100
TOTAL SECTION II	(B)	166,247,508	168,235,202	180,107,092
TOTAL - Surplus/Deficit	(C)	4,289,732	5,673,898	602,008

EXPLANATION:

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	MUNICIPAL POLICE/FIREMENT PREMIUM TAX TRUST
LAS/PBS Fund Number:	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2532

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	145,079 (A)		145,079
ADD: Cash with State Board of Administration	0 (B)		0
ADD: Investments	225,443,948 (C)		225,443,948
Total Cash and Investments	225,589,027		225,589,027
ADD: Outstanding Accounts Receivable	10,295,930 (D)		10,295,930
Total Cash, Investments and Accounts Receivable	235,884,957 (F)		235,884,957
LESS Allowances for Uncollectibles	(G)		0
LESS Approved "A" Certified Forwards	186,778 (H)		186,778
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards	(H)		0
LESS: Other Accounts Payable	163,155,128 (I)		163,155,128
Unreserved Fund Balance, 07/01/13	72,543,051 (K)		72,543,051 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13	
Total all GLC's 5XXXX for governmental funds;	
GLC 539XX for proprietary and fiduciary funds	72,544,882

Subtract Nonspendable Fund Balance (GLC 56XXX)	
---	--

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description	
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SWFS Adjustment # and Description	
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Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	
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Compensated Absences Liability	(1,831)
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A/P not C/F-Operating Categories	
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ADJUSTED BEGINNING TRIAL BALANCE:	72,543,051
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UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	72,543,051
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DIFFERENCE:	0
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***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72750300 Retirement Benefits Administration
Fund: 2583 Retirees Health Insurance Subsidy Trust
Specific Authority: 121, F.S.
Purpose of Fees Collected: Employee Benefits Plan

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
Receipts:				
Interest Earnings		1,035,146	1,035,146	1,035,416
Contributions from Employers		327,574,729	359,588,519	365,126,182
Total Fee Collection to Line (1) - Section III		328,609,875	360,623,665	366,161,598

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits		40,012	42,070	129,387
Other Personal Services				
Expenses		11,370	11,370	17,817
Operating Capital Outlay				
Contracted Services			30,000	40,000
HR Statewide Contract		224	212	1,020

Indirect Costs Charged to Trust Fund:

Refunds				
Pensions & Benefits 311031		390,973,358	406,000,000	422,000,000
SBA Administrative Fee		1,585	1,585	1,585
Cert Forward Reversions @ 9/30/2010				
Reserve for Pay Package				
Total Full Costs to Line (2) - Section III		391,026,549	406,085,237	422,189,809

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	328,609,875	360,623,665	366,161,598
TOTAL SECTION II	(B)	391,026,549	406,085,237	422,189,809
TOTAL - Surplus/Deficit	(C)	(62,416,674)	(45,461,572)	(56,028,211)

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	RETIREE HIS TRUST
LAS/PBS Fund Number:	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2583

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	119,411 (A)		119,411
ADD: Cash on Hand and with SBA			
ADD: Investments	121,407,450 (C)		121,407,450
Total Cash and Investments	121,526,861		121,526,861
ADD: Outstanding Accounts Receivable	36,411,945 (D)	0	36,411,945
Total Cash, Investments and Accounts Receivable	157,938,806 (F)	0	157,938,806
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards			0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable	9,520 (I)	-	9,520
Unreserved Fund Balance, 07/01/13	157,929,286 (K)	0	157,929,286 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; 157,929,286 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments;

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

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

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 157,929,286 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 157,929,286 (F)*

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Retirement

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG 2013-042	6/30/2013	IRIS	<p>Finding #1: The IRIS application and database access privileges of some employees, contractors, and automated processes exceeded what was necessary to accomplish their job responsibilities or functions. Also, procedures for authorization documentation and review of access privileges to IRIS and the IRIS database needed improvement.</p> <p>Recommendation: The Department should require Deloitte to enhance its periodic review of existing access privileges, remove the inappropriate access privileges to the IRIS application and database, and maintain appropriate documentation of management authorizations of Deloitte IT staff access privileges.</p>	<p>IRIS Application: As of February 2013, the secondary accounts have been eliminated thereby including only users with active IRIS power lock accounts. On March 4, 2013 division management implemented a procedure to review role/menu changes that govern user access privileges. IRIS Database: Procedures for maintaining appropriate documentation has been implemented and is accessible on the division network. Authorization for access privileges was given to Deloitte on January 25, 2013. <u>Update September 2013: This issue is closed.</u></p>	
AG 2013-042	6/30/2013	IRIS	<p>Finding #2: Generic user identification codes (IDs) for database administration and the movement of programs into the production environment were being shared by Deloitte Consulting LLP (Deloitte) IT staff.</p> <p>Recommendation: The Department should require Deloitte to assign a unique user ID to each person within the Deloitte IT staff who is authorized to perform IT functions for IRIS. The Department should require Deloitte to assign a unique user ID to each person within the Deloitte IT staff who is authorized to perform IT functions for IRIS.</p>	<p>The creation of unique IDs for development staff was completed February 2013. Deloitte staff members are using the newly created IDs for accessing the production database. <u>Update September 2013: This issue is closed.</u></p>	

AG 2013-042	6/30/2013	IRIS	<p>Finding #3: The Department did not timely deactivate the IRIS access privileges of two former employees. Recommendation: The Department should ensure that the IRIS application access privileges of former employees are timely deactivated to minimize the risk of compromising IRIS data and IT resources.</p>	<p>This recommendation was implemented on July 1, 2012, prior to completion of the audit. <u>Update September 2013:</u> This issue is closed.</p>
AG 2013-042	6/30/2013	IRIS	<p>Finding #4: Certain security controls related to user authentication needed improvement. Recommendation: The Department should improve user authentication controls to ensure the continued confidentiality, integrity, and availability of Department data and IT resources.</p>	<p>Recommendation number one was completed on October 7, 2012. Recommendations two and three were completed March 31, 2013. <u>Update September 2013:</u> This issue is closed.</p>
AG 2013-042	6/30/2013	IRIS	<p>Finding #5: Some IRIS application program change controls needed improvement. Recommendation: The Department should document written program change control procedures and enforce effective program change controls that provide for an appropriate separation of duties and the identification of the individuals performing the tasks. In addition, the Department should also review its approval documentation practices to ensure that all intended program changes, once completed, are reviewed and moved into the production environment upon approval.</p>	<p>The configuration management plan that governs the SIR Review Process was updated in March 2013. The SIR Tracking System has been enhanced so that more detail is captured for release notes to cover Retirement Online (ROL) objects, report objects, and database structure changes with controls on the persons able to process each type of object. <u>Update September 2013:</u> This issue is closed.</p>

Fiscal Year 2014-15

State Personnel Policy Administration

Exhibits and Schedules

Fiscal Year 2014-15

State Personnel Policy
Administration

Schedule I Series

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72750400 State Personnel Policy Administration
Fund: 2678 State Personnel System Trust
Specific Authority: Section 110.125, F.S.
Purpose of Fees Collected: To maintain and administer the Personnel Program

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

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

	(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013 - 14	(4) REQUEST FY 2014 - 15
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		40,561,338	38,220,024	38,220,024

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits		1,266,115	1,344,025	1,359,070
Other Personal Services		5,000	5,000	5,000
Expenses		93,138	119,225	121,134
Operating Capital Outlay				
Sp.Cat.:Contracted Services		3,180	22,576	22,576
Sp.Cat.:Risk Management Insurance		10,566	15,365	15,365
St. Emp. Charitable Campaign				
TR DMS/Human Res SVC		7,091	6,704	6,704
Legal Services		100,000	100,000	100,000
Lease/Purchase/Equipment			1,691	1,691
Data Processing Services-SSRC		14,939	14,062	11,149

Indirect Costs Charged to Trust Fund:

TR to GR- 8% Srvs Chrg		9,108	9,720	9,720
TR to 2021 - Admin. Assess. Fee		310,634	250,477	310,591
Transfer to Admin TF for Contracted L			150,000	
Assessment for Investments 890000 - 3		7,721	7,715	7,715
Transfer out to Budget Entity 72750500		37,920,071	38,309,137	38,120,625
Cert Forward Reversions @ 9/30/2012		(551)		
REDM Initiative-Interest Earnings		150,000		
Total Full Costs to Line (2) - Section III		39,897,013	40,355,697	40,091,341

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	40,561,338	38,220,024	38,220,024
TOTAL SECTION II	(B)	39,897,013	40,355,697	40,091,341
TOTAL - Surplus/Deficit	(C)	664,326	(2,135,673)	(1,871,317)

EXPLANATION:

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

Department: Management Services **Budget Period: 2014-15**
Program: Human Resource Management (72750100)
Fund: State Personnel System Trust (2678)

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

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012- 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>			
TR from Agencies/HR Svcs Assessmen	40,417,171	38,098,524	38,098,524
Interest Earnings	121,571	121,500	121,500
Refunds and Reimbursements	22,596		
Miscellaneous			
Total Fee Collection to Line (1) - Section III	40,561,338	38,220,024	38,220,024

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

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

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,182,209 (A)		1,182,209
ADD: Other Cash (See Instructions)			0
ADD: Investments	5,511,984 (C)		5,511,984
ADD: Outstanding Accounts Receivable	419,355 (D)	-	419,355
ADD:			
Total Cash plus Accounts Receivable	7,113,548 (F)	0	7,113,548
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	52,592 (H)		52,592
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Non Operating)	1,818 (I)		1,818
LESS: <u>Other Accounts Payable</u>			0
Unreserved Fund Balance, 07/01/12	7,059,139 (K)	0	7,059,139**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; 7,060,552 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Compensated Absences Liability (1,413) (D)

A/P no C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 7,059,139 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC 7,059,139 (F)*

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: State Personnel Policy Administration

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no issues or findings to report for State Personnel Policy Administration.		

Fiscal Year 2014-15

People First

Exhibits and Schedules

Fiscal Year 2014-15

People First

Schedule I Series

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72750500 People First
Fund: 2678 State Personnel System Trust
Specific Authority: Section 110.125, F.S.
Purpose of Fees Collected: To maintain and administer the Personnel Program

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

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

	(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013 - 14	(4) REQUEST FY 2014 - 15
Receipts:	SEE ATTACHED LISTING			
Total Fee Collection to Line (1) - Section III		-	-	-

SECTION II - FULL COSTS

Direct Costs:				
Salaries and Benefits		1,233,440	1,319,046	1,336,743
Other Personal Services				
Expenses		106,337	104,832	106,309
Operating Capital Outlay				
Sp.Cat.:Contracted Services		856	522,575	256,575
Sp.Cat.:Risk Management Insurance		9,323	2,103	2,103
St. Emp. Charitable Campaign				
TR DMS/Human Res SVC		6,258	5,916	5,916
HR Statewide Contract		36,243,504	36,092,972	36,092,972
Legal Services				
Lease/Purchase/Equipment			1,860	1,860
Data Processing Services-SSRC		9,719	9,356	7,556

Indirect Costs Charged to Trust Fund:				
TR to GR- 8% Srvc Chrg			-	-
TR to 2021 - Admin. Assess. Fee		310,634	250,477	310,591
Refunds				
Transfer in from Budget Entity 72750400		(37,920,071)	(38,278,832)	(38,120,625)
Cert.Forward A Reversions @9/30/2010				
Cert Forward Reversions @ 9/30/2010				
Reserve for Pay Package				
Total Full Costs to Line (2) - Section III		(0)	30,305	0

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	-	-	-
TOTAL SECTION II	(B)	(0)	30,305	0
TOTAL - Surplus/Deficit	(C)	0	(30,305)	(0)

EXPLANATION:

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

Department: Management Services **Budget Period: 2014-15**
Program: 72750500 People First
Fund: State Personnel System Trust (2678)

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

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012- 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>			
TR from Agencies/HR Svcs Assessment	-	-	-
Interest Earnings	-	-	-
Refunds and Reimbursements			
Miscellaneous			
Total Fee Collection to Line (1) - Section III	-	-	-

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	STATE PERSONNEL SYSTEM TRUST
LAS/PBS Fund Number:	PEOPLE FIRST (72750500)
	2678

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	3,058,714 (A)		3,058,714
ADD: Other Cash (See Instructions)			0
ADD: Investments	0 (C)		0
ADD: Outstanding Accounts Receivable	0 (D)	-	0
ADD:			
Total Cash plus Accounts Receivable	3,058,714 (F)	0	3,058,714
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	3,058,715 (H)		3,058,715
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Non Operating)	0 (I)		0
LESS: <u>Other Accounts Payable</u>			0
Unreserved Fund Balance, 07/01/13	0 (K)	0	0**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; 7,060,552 (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) [] (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description [] (C)

SWFS Adjustment # and Description [] (C)

Add/Subtract Other Adjustment(s):

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

Compensated Absences Liability (1,413) (D)

A/P no C/F-Operating Categories [] (D)

[] (D)

[] (D)

[] (D)

ADJUSTED BEGINNING TRIAL BALANCE: 7,059,139 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC 7,059,139 (F)*

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: PeopleFirst

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no issues or findings to report for People First.		

Fiscal Year 2014-15

Telecommunications Services

Exhibits and Schedules

Fiscal Year 2014-15

Telecommunications Services

Schedule I Series

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

Department: 72 Management Services **Budget Period:** 2014-15
Budget Entity: 72900100 Telecommunications Services
Fund: 2105 Communications Working Capital Trust
Specific Authority: Chapter 282, F.S.
Purpose of Fees Collected: To pay phone bills of vendors and for fund's operations and the
 Emergency Medical Services (EMS) Grant.

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

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

<u>SECTION I - FEE COLLECTION</u>	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013- 14	(4) REQUEST FY 2014-15
Receipts:			
SEE ATTACHED LISTING			
Total Fee Collection to Line (1) - Section III	116,737,387	118,953,608	122,453,608

<u>SECTION II - FULL COSTS</u>	(2) ACTUAL FY 2012 - 13	(3) ESTIMATED FY 2013- 14	(4) REQUEST FY 2014-15
Direct Costs:			
Salaries and Benefits	4,624,432	4,976,428	5,049,694
Other Personal Services	58,082	74,268	306,386
Expenses	550,280	718,070	741,401
Operating Capital Outlay	91,412	92,159	92,159
S.C.: Centrex & Suncom Payments	108,035,421	108,035,421	108,035,421
S.C.: Contracted Services	1,989,484	2,510,625	2,260,625
FIRN/DIST Bandwidth Support		7,695,335	7,451,217
S.C.: Risk Management Insurance	13,855	12,989	12,989
Lease/Purchase/Equipment	1,989	1,989	1,989
S.C.: HR Stwd Contract	23,120	21,857	21,857
Data Processing Services - SSRC	439,124	416,189	400,749
Indirect Costs Charged to Trust Fund:			
Administrative Assessment Fee	1,050,124	1,032,944	1,300,851
Refunds	812,876		
TR to 72010100-2105	250,260	3,145	
TR to 72900200-2105	1,219	8,876	8,876
Used Interest Earnings - COO REDM	100,000		
Comp Leave Liability	(173,489)		
CF B paid not in Beg Bal			
Cert Forward A Reversions @ 9/30/2012	(327,687)		
Cert Forward Reversions @ 9/30/2013		(31,416)	
Reserve for Pay Package			
Statewide Post Closing Adjustment 990000	(946)		
Rounding	4		
5% Trust Fund Reserve			
Assessments for Investments 890000 - 3104	20,494	-	-
Total Full Costs to Line (2) - Section III	117,560,054	125,568,879	125,684,214

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>				
TOTAL SECTION I	(A)	116,737,387	118,953,608	122,453,608
TOTAL SECTION II	(B)	117,560,054	125,568,879	125,684,214
TOTAL - Surplus/Deficit	(C)	(822,668)	(6,615,271)	(3,230,606)

EXPLANATION:

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

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

Department: Management Services **Budget Period:** 2014-15
Budget Entity: Telecommunications Services (72900100)
Fund: Communications Working Capital Trust (2105)
Specific Authority: Chapter 282, F.S.
Purpose of Fees Collected: To pay phone bills of vendors and for fund's operations and the
Emergency Medical Services (EMS) Grant.

