



FLORIDA DEPARTMENT OF JUVENILE JUSTICE

Rick Scott, Governor

Christina K. Daly, Secretary

LEGISLATIVE BUDGET REQUEST

Department of Juvenile Justice

Tallahassee

September 15, 2017

Cynthia Kelly, Director
Office of Policy and Budget
Executive Office of the Governor
1701 The Capitol
Tallahassee, Florida 32399-0001

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

Mike Hansen, Staff Director
Senate Committee on Appropriations
201 The Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Juvenile Justice 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 2018-19 Fiscal Year. This submission has been approved by Christina K. Daly, Secretary.

A handwritten signature in black ink, appearing to read "Christina K. Daly".

Christina K. Daly
Secretary

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<http://www.djj.state.fl.us>

The mission of the Department of Juvenile Justice is to increase public safety by reducing juvenile delinquency through effective prevention, intervention, and treatment services that strengthen families and turn around the lives of troubled youth.

**Temporary Special Duty – General Pay Additives
Implementation Plan for Fiscal Year 2018 – 2019**

The Department of Juvenile Justice (DJJ) proposes the following plan to implement the temporary special duties – general pay additive:

- The department will use existing resources to grant the temporary special duties – general pay additive.
- This additive may be approved for employees in career service positions who temporarily perform duties and responsibilities not customarily assigned to their position. The department shall review the temporary duties and responsibilities being assigned, the additive amount and ensure compliance with applicable collective bargaining agreement(s).
- The pay additive shall be reviewed every ninety (90) days; and shall be removed or adjusted if there is a change in the conditions upon which it was granted.
- The pay additive may be effective beginning the first day of the temporary duties, and shall be effective after the 22nd workday for an employee who is covered by a current collective bargaining agreement and meets the requirements. Employees shall be eligible to receive a temporary special duties – general pay additive in an amount up to 5% of the employee’s base rate of pay.
- All career service positions assigned to Pay Plan – 01 are eligible to receive the temporary special duties – general pay additive. There are a total of 2577 eligible positions. The additive amount will not exceed 5% of an employee’s base rate of pay.
- Pay additives have been used since the creation of DJJ on October 1, 1994; for reasons such as maintaining the required number of staff to client ratio, special projects and specialized training required to perform duties and responsibilities.
- A total of fifteen (15) employees were granted the temporary special duties – general pay additive in fiscal year 2016-2017. The estimated annual cost was approximately \$8,550.
- Collective Bargaining Units Impacted:

The American Federation of State County and Municipal Employees (AFSCME)

Article 21

COMPENSATION FOR TEMPORARY SPECIAL DUTY IN A HIGHER POSITION

(A) Each time an employee is designated by the employee’s immediate supervisor to act in a vacant established position in a higher broadband level than the employee’s

current broadband level, and performs a major portion of the duties of the higher level position, irrespective of whether the higher level position is funded, for more than 22 workdays within any six consecutive months, the employee shall be eligible to receive a temporary special duty additive in accordance with the Rules of the State Personnel System, beginning with the 23rd day.

(B) Employees being paid at a higher rate while temporarily acting in a position in a higher broadband level will be returned to their regular rate of pay when the period of temporary special duty in the higher broadband level is ended.

Florida Nursing Association (FNA)

Article 21

COMPENSATION FOR TEMPORARY SPECIAL DITY IN A HIGHER POSITION

Each time an employee is officially designated by the appropriate supervisor to act in a position in a higher broadband level than the employee's current level, and performs a major portion of the duties of the higher level position, irrespective of whether the higher level position is funded, for more than 22 workdays within any six (6) consecutive months, the employee shall be eligible to receive a temporary special duty additive in accordance with Rule 60L-32, Florida Administrative Code, beginning the 23rd day.

DJJ CLASS TITLES (Updated: 7/20/2017)

Class Code	Class Title	Pay Grade	Paygrade Min	Paygrade Max	Broadband Code	Bband Occupation Title	Bband Payband	Payband Min	Payband Max	Pay Plan	Spec Risk Ret	CBU	EEO4	Employee Group
1427	ACCOUNTANT I	014	\$24,579.62	\$43,471.88	13-2011-01	ACCOUNTANTS AND AUDITORS	004	\$21,692.58	\$63,342.09	01	N	05	02	Included
1430	ACCOUNTANT II	016	\$26,540.54	\$48,242.17	13-2011-01	ACCOUNTANTS AND AUDITORS	004	\$21,692.58	\$63,342.09	01	N	05	02	Included
1436	ACCOUNTANT III	018	\$29,344.38	\$54,204.37	13-2011-02	ACCOUNTANTS AND AUDITORS	006	\$25,774.06	\$75,258.91	01	N	05	02	Excluded
1437	ACCOUNTANT IV	020	\$32,696.82	\$61,625.79	13-2011-03	ACCOUNTANTS AND AUDITORS	008	\$30,622.02	\$93,886.09	01	N	05	02	Excluded
1448	ACCOUNTING SERVICES ADMINISTRATOR - SES	423	\$38,659.92	\$82,581.59	11-3031-02	FINANCIAL MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
4947	ACCOUNTING SERVICES ANALYST A	021	\$34,501.48	\$65,699.92	13-2011-03	ACCOUNTANTS AND AUDITORS	008	\$30,622.02	\$93,886.09	01	N	05	02	Excluded
1445	ACCOUNTING SERVICES SUPERVISOR II - SES	422	\$36,467.60	\$74,368.48	13-2011-03	ACCOUNTANTS AND AUDITORS	008	\$30,622.02	\$93,886.09	08	N	87	02	Excluded
0709	ADMINISTRATIVE ASSISTANT I	015	\$25,479.22	\$45,773.62	43-6011-02	EXEC SECRETARIES & EXEC ADMIN ASSISTANTS	003	\$19,902.48	\$58,114.32	01	N	01	02	Included
0709	ADMINISTRATIVE ASSISTANT I - SES	415	\$25,479.22	\$50,401.93	43-6011-02	EXEC SECRETARIES & EXEC ADMIN ASSISTANTS	003	\$19,902.48	\$58,114.32	08	N	89	02	Included
0712	ADMINISTRATIVE ASSISTANT II	018	\$29,344.38	\$54,204.37	43-6011-03	EXEC SECRETARIES & EXEC ADMIN ASSISTANTS	005	\$23,645.18	\$69,043.71	01	N	01	02	Included
0712	ADMINISTRATIVE ASSISTANT II - SES	418	\$29,344.38	\$62,314.07	43-6011-03	EXEC SECRETARIES & EXEC ADMIN ASSISTANTS	005	\$23,645.18	\$69,043.71	08	N	89	02	Included
0714	ADMINISTRATIVE ASSISTANT III - SES	421	\$34,501.48	\$67,325.37	43-6011-04	EXEC SECRETARIES & EXEC ADMIN ASSISTANTS	006	\$25,774.06	\$75,258.91	08	N	89	02	Excluded
0108	ADMINISTRATIVE SECRETARY	012	\$22,453.60	\$39,302.81	43-6011-02	EXEC SECRETARIES & EXEC ADMIN ASSISTANTS	003	\$19,902.48	\$58,114.32	01	N	01	06	Included
4521	ARCHITECT SUPERVISOR - SES	427	\$49,426.78	\$108,184.68	17-1022-05	SURVEYORS	012	\$43,225.52	\$132,528.38	08	N	87	02	Excluded
5715	ASSISTANT DETENTION CENTER SUPT II - SES	421	\$34,501.48	\$67,325.37	11-9151-02	COMMUNITY AND SOCIAL SERVICE MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
6814	ASSISTANT SEC FOR DETENTION SERVICES	940	\$64,558.52	\$161,487.52	10-9151-02	COMMUNITY AND SOCIAL SERVICE MANAGERS	024	\$56,779.84	\$265,272.93	09	N	99	01	Excluded
6816	ASST SEC FOR PREVENT & VICTIM SERV	940	\$64,558.52	\$161,487.52	10-9151-02	COMMUNITY AND SOCIAL SERVICE MANAGERS	024	\$56,779.84	\$265,272.93	09	N	99	01	Excluded
6813	ASST SEC FOR PROB & COMMUNITY CORR	940	\$64,558.52	\$161,487.52	10-9151-02	COMMUNITY AND SOCIAL SERVICE MANAGERS	024	\$56,779.84	\$265,272.93	09	N	99	01	Excluded
6815	ASST SEC FOR RESIDENTIAL & CORR FAC	940	\$64,558.52	\$161,487.52	10-9151-02	COMMUNITY AND SOCIAL SERVICE MANAGERS	024	\$56,779.84	\$265,272.93	09	N	99	01	Excluded
7736	ATTORNEY	220	\$39,083.46	\$103,773.13	23-1011-03	LAWYERS	010	\$36,381.54	\$111,544.83	08	N	81	02	Excluded
9433	AUDIT ADMINISTRATOR	530	\$45,173.44	\$107,617.06	11-3031-03	FINANCIAL MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
6824	CHIEF OF CONTRACT DEVELOPMENT & PLANNING	530	\$45,173.44	\$107,617.06	11-3061-03	PURCHASING MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
0670	CHIEF OF CONTRACT MANAGEMENT	530	\$45,173.44	\$107,617.06	11-3061-03	PURCHASING MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
9768	CHIEF OF FINANCE AND ACCOUNTING	530	\$45,173.44	\$107,617.06	11-3031-03	FINANCIAL MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
9430	CHIEF OF GENERAL SERVICES	530	\$45,173.44	\$107,617.06	11-3011-03	ADMINISTRATIVE SERVICES MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
9429	CHIEF OF HUMAN RESOURCES	530	\$45,173.44	\$107,617.06	11-3121-03	HUMAN RESOURCE MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
8865	CHIEF OF INFORMATION TECHNOLOGY	540	\$52,917.80	\$131,162.06	11-3021-03	COMPUTER & INFORMATION SYSTEMS MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
9422	CHIEF OF MONITORING & QUAL IMPROVEMENT	530	\$45,173.44	\$107,617.06	11-1021-03	GENERAL AND OPERATIONS MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
8222	CHIEF OF PROCUREMENT AND CONTRACT ADMINI	530	\$45,173.44	\$107,617.06	11-3061-03	PURCHASING MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
8219	CHIEF OF RESEARCH AND DATA INTEGRITY	530	\$45,173.44	\$107,617.06	11-3021-03	COMPUTER & INFORMATION SYSTEMS MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
8289	CHIEF OF STAFF	940	\$64,558.52	\$161,487.52	10-1021-02	GENERAL AND OPERATIONS MANAGERS	024	\$56,779.84	\$265,272.93	09	N	99	01	Excluded
6836	CHIEF PROBATION OFFICER/MANAGER	530	\$45,173.44	\$107,617.06	11-9199-03	MANAGERS, ALL OTHER	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
9490	COMMUNICATIONS ADMINISTRATOR	530	\$45,173.44	\$107,617.06	11-2031-03	PUBLIC RELATIONS & FUNDRAISING MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
8715	COMMUNITY RELATIONS ADMINISTRATOR	160	\$45,431.62	\$107,377.51	11-2031-02	PUBLIC RELATIONS & FUNDRAISING MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	01	Excluded

Class Code	Class Title	Pay Grade	Paygrade Min	Paygrade Max	Broadband Code	Bband Occupation Title	Bband Payband	Payband Min	Payband Max	Pay Plan	Spec Risk Ret	CBU	EEO4	Employee Group
4692	CONSTRUCTION PROJECTS CONSULTANT II	024	\$40,948.18	\$83,424.69	11-9021-02	CONSTRUCTION MANAGERS	020	\$26,445.90	\$123,555.13	01	N	05	02	Excluded
2133	DATA PROCESSING MANAGER - SES	426	\$46,381.14	\$102,026.17	11-3021-02	COMPUTER & INFORMATION SYSTEMS MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
9487	DEPUTY SECRETARY-DJJ	950	\$77,470.12	\$184,557.21	10-1021-02	GENERAL AND OPERATIONS MANAGERS	024	\$56,779.84	\$265,272.93	09	N	99	01	Excluded
9085	DETENTION SUPERINTENDENT	520	\$39,083.46	\$92,242.53	11-9199-02	MANAGERS, ALL OTHER	020	\$26,445.90	\$123,555.13	08	N	87	01	Excluded
6840	DIR OF OFFICE OF PRGM ACCOUNTABILITY	930	\$54,228.98	\$128,805.39	10-3011-01	ADMINISTRATIVE SERVICES MANAGERS	023	\$47,316.36	\$232,113.73	09	N	99	01	Excluded
6819	DIR OF RESIDENTIAL & CORR FACILITIES	930	\$54,228.98	\$128,805.39	10-9151-01	COMMUNITY AND SOCIAL SERVICE MANAGERS	023	\$47,316.36	\$232,113.73	09	N	99	01	Excluded
6812	DIRECTOR OF ADMINISTRATION	940	\$64,558.52	\$161,487.52	10-3011-02	ADMINISTRATIVE SERVICES MANAGERS	024	\$56,779.84	\$265,272.93	09	N	99	01	Excluded
6817	DIRECTOR OF DETENTION	930	\$54,228.98	\$128,805.39	10-9151-01	COMMUNITY AND SOCIAL SERVICE MANAGERS	023	\$47,316.36	\$232,113.73	09	N	99	01	Excluded
6818	DIRECTOR OF PROB & COMMUNITY CORR	930	\$54,228.98	\$128,805.39	10-9151-01	COMMUNITY AND SOCIAL SERVICE MANAGERS	023	\$47,316.36	\$232,113.73	09	N	99	01	Excluded
9044	DIRECTOR OF STAFF DEVELOPMENT & TRAINING	940	\$64,558.52	\$161,487.52	10-9199-01	MANAGERS, ALL OTHER	023	\$47,316.36	\$232,113.73	09	N	99	01	Excluded
2053	DISTRIBUTED COMPUTER SYSTEMS ADMIN - SES	425	\$43,507.36	\$93,333.36	11-3021-02	COMPUTER & INFORMATION SYSTEMS MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
2052	DISTRIBUTED COMPUTER SYSTEMS ANALYST	022	\$36,467.60	\$70,109.13	15-1142-02	NETWORK & COMPUTER SYSTEMS ADMINISTRATOR	006	\$25,774.06	\$75,258.91	01	N	01	03	Included
7252	EDUCATION POLICY ADMINISTRATOR	530	\$45,173.44	\$107,617.06	11-1021-03	GENERAL AND OPERATIONS MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
0718	EXECUTIVE ASSISTANT I - SES	422	\$45,173.44	\$107,617.06	43-6011-04	EXEC SECRETARIES & EXEC ADMIN ASSISTANTS	006	\$33,057.44	\$162,164.69	08	N	89	02	Excluded
1466	FINANCE & ACCOUNTING DIRECTOR III - SES	426	\$46,381.14	\$102,026.17	11-3031-02	FINANCIAL MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
1418	FISCAL ASSISTANT II	012	\$22,453.60	\$39,302.81	43-3031-02	BOOKKEEPING, ACCOUNTING & AUDITING CLERK	003	\$19,902.48	\$58,114.32	01	N	01	05	Included
1418	FISCAL ASSISTANT II - SES	412	\$22,453.60	\$40,954.84	43-3031-02	BOOKKEEPING, ACCOUNTING & AUDITING CLERK	003	\$19,902.48	\$58,114.32	08	N	86	05	Included
6223	FOOD SERVICE DIRECTOR I - SES	415	\$25,479.22	\$50,401.93	11-9051-01	FOOD SERVICE MANAGERS	019	\$21,156.72	\$98,842.17	08	N	89	02	Excluded
6224	FOOD SERVICE DIRECTOR II - SES	418	\$29,344.38	\$62,314.07	11-9051-01	FOOD SERVICE MANAGERS	019	\$21,156.72	\$98,842.17	08	N	89	02	Excluded
6213	FOOD SUPPORT WORKER	006	\$17,910.10	\$30,653.54	35-2021-01	FOOD PREPARATION WORKERS	002	\$18,259.02	\$53,315.12	01	N	03	08	Included
9416	GENERAL COUNSEL	940	\$64,558.52	\$161,487.52	10-9199-02	MANAGERS, ALL OTHER	024	\$56,779.84	\$265,272.93	09	N	99	01	Excluded
2224	GOVERNMENT ANALYST I	022	\$36,467.60	\$70,109.13	13-1111-03	MANAGEMENT ANALYSTS	007	\$28,093.00	\$82,030.91	01	N	05	02	Excluded
2225	GOVERNMENT ANALYST II	026	\$46,381.14	\$91,984.86	13-1111-04	MANAGEMENT ANALYSTS	010	\$36,381.54	\$111,544.83	01	N	05	02	Excluded
2234	GOVERNMENT OPERATIONS CONSULTANT I	021	\$34,501.48	\$65,699.92	13-1111-03	MANAGEMENT ANALYSTS	007	\$28,093.00	\$82,030.91	01	N	05	02	Excluded
2236	GOVERNMENT OPERATIONS CONSULTANT II	023	\$38,659.92	\$75,074.28	13-1111-04	MANAGEMENT ANALYSTS	010	\$36,381.54	\$111,544.83	01	N	05	02	Excluded
2238	GOVERNMENT OPERATIONS CONSULTANT III	025	\$43,507.36	\$85,867.24	13-1111-04	MANAGEMENT ANALYSTS	010	\$36,381.54	\$111,544.83	01	N	05	02	Excluded
2235	GOVERNMENT OPERATIONS CONSULTANT III-SES	425	\$43,507.36	\$93,333.36	13-1111-04	MANAGEMENT ANALYSTS	010	\$36,381.54	\$111,544.83	08	N	89	02	Excluded
9145	HEALTH ADMINISTRATION SERVICES MGR-SES	426	\$46,381.14	\$102,026.17	11-3011-02	ADMINISTRATIVE SERVICES MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
0192	HUMAN RESOURCE ANALYST/HR-SES	424	\$40,948.18	\$83,424.69	13-1071-04	HUMAN RESOURCES SPECIALISTS	010	\$36,381.54	\$111,544.83	08	N	89	02	Excluded
9415	INSPECTOR GENERAL	940	\$64,558.52	\$161,487.52	10-1021-02	GENERAL AND OPERATIONS MANAGERS	024	\$56,779.84	\$265,272.93	09	N	99	01	Excluded
2240	INSPECTOR SPECIALIST	024	\$40,948.18	\$80,188.70	13-1041-04	COMPLIANCE OFFICERS	010	\$36,381.54	\$111,544.83	01	N	09	02	Excluded
2240	INSPECTOR SPECIALIST - SES	424	\$40,948.18	\$83,424.69	13-1041-04	COMPLIANCE OFFICERS	010	\$36,381.54	\$111,544.83	08	N	89	02	Excluded
8355	INVESTIGATIONS ADMINISTRATOR	530	\$45,173.44	\$107,617.06	11-9199-03	MANAGERS, ALL OTHER	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
5713	JUVENILE JUSTICE DETENTION OFF SUPV-SES	417	\$27,926.08	\$53,440.14	21-1092-03	PROBATION OFFICER & CORR TREATMENT SPEC	007	\$28,093.00	\$82,030.91	08	N	86	05	Included
5711	JUVENILE JUSTICE DETENTION OFFICER I	015	\$25,479.22	\$45,773.62	21-1092-01	PROBATION OFFICER & CORR TREATMENT SPEC	004	\$21,692.58	\$63,342.09	01	N	03	05	Included
5712	JUVENILE JUSTICE DETENTION OFFICER II	016	\$26,540.54	\$48,242.17	21-1092-02	PROBATION OFFICER & CORR TREATMENT SPEC	005	\$23,645.18	\$69,043.71	01	N	03	05	Included

Class Code	Class Title	Pay Grade	Paygrade Min	Paygrade Max	Broadband Code	Bband Occupation Title	Bband Payband	Payband Min	Payband Max	Pay Plan	Spec Risk Ret	CBU	EEO4	Employee Group
5965	JUVENILE PROBATION OFFICER	018	\$29,344.38	\$54,204.37	21-1092-02	PROBATION OFFICER & CORR TREATMENT SPEC	005	\$23,645.18	\$69,043.71	01	N	05	02	Included
5967	JUVENILE PROBATION OFFICER SUPV - SES	420	\$32,696.82	\$64,846.31	21-1092-04	PROBATION OFFICER & CORR TREATMENT SPEC	008	\$30,622.02	\$93,886.09	08	N	87	02	Excluded
0717	LEGISLATION SPECIALIST - SES	424	\$35,518.34	\$82,633.00	13-1111-04	MANAGEMENT ANALYSTS	010	\$36,381.54	\$111,544.83	08	N	89	02	Excluded
9512	LEGISLATIVE AFFAIRS DIRECTOR	920	\$46,482.02	\$109,578.75	10-1021-01	GENERAL AND OPERATIONS MANAGERS	023	\$47,316.36	\$232,113.73	09	N	99	01	Excluded
6387	MAINTENANCE & CONSTRUCTION SUPT - SES	422	\$36,467.60	\$74,368.48	11-9021-02	CONSTRUCTION MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
6466	MAINTENANCE MECHANIC	014	\$24,579.62	\$43,471.88	49-9042-02	MAINTENANCE AND REPAIR WORKERS, GENERAL	004	\$21,692.58	\$63,342.09	01	N	02	07	Included
2209	MANAGEMENT ANALYST I - SES	417	\$27,926.08	\$53,440.14	13-1111-02	MANAGEMENT ANALYSTS	006	\$25,774.06	\$75,258.91	08	N	86	02	Included
2212	MANAGEMENT ANALYST II - SES	419	\$30,988.62	\$72,537.07	13-1111-03	MANAGEMENT ANALYSTS	007	\$28,093.00	\$82,030.91	08	N	89	02	Excluded
2239	MANAGEMENT REVIEW SPECIALIST - SES	424	\$40,948.18	\$83,424.69	13-1111-04	MANAGEMENT ANALYSTS	010	\$36,381.54	\$111,544.83	08	N	89	02	Excluded
3150	MARKETING RESEARCH ANALYST	020	\$32,696.82	\$61,625.79	13-1161-02	MARKET RESEARCH ANLYTS & MARKETING SPECS	007	\$28,093.00	\$82,030.91	01	N	05	02	Excluded
7680	MENTAL HLTH & SUBSTAN ABUSE SERV DIRECTO	530	\$45,173.44	\$107,617.06	11-9111-03	MEDICAL AND HEALTH SERVICES MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
5345	NURSING SERVICES DIRECTOR - SES	482	\$57,693.48	\$128,490.18	11-9111-02	MEDICAL AND HEALTH SERVICES MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
2041	OFFICE AUTOMATION SPECIALIST I	015	\$25,479.22	\$45,773.62	15-1151-01	COMPUTER USER SUPPORT SPECIALISTS	004	\$21,692.58	\$63,342.09	01	N	01	03	Included
2234	OPERATIONS & MGMT CONSULTANT I - SES	421	\$34,501.48	\$67,325.37	13-1111-03	MANAGEMENT ANALYSTS	007	\$28,093.00	\$82,030.91	08	N	89	02	Excluded
2236	OPERATIONS & MGMT CONSULTANT II - SES	423	\$38,659.92	\$82,581.59	13-1111-04	MANAGEMENT ANALYSTS	010	\$36,381.54	\$111,544.83	08	N	89	02	Excluded
2238	OPERATIONS & MGMT CONSULTANT MGR - SES	425	\$43,507.36	\$93,333.36	11-1021-02	GENERAL AND OPERATIONS MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
2212	OPERATIONS ANALYST II	019	\$27,926.08	\$51,081.73	13-1111-03	MANAGEMENT ANALYSTS	007	\$25,774.06	\$75,258.91	01	N	05	02	Excluded
6882	OPERATIONS AND PROGRAM MANAGER	530	\$45,173.44	\$107,617.06	11-1021-03	GENERAL AND OPERATIONS MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
2239	OPERATIONS REVIEW SPECIALIST	024	\$40,948.18	\$80,188.70	13-1111-04	MANAGEMENT ANALYSTS	010	\$36,381.54	\$111,544.83	01	N	05	02	Excluded
0189	PERSONNEL SERVICES SPECIALIST/HR-SES	421	\$34,501.48	\$67,325.37	13-1071-03	HUMAN RESOURCES SPECIALISTS	007	\$28,093.00	\$82,030.91	08	N	89	02	Excluded
0185	PERSONNEL TECHNICIAN I/HR-SES	414	\$24,579.62	\$45,123.91	13-1071-01	HUMAN RESOURCES SPECIALISTS	003	\$19,902.48	\$58,114.32	08	N	89	02	Excluded
0188	PERSONNEL TECHNICIAN III/HR-SES	419	\$30,988.62	\$72,537.07	13-1071-02	HUMAN RESOURCES SPECIALISTS	006	\$25,774.06	\$75,258.91	08	N	89	02	Excluded
5916	PROGRAM ADMINISTRATOR - SES	425	\$45,173.44	\$107,617.06	11-9151-02	COMMUNITY AND SOCIAL SERVICE MANAGERS	020	\$33,057.44	\$162,164.69	08	N	89	02	Excluded
8221	PROGRAMS & POLICY COORDINATOR	530	\$45,173.44	\$107,617.06	11-1021-03	GENERAL AND OPERATIONS MANAGERS	021	\$33,057.44	\$162,164.69	08	N	89	01	Excluded
0945	PROPERTY CONSULTANT	017	\$27,926.08	\$51,081.73	13-1023-03	PURCHASING AGENTS	007	\$28,093.00	\$82,030.91	01	N	05	02	Excluded
0830	PURCHASING ANALYST	023	\$38,659.92	\$75,074.28	13-1023-04	PURCHASING AGENTS	010	\$36,381.54	\$111,544.83	01	N	01	02	Excluded
0818	PURCHASING SPECIALIST	021	\$34,501.48	\$65,699.92	13-1023-03	PURCHASING AGENTS	007	\$28,093.00	\$82,030.91	01	N	01	02	Excluded
2208	RECORDS ANALYST	017	\$27,926.08	\$51,081.73	13-1111-01	MANAGEMENT ANALYSTS	003	\$19,902.48	\$58,114.32	01	N	05	02	Excluded
0045	RECORDS TECHNICIAN	013	\$23,482.94	\$41,295.76	43-4199-02	INFORMATION AND RECORD CLERKS, ALL OTHER	003	\$19,902.48	\$58,114.32	01	N	01	02	Included
5312	REGISTERED NURSING CONSULTANT	079	\$44,477.68	\$99,056.89	29-1141-04	REGISTERED NURSES	010	\$36,381.54	\$111,544.83	01	N	04	02	Excluded
9491	SECRETARY OF JUVENILE JUSTICE	950	\$77,470.12	\$184,557.21	10-1011-03	CHIEF EXECUTIVES	025	\$68,135.86	\$318,327.74	09	N	99	01	Excluded
0105	SECRETARY SPECIALIST	010	\$20,734.74	\$35,871.09	43-6014-01	SEC & ADMN ASST, EXPT LEGAL, MED & EXEC	001	\$16,855.14	\$48,913.20	01	N	01	06	Included
7738	SENIOR ATTORNEY	230	\$51,626.90	\$138,364.38	23-1011-04	LAWYERS	014	\$51,355.46	\$149,955.74	08	N	81	02	Excluded
5237	SENIOR BEHAVIORAL ANALYST	095	\$43,848.74	\$97,657.56	19-3099-04	SOCIAL SCIENTISTS & RELATED WORKERS, ALL	011	\$39,655.98	\$115,793.36	01	N	04	02	Excluded
0008	SENIOR CLERICAL SUPERVISOR - SES	412	\$23,482.94	\$42,948.37	43-1011-02	FRST-LINE SUPV OF OFFI ADMIN SUPPT WRKRS	003	\$19,902.48	\$58,114.32	08	N	86	06	Included
0004	SENIOR CLERK	011	\$21,532.94	\$37,477.84	43-9061-02	OFFICE CLERKS, GENERAL	003	\$19,902.48	\$58,114.32	01	N	01	06	Included

Class Code	Class Title	Pay Grade	Paygrade Min	Paygrade Max	Broadband Code	Bband Occupation Title	Bband Payband	Payband Min	Payband Max	Pay Plan	Spec Risk Ret	CBU	EEO4	Employee Group
0004	SENIOR CLERK - SES	411	\$21,532.94	\$38,723.79	43-9061-02	OFFICE CLERKS, GENERAL	003	\$19,902.48	\$58,114.32	08	N	89	06	Included
2114	SENIOR INFO TECH BUSINESS CONSULTANT	026	\$46,381.14	\$91,984.86	15-1199-04	COMPUTER OCCUPATIONS, ALL OTHERS	009	\$33,377.24	\$102,333.49	01	N	05	02	Excluded
5966	SENIOR JUVENILE PROBATION OFFICER	019	\$30,988.62	\$57,854.03	21-1092-03	PROBATION OFFICER & CORR TREATMENT SPEC	007	\$28,093.00	\$82,030.91	01	N	05	02	Included
2224	SENIOR MANAGEMENT ANALYST I - SES	422	\$36,467.60	\$74,368.48	13-1111-03	MANAGEMENT ANALYSTS	007	\$28,093.00	\$82,030.91	08	N	89	02	Excluded
2225	SENIOR MANAGEMENT ANALYST II - SES	426	\$46,381.14	\$102,026.17	13-1111-04	MANAGEMENT ANALYSTS	010	\$36,381.54	\$111,544.83	08	N	89	02	Excluded
2228	SENIOR MANAGEMENT ANALYST SUPV - SES	426	\$46,381.14	\$102,026.17	13-1111-04	MANAGEMENT ANALYSTS	010	\$36,381.54	\$111,544.83	08	N	87	02	Excluded
1468	SENIOR PROFESSIONAL ACCOUNTANT	022	\$36,467.60	\$70,109.13	13-2011-03	ACCOUNTANTS AND AUDITORS	008	\$30,622.02	\$93,886.09	01	N	05	02	Excluded
8711	SENIOR SAFETY SPECIALIST - SES	416	\$32,696.82	\$64,846.31	29-9011-03	OCCUPATIONAL HEALTH & SAFETY SPECIALISTS	005	\$28,093.00	\$82,030.91	08	N	89	02	Included
0120	STAFF ASSISTANT	013	\$23,482.94	\$41,295.76	43-6011-02	EXEC SECRETARIES & EXEC ADMIN ASSISTANTS	003	\$19,902.48	\$58,114.32	01	N	01	06	Included
0120	STAFF ASSISTANT - SES	413	\$23,482.94	\$42,948.37	43-6011-02	EXEC SECRETARIES & EXEC ADMIN ASSISTANTS	003	\$19,902.48	\$58,114.32	08	N	89	06	Included
2109	SYSTEM PROJECT CONSULTANT	025	\$43,507.36	\$85,867.24	15-1121-04	COMPUTER SYSTEMS ANALYST	009	\$33,377.24	\$102,333.49	01	N	05	03	Excluded
2111	SYSTEMS PROGRAMMER I	023	\$38,659.92	\$75,074.28	15-1142-02	NETWORK & COMPUTER SYSTEMS ADMINISTRATOR	006	\$25,774.06	\$75,258.91	01	N	05	03	Included
2117	SYSTEMS PROGRAMMING ADMINISTRATOR - SES	427	\$49,426.78	\$108,184.68	11-3021-02	COMPUTER & INFORMATION SYSTEMS MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
2109	SYSTEMS PROJECT ADMINISTRATOR - SES	425	\$43,507.36	\$93,333.36	11-3021-02	COMPUTER & INFORMATION SYSTEMS MANAGERS	020	\$26,445.90	\$123,555.13	08	N	86	03	Excluded
2107	SYSTEMS PROJECT ANALYST	024	\$40,948.18	\$80,188.70	15-1121-03	COMPUTER SYSTEMS ANALYST	008	\$30,622.02	\$93,886.09	01	N	05	03	Excluded
2039	TELECOMMUNICATIONS ADMINISTRATOR - SES	424	\$40,948.18	\$83,424.69	11-3021-02	COMPUTER & INFORMATION SYSTEMS MANAGERS	020	\$26,445.90	\$123,555.13	08	N	89	02	Excluded
0090	WORD PROCESSING SYSTEMS OPERATOR	010	\$20,734.74	\$35,871.09	43-9022-01	WORD PROCESSORS AND TYPISTS	001	\$16,855.14	\$48,913.20	01	N	01	06	Included

DEPARTMENT OF JUVENILE JUSTICE

Department Level Exhibits and Schedules



Christina K. Daly, Secretary

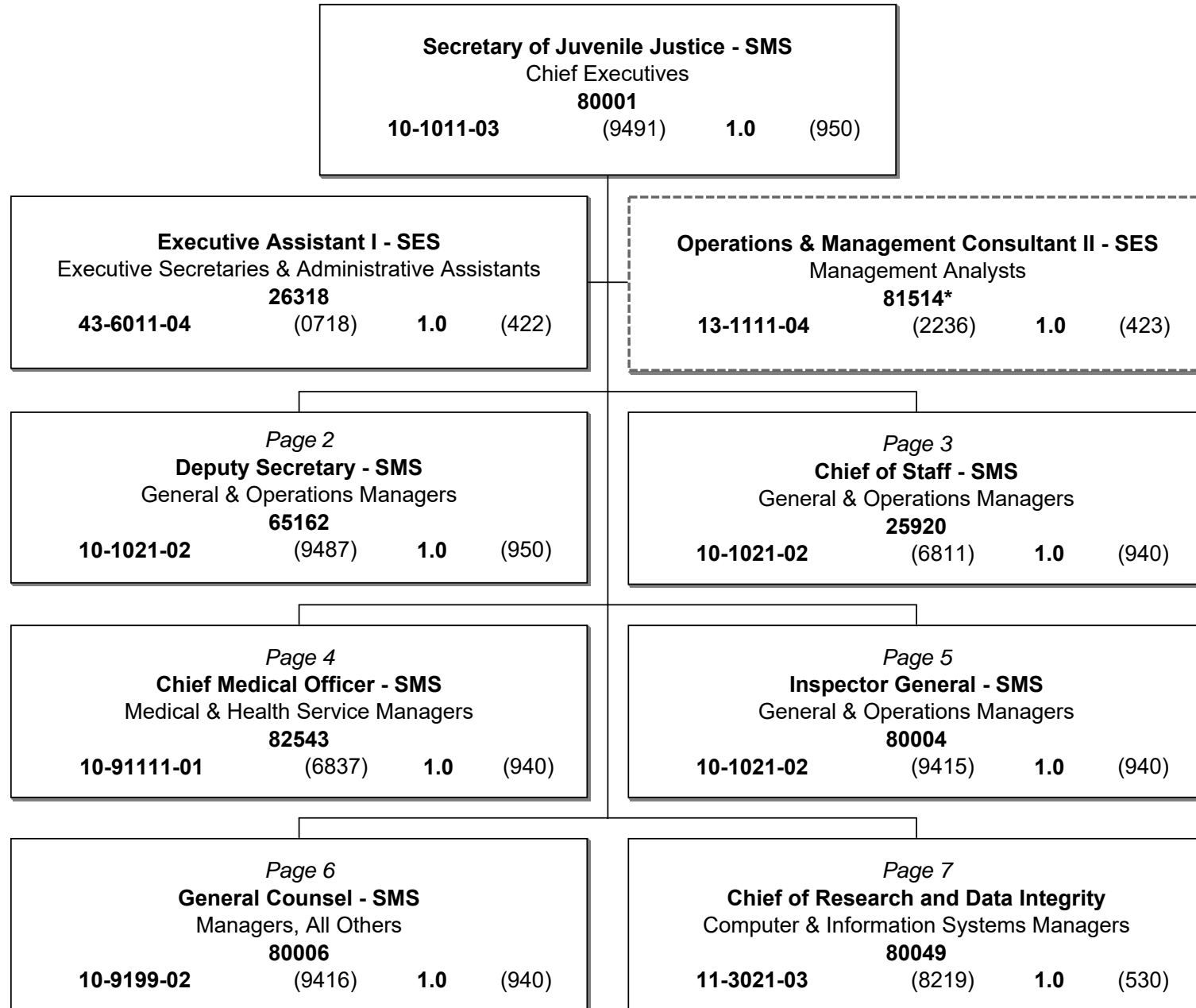
Schedule VII: Agency Litigation Inventory