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>			
<u>Suncom/Centrex Revenues</u>	108,298,482	101,590,000	104,090,000
<u>Telecomm. Infrastructure Proj. Fees</u>	2,332,013	2,700,000	2,700,000
<u>Wireless Revenues</u>	4,332,092	5,000,000	5,500,000
<u>Interagency Agree.--DOAH-Video Tele</u>	125,000	125,000	125,000
<u>Interagency Agreement-Dept of Health(EMS)</u>			
<u>FIRN Revenues</u>		8,234,008	8,234,008
<u>Interest Earnings</u>	325,109	304,600	304,600
<u>Refunds and Reimbursements</u>	1,324,691	1,000,000	1,500,000
<u>Total Fee Collection to Line (1) - Section III</u>	116,737,387	118,953,608	122,453,608

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2014 - 2015

Department Title:	MANAGEMENT SERVICES
Trust Fund Title:	COMMUNICATIONS WORKING CAPITAL TRUST
Budget Entity:	TELECOMMUNICATIONS SERVICES (72900100)
LAS/PBS Fund Number:	2105

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	3,037,340 (A)		3,037,340
ADD: Other Cash (See Instructions)	0 (B)		0
ADD: Investments	11,759,676 (C)		11,759,676
ADD: Outstanding Accounts Receivable	16,240,613 (D)	946	16,241,559
Total Cash plus Accounts Receivable	31,037,630 (F)	946	31,038,576
LESS Allowances for Uncollectibles	0 (G)		0
LESS Approved "A" Certified Forwards	7,934,466 (H)		7,934,466
Approved "B" Certified Forwards	4,612 (H)		4,612
Unearn Revenue	0 (H)		0
LESS: Other Accounts Payable	1,468 (I)		1,468
Unreserved Fund Balance, 07/01/13	23,097,084 (K)	946	23,098,030 **

Notes:

*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2013

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

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

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustment(s):

SWFS Adjustment # and Description-Increase accounts (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Compensated Absences Liability (D)

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

Advance from General Revenue Fund (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72900100 Telecommunications Services
Fund: 2261 Federal Grants Trust
Specific Authority: _____
Purpose of Fees Collected: Federal grant to cover the expenditures ARRA Broadband Mapping and E911 Grant

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

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

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>			
Transfer from Federal NTIA-Broadband	1,692,618	1,206,678	597,316
Transfer from Federal DOT-Enhance 911	203,604		
Reimbursement			
Total Fee Collection to Line (1) - Section III	1,896,222	1,206,678	597,316

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits			
Other Personal Services			
Contracted Services-Enhance 911	203,604		
Broadband Svcs Deployment-ARRA 2009	1,880,189	1,206,678	597,316
<u>Indirect Costs Charged to Trust Fund:</u>			
CF A Reversions @ 9/30/2012	(187,571)		
Cert Forward Reversions @ 9/30/2013	-	(57,334)	
Total Full Costs to Line (2) - Section III	1,896,222	1,149,344	597,316

Basis Used: _____

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	1,896,222	1,206,678
TOTAL SECTION II	(B)	1,896,222	1,149,344
TOTAL - Surplus/Deficit	(C)	0	57,334

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	FEDERAL GRANTS
LAS/PBS Fund Number:	TELECOMMUNICATIONS SERVICES (72900100)
	2261

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	-106 (A)		-106
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable	209,136 (D)	0	209,136
Total Cash plus Accounts Receivable	209,030 (F)	0	209,030
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	209,030 (H)		209,030
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable			0
Unreserved Fund Balance, 07/01/13	0 (K)	0	0**

Notes:

*SWFS = Statewide Financial Statement

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

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72900100 Telecommunications Services
Fund: 2344 Wireless Emergency Phone Trust
Specific Authority: Sec 365.172 and 365.173, F.S.
Purpose of Fees Collected: A fee of \$.50 per month is assessed to Florida's wireless telephone subscribers to offset Florida counties' and the service providers' 911 and Emergency 911 capital and operating costs. Fees are deposited into the fund and subsequent distributions are as follows: 44% to counties; 54% to service providers; and an additional 2% to rural counties.

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
Receipts:				
Deposits from Wireless 911 Ser.Providers		64,727,978	66,805,712	62,997,786
Deposits from Wireline 911 Ser.Providers		42,827,918	41,201,068	36,578,308
Deposits from Prepaid Wireless Ser.Provid		-	-	23,181,277
Interest Earnings		501,064	465,000	465,000
Refunds		464,145		
Total Fee Collection to Line (1) - Section III		108,521,106	108,471,780	123,222,371

SECTION II - FULL COSTS

Direct Costs:				
Salaries and Benefits		330,408	367,206	372,610
Other Personal Services		28,340	84,290	84,290
Expenses		105,089	514,632	515,273
Operating Capital Outlay		1,277	3,600	3,600
SC: Contracted Services		270,595	420,827	420,827
SC: Contracted Legal Services		29,452	92,159	92,159
Lease/Purchase/Equipment		575	1,149	1,149
S.C.:HR Stwd Contract		771	729	729
Data Processing Services - SSRC		1,919	3,245	1,985
Aid to Local Governments:				
Wireless 911 Grants to Counties 055616				
Non-Wireless 911 Dist to Co 055614		41,956,853	50,030,674	50,030,674
Wireless 911 Dist to Counties 055610		56,966,664	70,020,273	70,020,273
Wireless 911 Dist to Svc Provid 055612		8,424,877	15,484,846	15,484,846
Indirect Costs Charged to Trust Fund:				
TR to 2021-Admin.Assess.Fee		72,934	68,827	85,345
Refunds		576		
Cert Forward A Reversions @ 9/30/2012		(1,934,796)		
6/30/2012 CF B Paid - Not in Beg Bal		41,482		
6/30/2010 A/P NOT CF				
Cert Forward Reversions @ 9/30/2013			(494,532)	
Unfunded Budget			(15,000,000)	(14,000,000)
Assessment for Investments 890000 - 31040		32,080	-	-
Total Full Costs to Line (2) - Section III		106,329,096	121,597,925	123,113,760

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	108,521,106	108,471,780	123,222,371
TOTAL SECTION II	(B)	106,329,096	121,597,925	123,113,760
TOTAL - Surplus/Deficit	(C)	2,192,010	(13,126,145)	108,611

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2014 - 2015

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

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	270,101 (A)		270,101
ADD: Other Cash (See Instructions)			0
ADD: Investments	25,891,853 (C)		25,891,853
ADD: Outstanding Accounts Receivable	13,216,596 (D)	-	13,216,596
Total Cash plus Accounts Receivable	39,378,550 (F)	0	39,378,550
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	24,456,993 (H)		24,456,993
Approved "B" Certified Forwards	50,232 (H)		50,232
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable	2,522 (I)		2,522
Unreserved Fund Balance, 07/01/13	14,868,804 (K)	0	14,868,804 **

Notes:

*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - July 2013

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: E911 Emergency Telephone System Trust Fund
LAS/PBS Fund Number: 2344

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

Total all GLC's 5XXXX for governmental funds; 1,717,446 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description-Increase Accounts Receiv 13,201,470.00 (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (50,232) (D)

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

A/P not C/F-Operating Categories 120 (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 14,868,804 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 14,868,804 (F)*

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Telecommunication Services

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no issues or findings to report for Telecommunication Services.		

Fiscal Year 2014-15

Wireless Services

Exhibits and Schedules



FLORIDA DEPARTMENT of

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Rick Scott, Governor

Craig J. Nichols, Agency Secretary

Fiscal Year 2014-15

Wireless Services

Schedule I Series

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72900200 Wireless Services
Fund: 2105 Comm. Working Capital Trust
Specific Authority: Chapter 282, F.S.
Purpose of Fees Collected: To pay phone bills of vendors & for fund's operations and the Emergency Medical Services (EMS) Grant

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012 - 13	FY 2013 - 14	FY 2014 - 15

Receipts:

Interagency Agreement-DOH (EMS)			-	-
Total Fee Collection to Line (1) - Section III		-	-	-

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits				
Other Personal Services				
Expenses			7,723	7,723
Contracted Services				
S.C.: Risk Management Insurance		526	498	498
HR Statewide Contract		693	655	655

Indirect Costs Charged to Trust Fund:

TR to 72900200-2105		(1,219)	(8,876)	(8,876)
CF A Reversions				
Prior Year Accounts Receivable Deleted				
Reserve for Pay Package				
Total Full Costs to Line (2) - Section III		-	-	-

Basis Used: Accrual

SECTION III - SUMMARY

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

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	COMMUNICATIONS WORKING CAPITAL TRUST
LAS/PBS Fund Number:	WIRELESS SERVICES (72900200)
	2105

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0 (A)		0
ADD: Other Cash (See Instructions)	(B)		0
ADD: Investments	(C)		0
ADD: Outstanding Accounts Receivable	0 (D)		0
Total Cash plus Accounts Receivable	0 (F)		0
LESS Allowances for Uncollectibles	(G)		0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards	(H)		0
Approved "FCO" Certified Forwards	(H)		0
LESS: Other Accounts Payable	(I)		0
Unreserved Fund Balance, 07/01/13	0 (K)		0 **

Notes:

*SWFS = Statewide Financial Statement

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

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

Department: 72 Management Services
Program: 72900200 Wireless Services
Fund: 2261 Federal Grant Trust
Specific Authority: _____
Purpose of Fees Collected: _____

Budget Period: 2014-15

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

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

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>		ACTUAL	ESTIMATED	REQUEST
		FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
<u>Receipts:</u>				
Federal Grant-Mobile Radio System Grant (PSIC)		2,285,670	120,292	
Reimbursements		4,498		
Total Fee Collection to Line (1) - Section III		2,290,168	120,292	-

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits				
Other Personal Services				
Domestic Security 100851 (PSIC)		2,041,225	1,392,228	
			-	
			-	

Indirect Costs Charged to Trust Fund:

PSIC Expenditures Not Shown on Schedule I				
Unfunded Budget			(979,273)	
Total Full Costs to Line (2) - Section III		2,041,225	412,955	-

Basis Used: _____

SECTION III - SUMMARY

TOTAL SECTION I	(A)	2,290,168	120,292	-
TOTAL SECTION II	(B)	2,041,225	412,955	-
TOTAL - Surplus/Deficit	(C)	248,943	(292,663)	-

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	FEDERAL GRANT TRUST
LAS/PBS Fund Number:	WIRELESS SERVICES (72900200)
	2261

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	293,943 (A)		293,943
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable			0
Total Cash plus Accounts Receivable	293,943 (F)	0	293,943
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards	0 (H)		0
LESS: Other Accounts Payable			0
Unreserved Fund Balance, 07/01/13	293,943 (K)	0	293,943 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Federal Grants Trust Fund
LAS/PBS Fund Number:	2261

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13	
Total all GLC's 5XXXX for governmental funds;	
GLC 539XX for proprietary and fiduciary funds	30,681

Subtract Nonspendable Fund Balance (GLC 56XXX)	
---	--

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description	
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SWFS Adjustment # and Description	
-----------------------------------	--

Add/Subtract Other Adjustment(s):

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

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

A/P not C/F-Operating Categories	263,262.57
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ADJUSTED BEGINNING TRIAL BALANCE:	293,943
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UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	293,943
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DIFFERENCE:	0
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***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72900200 Wireless Services/72900300 Information Services
Fund: 2339 Grants & Donations Trust
Specific Authority: _____
Purpose of Fees Collected: To perform duties as required per various federal, state, and local government grants.

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
Receipts:				
Transfer from DCA-Federal Grant-FIN				
Transfer from DCA-Federal Grant-PSIC		21,218		
AR for Federal Grant FIN				
Sales of Goods & Services-Training				
Interest Earnings				
Total Fee Collection to Line (1) - Section III		21,218	-	-
SECTION II - FULL COSTS				
Direct Costs:				
Salaries and Benefits				
Other Personal Services				
Domestic Security (Back of the Bill)				
Domestic Security (PSIC) 100851		21,218		
Florida Interoperability Network (BOB)				
Indirect Costs Charged to Trust Fund:				
PSIC/FIN Expenditures Not Shown on Schedule				
PY Accounts Receivable Deleted				
9/30/2010 Cert Forward Reversions				
Transfer to General Revenue		12,511		
Total Full Costs to Line (2) - Section III		33,729	-	-

Basis Used: _____

SECTION III - SUMMARY

TOTAL SECTION I	(A)	21,218	-	-
TOTAL SECTION II	(B)	33,729	-	-
TOTAL - Surplus/Deficit	(C)	(12,511)	-	-

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	GRANTS AND DONATIONS TRUST
LAS/PBS Fund Number:	WIRELESS SERVICES (72900200)/ INFORMATION SERVICES (72900300)
	2339

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,772 (A)		2,772
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable			0
Total Cash plus Accounts Receivable	2,772 (F)	0	2,772
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards	0 (H)		0
LESS: Other Accounts Payable			0
Unreserved Fund Balance, 07/01/13	2,772 (K)	0	2,772**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 72000 MANAGEMENT SERVICES
Trust Fund Title: Technology Grants & Donations Trust Fund
LAS/PBS Fund Number: 2339

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

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

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

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

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72900200 Wireless Services
Fund: 2432 Law Enforcement Radio System Trust
Specific Authority: Chapter 282, F.S.
Purpose of Fees Collected: A \$1 fee is collected from boat & auto registrations to provide for the construction & operation of the statewide 800 MHz LERS

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
Receipts:				
From Boat/Veh. Registrations-DHSMV		18,485,092	18,450,000	18,500,000
Tower Rental Fees		15,737	15,000	15,000
800MHZ Rebanding Reimb-Nextel				
Interest Earnings		218,533	200,000	200,000
Reimbursements		5,626		
Traffic Infraction Penalties		5,555,182	5,650,000	5,750,000
Total Fee Collection to Line (1) - Section III		24,280,170	24,315,000	24,465,000

SECTION II - FULL COSTS				
Direct Costs:				
Salaries and Benefits		755,551	907,654	918,689
Other Personal Services		31,865	20,000	91,015
Expenses		142,881	264,146	265,359
Operating Capital Outlay		29,180	22,000	22,000
SC: Acquisition of Motor Vehicles				
SC: Contracted Services		1,392,300	3,600,000	1,428,985
Domestic Security		1,149,055		
Risk Management Insurance		1,309	1,239	1,239
Contracted Legal Services				
SW Law Enf Radio Contract Payment		18,220,000	18,220,000	18,220,000
Lease/Purchase/Equipment		1,280	1,394	1,394
TR to DMS-Human Res. Svcs.		3,645	3,446	3,446
Data Processing Services - SSRC		2,161	2,088	825

Indirect Costs Charged to Trust Fund:				
TR to GR - 8% Service Charge		1,936,506	1,945,200	1,957,200
TR to 2021-Admin. Assess. Fee		209,952	180,106	223,331
Legislative Cash Sweep				
Cert. Forward A Reversions @ 9/30/2012		(1,163,825)		
COO Initiative REDM				
Cert. Forward Reversions @ 9/30/2013			(1,742,571)	
Estimated Reversions from Harris Contract				
Unfunded Budget				
5% Trust Fund Reserve				1,215,750
Assessment for Investments 890000 - 31040		14,239	-	-
Total Full Costs to Line (2) - Section III		22,726,099	23,424,702	24,349,233

Basis Used: Accrual

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	24,280,170	24,315,000	24,465,000
TOTAL SECTION II	(B)	22,726,099	23,424,702	24,349,233
TOTAL - Surplus/Deficit	(C)	1,554,071	890,298	115,767

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	LAW ENFORCEMENT RADIO SYSTEM TRUST
LAS/PBS Fund Number:	WIRELESS SERVICES (72900200)
	2432

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	301,468 (A)		301,468
ADD: Other Cash (See Instructions)			0
ADD: Investments	11,898,418 (C)		11,898,418
ADD: Outstanding Accounts Receivable	530,737 (D)		530,737
Total Cash plus Accounts Receivable	12,730,624 (F)		12,730,624
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	6,119,476 (H)		6,119,476
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards	0 (H)		0
LESS: Other Accounts Payable	494,921 (I)		494,921
Unreserved Fund Balance, 07/01/13	6,116,227 (K)		6,116,227 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 72000 MANAGEMENT SERVICES
Trust Fund Title: State Agency Law Enforcement Radio System Trust Fund
LAS/PBS Fund Number: 2432

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13

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

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

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

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

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

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Wireless Services

Phone Number: (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			There are no issues or findings to report for Wireless Services.		