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

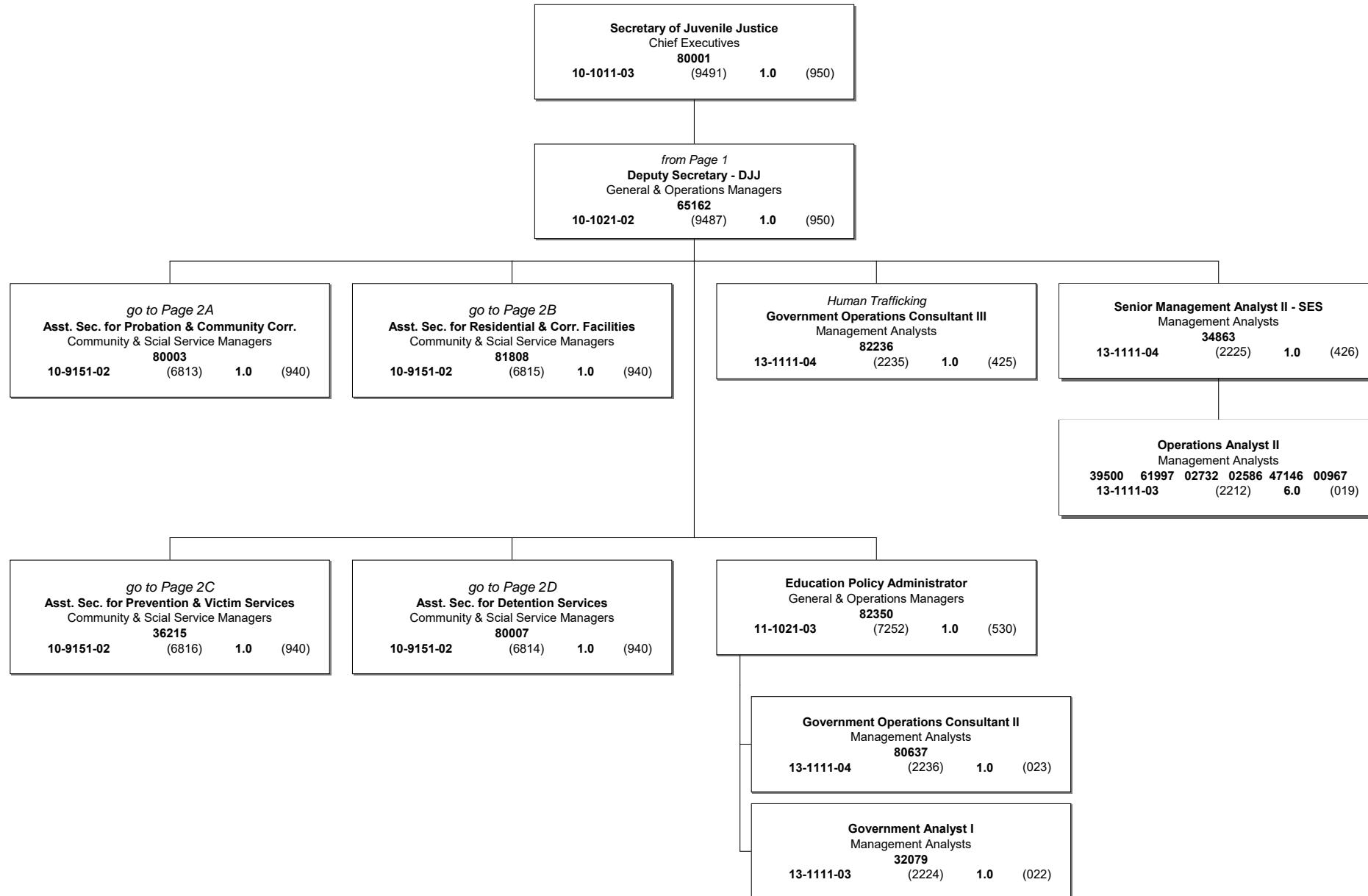
Agency:	Florida Department of Juvenile Justice		
Contact Person:	Scott C. Wright	Phone Number:	850-717-2445
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Marion and Polk County, FL (Petitioners) vs. FL Department of Juvenile Justice and Jeff Atwater, CFO of State of FL (Respondents) and Seminole County, FL (Petitioner) vs. FL Department of Juvenile Justice and Jeff Atwater, CFO of State of FL (Respondents)		
Court with Jurisdiction:	Leon County Circuit Court		
Case Number:	2014-CA-001885 2016-CA-000849		
Summary of the Complaint:	The counties seek refunds from the state as a result of overpaying the cost of secure detention.		
Amount of the Claim:	\$ 9,517,729.15 (Marion: \$666,831.84; Polk: \$4,782,199.76; Seminole \$4,068,697.55)		
Specific Statutes or Laws (including GAA) Challenged:	Florida Statute 985.686 Department of Juvenile Justice’s Administrative Rules 63G-1.011 and 1.017		
Status of the Case:	Status Conference Scheduled for August, 2017. DJJ believes discovery is complete and the case is ready for decision.		
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).	Not a class action.		

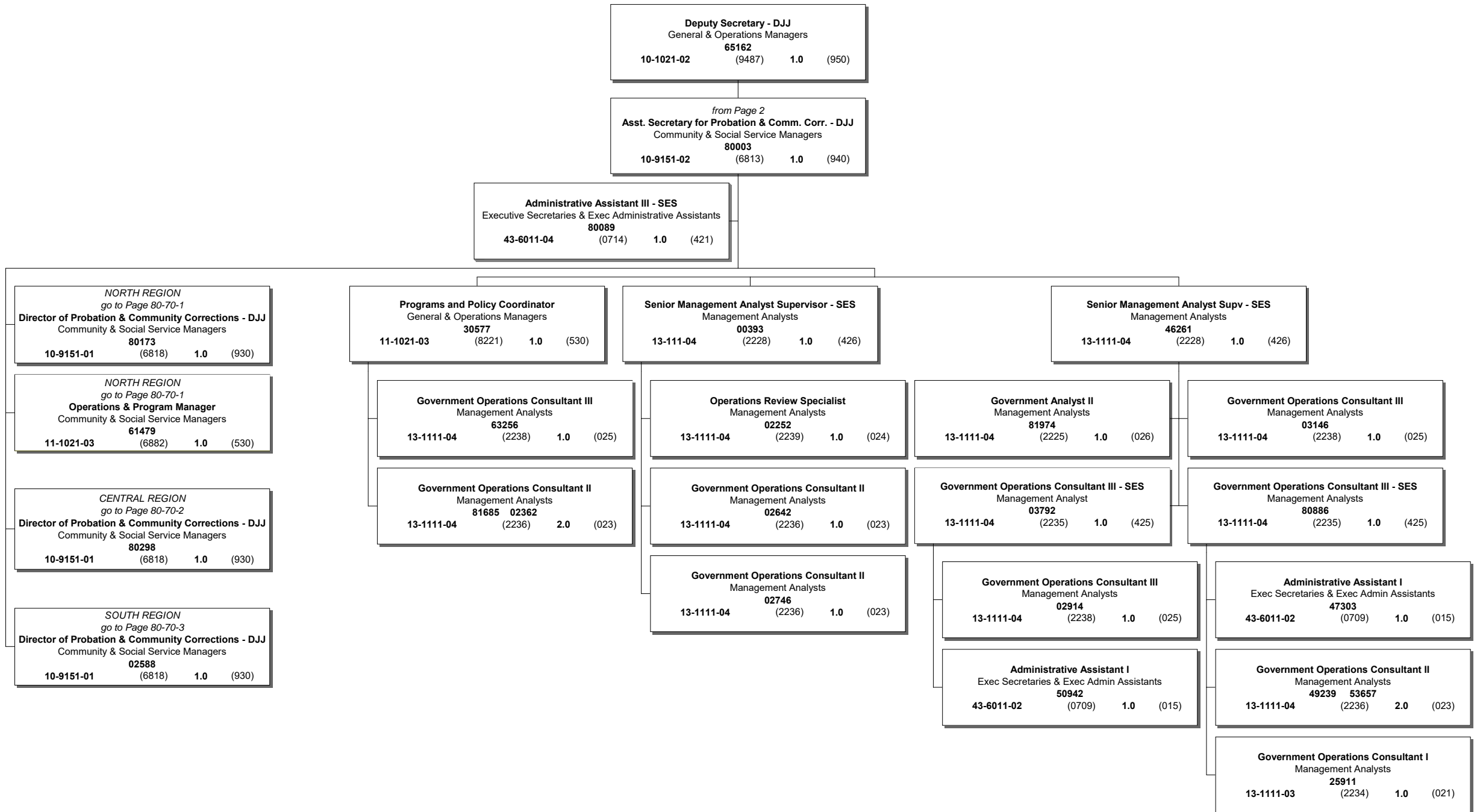
TABLE OF CONTENTS

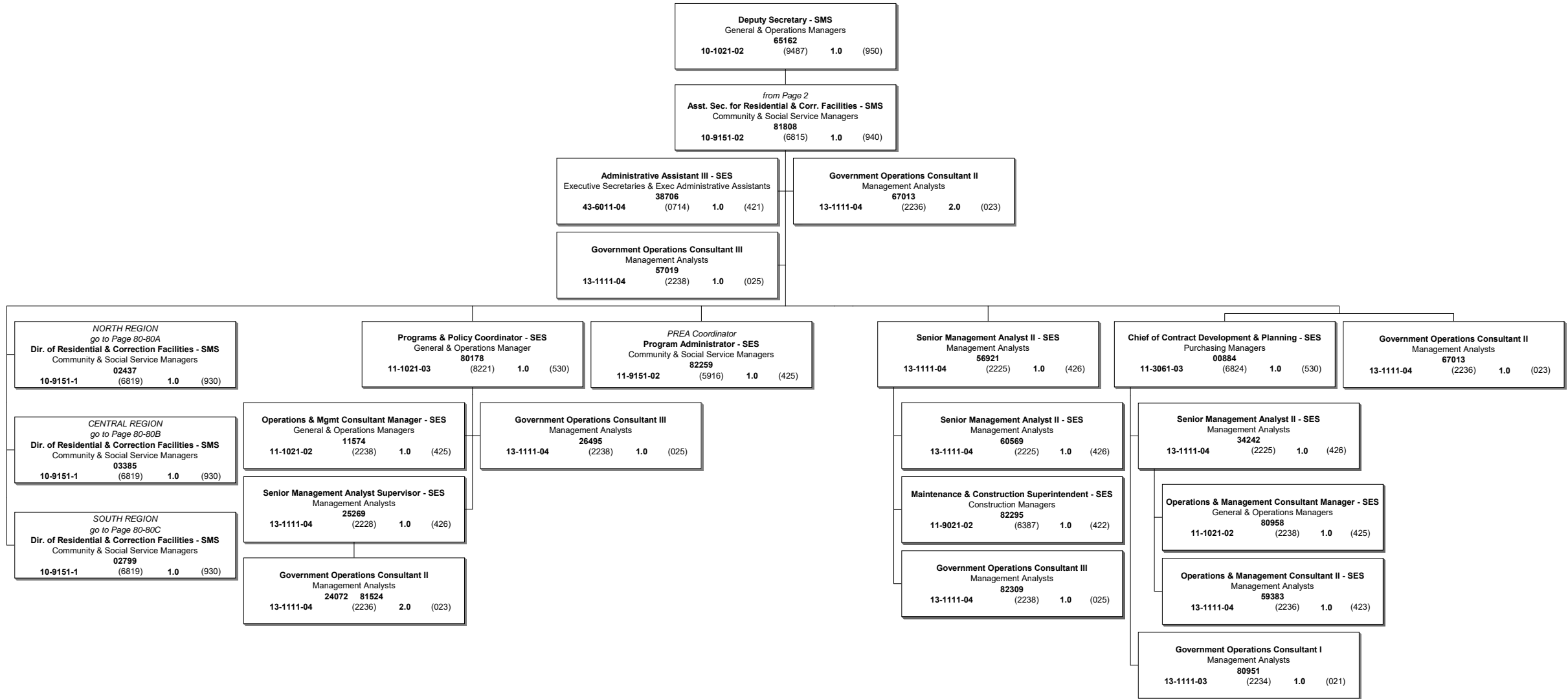
Office of the Secretary	Page 1
Office of the Deputy Secretary	Page 2
Assistant Secretary for Probation	Page 2A <i>(also Page 80-70 under Probation)</i>
Assistant Secretary for Residential	Page 2B <i>(also Page 80-80 under Residential)</i>
Assistant Secretary for Prevention	Page 2C <i>(also Page 80-90 under Prevention)</i>
Assistant Secretary for Detention	Page 2D <i>(also Page 80-40 under Detention)</i>
Chief of Staff	Page 3
Office of Administration	Page 3A
Budget	Page 3A-1
Finance & Accounting	Page 3A-2
Human Resources	Page 3A-3
General Services	Page 3A-4
Management Information Systems	Page 3A-5, 3A-5-1
Office of Program Accountability	Page 3B
Monitoring and Quality Improvement	Page 3B-1
Procurement and Contract Administration	Page 3B-2
Chief Medical Officer	Page 4
Inspector General	Page 5
General Counsel	Page 6
Research and Data Integrity	Page 7

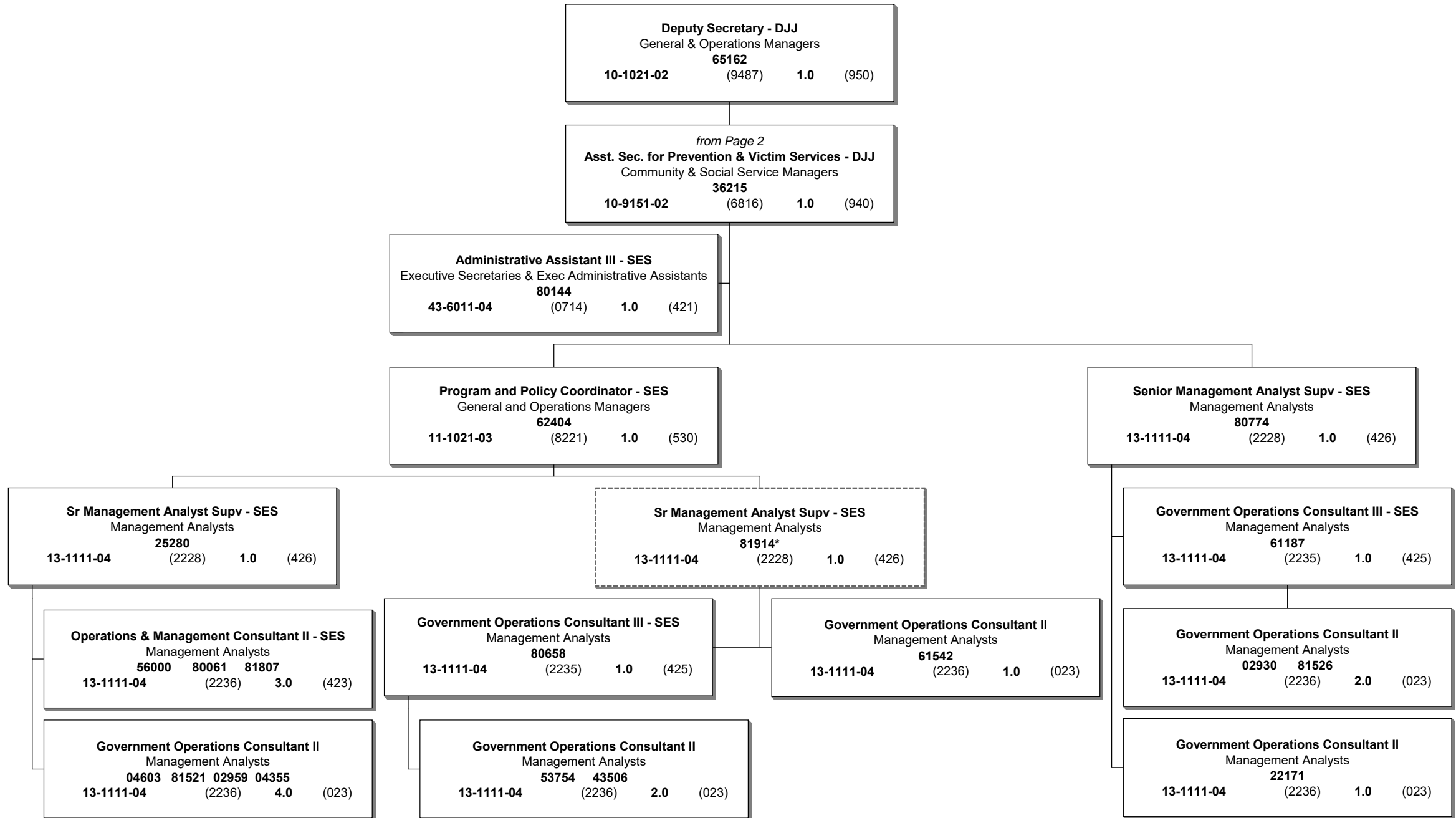


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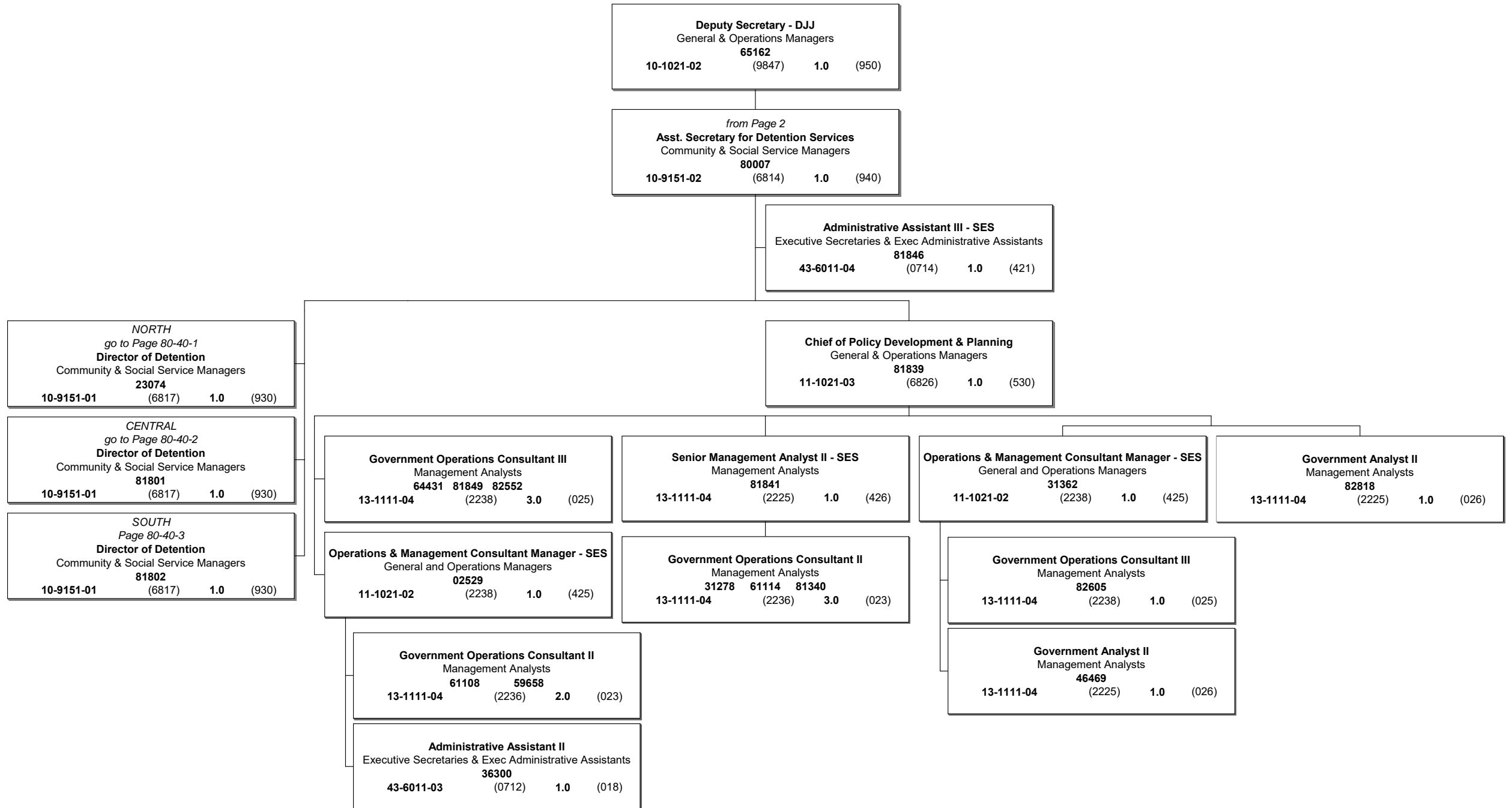


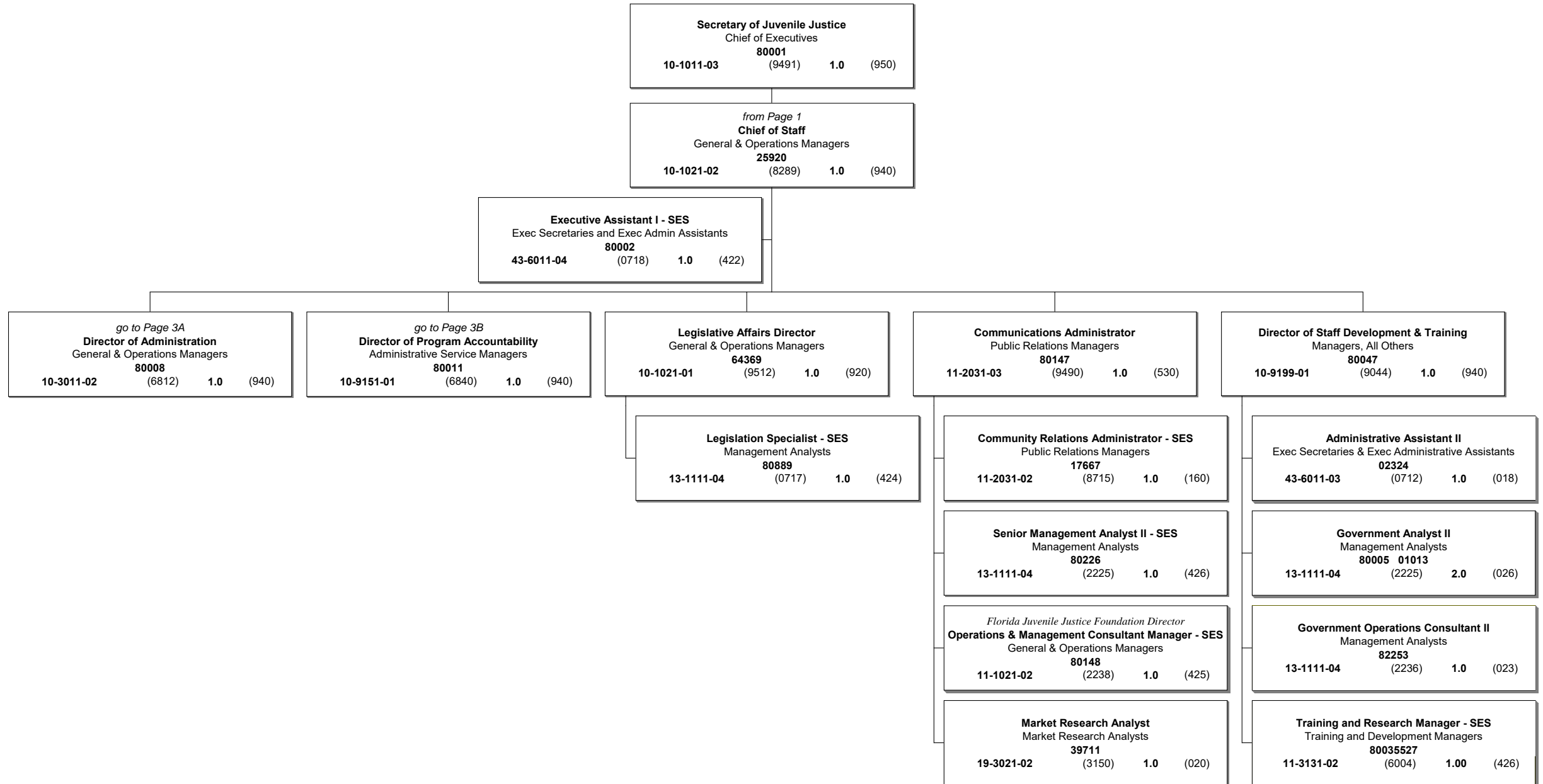


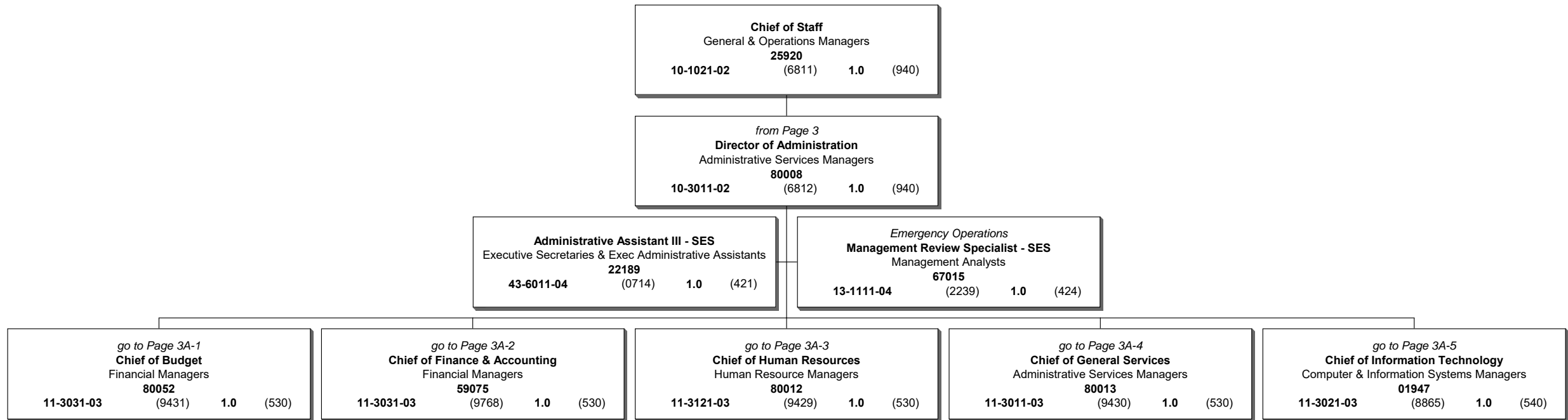


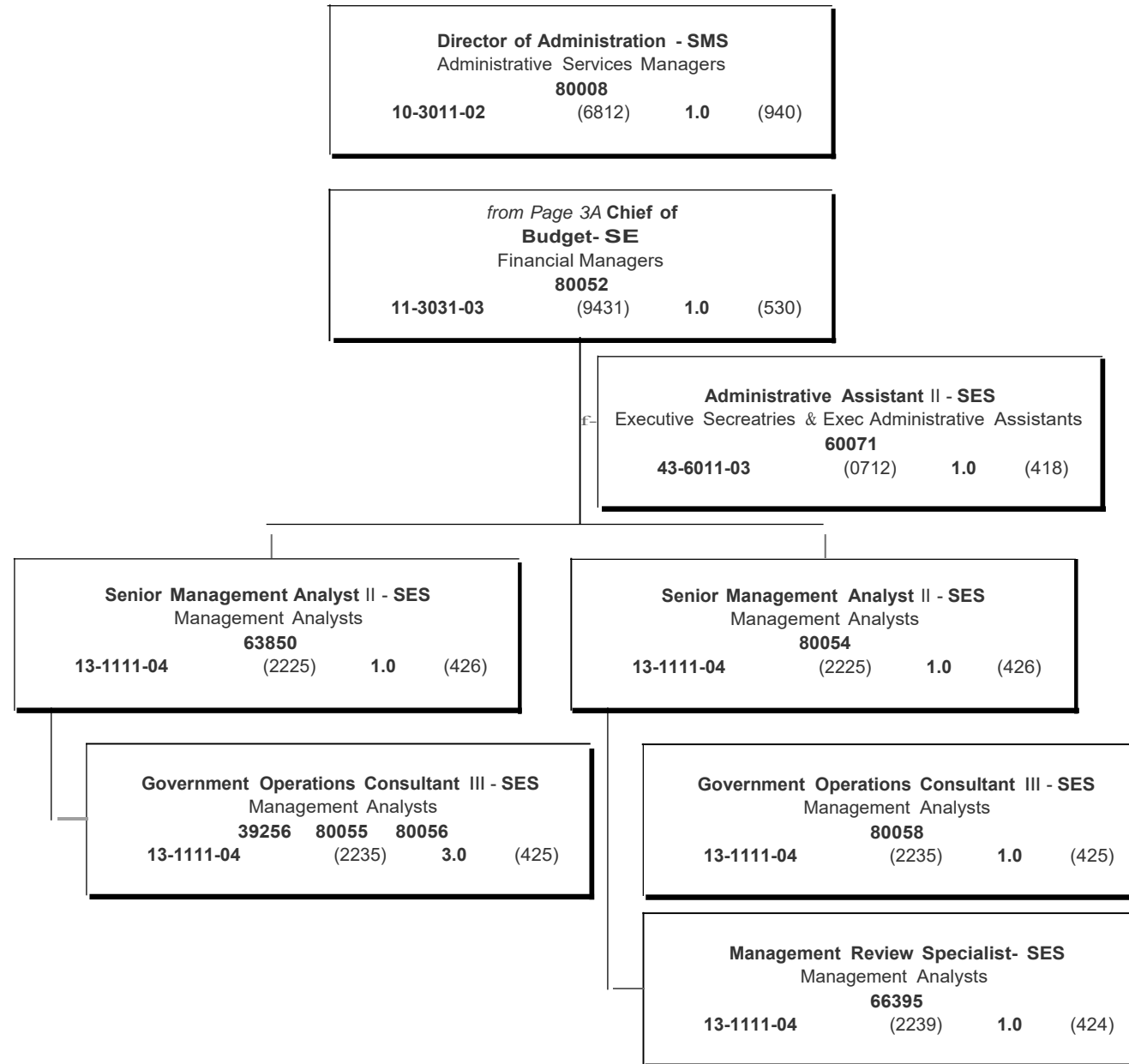


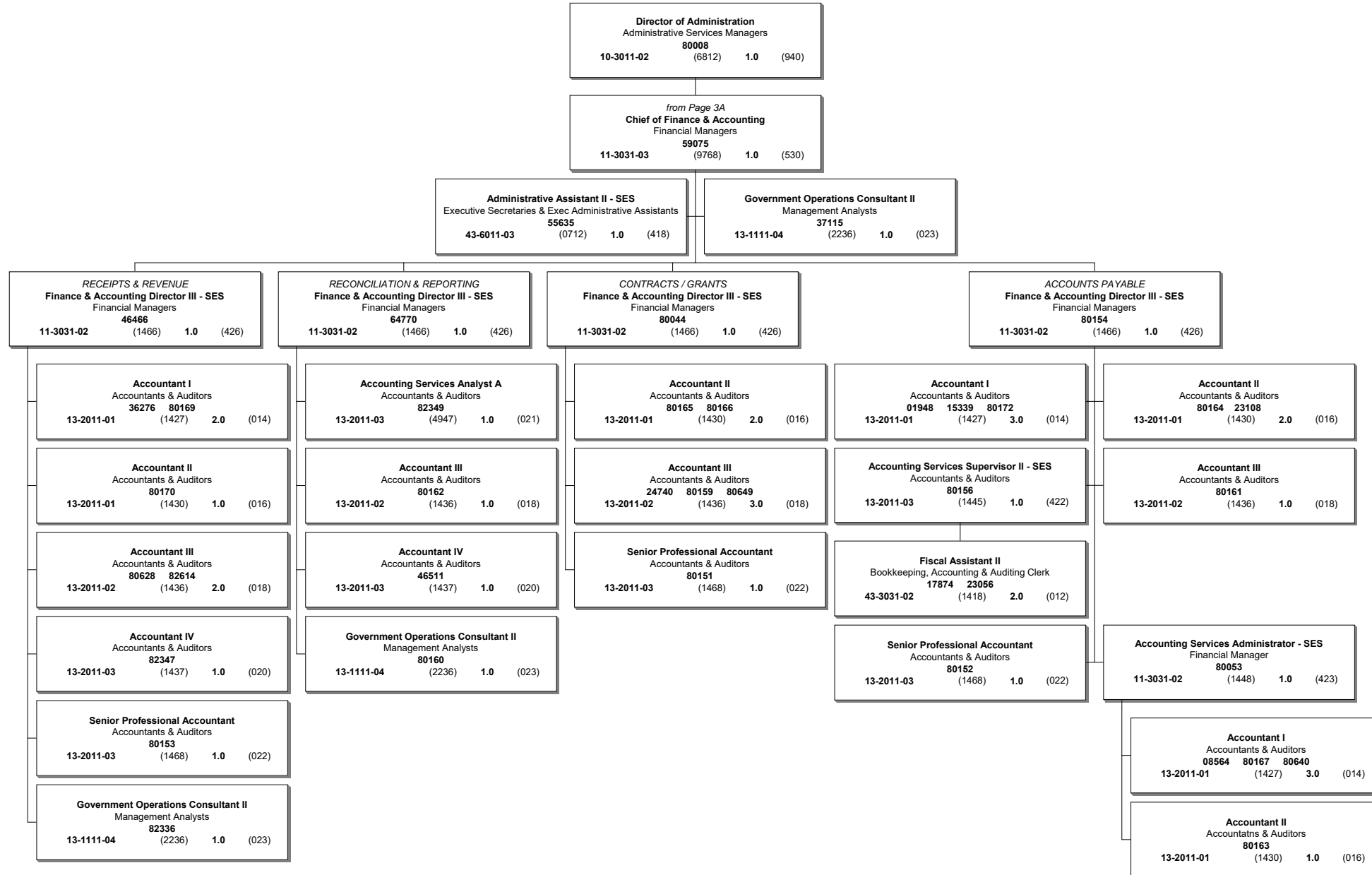
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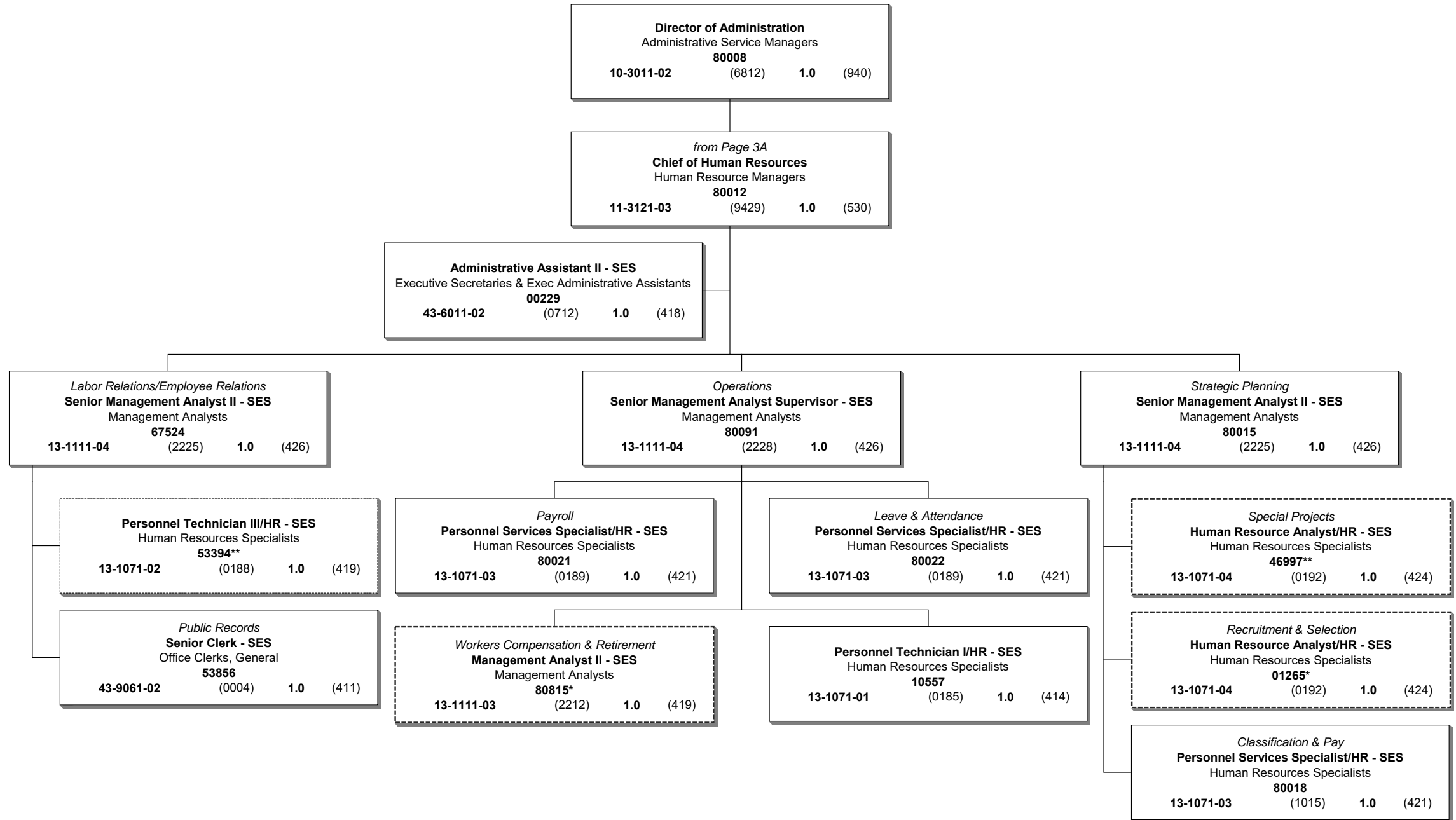