Fiscal Year 2014-15

Public Employees Relations Commission (PERC)

Exhibits and Schedules

Fiscal Year 2014-15

Public Employees Relations
Commission (PERC)

Schedule I Series

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

Department: 72 Management Services **Budget Period:** 2014-15
Program: 72920100 Public Employees Relations Commission
Fund: 2558 PERC Trust
Specific Authority: 212.2(6)(d)(3)
Purpose of Fees Collected: To help defray the cost of providing publications, subscriptions, and copies of records and documents.

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2012 - 13	FY 2013 - 14	FY 2014 - 15
Receipts:				
Interest Earnings		15,997	15,000	15,000
Refunds/Reimbursements		17,580		-
Local Government half-cent Sales Tax		1,531,896	1,600,000	1,700,000
Total Fee Collection to Line (1) - Section III		1,565,473	1,615,000	1,715,000

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	983,338	1,245,635	1,260,105
Other Personal Services	22,857	53,628	53,628
Expenses	244,813	354,664	354,664
Operating Capital Outlay	5,721	5,721	5,721
S.C.: Contracted Services	1,551	32,500	32,500
S.C.: Risk Management Insurance	11,508	9,505	9,505
S.C.: HR Svcs/Stw Contract	4,786	4,525	4,525
Data Processing Services-SSRC	5,237	5,305	5,326

Indirect Costs Charged to Trust Fund:

Transfer to 2021-Admin Assess Fee Refunds	19,862	22,631	28,062
8% Svc Chrg to GR	1,195	1,200	1,200
Cert Forward A Reversions @ 9/30/2012			
Adj. to Line A for Comp Leave Liability	(32,364)		
Assessment on Investments 890000 - 310403	1,057	-	-
Reserve for Pay Package			-
5% Trust Fund Reserve			80,750

Total Full Costs to Line (2) - Section III

	1,269,578	1,735,314	1,835,986
--	------------------	------------------	------------------

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	1,565,473	1,615,000	1,715,000
TOTAL SECTION II	(B)	1,269,578	1,735,314	1,835,986
TOTAL - Surplus/Deficit	(C)	295,895	(120,314)	(120,986)

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	PUBLIC EMPLOYEES RELATIONS COMMISSION TRUST
LAS/PBS Fund Number:	PUBLIC EMPLOYEES RELATIONS COMMISSION TRUST (72920100)
	2558

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	157,302 (A)		157,302
ADD: Other Cash (See Instructions)			0
ADD: Investments	1,078,251 (C)		1,078,251
ADD: Outstanding Accounts Receivable	18,543 (D)		18,543
Total Cash plus Accounts Receivable	1,254,096 (F)		1,254,096
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	42,902 (H)		42,902
Approved "B" Certified Forwards	0 (H)		0
LESS: Other Accounts Payable (Nonoperating)	327 (H)		327
LESS: Other Accounts Payable (Nonoperating)			0
Unreserved Fund Balance, 07/01/13	1,210,866 (K)		1,210,866 **

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 72000 MANAGEMENT SERVICES
Trust Fund Title: Public Employees Relations Commission TF
LAS/PBS Fund Number: 2558

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13
Total all GLC's 5XXXX for governmental funds; 981,629 (A)
GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments:

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Compensated Absences Liability 229,237.15 (D)

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

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 1,210,866 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 1,210,866 (F)*

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Public Employee Relations Commission

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no issues or findings to report for Public Employee Relations Commission.		

Fiscal Year 2014-15

Florida Commission on Human Relations (FCHR)

Exhibits and Schedules



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Fiscal Year 2014-15

Florida Commission on Human Relations (FCHR)

Schedule I Series

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

Department: 72 Management Services **Budget Period: 2014-15**
Program: 72950100 Commission on Human Relations
Fund: 2510 Operating Trust
Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: _____

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

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

(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL	ESTIMATED	REQUEST
	FY 2012 - 2013	FY 2013 - 2014	FY 2014 - 2015
Receipts:			
HUD Registration	32,149	76,311	76,311
HUD Grant	677,998	409,151	409,151
EEOC Grant	259,850	687,000	687,000
Interest Earnings	24,184	22,500	22,500
Refunds & Reimbursements	57,904		
Total Fee Collection to Line (1) - Section III	1,052,085	1,194,962	1,194,962

SECTION II - FULL COSTS

Direct Costs:			
Salaries and Benefits	751,067	936,076	1,078,788
Other Personal Services	57,914	1,040	41,040
Expenses	263,434	255,284	255,284
Operating Capital Outlay		5,000	5,000
Transfer to Admin Hearings			
Contracted Services	16,000	16,000	16,000
Risk Management Insurance	25,003	75,040	75,040
Lease/Purchase/Equipment	389	49,163	49,163
HR Statewide Contract	4,430	4,188	4,188
Data Processing SSRC	4,077	5,369	33,072

Indirect Costs Charged to Trust Fund:

Admin Assessment Fee	57,622	64,895	80,470
Service Charge to G/R - 8%	2,582	7,905	7,905
5% Trust Fund Reserve			
Reserve for Pay Package			
Certified Forward A Reversions @ 9/30/2012	(6,315)		A
Certified Forward Reversions @ 9/30/2013		(468)	A
Rounding	(5)		A
Reverse PY A/P Not CF (Incl In Lina A)	(29)		A
Assessments on Investments 890000 - 310403	1,611	-	-
Total Full Costs to Line (2) - Section III	1,177,780	1,419,491	1,645,950

Basis Used: _____

SECTION III - SUMMARY

TOTAL SECTION I	(A)	1,052,085	1,194,962	1,194,962
TOTAL SECTION II	(B)	1,177,780	1,419,491	1,645,950
TOTAL - Surplus/Deficit	(C)	(125,695)	(224,529)	(450,988)

EXPLANATION:

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2014 - 2015
Trust Fund Title:	MANAGEMENT SER
Budget Entity:	OPERATING TRUST FUND
LAS/PBS Fund Number:	COMMISSION ON HUMAN RELATIONS (72950100)
	2510

	Balance as of 6/30/2013	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	11,064 (A)		11,064
ADD: Other Cash (See Instructions)			0
ADD: Investments	1,308,873 (C)		1,308,873
ADD: Outstanding Accounts Receivable	851 (D)		851
Anticipated Revenue		0	0
Total Cash plus Accounts Receivable	1,320,788 (F)	0	1,320,788
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	63,289 (H)		63,289
Approved "B" Certified Forwards			0
LESS: Other Accounts Payable(Non-Operating)	611 (H)		611
LESS: Other Accounts Payable Other			0
Unreserved Fund Balance, 07/01/13	\$ 1,256,888 (K)	0	1,256,888**

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2014 - 2015

Department Title: 720000 MANAGEMENT SERVICES
 Trust Fund Title: Commission of Human Relations Operating TF
 LAS/PBS Fund Number: 2510

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/13	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	1,253,183 (A)
Subtract Nonspendable Fund Balance (GLC 56XXX)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustm	
SWFS Adjustment # and Description	(C)
SWFS Adjustment # and Description	(C)
Add/Subtract Other Adjustment(s):	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(D)
Compensated Absences Liability	(D)
A/P not C/F-Operating Categories	3,705 (D)
	(D)
	(D)
	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	1,256,888 (E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)	1,256,888 (F)
DIFFERENCE:	0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Management Services

Chief Internal Auditor: Yolanda Lockett

Budget Entity: Florida Commission on Human Relations

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no issues or findings to report for Florida Commission on Human Relations.		

Fiscal Year 2014-15 LBR Technical Review Checklist

Department/Budget Entity (Service):								
Agency Budget Officer/OPB Analyst Name:								
A "Y" indicates "YES" and is acceptable, an "N/I" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.								
				Program or Service (Budget Entity Codes)				
Action				72010100	72010300	72400100	72400200	72600200
1. GENERAL								
1.1	Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Yes	Yes	Yes	Yes	Yes		
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Yes	Yes	Yes	Yes	Yes		
AUDITS:								
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Yes	Yes	Yes	Yes	Yes		
1.4	Has security been set correctly? (CSDR, CSA)	Yes	Yes	Yes	Yes	Yes		
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.								
2. EXHIBIT A (EADR, EXA)								
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes		
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Yes	Yes	Yes	Yes	Yes		
2.3	Are the issue codes and titles consistent with Section 3 of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Yes	Yes	Yes	Yes	Yes		
2.4	Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through 29) been followed?	Yes	Yes	Yes	Yes	Yes		
3. EXHIBIT B (EXBR, EXB)								
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Yes	Yes	Yes	Yes	Yes		
AUDITS:								
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Yes	Yes	Yes	Yes	Yes		
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Yes	Yes	Yes	Yes	Yes		
TIP Generally look for and be able to fully explain significant differences between A02 and A03.								
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.								
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.								
4. EXHIBIT D (EADR, EXD)								
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes		
4.2	Is the program component code and title used correct?	Yes	Yes	Yes	Yes	Yes		
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.								
5. EXHIBIT D-1 (ED1R, EXD1)								
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Yes	Yes	Yes	Yes	Yes		
AUDITS:								
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Yes	Yes	Yes	Yes	Yes		
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Yes	Yes	Yes	Yes	Yes		
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) * Had to adjust A01 expenditures after the final certified forward process was closed out.	No	No	No	No	No		
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.								
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.								

		Program or Service (Budget Entity Codes)				
Action		72010100	72010300	72400100	72400200	72600200
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2012-13 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Yes	Yes	Yes	Yes	Yes
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Yes	Yes	Yes	Yes	Yes
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
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.	Yes	Yes	Yes	Yes	Yes
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Yes	Yes	Yes	Yes	Yes
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Yes	Yes	Yes	Yes	Yes
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Yes	Yes	Yes	Yes	Yes
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	N/A	N/A	N/A	N/A	N/A
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Yes	Yes	Yes	Yes	Yes
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Yes	Yes	Yes	Yes	Yes
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Yes	Yes	Yes	Yes	Yes
7.16	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 28 and 88 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Yes	Yes	Yes	Yes	Yes
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 14-006?	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72010100	72010300	72400100	72400200	72600200
AUDIT:						
7.20	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Yes	Yes	Yes	Yes	Yes
7.21	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Yes	Yes	Yes	Yes	Yes
7.22	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	Yes	Yes	Yes	Yes	Yes
7.23	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Yes	Yes	Yes	Yes	Yes
7.24	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))	Yes	Yes	Yes	Yes	Yes
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue fund.					
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 2013-14 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 (SCIR, SC1 - Budget Entity Level or SCIR, SCID - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Yes	Yes	Yes	Yes	Yes
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Yes	Yes	Yes	Yes	Yes
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Yes	Yes	Yes	Yes	Yes
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Yes	Yes	Yes	Yes	Yes
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Yes	Yes	Yes	Yes	Yes
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Yes	Yes	Yes	Yes	Yes
8.10	Are the statutory authority references correct?	Yes	Yes	Yes	Yes	Yes
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Yes	Yes	Yes	Yes	Yes
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Yes	Yes	Yes	Yes	Yes
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Yes	Yes	Yes	Yes	Yes
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Yes	Yes	Yes	Yes	Yes
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Yes	Yes	Yes	Yes	Yes
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Yes	Yes	Yes	Yes	Yes
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Yes	Yes	Yes	Yes	Yes
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Yes	Yes	Yes	Yes	Yes

Action		Program or Service (Budget Entity Codes)				
		72010100	72010300	72400100	72400200	72600200
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?					
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Yes	Yes	Yes	Yes	Yes
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Yes	Yes	Yes	Yes	Yes
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Yes	Yes	Yes	Yes	Yes
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Yes	Yes	Yes	Yes	Yes
8.24	Are prior year September operating reversions appropriately shown in column A01?	Yes	Yes	Yes	Yes	Yes
8.25	Are current year September operating reversions appropriately shown in column A02?	Yes	Yes	Yes	Yes	Yes
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Yes	Yes	Yes	Yes	Yes
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Yes	Yes	Yes	Yes	Yes
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?					
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Yes	Yes	Yes	Yes	Yes
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line D) 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")	No	No	No	No	No
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)	No	No	No	No	No
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.)	Yes	Yes	System Driven See Debra	Yes	Yes
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 91 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 98 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Yes	Yes	Yes	Yes	Yes
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Yes	Yes	Yes	Yes	Yes
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? Note: FCO issues can now be included in the priority listing.	Yes	Yes	Yes	Yes	Yes
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A

		Program or Service (Budget Entity Codes)				
Action		72010100	72010300	72400100	72400200	72600200
14. SCHEDULE VIII-B-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Yes	Yes	Yes	Yes	Yes
15. SCHEDULE VIII-C (EADR, S8C) (LAS/PBS Web - see page 105-107 of the LBR Instructions for detailed instructions)						
15.1	Agencies are required to generate this schedule via the LAS/PBS Web.	Yes	Yes	Yes	Yes	Yes
15.2	Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	Yes	Yes	Yes	Yes	Yes
15.3	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A	N/A	N/A	N/A
15.4	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A	N/A	N/A	N/A	N/A
15.5	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A	N/A	N/A	N/A	N/A
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A	N/A	N/A	N/A	N/A
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see page 108-112 of the LBR Instructions for detailed instructions)						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <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.)	Yes	Yes	Yes	Yes	Yes
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?					
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
16.3	Does the FY 2012-13 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Yes	Yes	Yes	Yes	Yes
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Yes	Yes	Yes	Yes	Yes
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Yes	Yes	Yes	Yes	Yes
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which should appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Yes	Yes	Yes	Yes	Yes
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	off by \$24	off by \$24	off by \$24	off by \$24	off by \$24
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						
17. MANUALLY PREPARED EXHIBITS & SCHEDULES						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Yes	Yes	Yes	Yes	Yes
17.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Yes	Yes	Yes	Yes	Yes
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Yes	Yes	Yes	Yes	Yes
AUDITS - GENERAL INFORMATION						
TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.						
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.						
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A	Yes	Yes	N/A
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A	Yes	Yes	N/A
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A	Yes	Yes	N/A
18.4	N	N/A	N/A	Yes	Yes	N/A
18.5	Are the appropriate counties identified in the narrative?	N/A	N/A	Yes	Yes	N/A
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	N/A	Yes	Yes	N/A
TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.						
19. FLORIDA FISCAL PORTAL						
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Yes	Yes	Yes	Yes	Yes

Fiscal Year 2014-15 LBR Technical Review Checklist

Department/Budget Entity (Service):
Agency Budget Officer/OPB Analyst Name:

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

	Program or Service (Budget Entity Codes)				
Action	72600300	72600400	72600500	72600800	72750200

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Yes	Yes	Yes	Yes	Yes
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Yes	Yes	Yes	Yes	Yes

AUDITS:

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

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR	Yes	Yes	Yes	Yes	Yes
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Yes	Yes	Yes	Yes	Yes
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Yes	Yes	Yes	Yes	Yes
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 29) been followed?	Yes	Yes	Yes	Yes	Yes

3. EXHIBIT B (EXBR, EXB)

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

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Yes	Yes	Yes	Yes	Yes
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		Program or Service (Budget Entity Codes)				
Action		72600300	72600400	72600500	72600800	72750200
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Yes	Yes	Yes	Yes	Yes
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR	Yes	Yes	Yes	Yes	Yes
4.2	Is the program component code and title used correct?	Yes	Yes	Yes	Yes	Yes
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Yes	Yes	Yes	Yes	Yes
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Yes	Yes	Yes	Yes	Yes
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Yes	Yes	Yes	Yes	Yes
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) * Had to adjust A01 expenditures after the final certified forward process was closed out.	No	No	No	No	No
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 2012-13 approved budget. Amounts should be positive.					