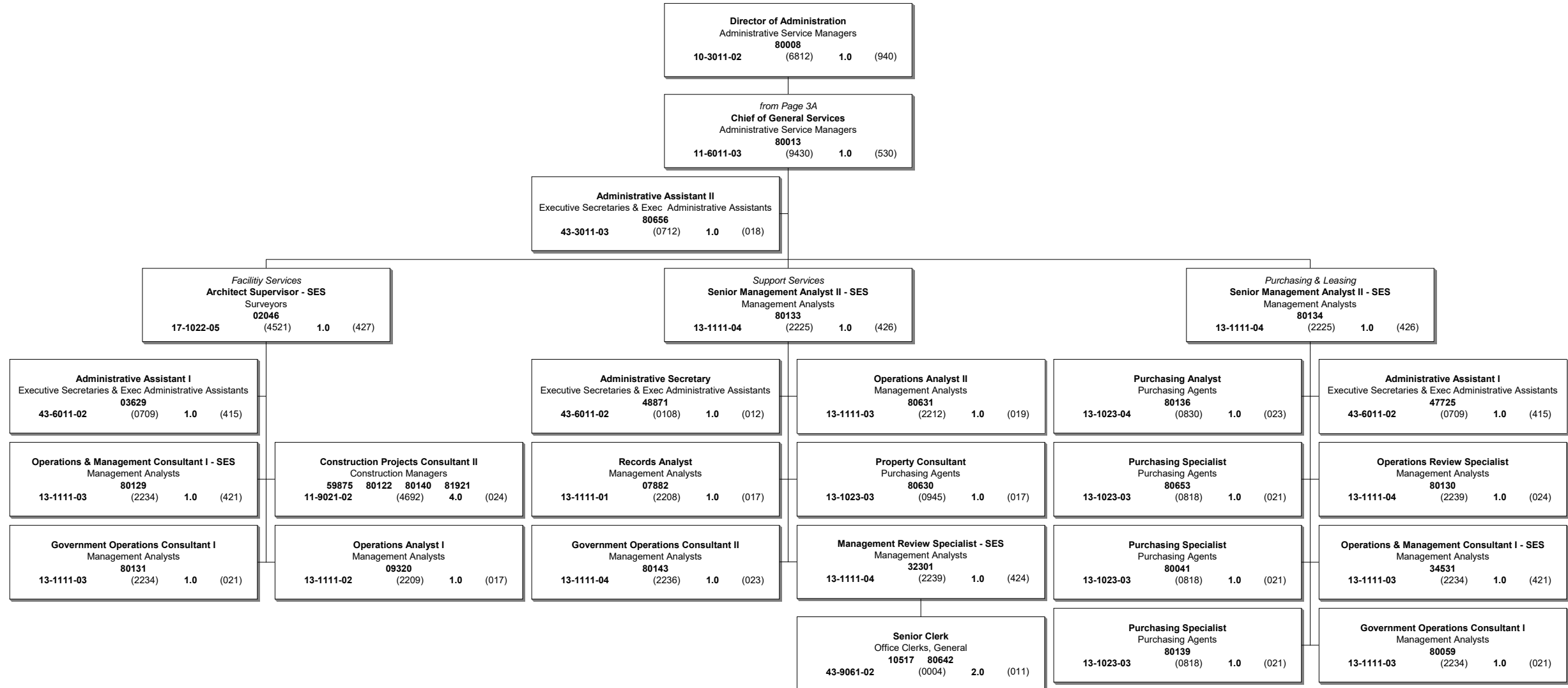


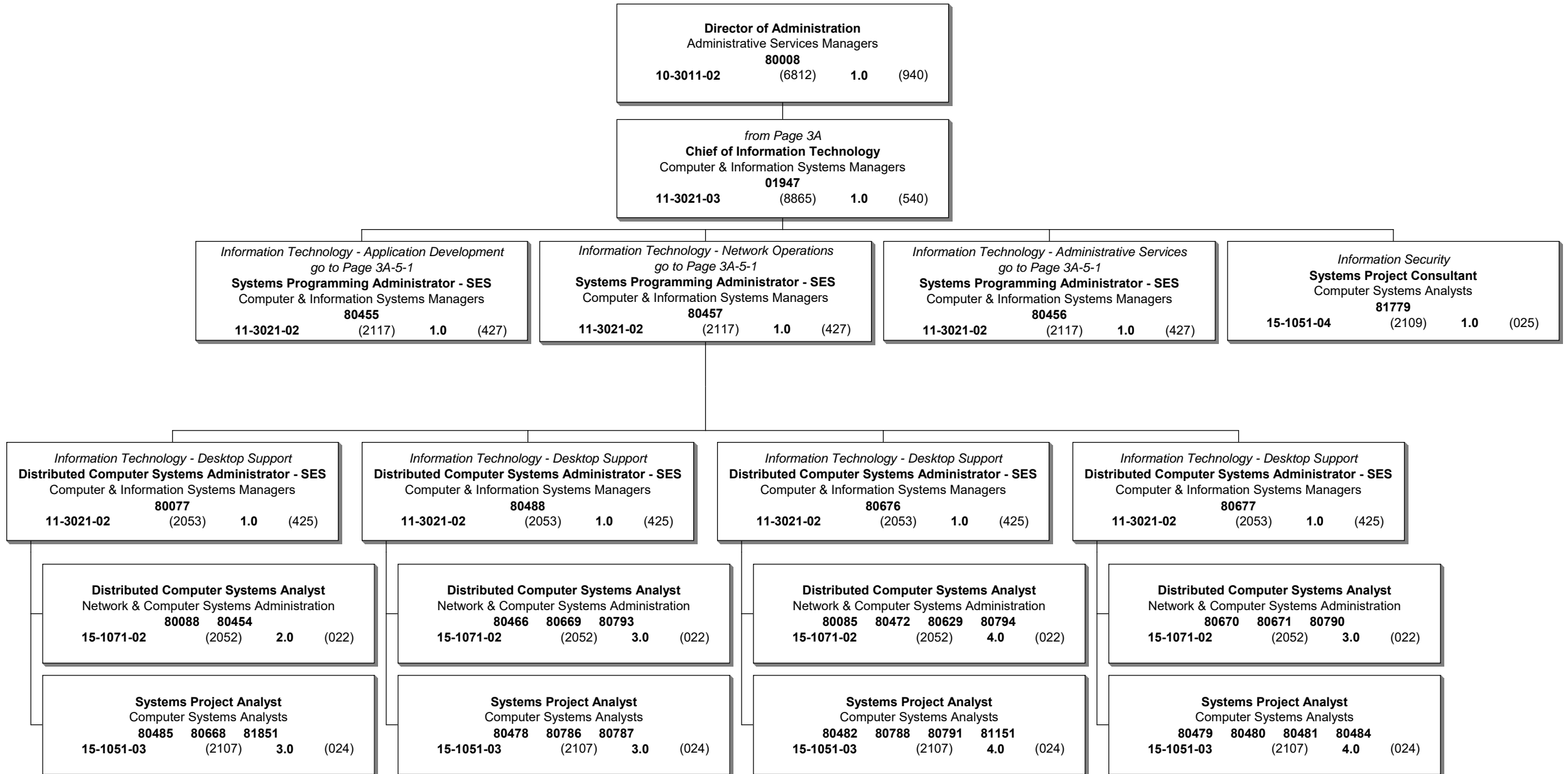


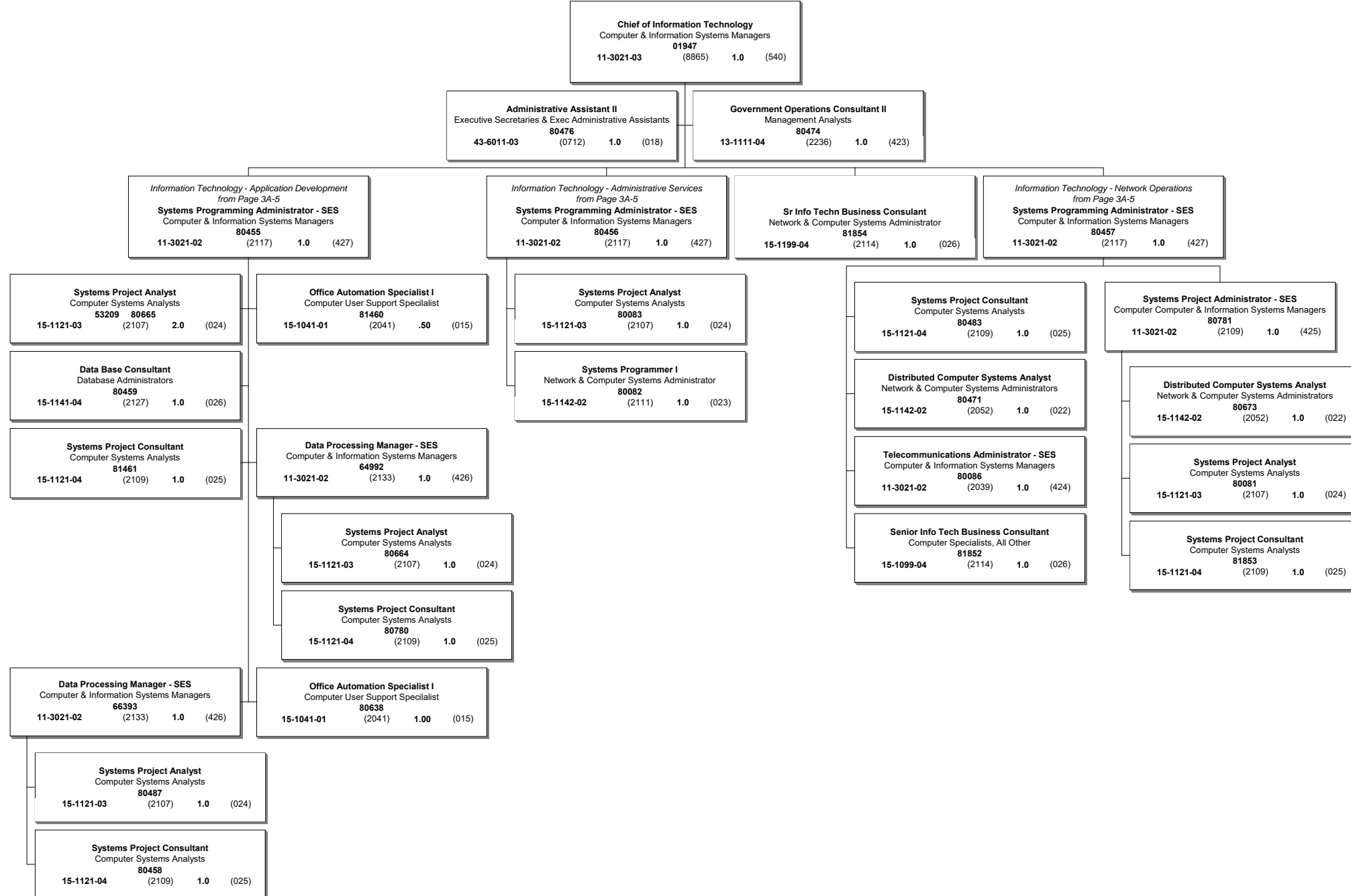


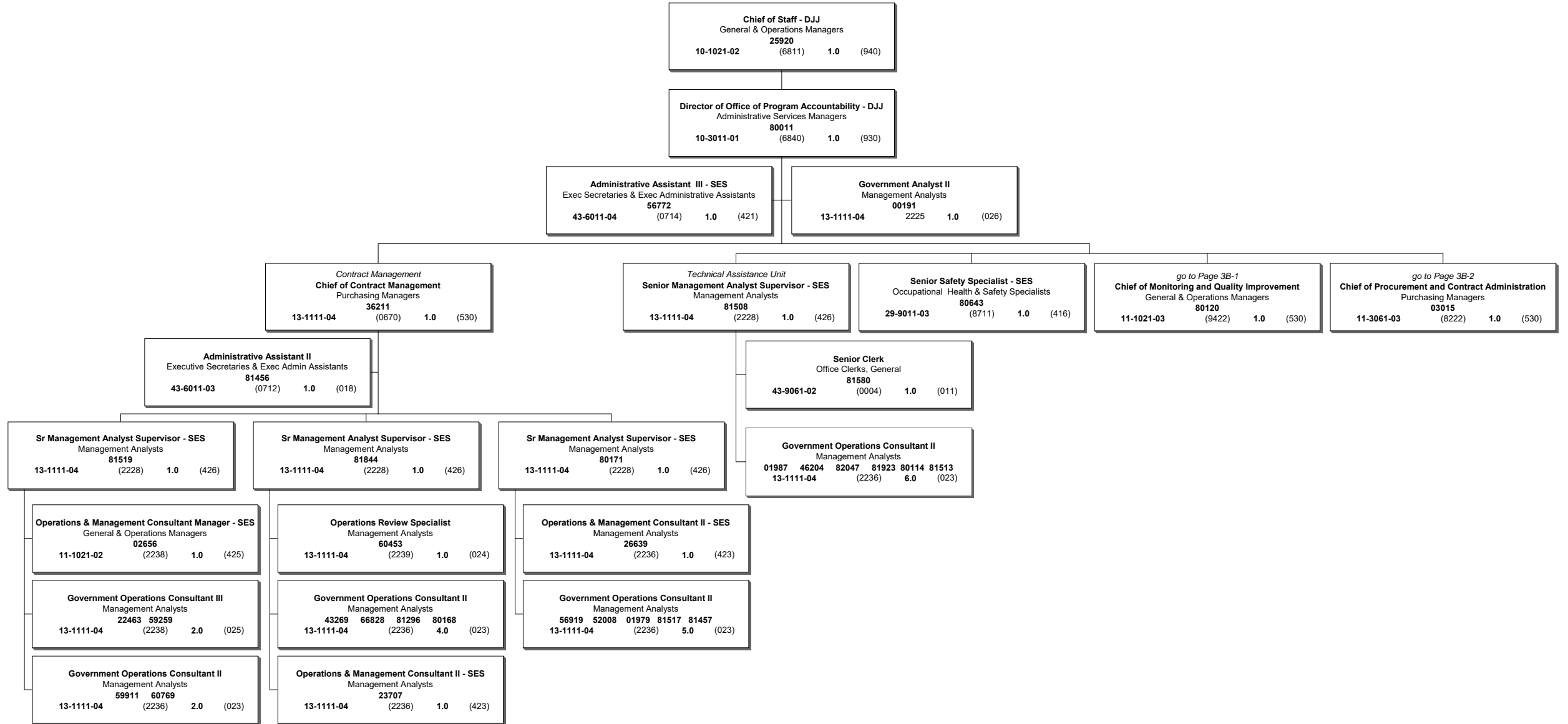


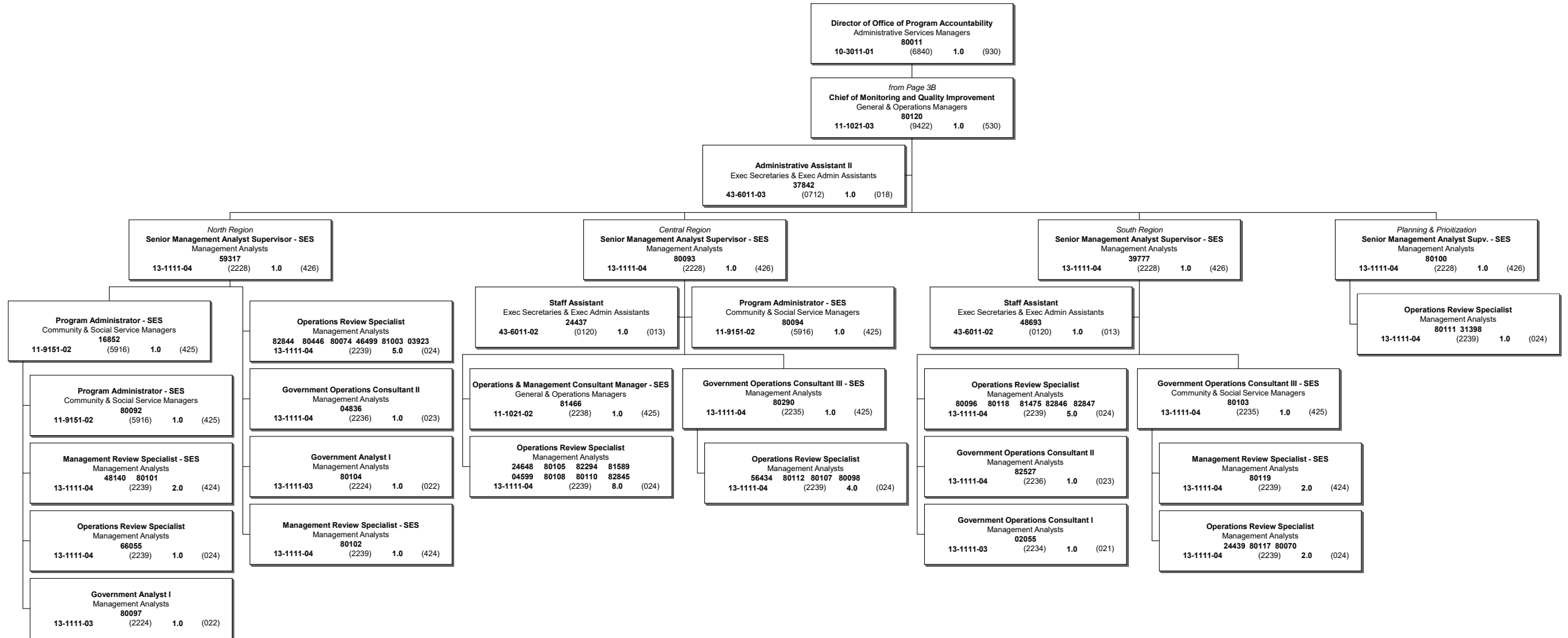
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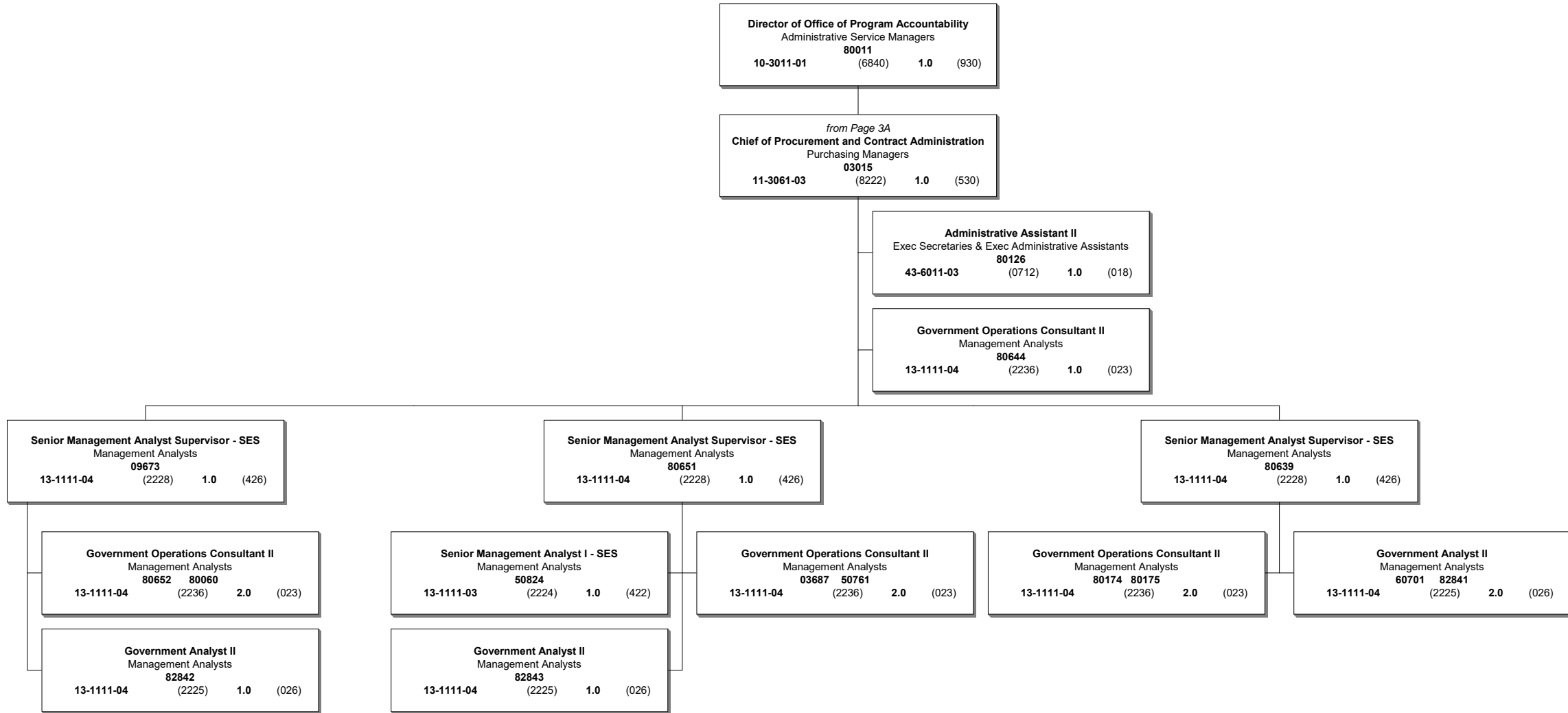