		Program or Service (Budget Entity Codes)				
Action		72600300	72600400	72600500	72600800	72750200
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08						
6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Yes	Yes	Yes	Yes	Yes
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Yes	Yes	Yes	Yes	Yes
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
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.	Yes	Yes	Yes	Yes	Yes
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Yes	Yes	Yes	Yes	Yes
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Yes	Yes	Yes	Yes	Yes
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Yes	Yes	Yes	Yes	Yes
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	N/A	N/A	N/A	N/A	N/A

		Program or Service (Budget Entity Codes)				
Action		72600300	72600400	72600500	72600800	72750200
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Yes	Yes	Yes	Yes	Yes
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Yes	Yes	Yes	Yes	Yes
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Yes	Yes	Yes	Yes	Yes
7.16	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 28 and 88 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Yes	Yes	Yes	Yes	Yes
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 14-006?	Yes	Yes	Yes	Yes	Yes
AUDIT:						
7.20	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	Yes	Yes	Yes	Yes	Yes
7.21	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Yes	Yes	Yes	Yes	Yes
7.22	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	Yes	Yes	Yes	Yes	Yes
7.23	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Yes	Yes	Yes	Yes	Yes
7.24	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	Yes	Yes	Yes	Yes	Yes
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.					

		Program or Service (Budget Entity Codes)				
Action		72600300	72600400	72600500	72600800	72750200
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2013-14 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Yes	Yes	Yes	Yes	Yes
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Yes	Yes	Yes	Yes	Yes
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Yes	Yes	Yes	Yes	Yes
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Yes	Yes	Yes	Yes	Yes
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Yes	Yes	Yes	Yes	Yes
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72600300	72600400	72600500	72600800	72750200
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Yes	Yes	Yes	Yes	Yes
8.10	Are the statutory authority references correct?	Yes	Yes	Yes	Yes	Yes
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Yes	Yes	Yes	Yes	Yes
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Yes	Yes	Yes	Yes	Yes
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Yes	Yes	Yes	Yes	Yes
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Yes	Yes	Yes	Yes	Yes
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Yes	Yes	Yes	Yes	Yes
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Yes	Yes	Yes	Yes	Yes
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Yes	Yes	Yes	Yes	Yes
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Yes	Yes	Yes	Yes	Yes
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements					
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Yes	Yes	Yes	Yes	Yes
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Yes	Yes	Yes	Yes	Yes
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Yes	Yes	Yes	Yes	Yes
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Yes	Yes	Yes	Yes	Yes
8.24	Are prior year September operating reversions appropriately shown in column A01?	Yes	Yes	Yes	Yes	Yes
8.25	Are current year September operating reversions appropriately shown in column A02?	Yes	Yes	Yes	Yes	Yes
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72600300	72600400	72600500	72600800	72750200
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Yes	Yes	Yes	Yes	Yes
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?					
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Yes	Yes	Yes	Yes	Yes
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	No	No	No	No	No
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)	No	No	No	No	No
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 91 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 98 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Yes	Yes	Yes	Yes	Yes
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Yes	Yes	Yes	Yes	Yes
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)						

		Program or Service (Budget Entity Codes)				
Action		72600300	72600400	72600500	72600800	72750200
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can now be included in the priority listing.	Yes	Yes	Yes	Yes	Yes
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Yes	Yes	Yes	Yes	Yes
15. SCHEDULE VIIIC (EADR, S8C) (LAS/PBS Web - see page 105-107 of the LBR Instructions for detailed instructions)						
15.1	Agencies are required to generate this schedule via the LAS/PBS Web.	Yes	Yes	Yes	Yes	Yes
15.2	Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	Yes	Yes	Yes	Yes	Yes
15.3	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	Yes	N/A	N/A	N/A	No - In sourced with exist - ing budget
15.4	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	Yes	N/A	N/A	N/A	Yes
15.5	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	Yes	N/A	N/A	N/A	Yes
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	No - due to the DSGI in source issue	N/A	N/A	N/A	No - due to the DSGI in source issue
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 108-112 of the LBR Instructions for detailed instructions)						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <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.)	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72600300	72600400	72600500	72600800	72750200
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?					
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
16.3	Does the FY 2012-13 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Yes	Yes	Yes	Yes	Yes
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Yes	Yes	Yes	Yes	Yes
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Yes	Yes	Yes	Yes	Yes
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Yes	Yes	Yes	Yes	Yes
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	off by \$24	off by \$24	off by \$24	off by \$24	off by \$24
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
17. MANUALLY PREPARED EXHIBITS & SCHEDULES						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Yes	Yes	Yes	Yes	Yes
17.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Yes	Yes	Yes	Yes	Yes
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Yes	Yes	Yes	Yes	Yes
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A	N/A	N/A	N/A
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP	N/A	N/A	N/A	N/A	N/A
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A	N/A	N/A	N/A
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A	N/A	N/A	N/A

	Program or Service (Budget Entity Codes)				
Action	72600300	72600400	72600500	72600800	72750200

18.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A	N/A	N/A
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	N/A	N/A	N/A	N/A

TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
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19. FLORIDA FISCAL PORTAL

19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Yes	Yes	Yes	Yes	Yes
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Fiscal Year 2014-15 LBR Technical Review Checklist

Department/Budget Entity (Service):
Agency Budget Officer/OPB Analyst Name:

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

	Program or Service (Budget Entity Codes)				
Action	72750300	72750400	72750500	72900100	72900200

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)					
	Yes	Yes	Yes	Yes	Yes
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Yes	Yes	yes	Yes	Yes

AUDITS:

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

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR					
	Yes	Yes	Yes	Yes	Yes
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Yes	Yes	Yes	Yes	Yes
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Yes	Yes	Yes	Yes	Yes
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 29) been followed?	Yes	Yes	Yes	Yes	Yes

3. EXHIBIT B (EXBR, EXB)

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

AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")					
	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Yes	Yes	Yes	Yes	Yes
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR	Yes	Yes	Yes	Yes	Yes
4.2	Is the program component code and title used correct?	Yes	Yes	Yes	Yes	Yes
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Yes	Yes	Yes	Yes	Yes
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Yes	Yes	Yes	Yes	Yes
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Yes	Yes	Yes	Yes	Yes
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) * Had to adjust A01 expenditures after the final certified forward process was closed out.	No	No	No	No	No
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					