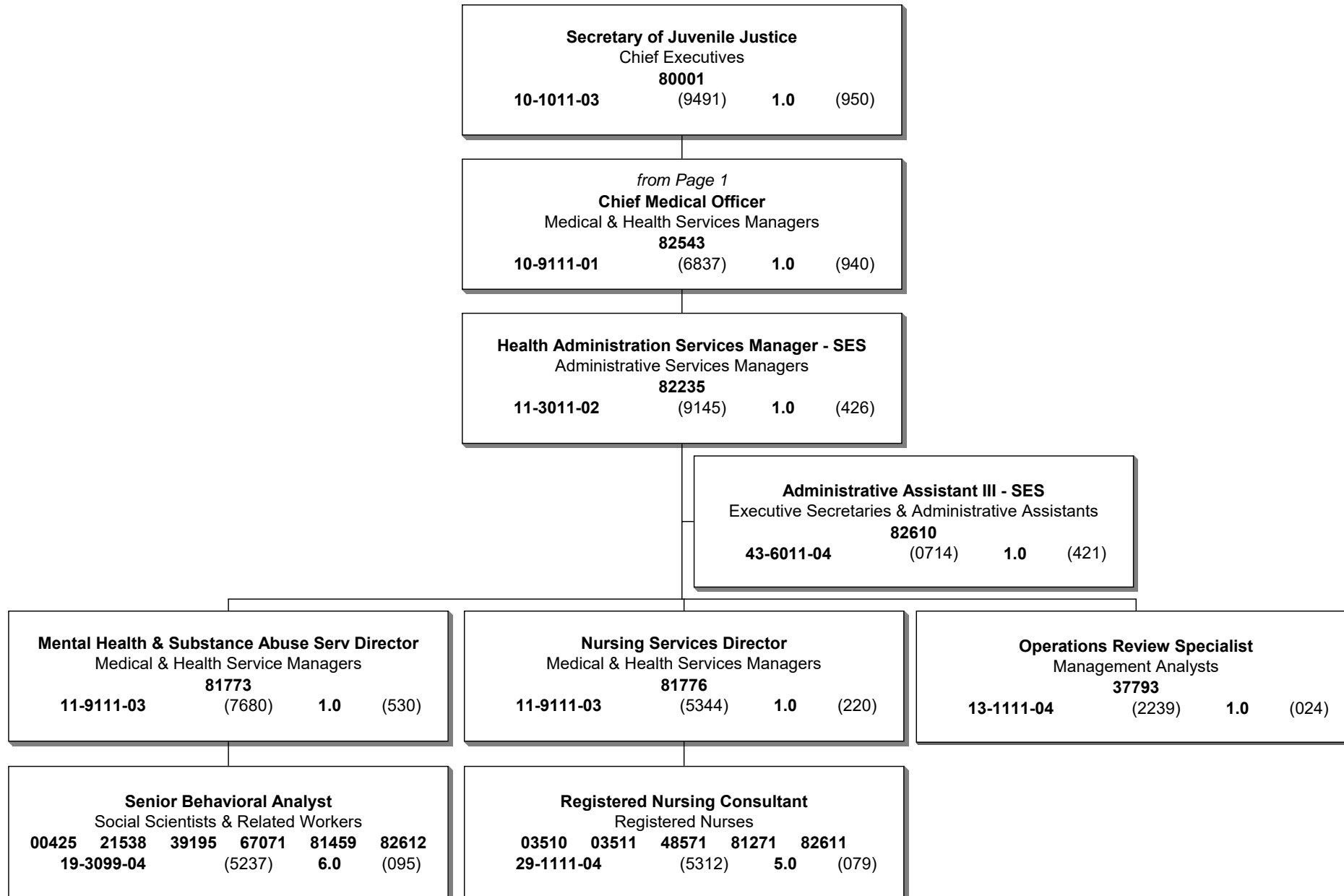


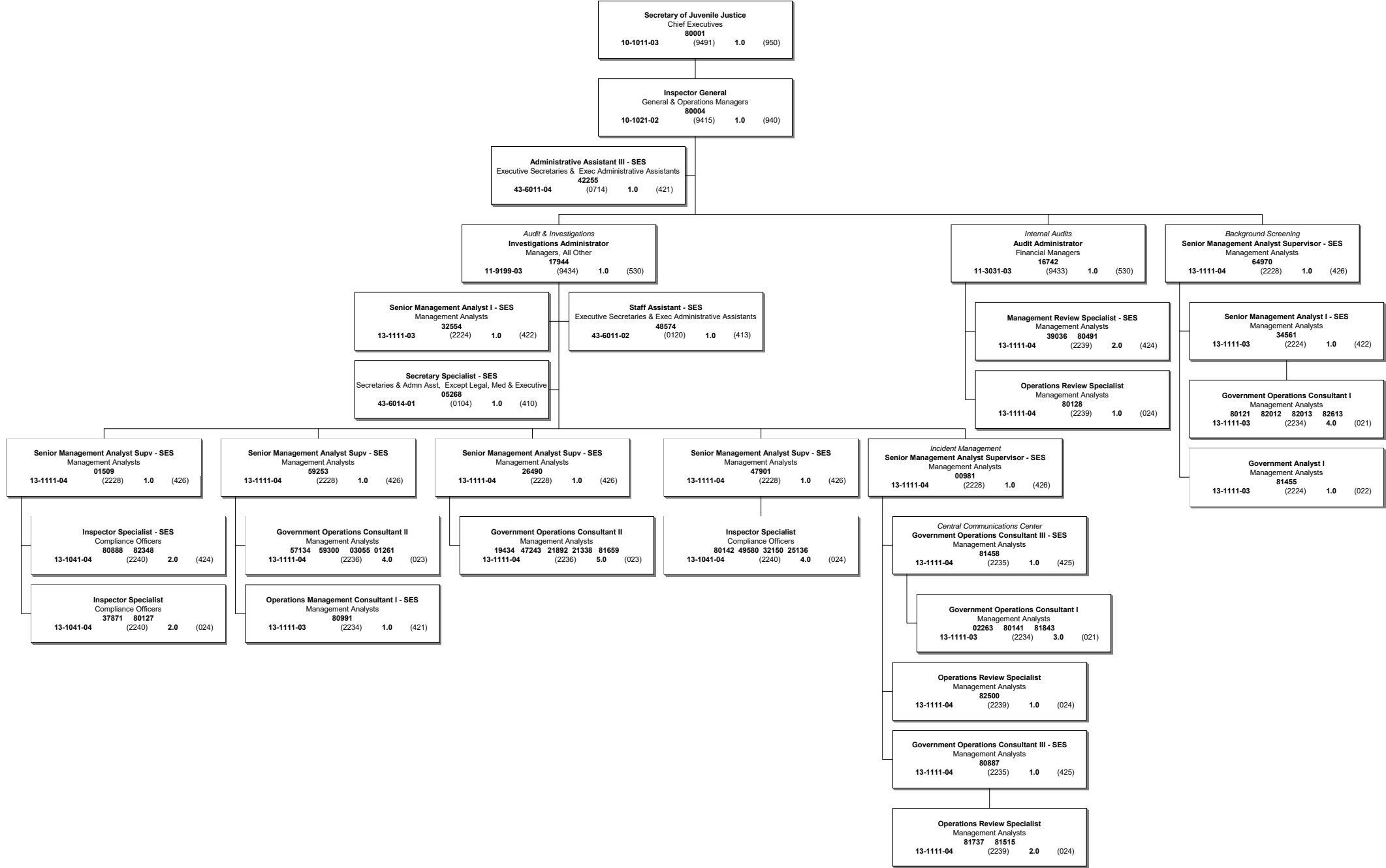


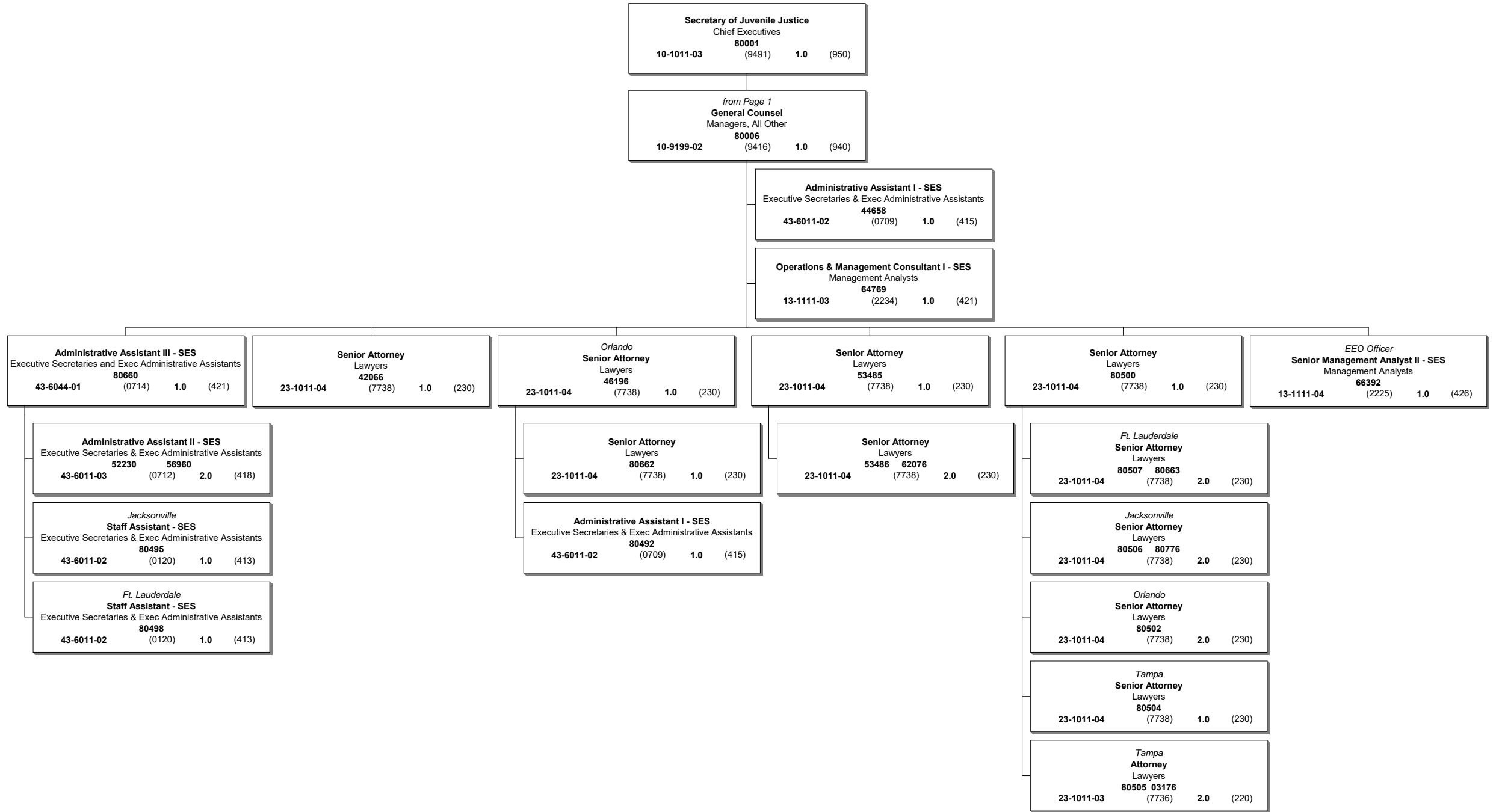












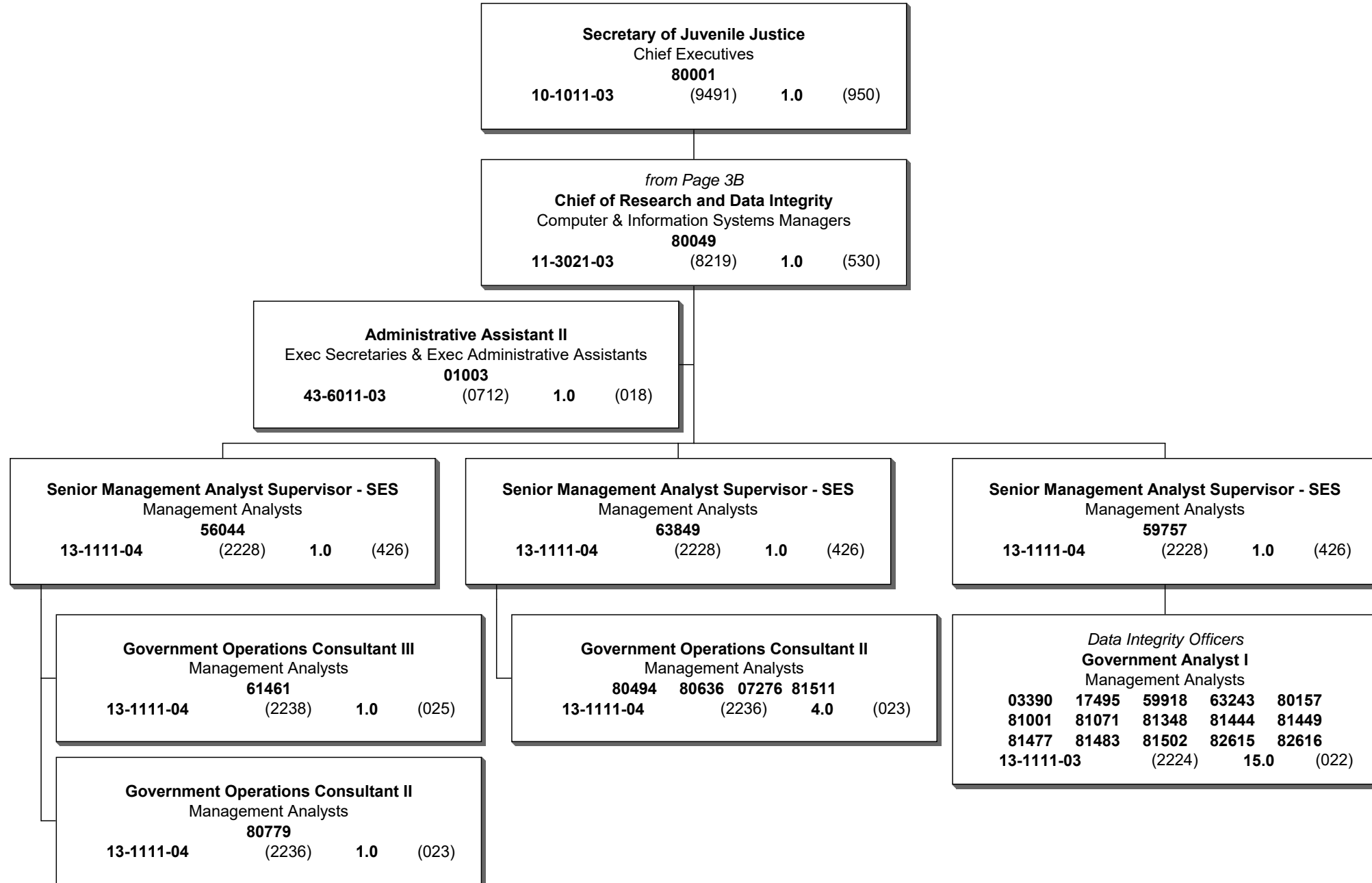


TABLE OF CONTENTS

Assistant Secretary for Detention Services

Page 80-40 *(also Page 2D under Headquarters)*

North Region – Director of Detention

Page 80-40-1

Okaloosa Detention Center

Page 40-1A

Escambia Detention Center

Page 40-1B, 40-1C

Leon Detention Center

Page 40-2

Duval Detention Center

Page 40-4, 40-4A

Marion Detention Center

Page 40-5

Volusia Detention Center

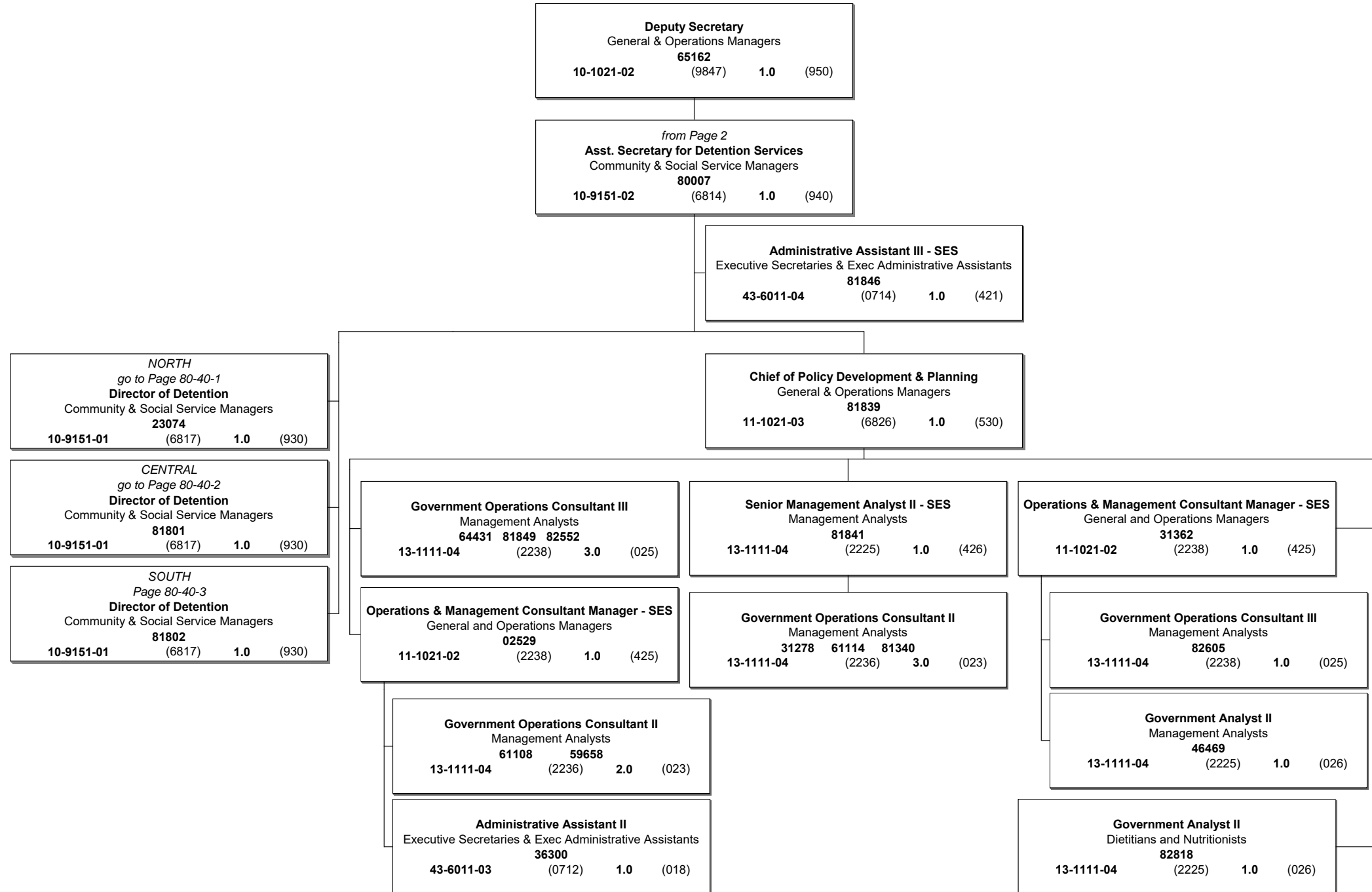
Page 40-7

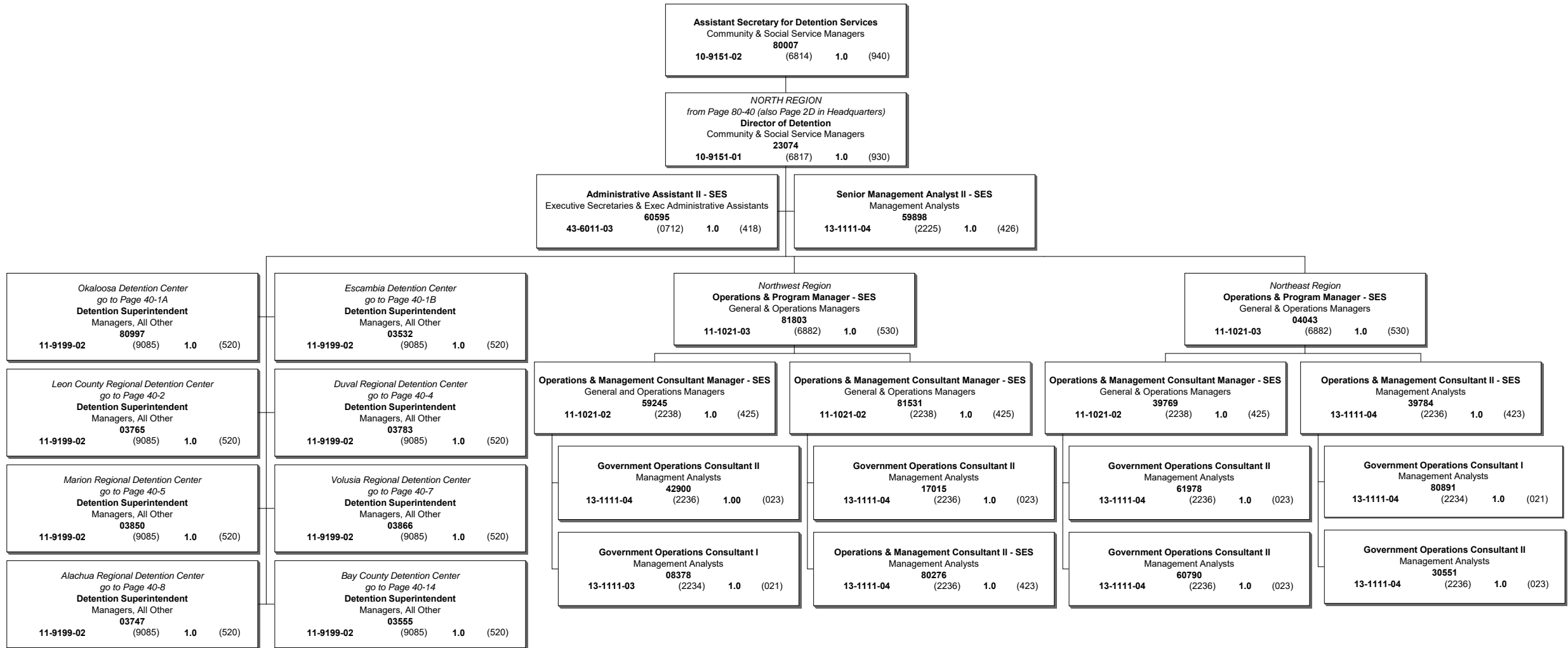
Alachua Detention Center

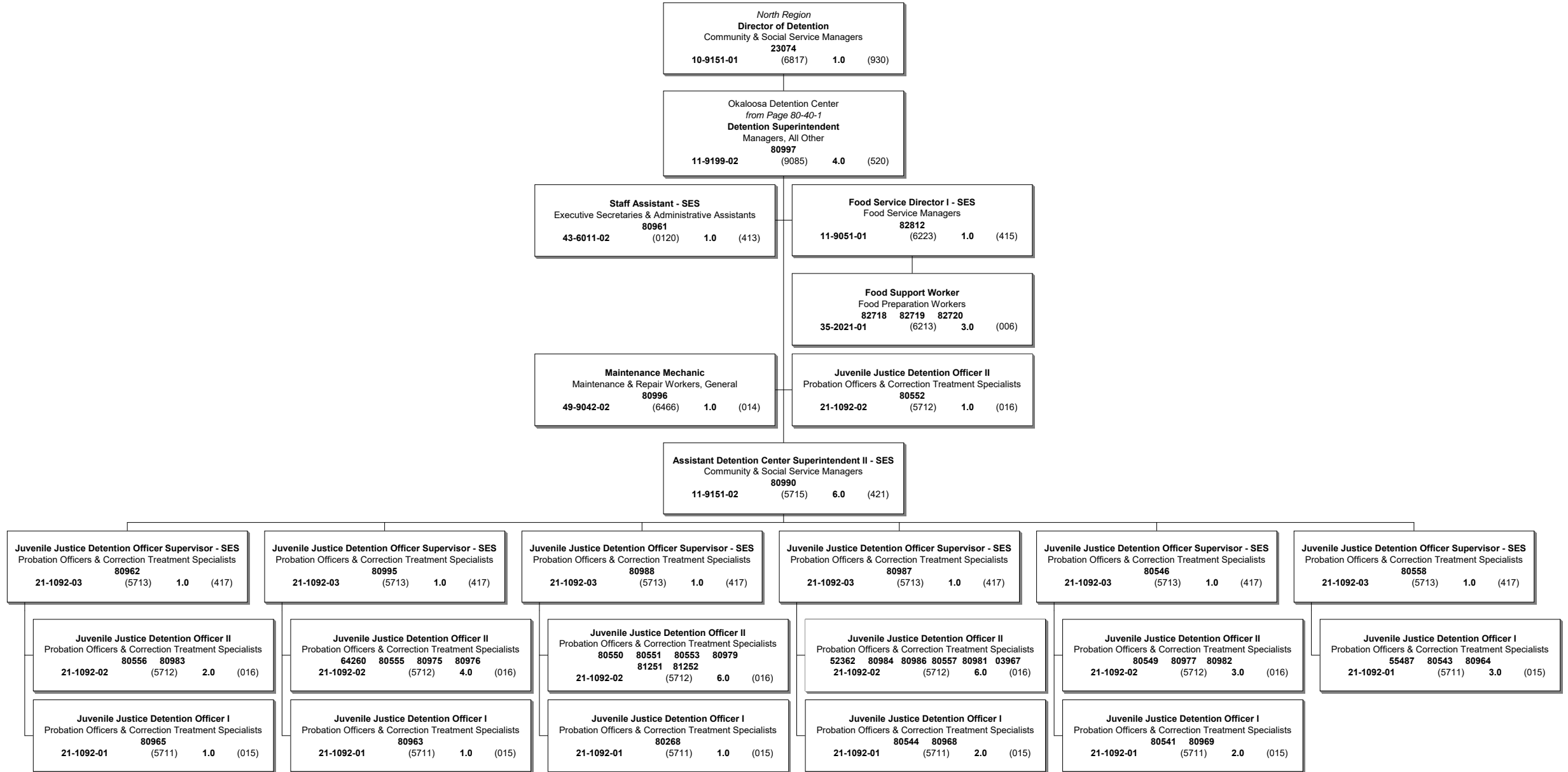
Page 40-8

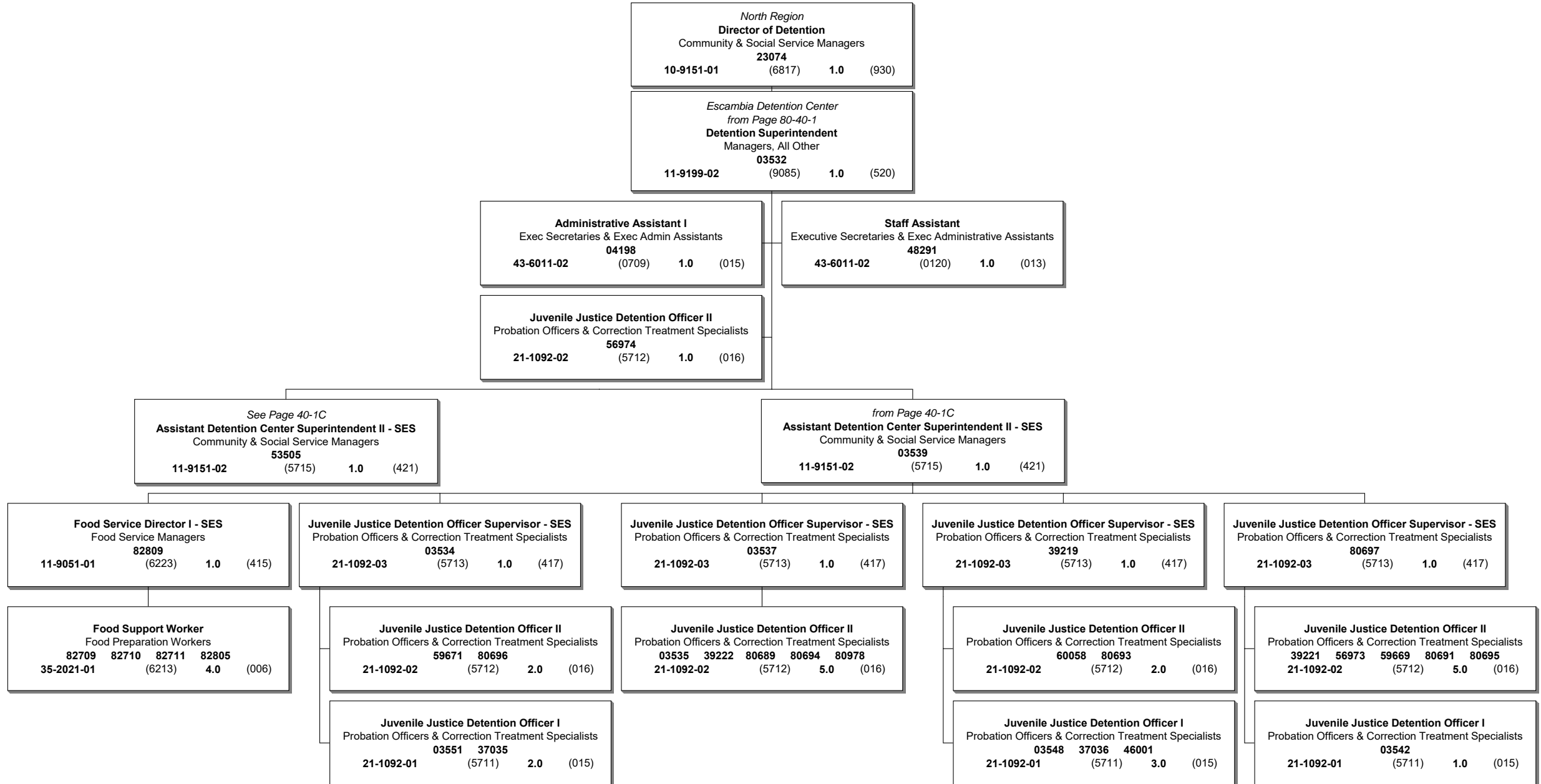
Bay Detention Center

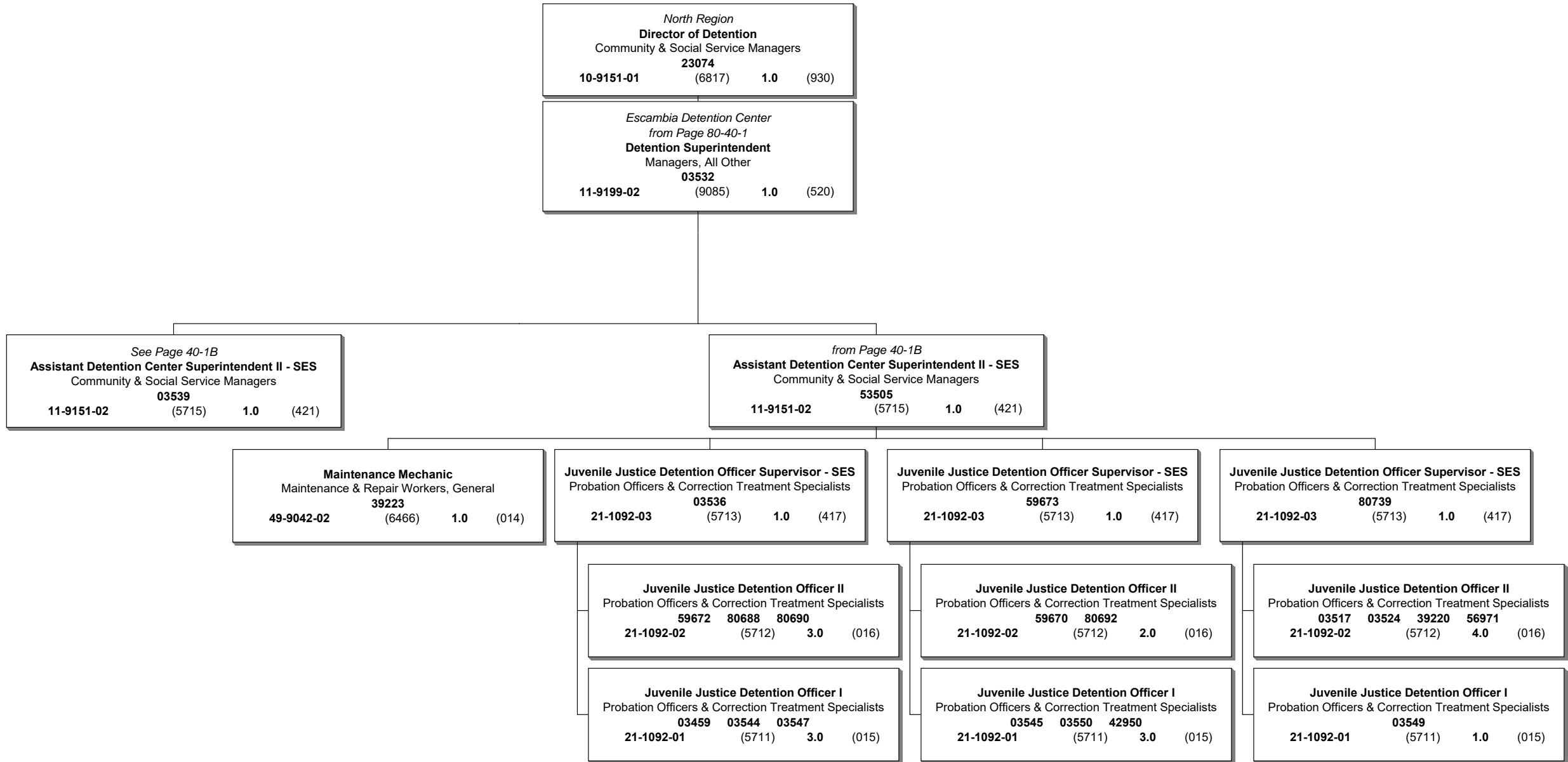
Page 40-14

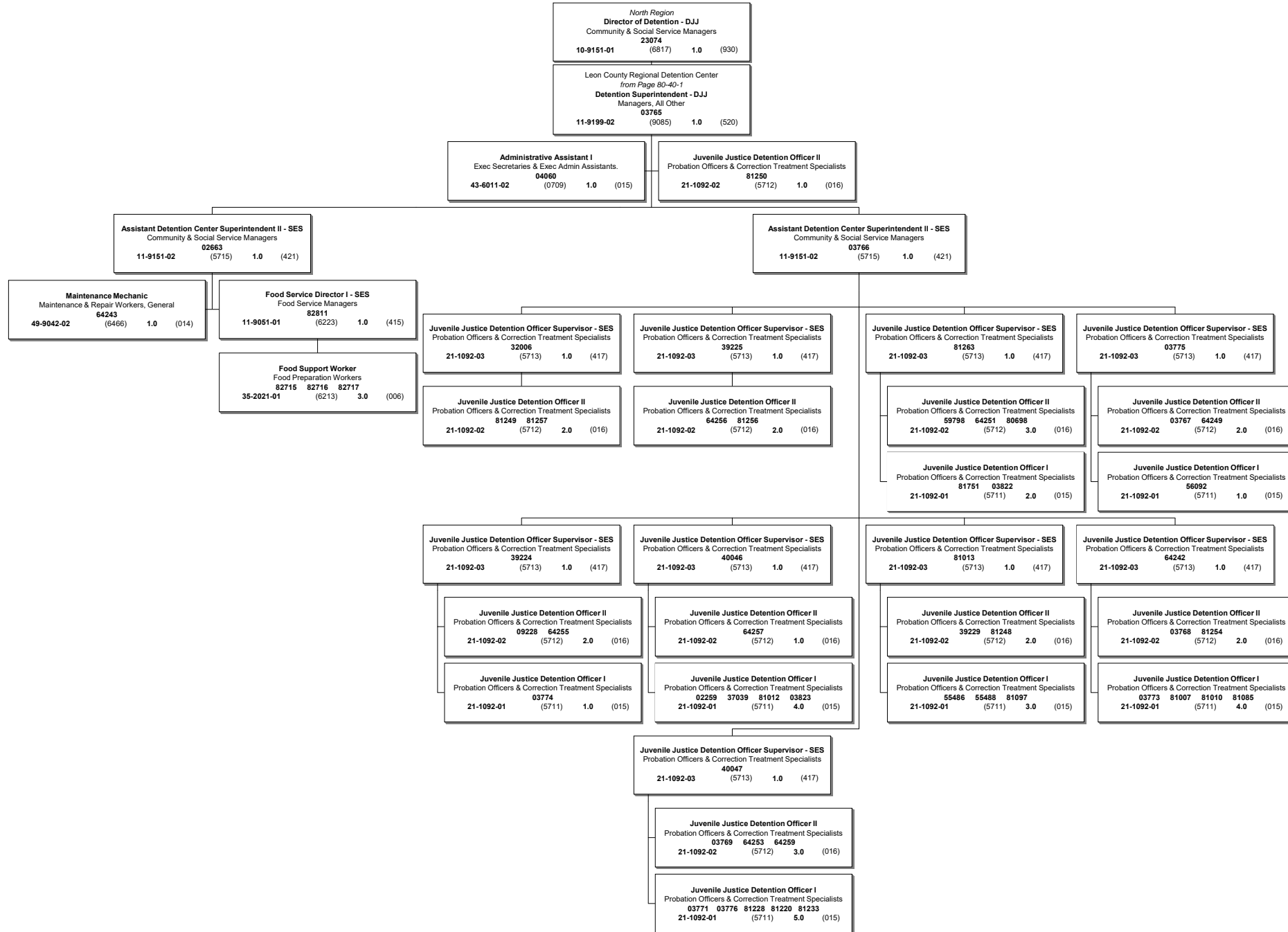


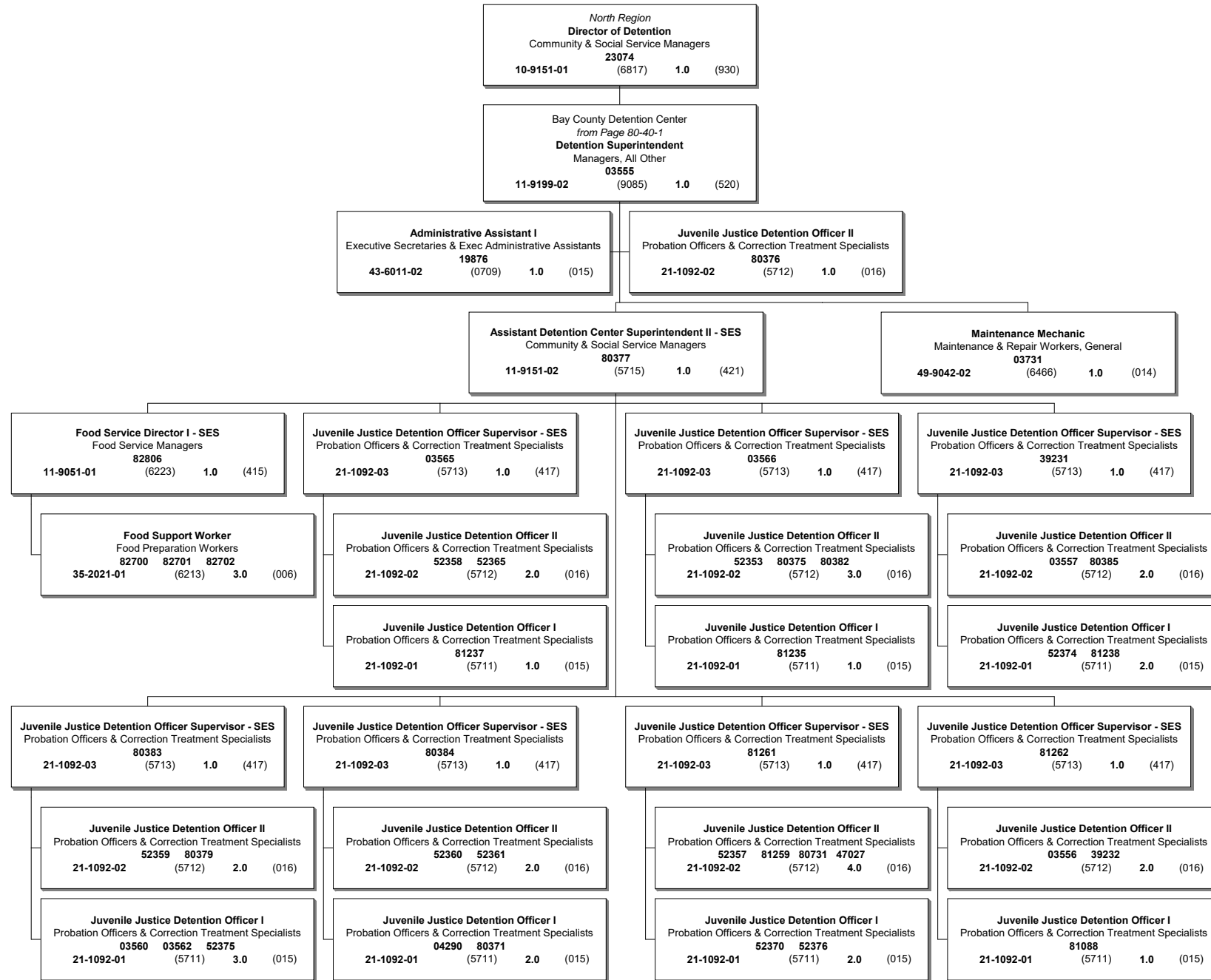




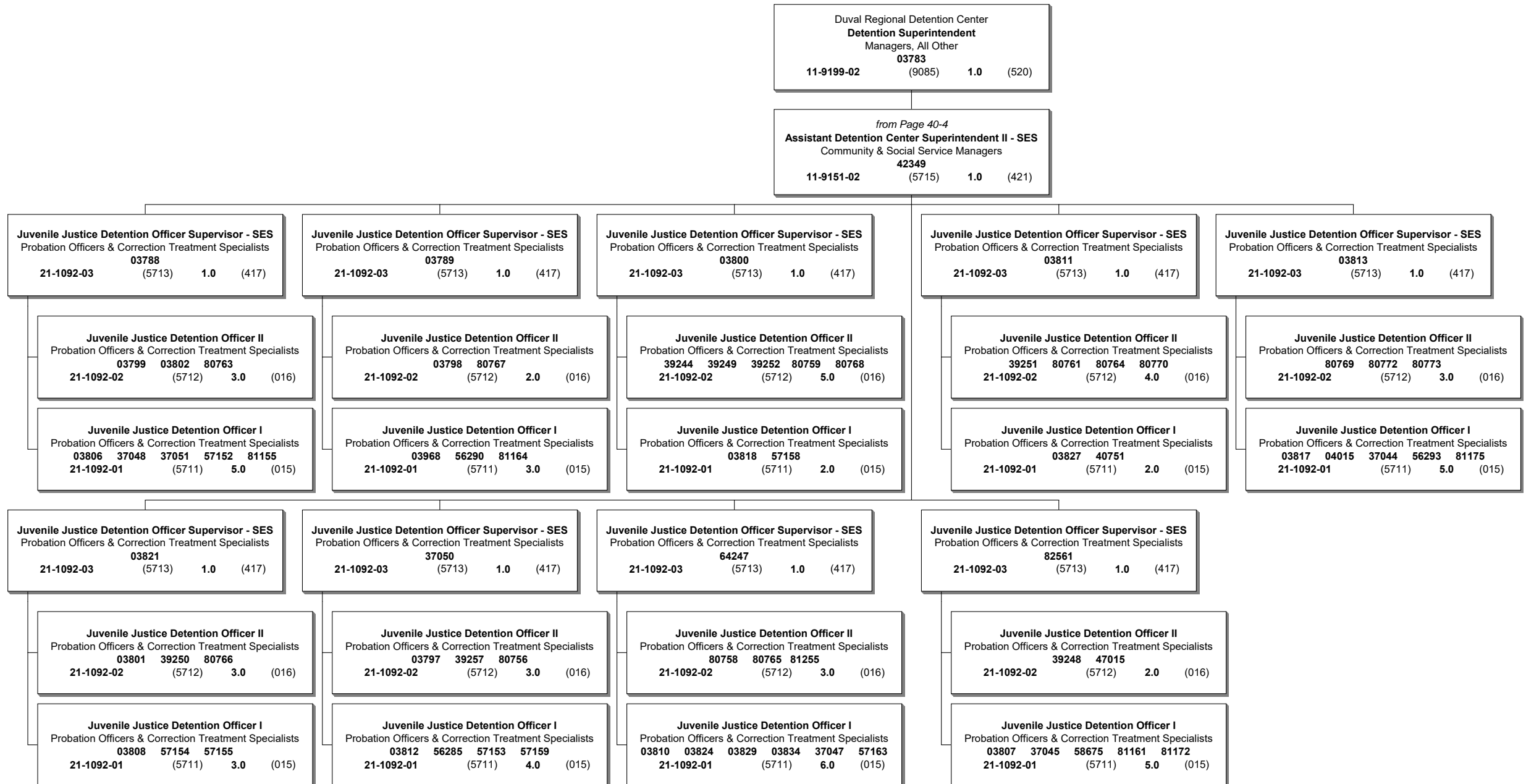


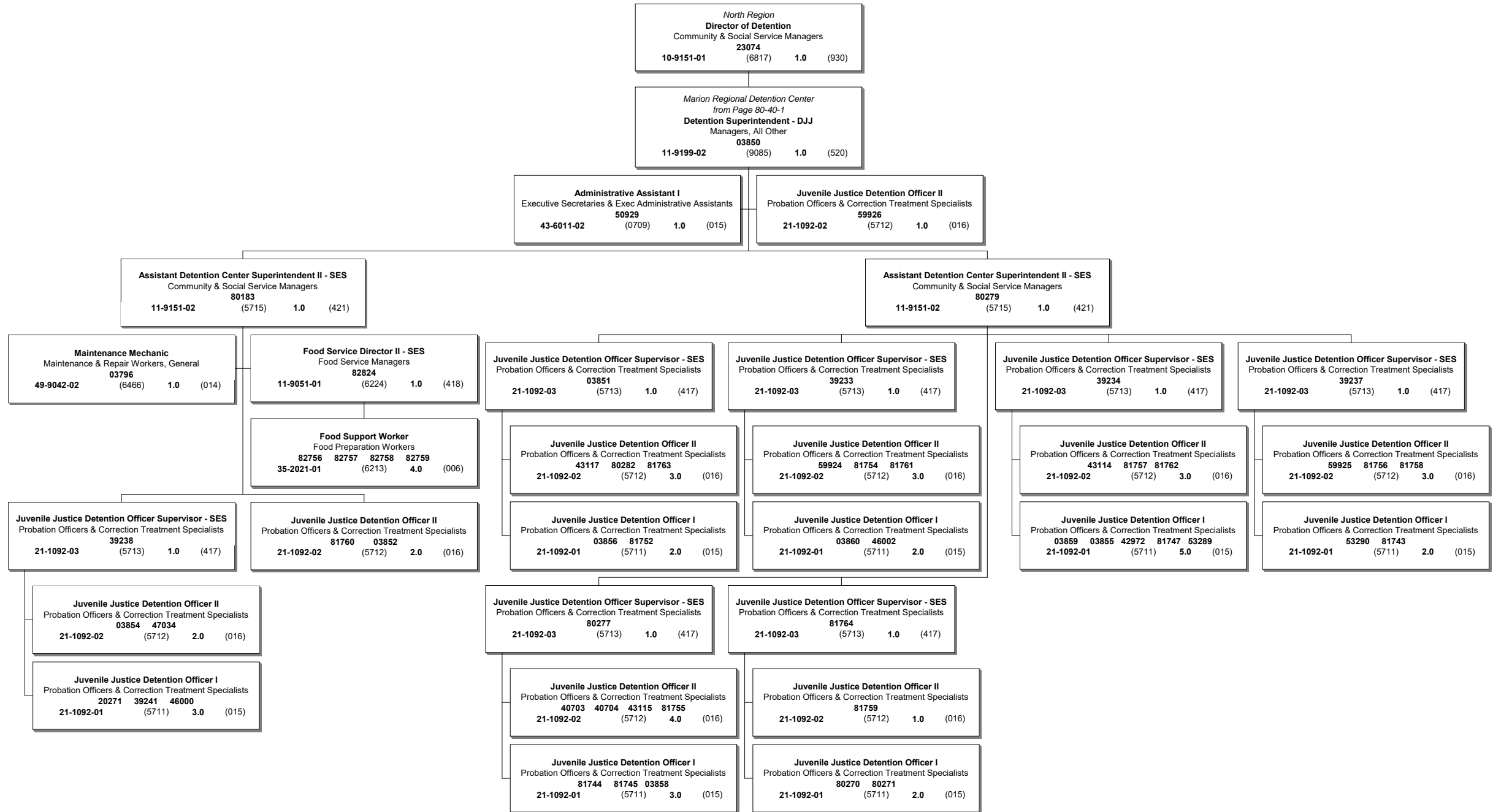


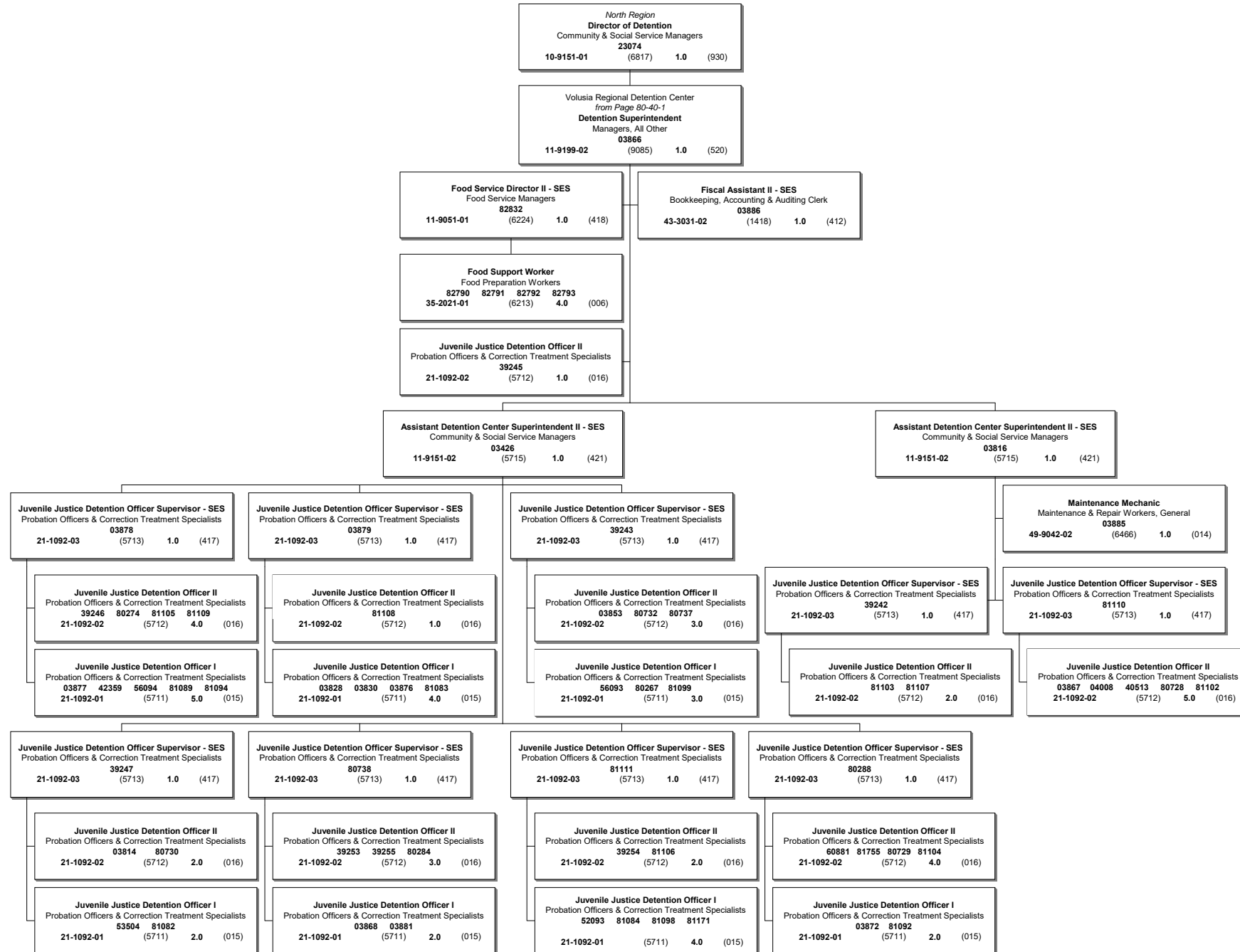












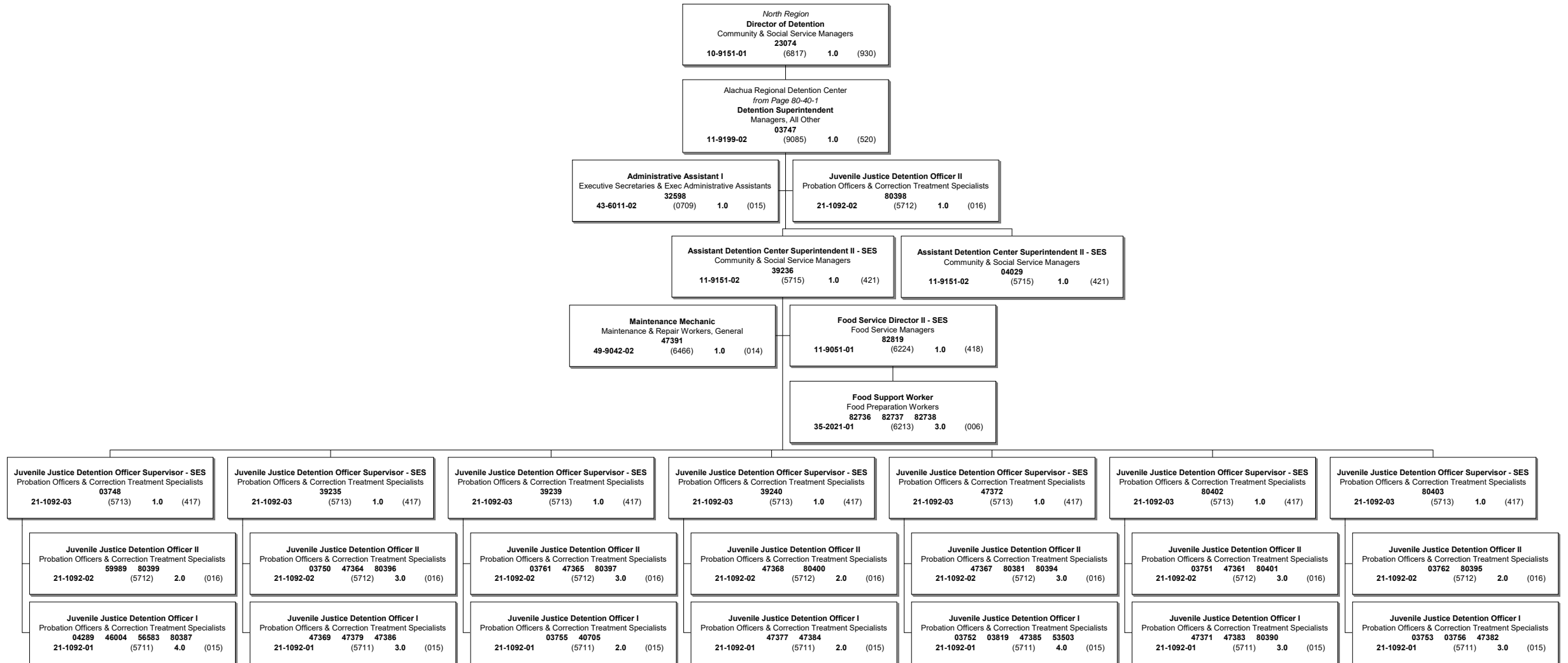
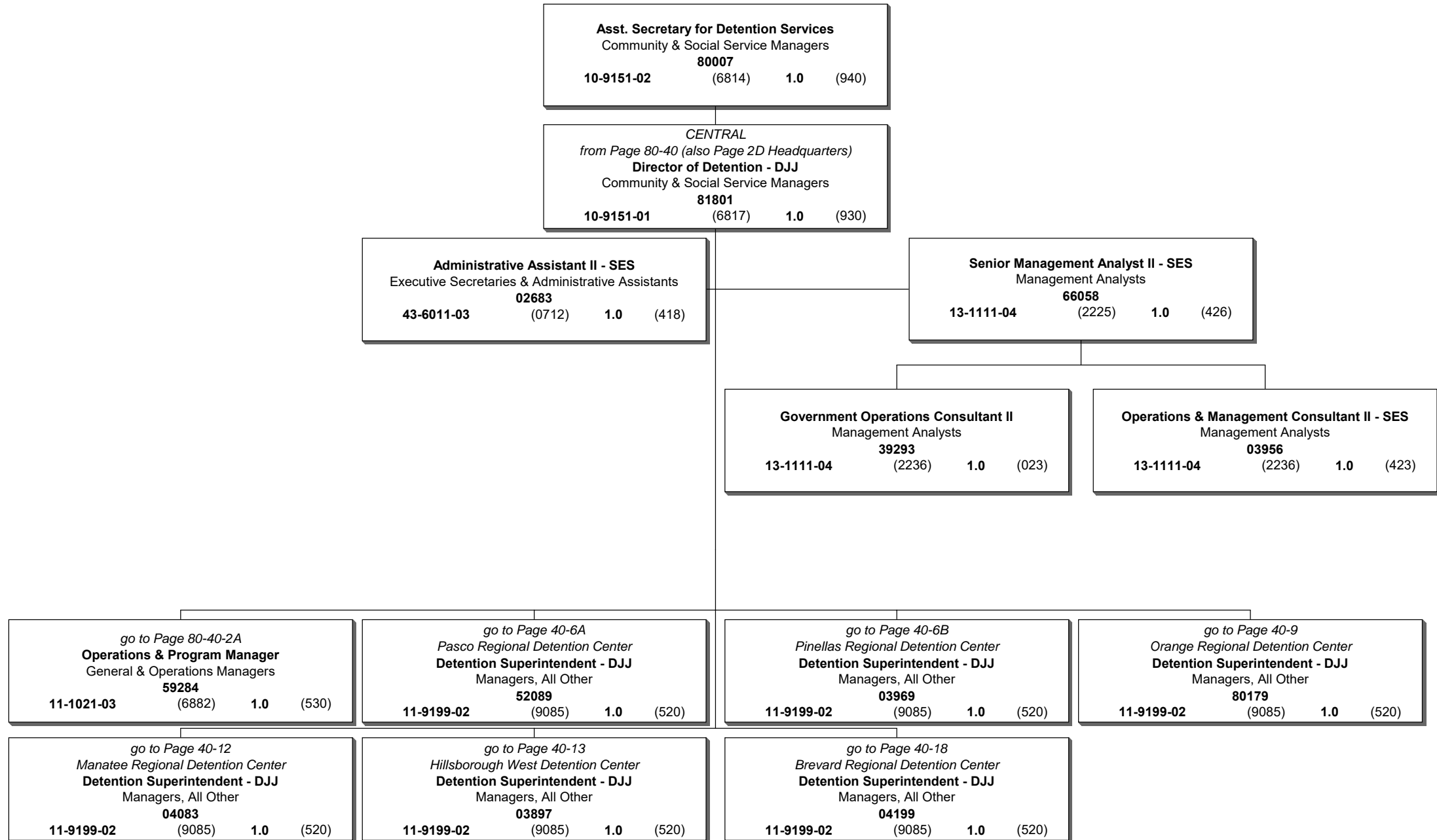
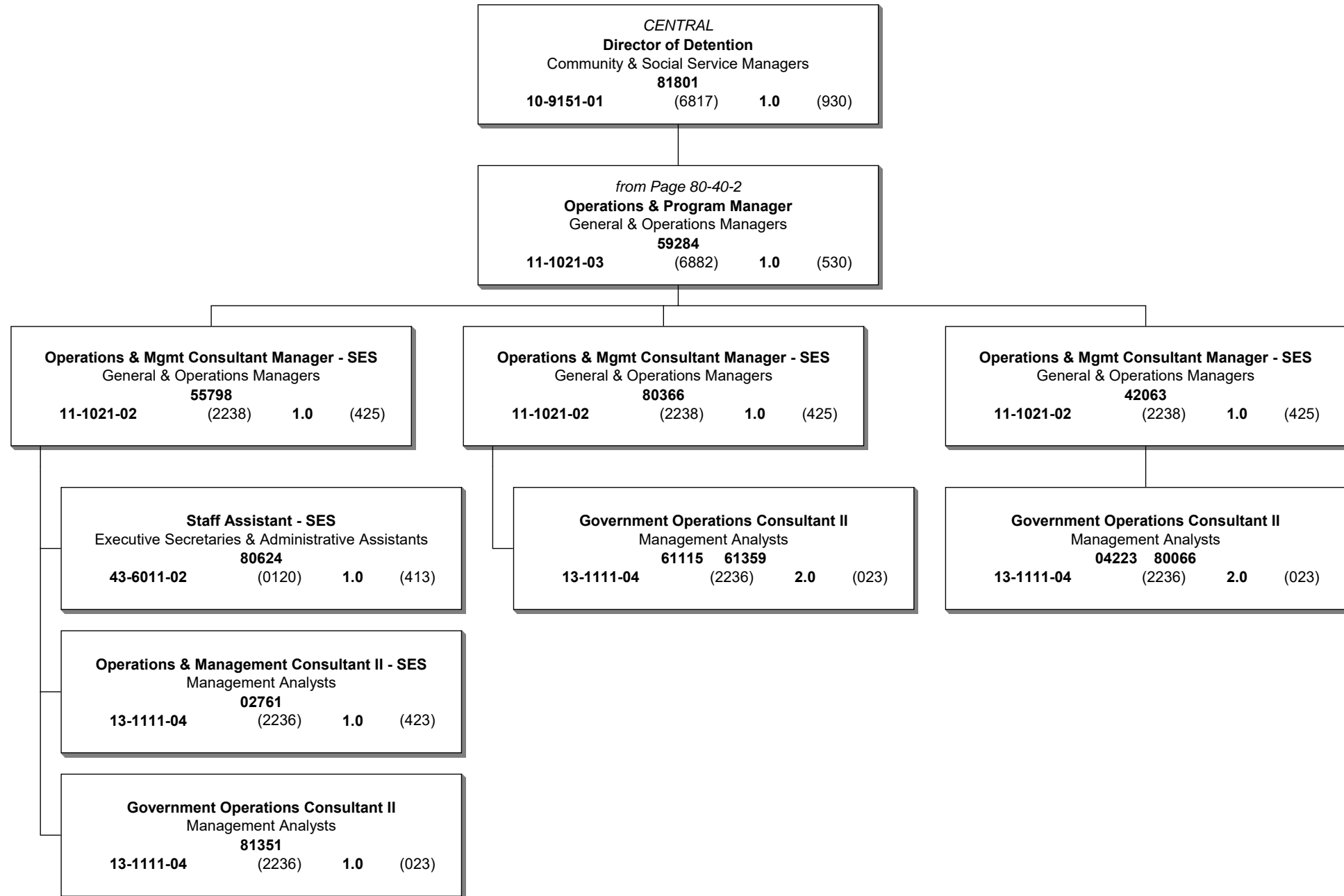
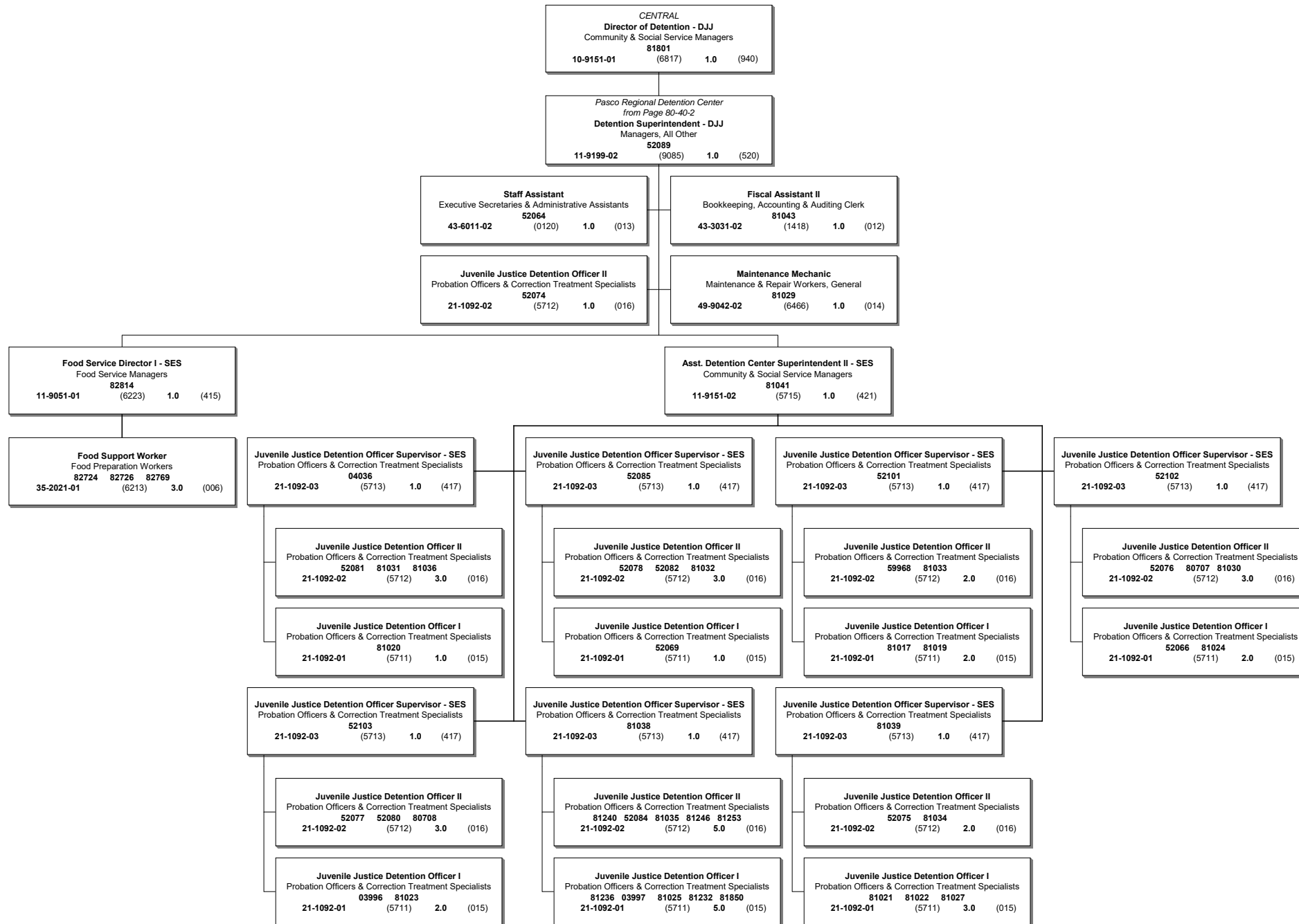


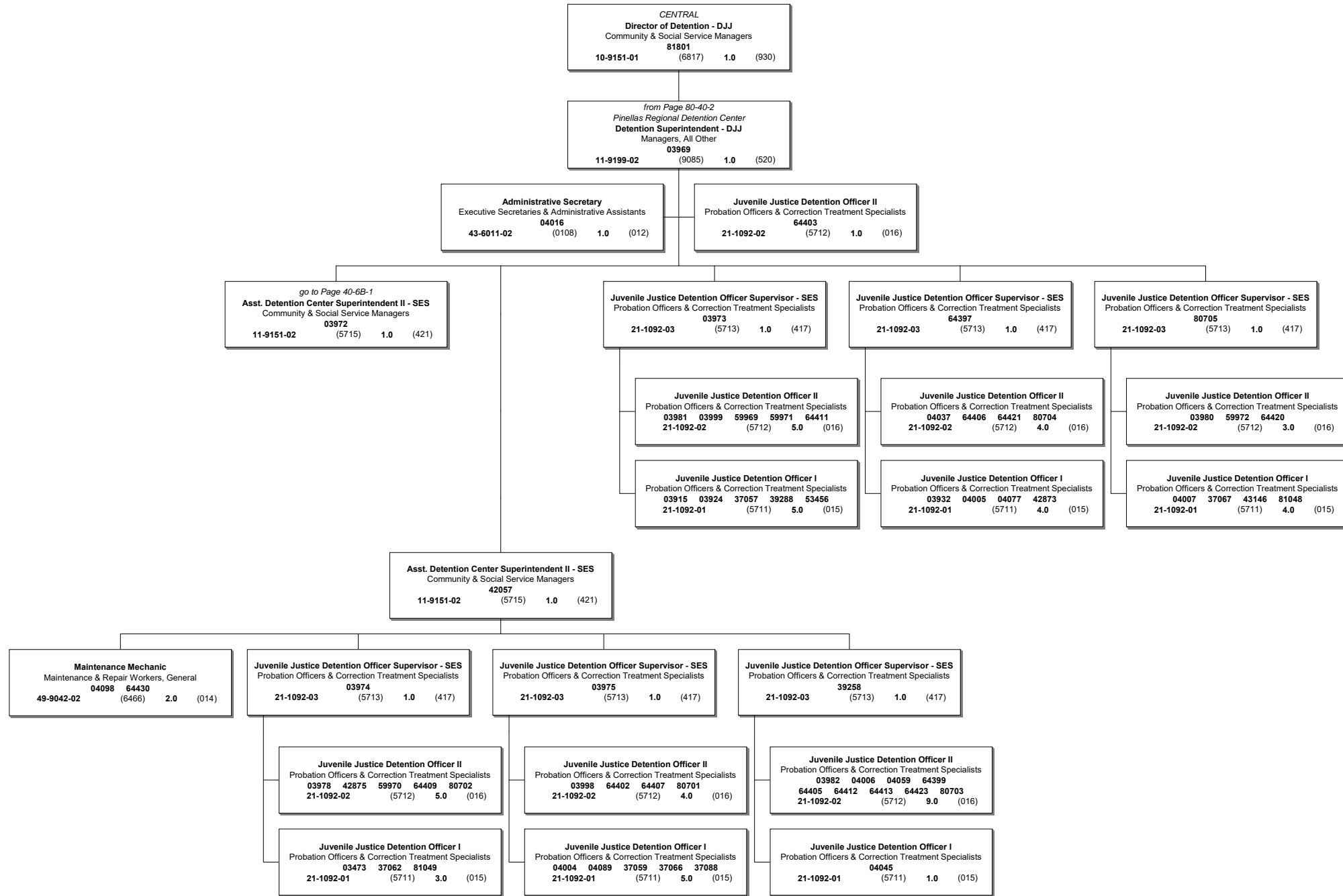
TABLE OF CONTENTS

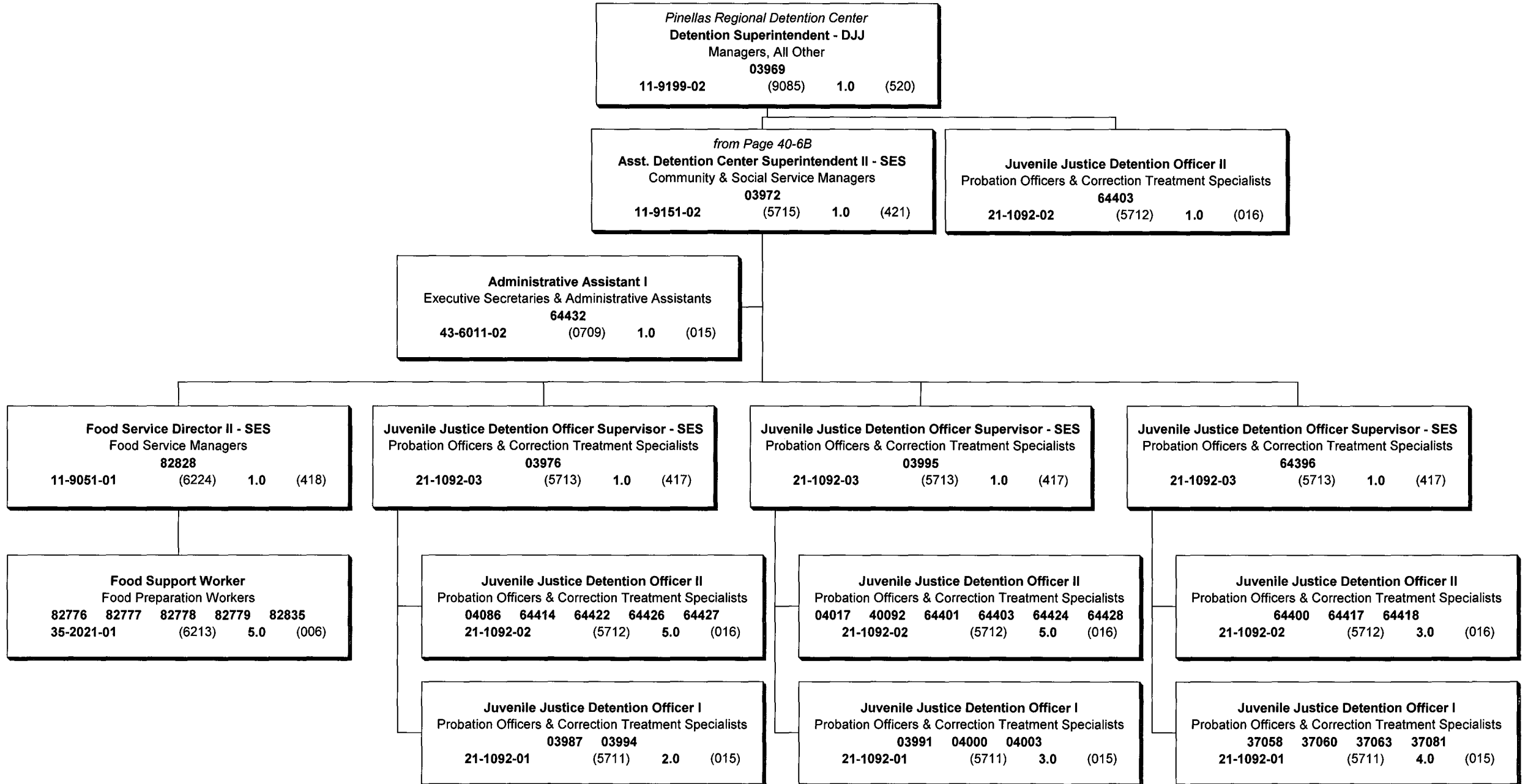
Central Region – Director of Detention	Page 80-40-2
Operations & Program Manager	Page 80-40-2A
Pasco Regional Detention Center	Page 40-6A
Pinellas Regional Detention Center	Page 40-6B, 40-6B-1
Orange Regional Detention Center	Page 40-9, 40-9A
Manatee Regional Detention Center	Page 40-12
West Hillsborough Regional Detention Center	Page 40-13, 40-13A
Brevard Regional Detention Center	Page 40-18, 40-18A