		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
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 2012-13 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08					
6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Yes	Yes	Yes	Yes	Yes
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Yes	Yes	Yes	Yes	Yes
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
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.	Yes	Yes	Yes	Yes	Yes
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Yes	Yes	Yes	Yes	Yes
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Yes	Yes	Yes	Yes	Yes
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	N/A	N/A	N/A	N/A	N/A
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Yes	Yes	Yes	Yes	Yes
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Yes	Yes	Yes	Yes	Yes
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Yes	Yes	Yes	Yes	Yes
7.16	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 28 and 88 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Yes	Yes	Yes	Yes	Yes
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 14-006?	Yes	Yes	Yes	Yes	Yes
AUDIT:						
7.20	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Yes	Yes	Yes	Yes	Yes
7.21	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Yes	Yes	Yes	Yes	Yes
7.22	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	Yes	Yes	Yes	Yes	Yes
7.23	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Yes	Yes	Yes	Yes	Yes
7.24	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))	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2013-14 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Yes	Yes	Yes	Yes	Yes
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Yes	Yes	Yes	Yes	Yes
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Yes	Yes	Yes	Yes	Yes
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Yes	Yes	Yes	Yes	Yes
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Yes	Yes	Yes	Yes	Yes
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
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	Yes	Yes	Yes	Yes	Yes
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, 001870)?	Yes	Yes	Yes	Yes	Yes
8.10	Are the statutory authority references correct?	Yes	Yes	Yes	Yes	Yes
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Yes	Yes	Yes	Yes	Yes
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Yes	Yes	Yes	Yes	Yes
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Yes	Yes	Yes	Yes	Yes
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Yes	Yes	Yes	Yes	Yes
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Yes	Yes	Yes	Yes	Yes
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Yes	Yes	Yes	Yes	Yes
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Yes	Yes	Yes	Yes	Yes
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Yes	Yes	Yes	Yes	Yes
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?					
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Yes	Yes	Yes	Yes	Yes
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Yes	Yes	Yes	Yes	Yes
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling	Yes	Yes	Yes	Yes	Yes
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Yes	Yes	Yes	Yes	Yes
8.24	Are prior year September operating reversions appropriately shown in column A01?	Yes	Yes	Yes	Yes	Yes
8.25	Are current year September operating reversions appropriately shown in column	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Yes	Yes	Yes	Yes	Yes
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Yes	Yes	Yes	Yes	Yes
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?					
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Yes	Yes	Yes	Yes	Yes
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	No	No	No	No	No
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)	No	No	No	No	No
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 91 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 98 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Yes	Yes	Yes	Yes	Yes
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
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? Note: FCO issues can now be included in the priority listing.	Yes	Yes	Yes	Yes	Yes
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Yes	Yes	Yes	Yes	Yes
15. SCHEDULE VIIIC (EADR, S8C) (LAS/PBS Web - see page 105-107 of the LBR Instructions for detailed instructions)						
15.1	Agencies are required to generate this schedule via the LAS/PBS Web.	Yes	Yes	Yes	Yes	Yes
15.2	Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	Yes	Yes	Yes	Yes	Yes
15.3	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	Yes	N/A	N/A	N/A	N/A
15.4	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	Yes	N/A	N/A	N/A	N/A
15.5	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	Yes	N/A	N/A	N/A	N/A
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	No - due to the DSGI in source issue	N/A	N/A	N/A	N/A
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see page 108-112 of the LBR Instructions for detailed instructions)						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <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.)	Yes	Yes	Yes	Yes	Yes
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR					

		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
16.3	Does the FY 2012-13 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Yes	Yes	Yes	Yes	Yes
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Yes	Yes	Yes	Yes	Yes
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Yes	Yes	Yes	Yes	Yes
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Yes	Yes	Yes	Yes	Yes
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	off by \$24	off by \$24	off by \$24	off by \$24	off by \$24
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
17. MANUALLY PREPARED EXHIBITS & SCHEDULES						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Yes	Yes	Yes	Yes	Yes
17.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Yes	Yes	Yes	Yes	Yes
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Yes	Yes	Yes	Yes	Yes
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A	N/A	N/A	N/A
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP	N/A	N/A	N/A	N/A	N/A
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A	N/A	N/A	N/A
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A	N/A	N/A	N/A
18.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A	N/A	N/A

		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	N/A	N/A	N/A	N/A
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
19. FLORIDA FISCAL PORTAL						
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Yes	Yes	Yes	Yes	Yes

Fiscal Year 2014-15 LBR Technical Review Checklist

Department/Budget Entity (Service):
Agency Budget Officer/OPB Analyst Name:

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

	Program or Service (Budget Entity Codes)			
Action	72920100	72950100		

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)					
	Yes	Yes			
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)					
	Yes	Yes			

AUDITS:

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

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR					
	Yes	Yes			
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?					
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?					
	Yes	Yes			
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 29) been followed?					
	Yes	Yes			

3. EXHIBIT B (EXBR, EXB)

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

AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")					
	Yes	Yes			

		Program or Service (Budget Entity Codes)				
Action		72920100	72950100			
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Yes	Yes			
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR	Yes	Yes			
4.2	Is the program component code and title used correct?	Yes	Yes			
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Yes	Yes			
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Yes	Yes			
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Yes	Yes			
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) * Had to adjust A01 expenditures after the final certified forward process was closed out.	No	No			
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 2012-13 approved budget. Amounts should be positive.					

		Program or Service (Budget Entity Codes)				
Action		72920100	72950100			
<p>TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was entered.</p>						
6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Yes	Yes			
<p>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.</p>						
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Yes	Yes			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.)	Yes	Yes			
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Yes	Yes			
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Yes	Yes			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Yes	Yes			
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.	Yes	Yes			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Yes	Yes			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Yes	Yes			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Yes	Yes			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	N/A	N/A			

		Program or Service (Budget Entity Codes)			
Action		72920100	72950100		
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A		
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Yes	Yes		
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A		
7.14	Do the amounts reflect appropriate FSI assignments?	Yes	Yes		
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Yes	Yes		
7.16	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 28 and 88 of the LBR Instructions.)	Yes	Yes		
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Yes	Yes		
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A		
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 14-006?	Yes	Yes		
AUDIT:					
7.20	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Yes	Yes		
7.21	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Yes	Yes		
7.22	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	Yes	Yes		
7.23	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Yes	Yes		
7.24	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)))	Yes	Yes		
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.				

		Program or Service (Budget Entity Codes)			
Action		72920100	72950100		
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.				
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.				
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).				
TIP	If an appropriation made in the FY 2013-14 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Yes	Yes		
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Yes	Yes		
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Yes	Yes		
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A		
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Yes	Yes		
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Yes	Yes		
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Yes	Yes		
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?	Yes	Yes		
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Yes	Yes		

		Program or Service (Budget Entity Codes)			
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8.10	Are the statutory authority references correct?	Yes	Yes		
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Yes	Yes		
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Yes	Yes		
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Yes	Yes		
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Yes	Yes		
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Yes	Yes		
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Yes	Yes		
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Yes	Yes		
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Yes	Yes		
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Yes	Yes		
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Yes	Yes		
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling	Yes	Yes		
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Yes	Yes		
8.24	Are prior year September operating reversions appropriately shown in column A01?	Yes	Yes		
8.25	Are current year September operating reversions appropriately shown in column	Yes	Yes		
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Yes	Yes		
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Yes	Yes		
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?				
AUDITS:					

		Program or Service (Budget Entity Codes)			
Action		72920100	72950100		
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Yes	Yes		
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line D) 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")	No	No		
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)	No	No		
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!				
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.				
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.				
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.				
9. SCHEDULE II (PSCR, SC2)					
AUDIT:					
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.)	Yes	Yes		
10. SCHEDULE III (PSCR, SC3)					
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 91 of the LBR Instructions.)	Yes	Yes		
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 98 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Yes	Yes		
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	Yes	Yes		
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? Note: FCO issues can now be included in the priority listing.	Yes	Yes		
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A		
14. SCHEDULE VIIIB-2 (EADR, S8B2)					

		Program or Service (Budget Entity Codes)			
Action		72920100	72950100		
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Yes	Yes		
15. SCHEDULE VIII C (EADR, S8C) (LAS/PBS Web - see page 105-107 of the LBR Instructions for detailed instructions)					
15.1	Agencies are required to generate this schedule via the LAS/PBS Web.	N/A	N/A		
15.2	Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	N/A	N/A		
15.3	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A		
15.4	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A	N/A		
15.5	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A	N/A		
AUDIT:					
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A	N/A		
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see page 108-112 of the LBR Instructions for detailed instructions)					
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <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.)	Yes	Yes		
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3	Does the FY 2012-13 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Yes	Yes		
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Yes	Yes		
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Yes	Yes		

		Program or Service (Budget Entity Codes)			
Action		72920100	72950100		
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Yes	Yes		
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Off by \$24	Off by \$24		
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Yes	Yes		
17.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Yes	Yes		
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Yes	Yes		
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)					
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A		
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A		
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A		
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A		
18.5	Are the appropriate counties identified in the narrative?	N/A	N/A		
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	N/A		
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.				
19. FLORIDA FISCAL PORTAL					
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Yes	Yes		