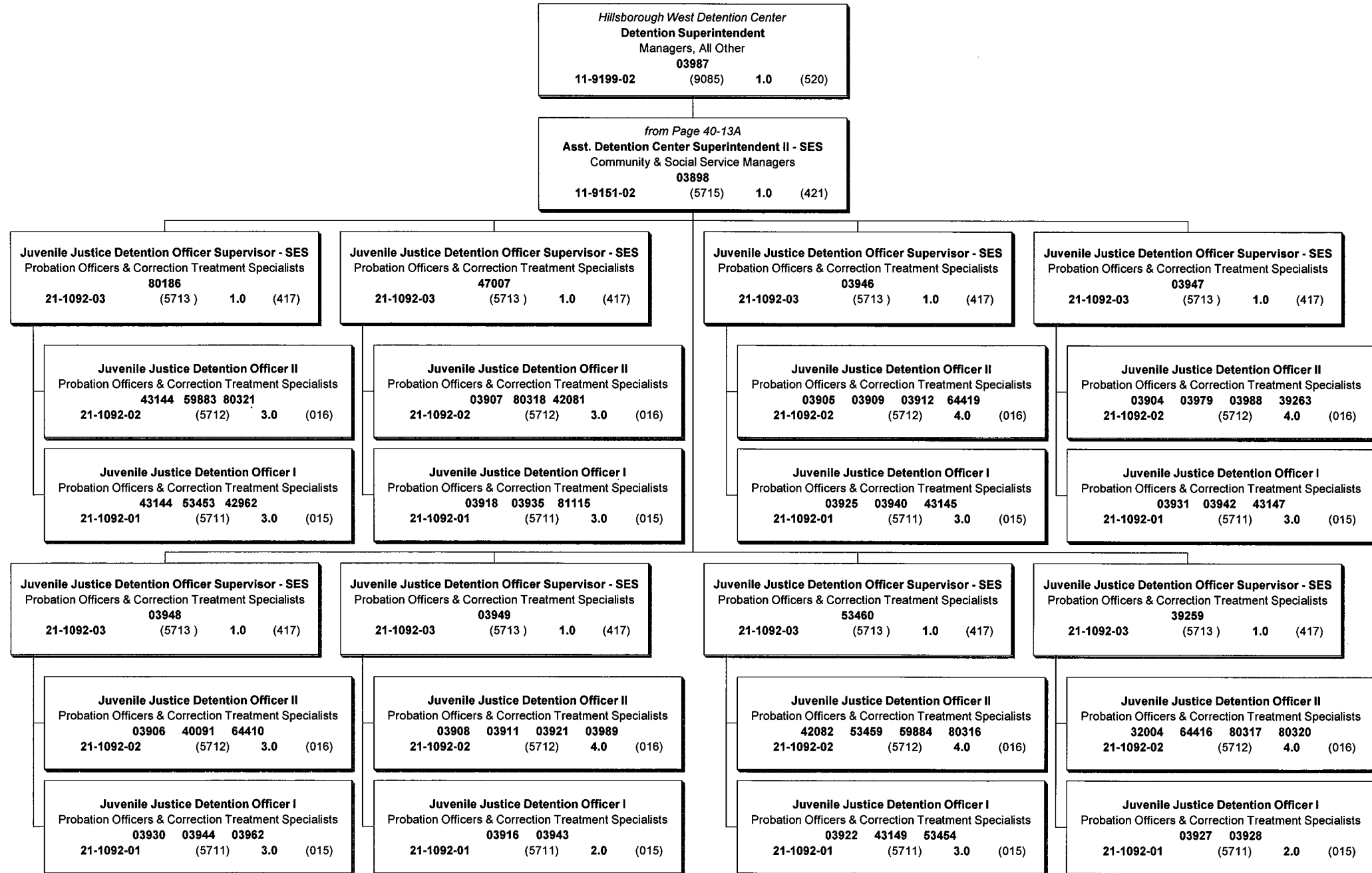


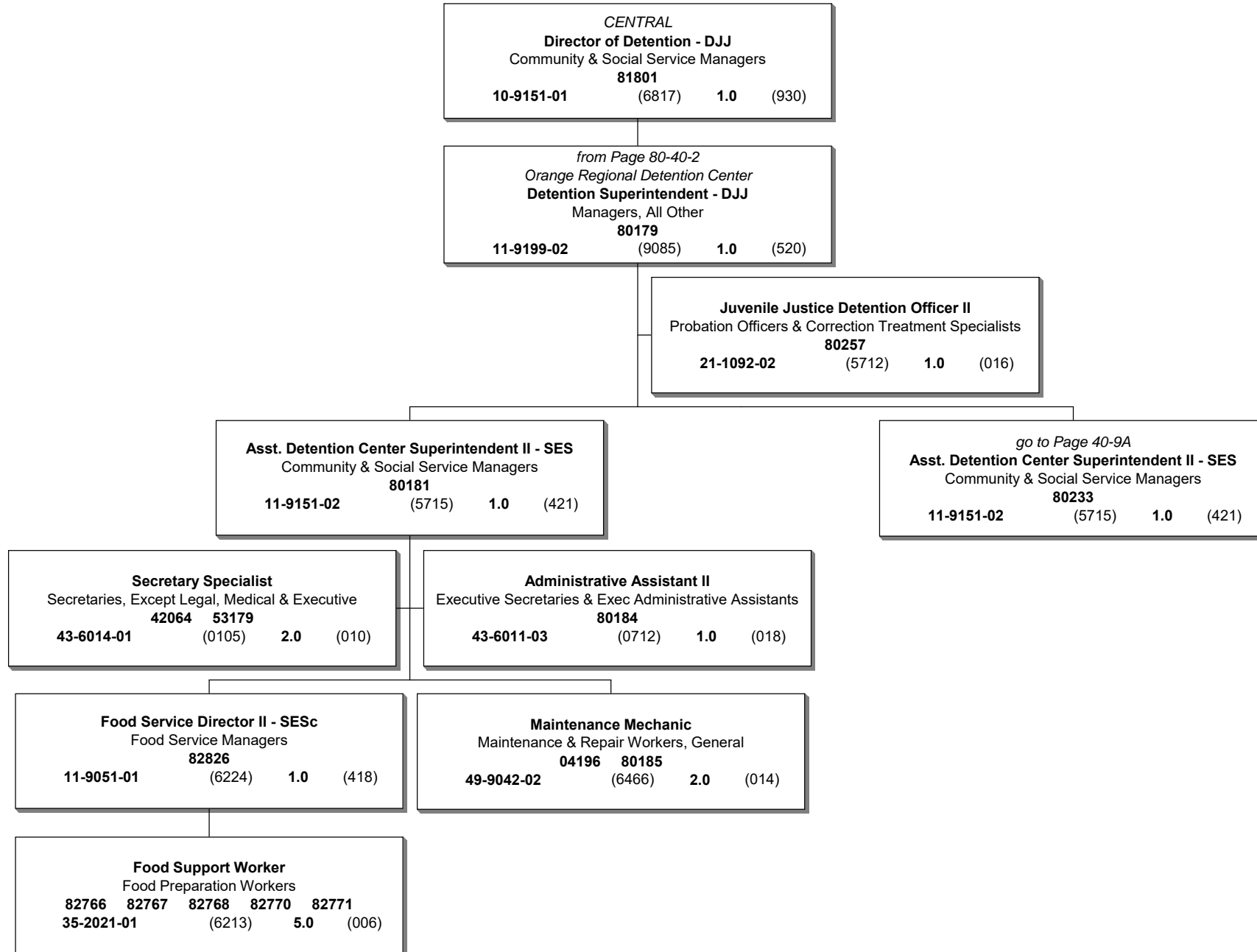


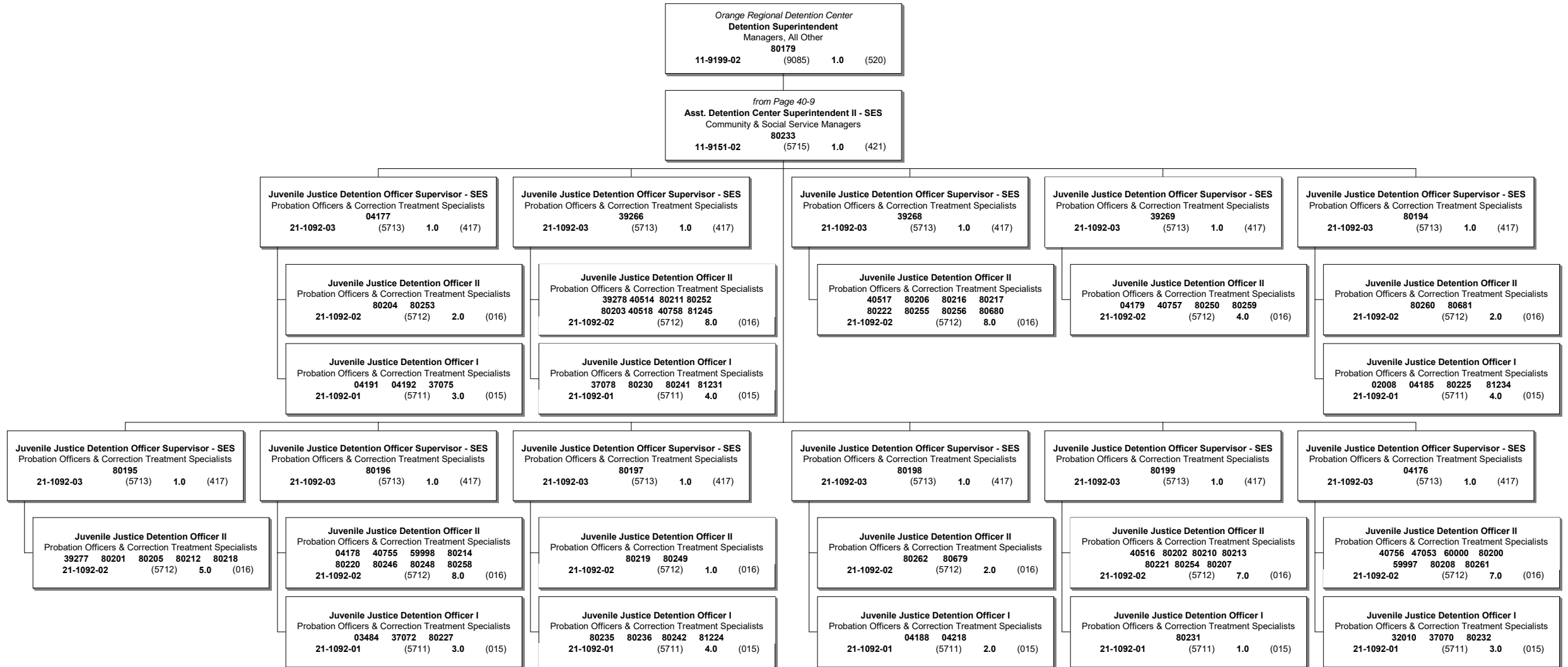


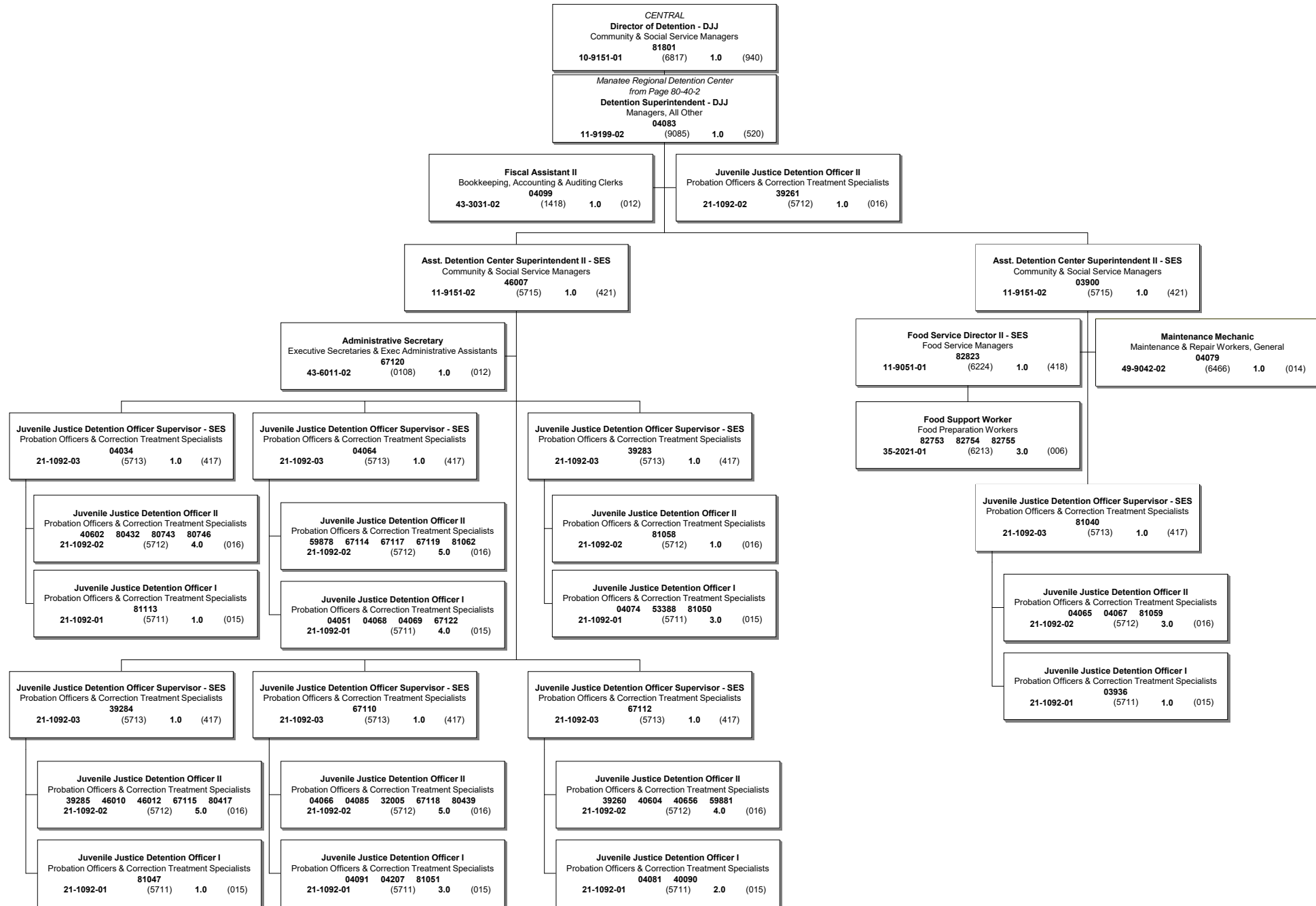


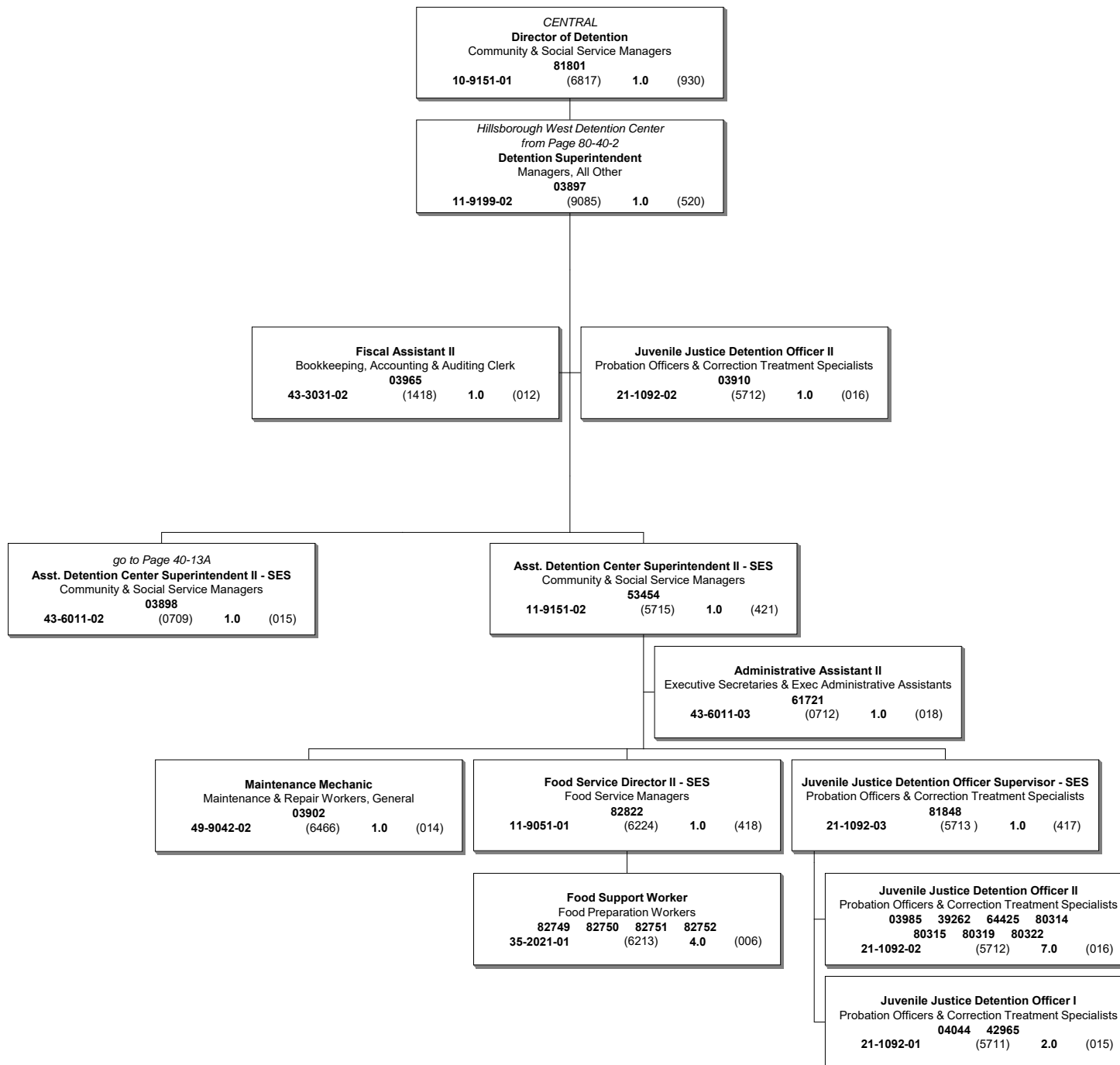


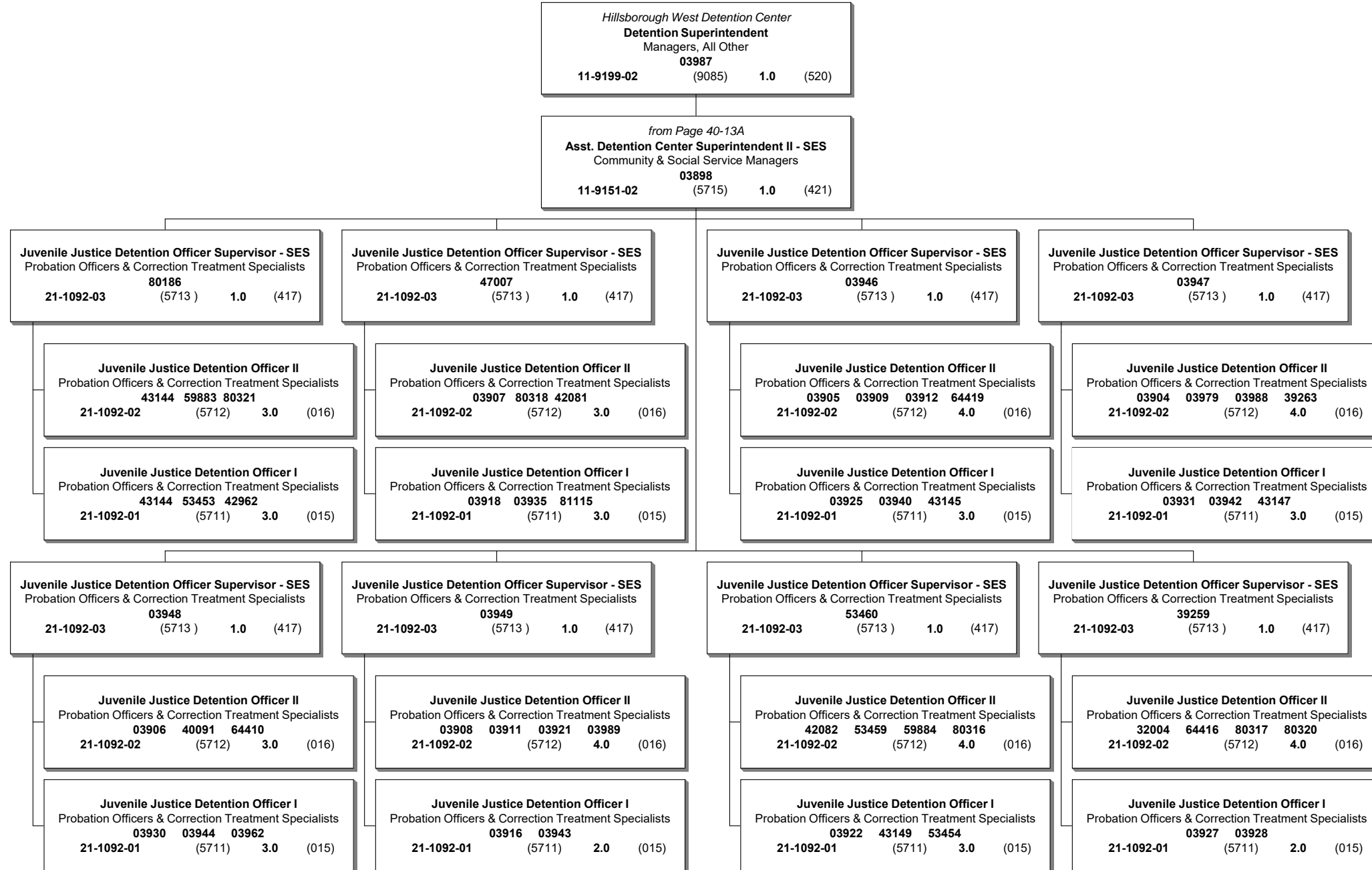


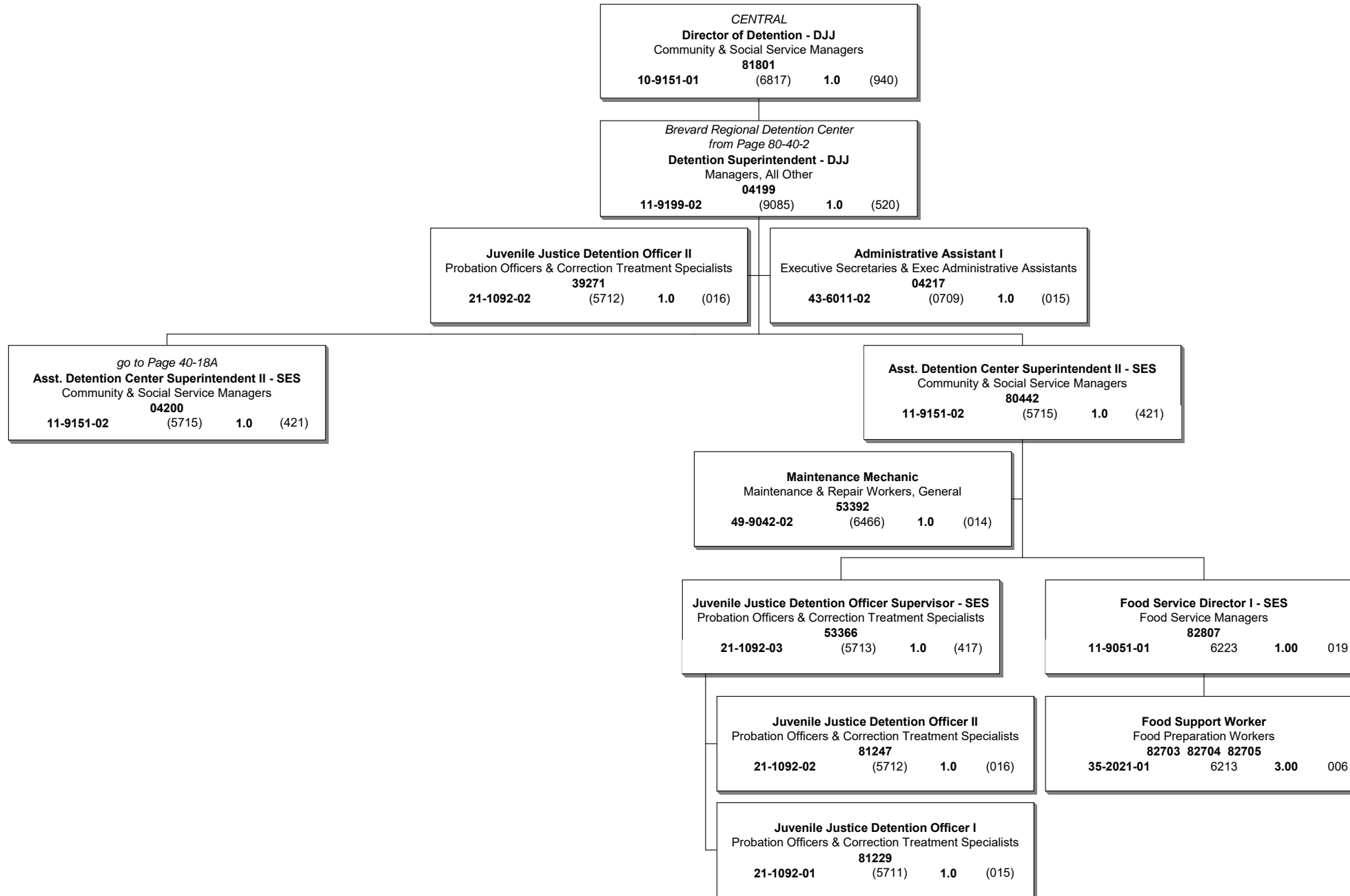












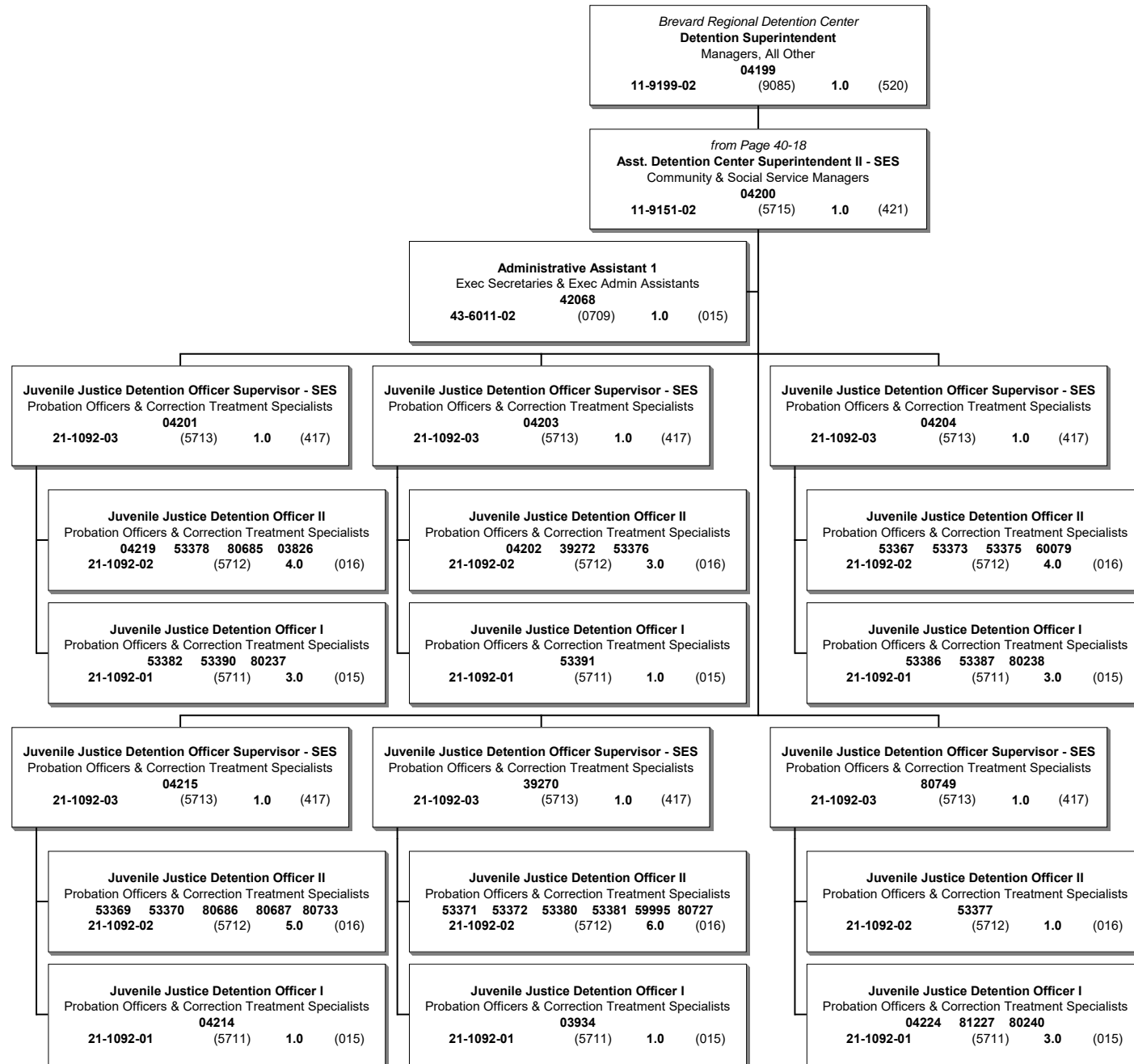
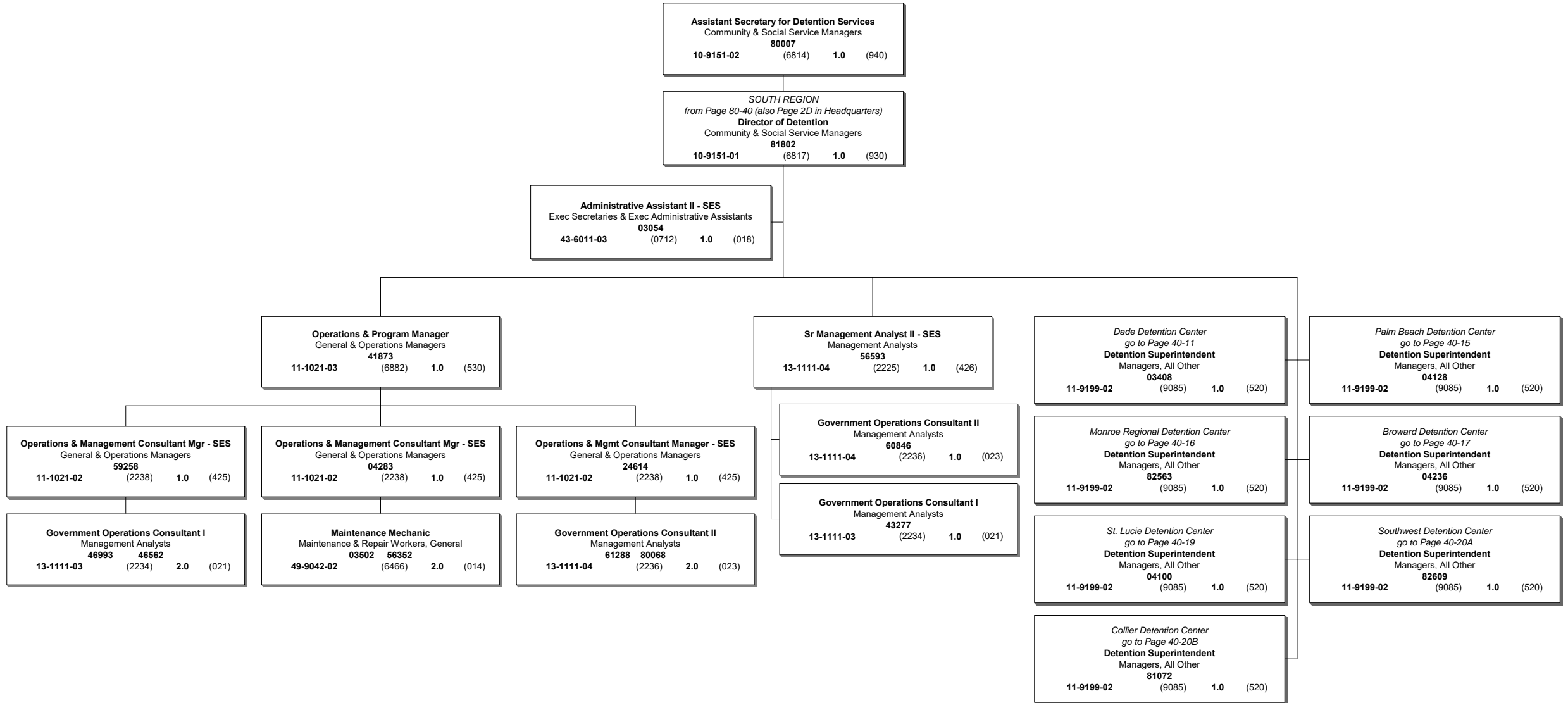
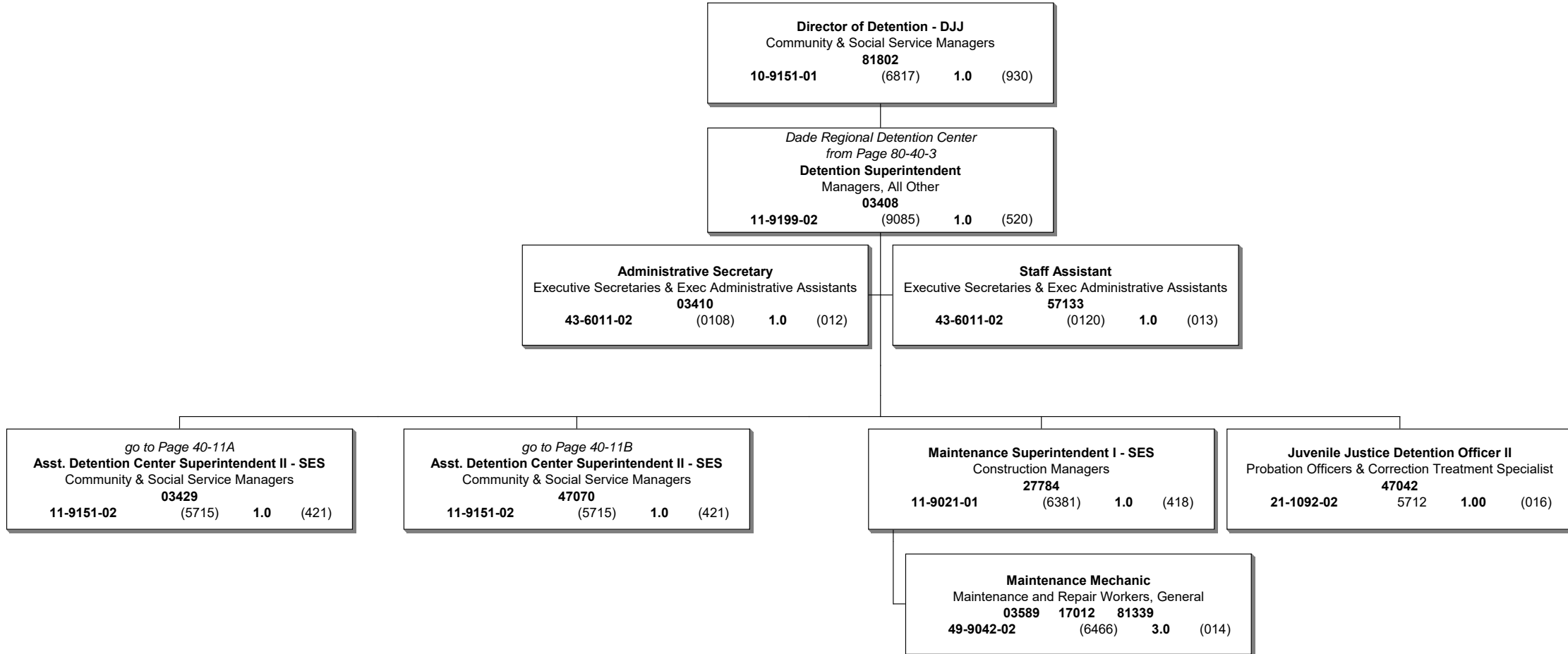
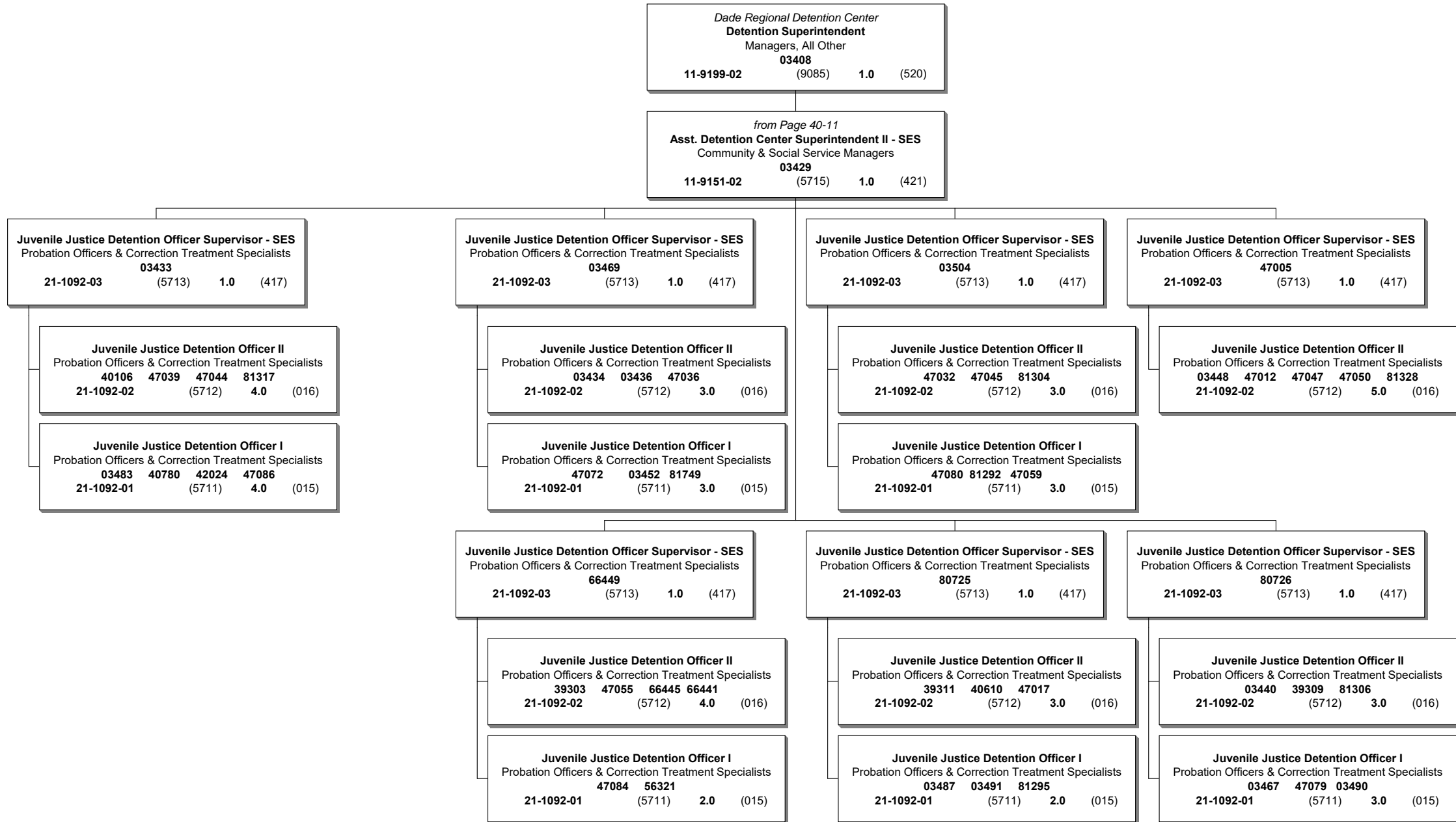


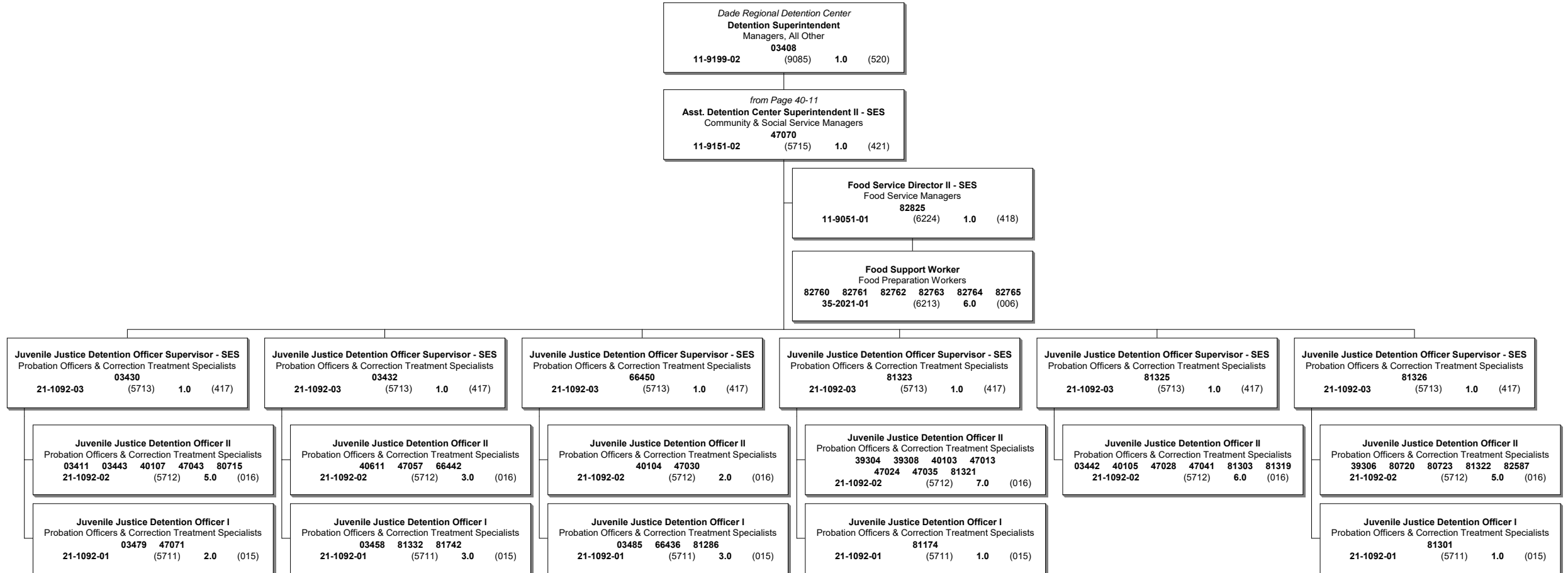
TABLE OF CONTENTS

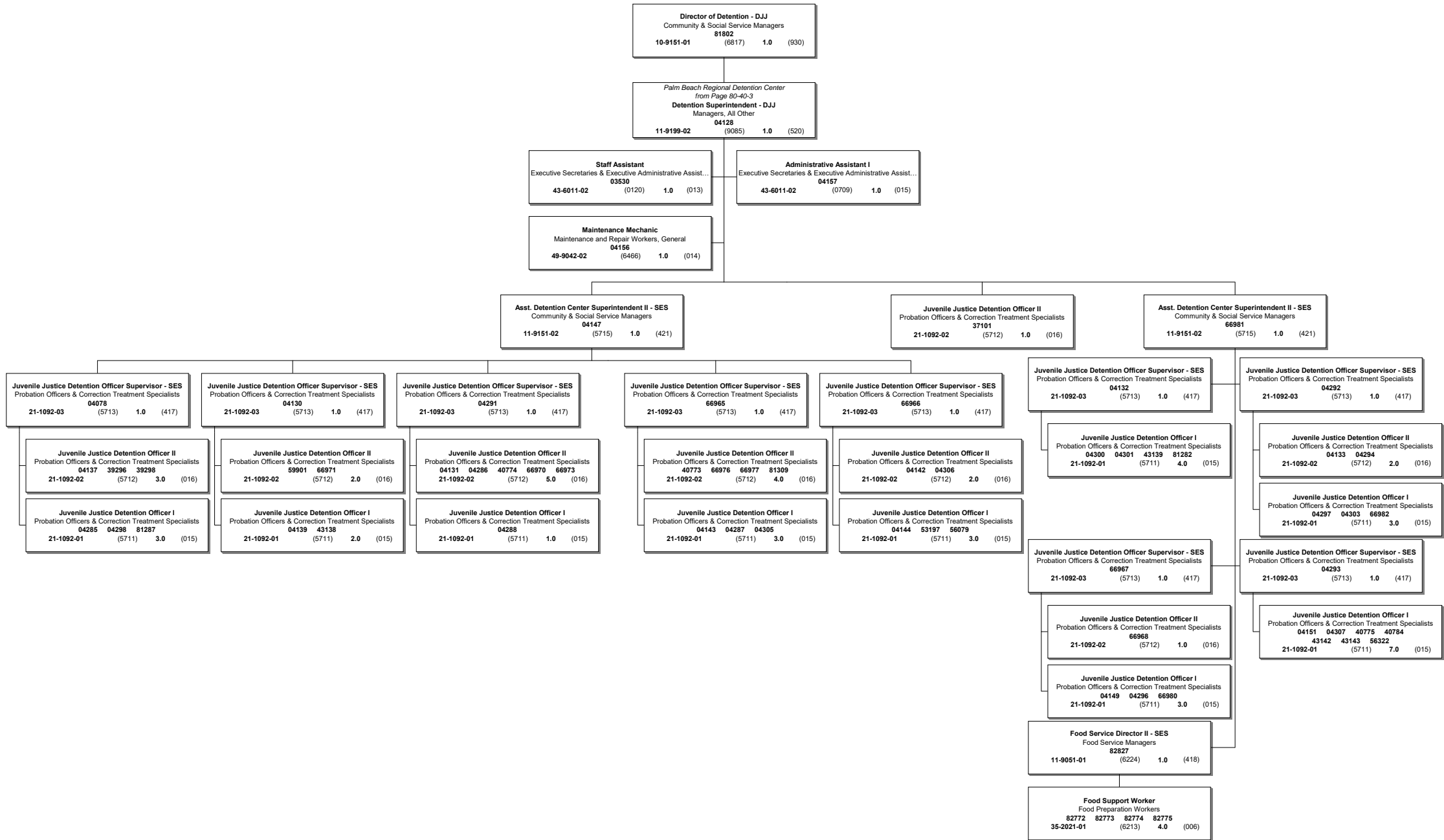
Central Region – Director of Detention	Page 80-40-2
Operations & Program Manager	Page 80-40-2A
Pasco Regional Detention Center	Page 40-6A
Pinellas Regional Detention Center	Page 40-6B, 40-6B-1
Orange Regional Detention Center	Page 40-9, 40-9A
Manatee Regional Detention Center	Page 40-12
West Hillsborough Regional Detention Center	Page 40-13, 40-13A
Brevard Regional Detention Center	Page 40-18, 40-18A

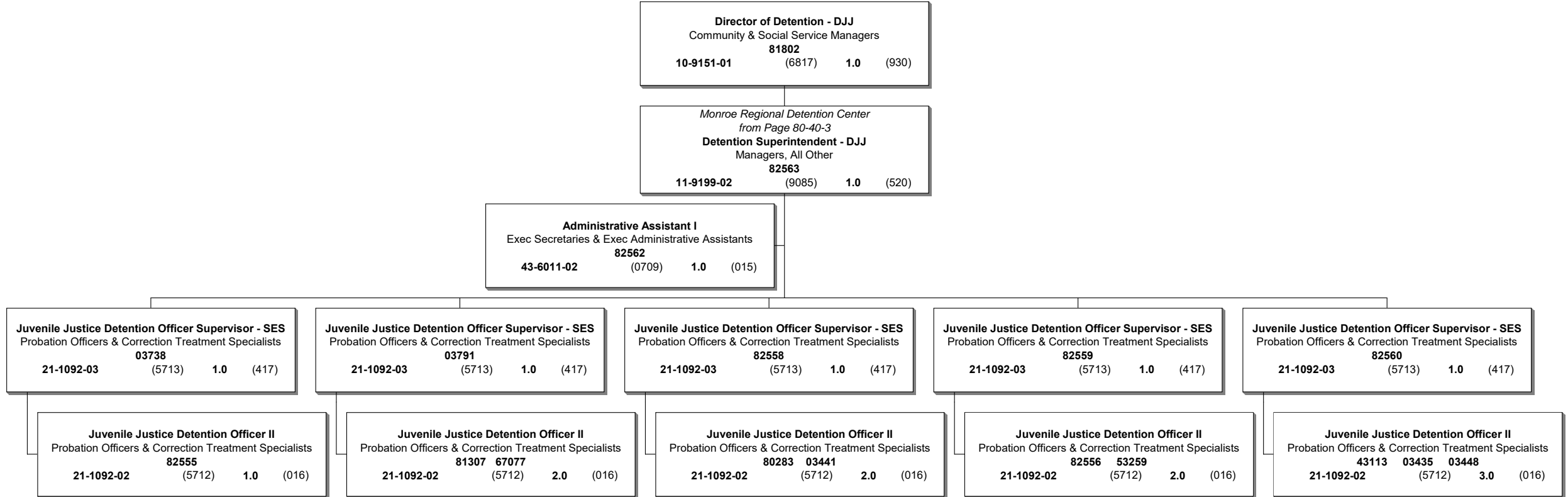


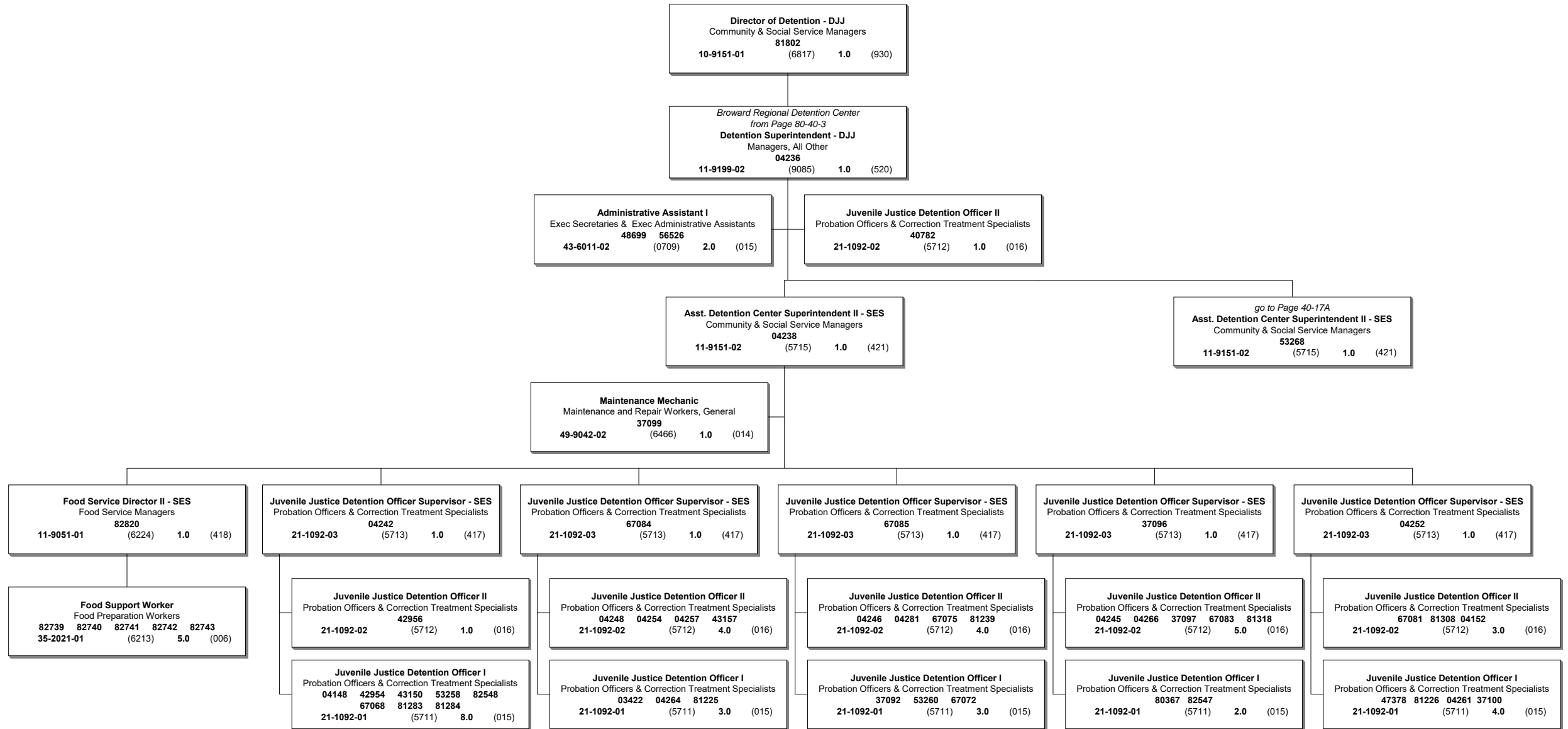


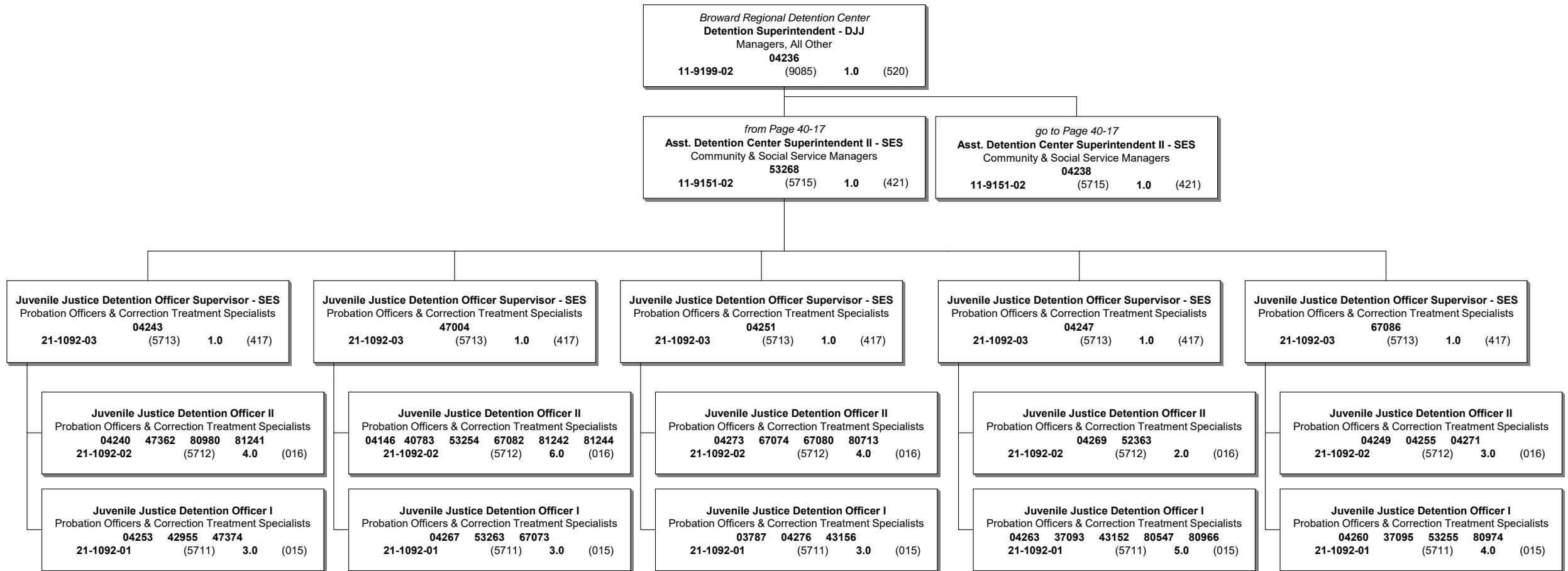


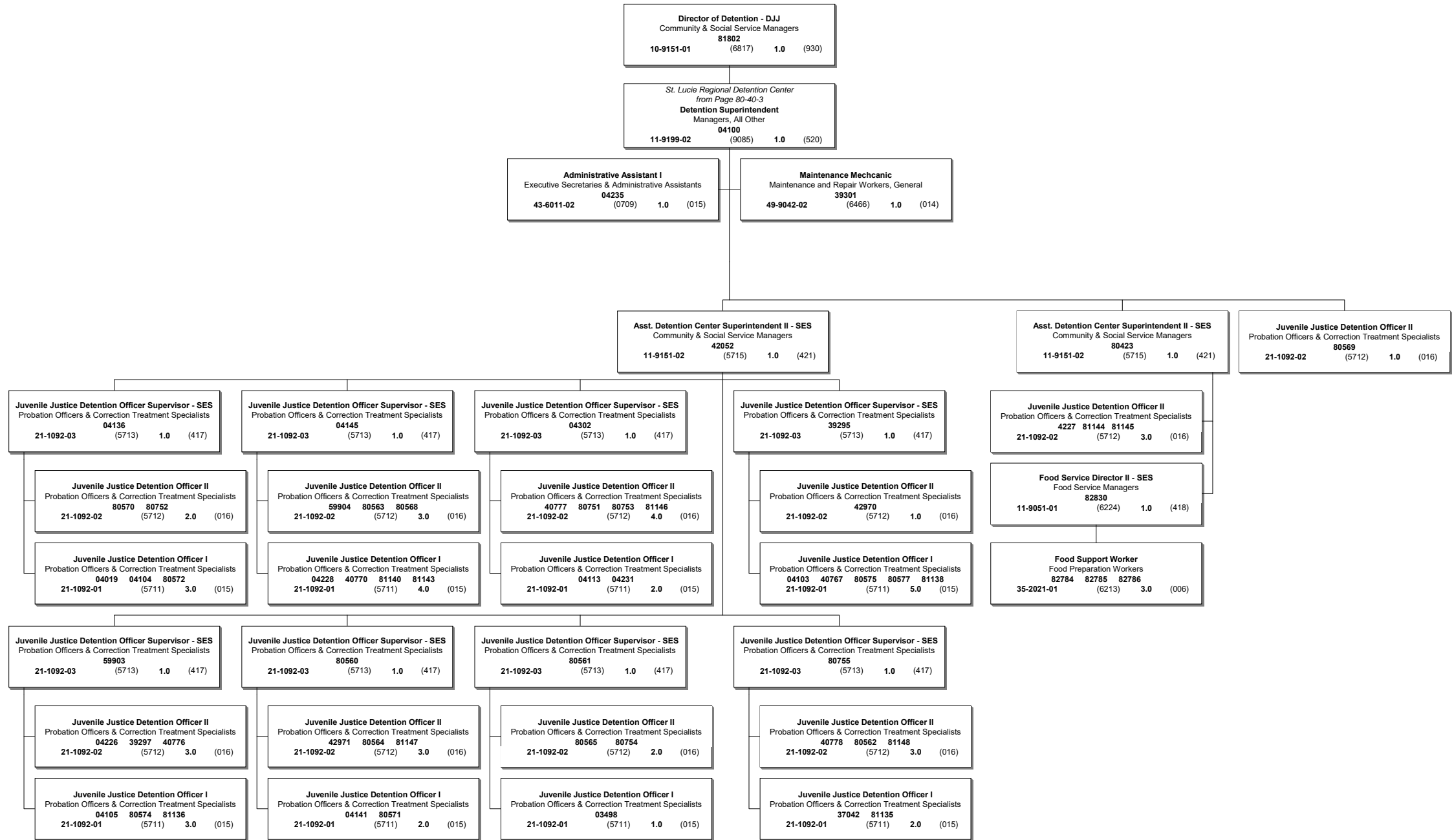


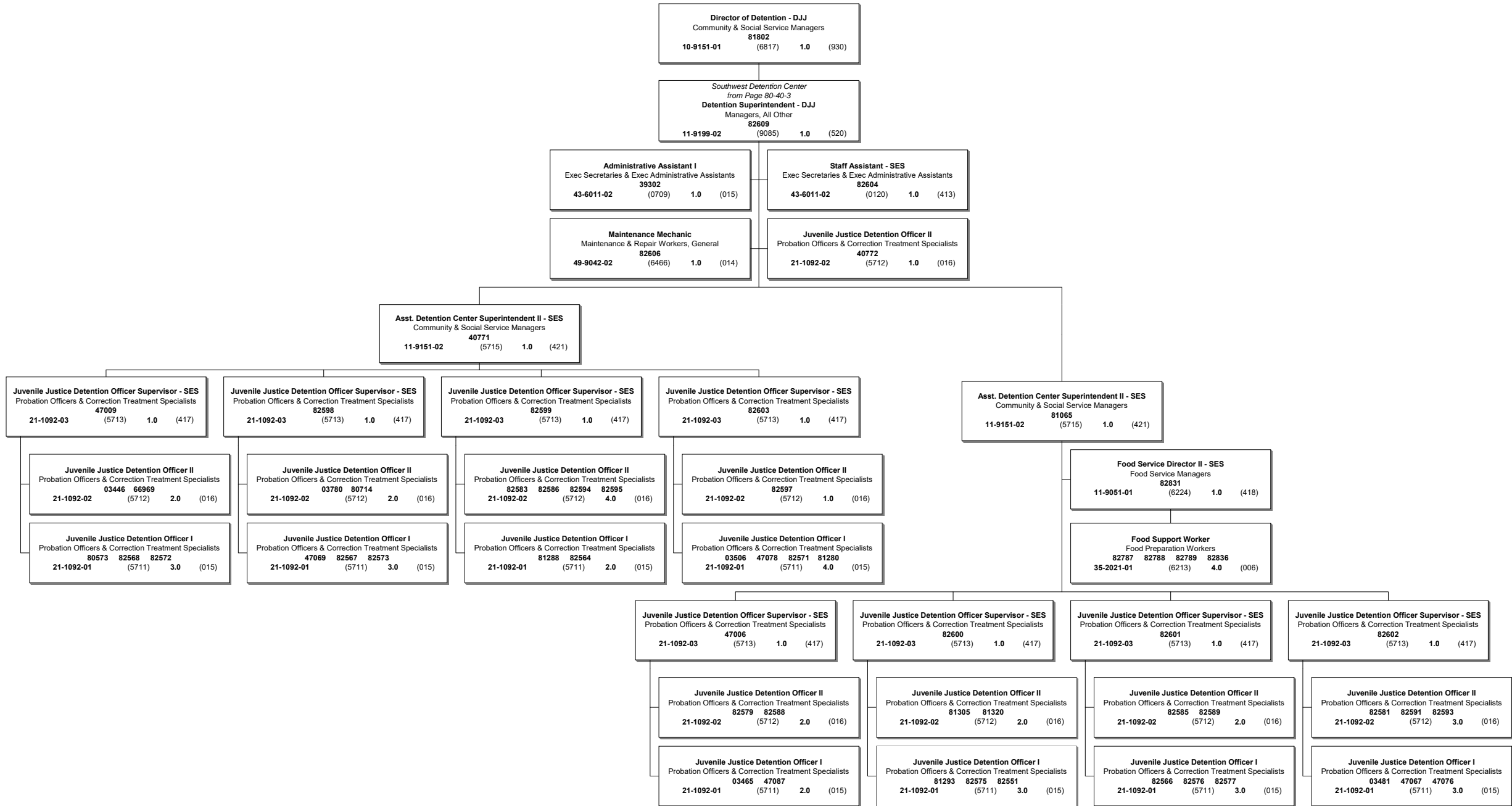












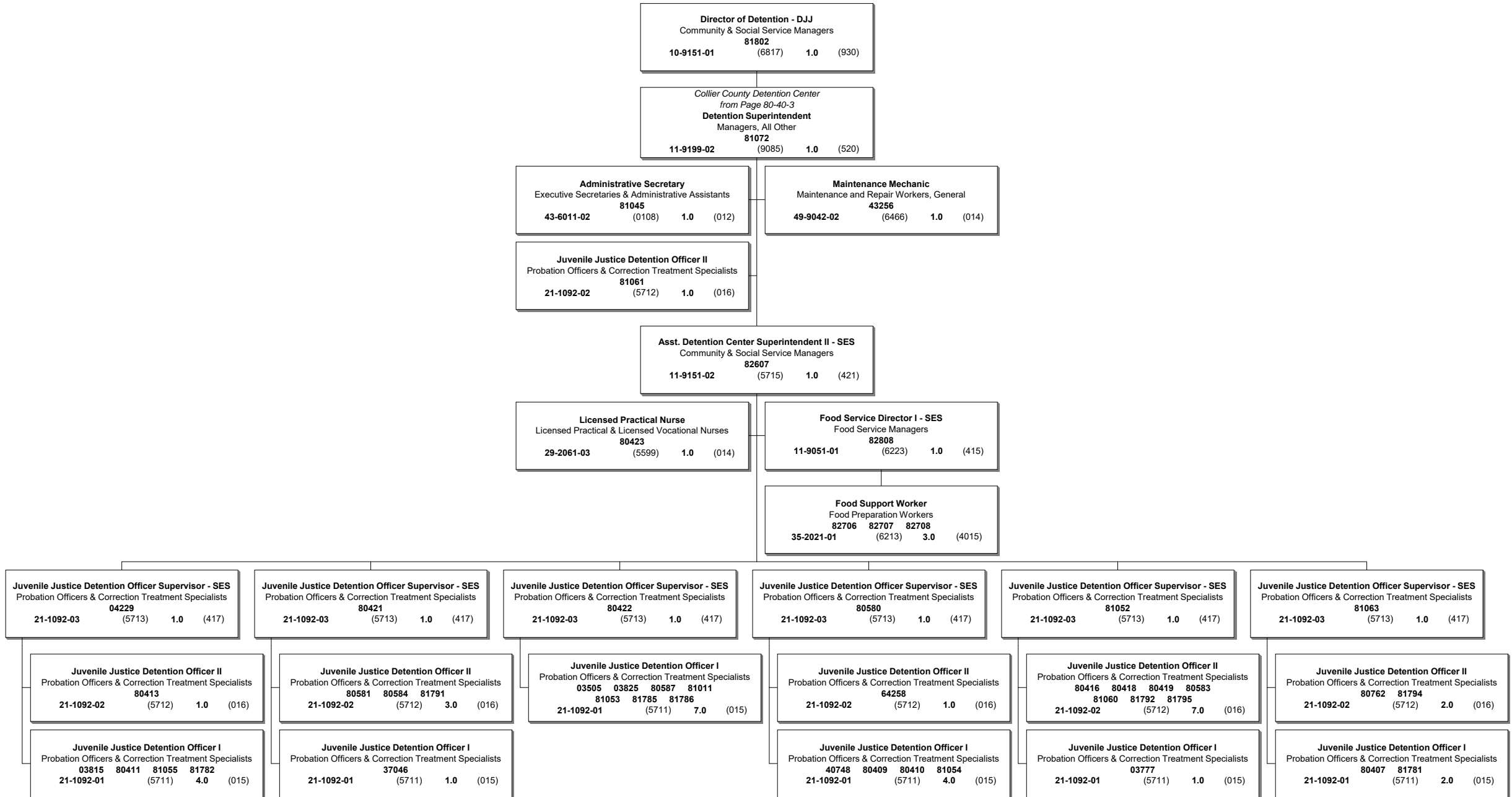


TABLE OF CONTENTS

Assistant Secretary for Probation & Community Corrections Page 80-70 *(also Page 2A Headquarters)*
Director of Probation & Community Corrections North Region Page 80-70-1

CIRCUIT 1 Page 70-1
Case Mgmt Intake Escambia County 101
Case Mgmt Intake Escambia County 102, 108
Case Mgmt Intake Okaloosa County 104, 105
Case Mgmt Intake Santa Rosa County 106

CIRCUIT 2 Page 70-2
Case Mgmt Combined Leon County 301, 302
Case Mgmt Combined Gadsden County 305

CIRCUIT 3 Page 70-3
Case Mgmt Combined Suwannee County 301
Case Mgmt Combined Taylor County 302

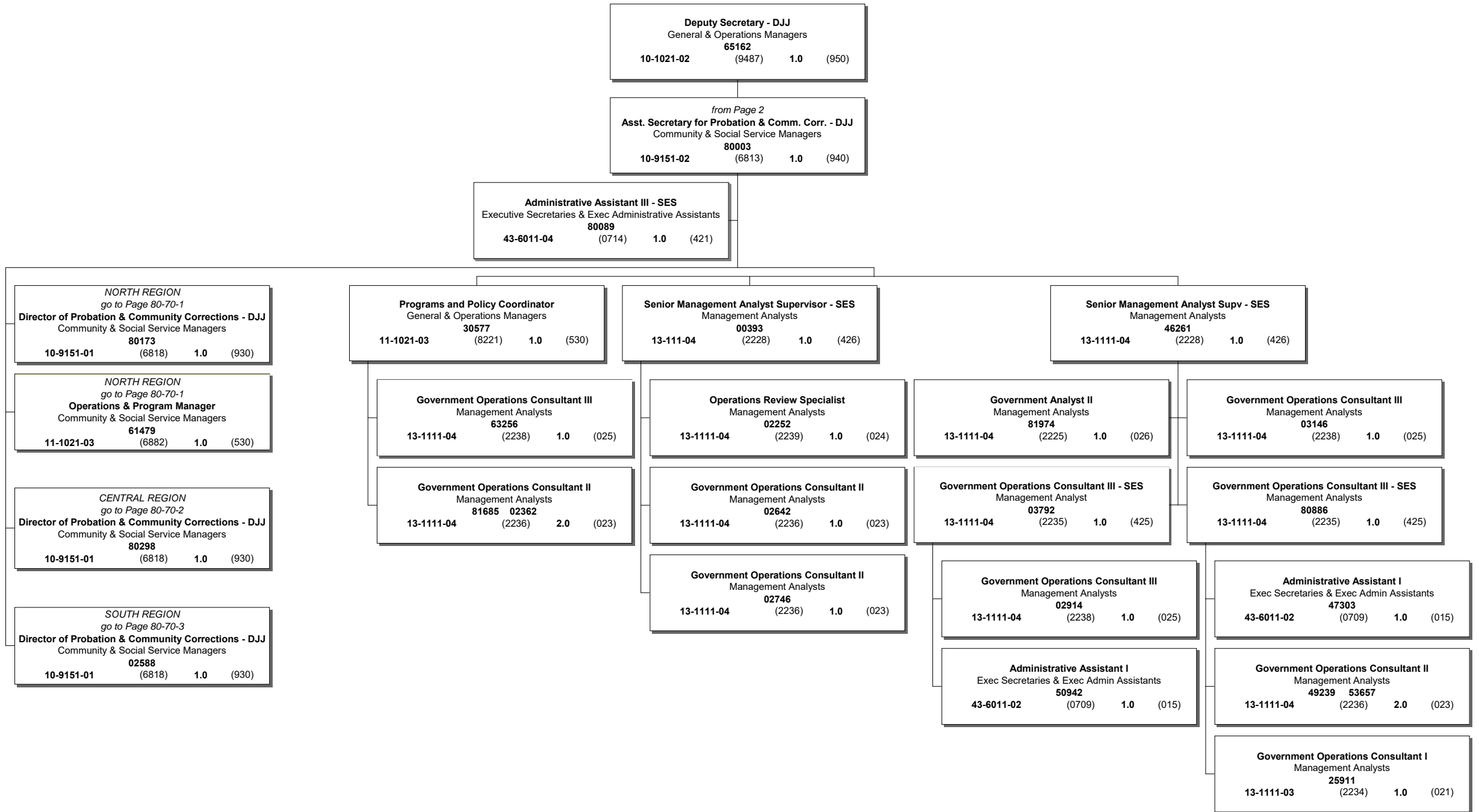
CIRCUIT 4 Page 70-4
Case Mgmt Intake Duval County 104 Page 70-4
Case Mgmt Combined Duval County 302, 303, 305 Page 70-4
Case Mgmt Intake Duval County 105, 106 Page 70-4A
Case Mgmt Combined Nassau County 301 Page 70-4A
Case Mgmt Combined Clay County 304 Page 70-4A

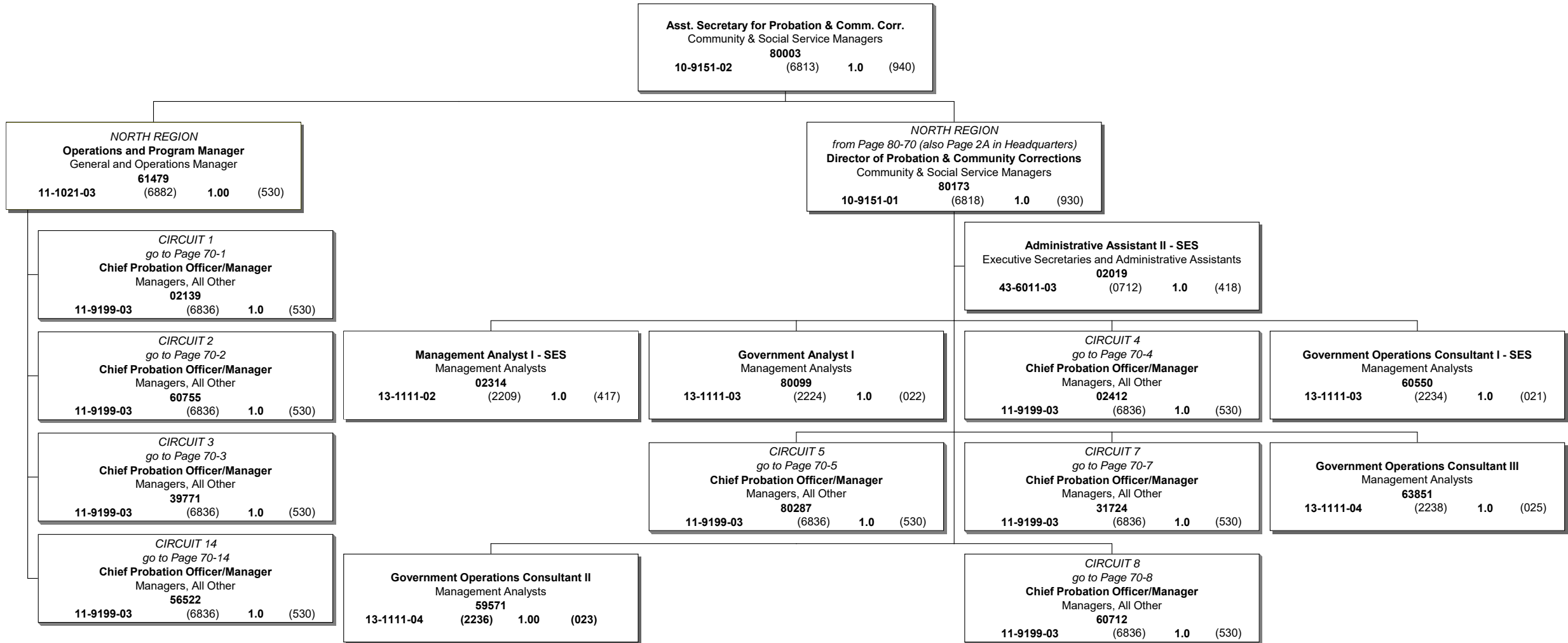
CIRCUIT 5 Page 70-5
Case Mgmt Combined Lake County 303
Case Mgmt Intake Marion County 101, 103
Case Mgmt Combined Marion County 305
Case Mgmt Combined Citrus County 302
Case Mgmt Combined Hernando County 301
Case Mgmt Combined Lake County 304

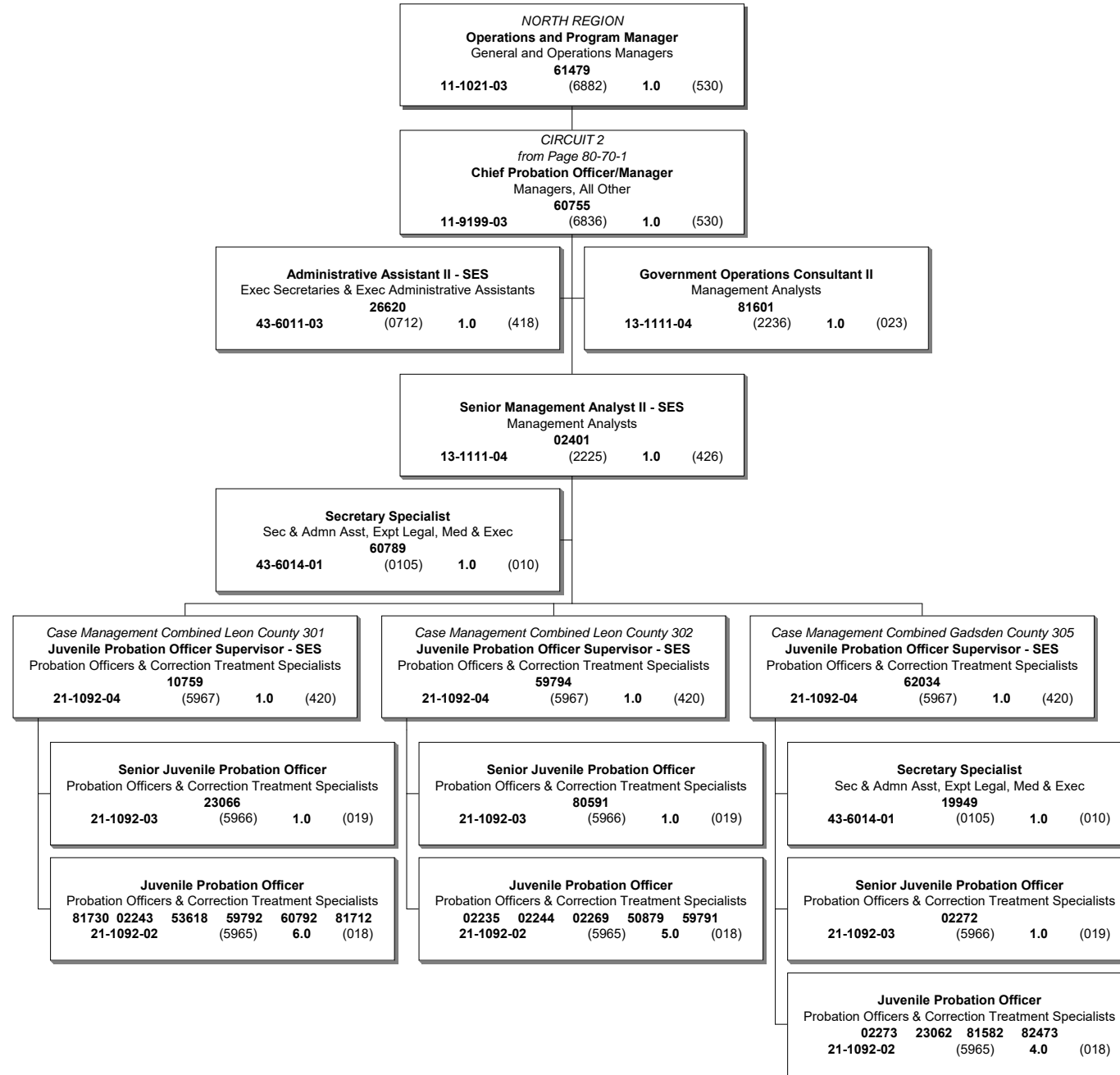
CIRCUIT 7 Page 70-7
Case Mgmt Combined Putnam County 301
Case Mgmt Combined St. Johns County 302, 304
Case Mgmt Combined Volusia County 303, 305
Case Mgmt Combined Volusia County 306, 307

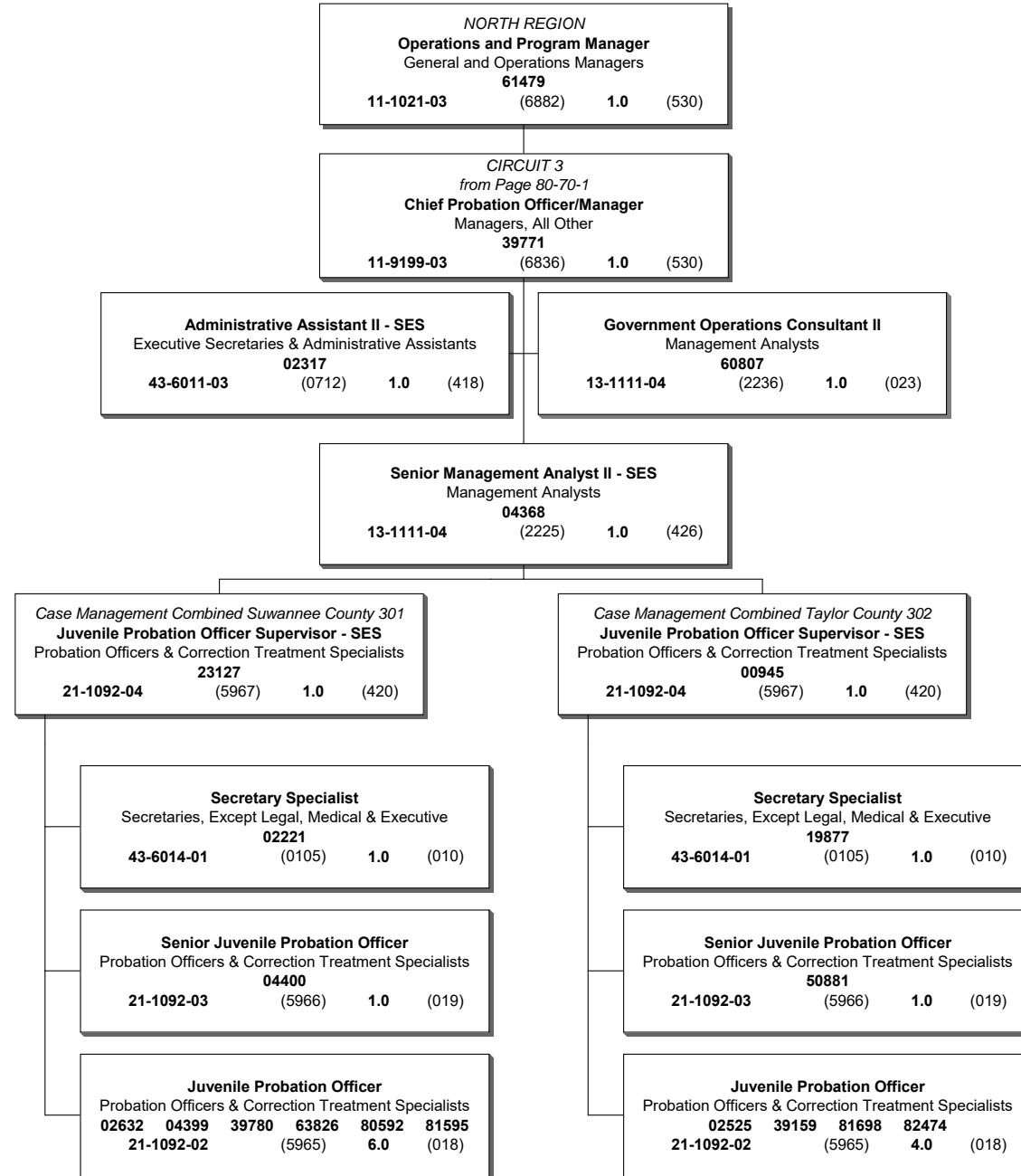
CIRCUIT 8 Page 70-8
Case Mgmt Combined Alachua County 302, 304
Case Mgmt Combined Gilchrist County 301

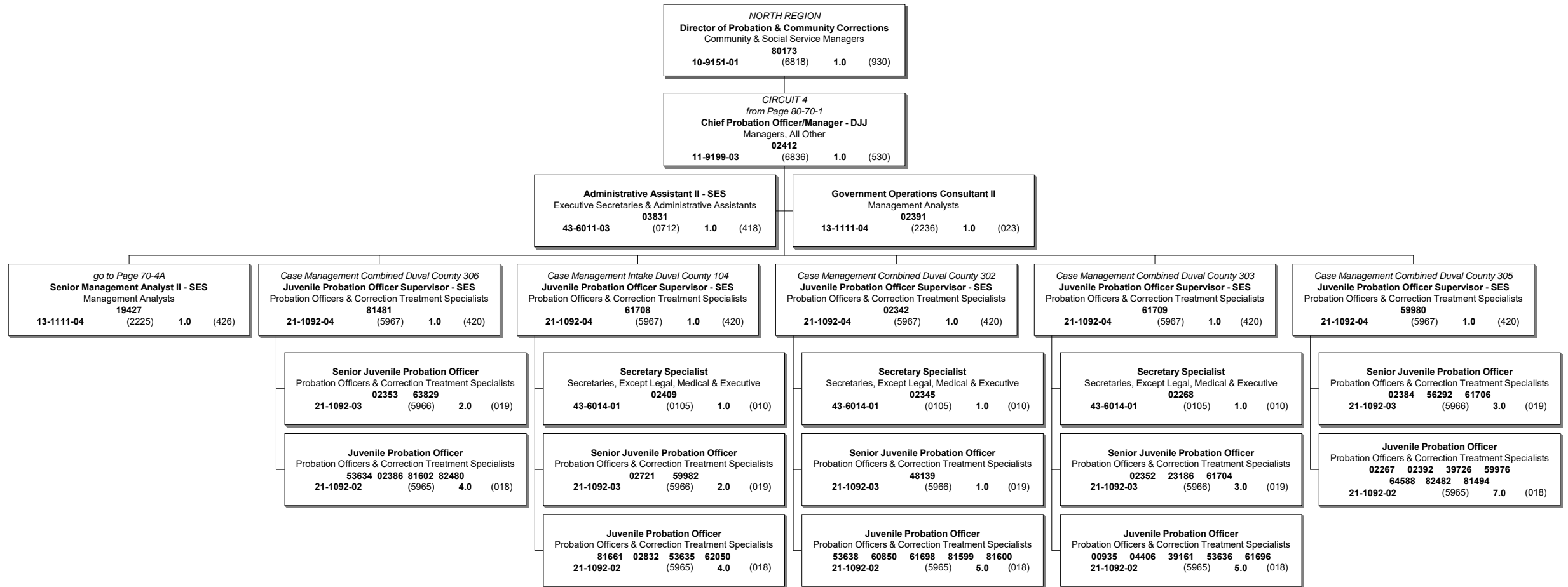
CIRCUIT 14 Page 70-14
Case Mgmt Combined Bay County 301, 303
Case Mgmt Combined Jackson County 302

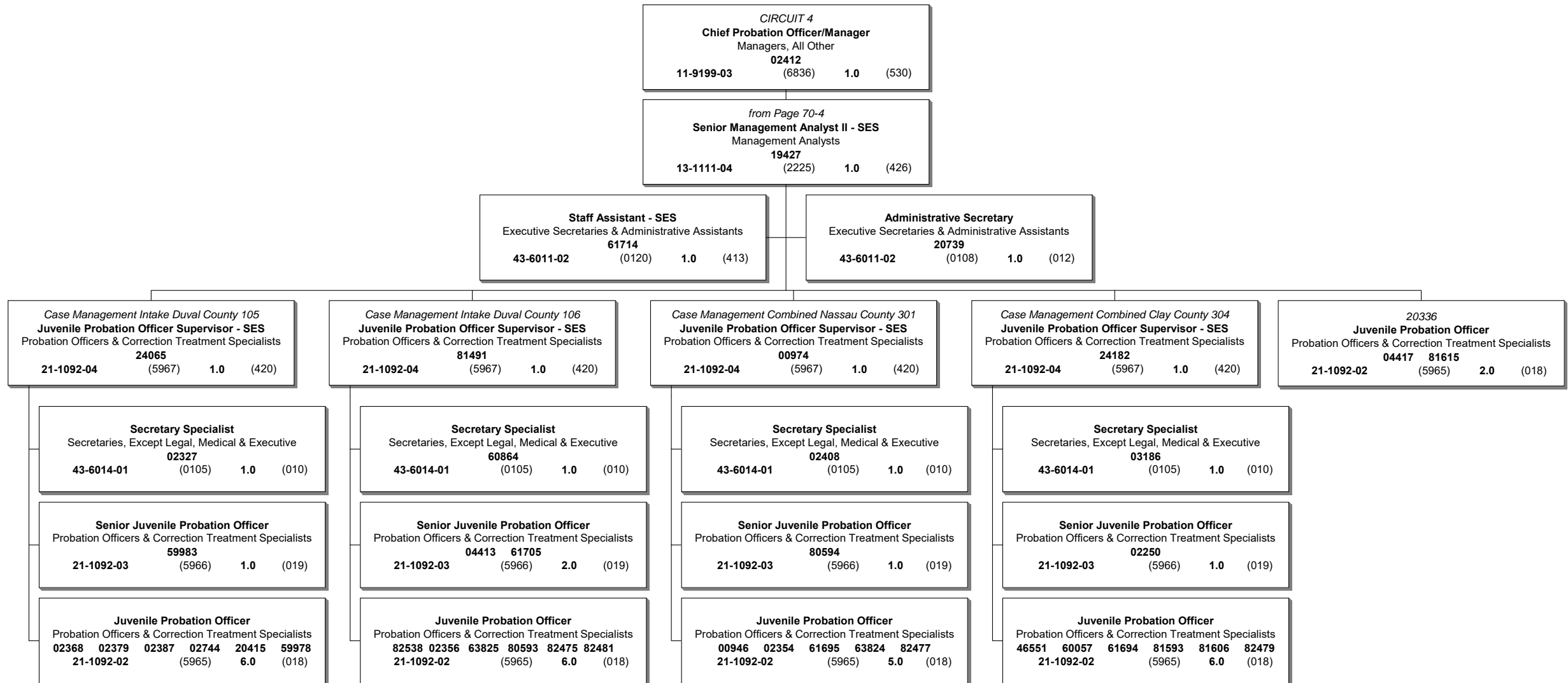


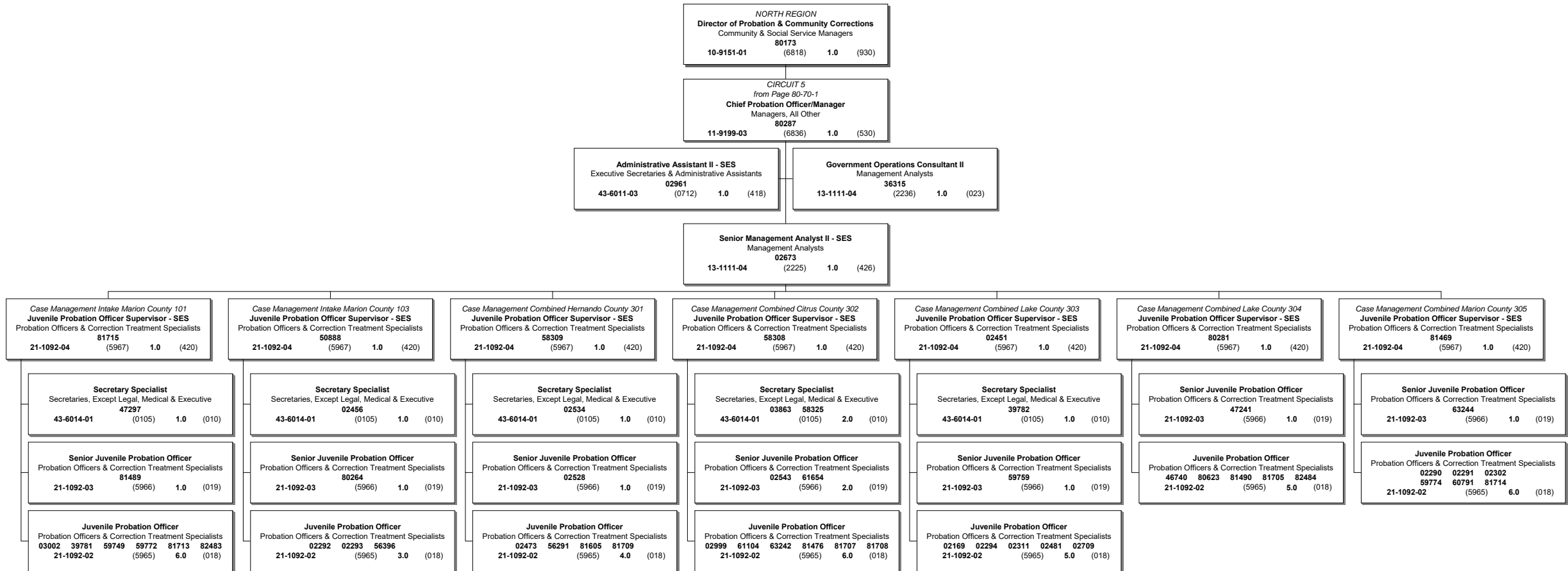


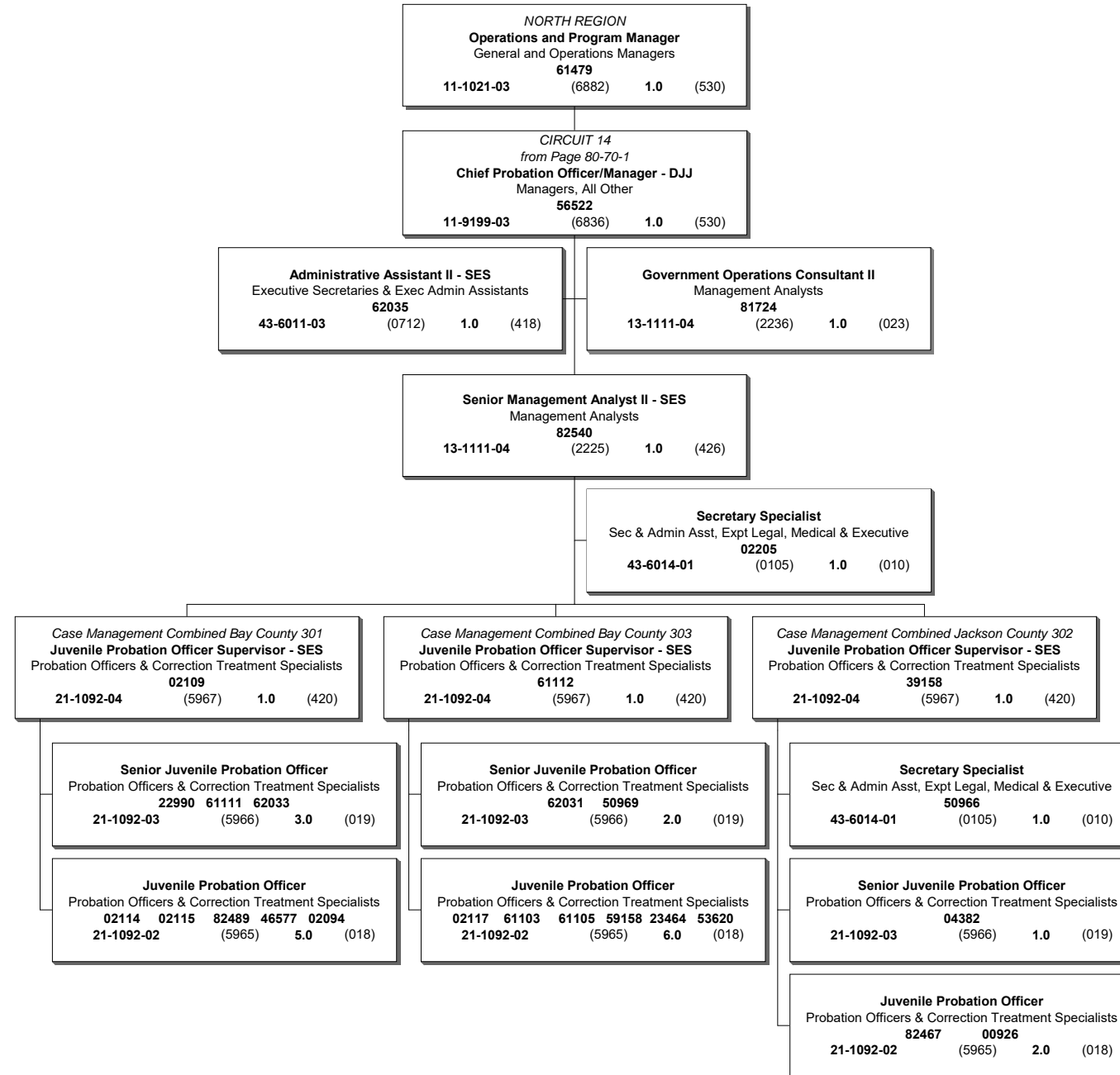


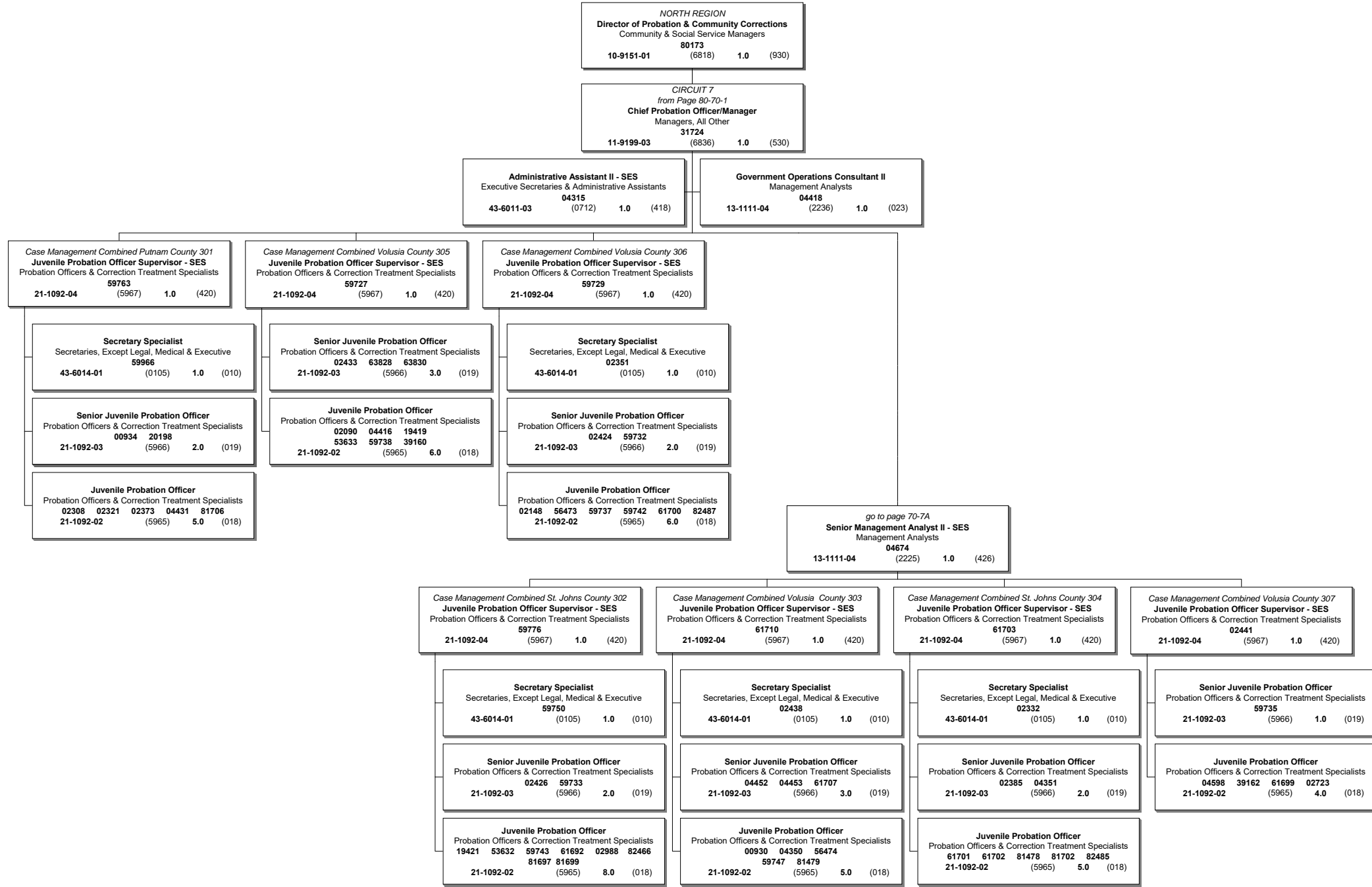












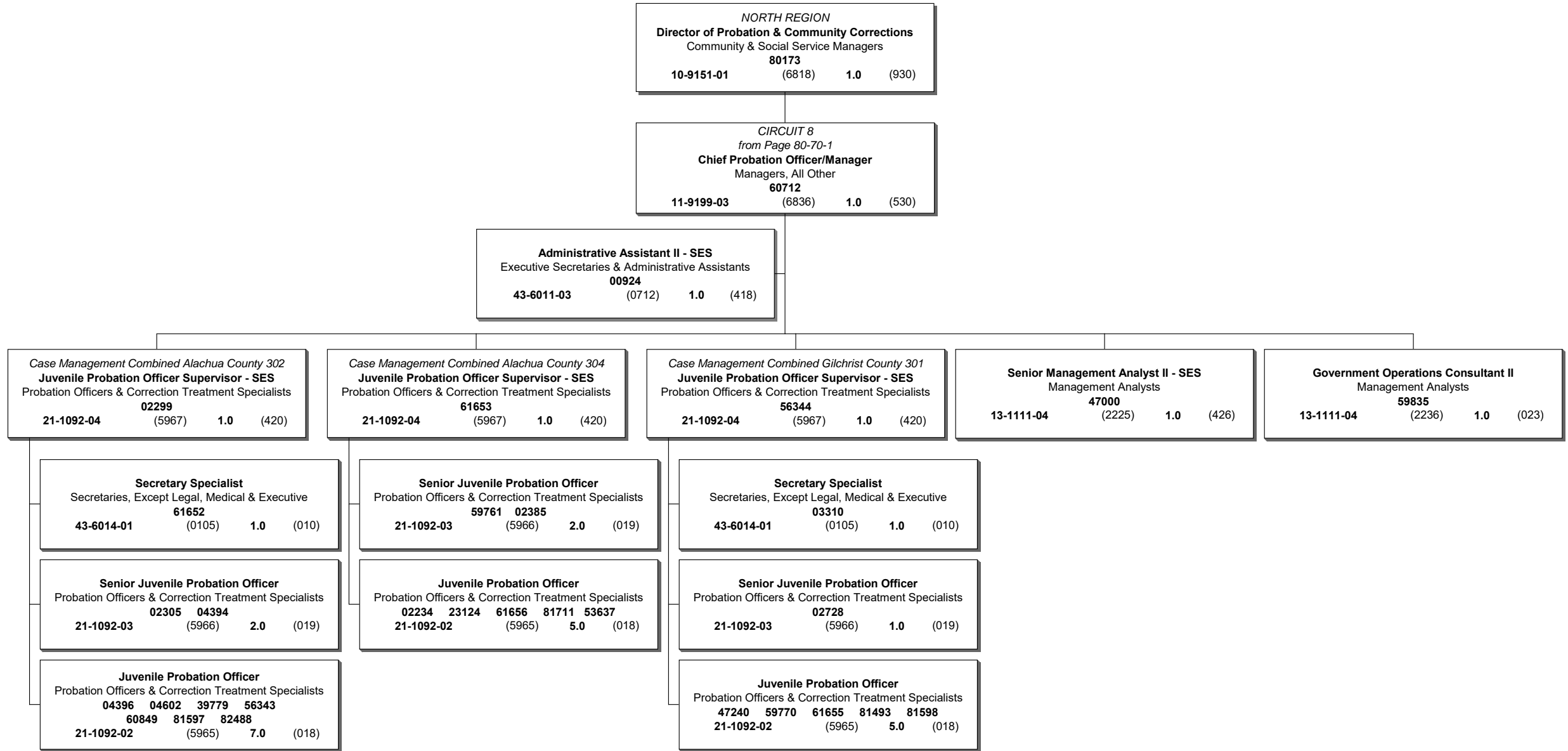


TABLE OF CONTENTS

Director of Probation & Comm. Corrections Central Region **Page 80-70-2**

CIRCUIT 6

Case Mgmt Intake Pinellas County 106, 107
Case Mgmt Intake Pinellas County 101, 104, 105, 109
Case Mgmt Intake Pasco County 112, 113, 114

Page 70-6

Page 70-6
Page 70-6A
Page 70-6A

CIRCUIT 9

Case Mgmt Intake Orange County 106, 109, 110
Case Mgmt Combined Orange County 301
Case Mgmt Intake Osceola County 102, 104, 111
Case Mgmt Intake Orange County 103, 105

Page 70-9

Page 70-9
Page 70-9
Page 70-9A
Page 70-9A

CIRCUIT 10

Case Mgmt Combined Polk County 301, 302, 303
Case Mgmt Combined Polk County 304, 305
Case Mgmt Combined Highlands County 306

Page 70-10

CIRCUIT 12

Case Mgmt Intake Manatee County 101
Case Mgmt Combined Manatee County 302
Case Mgmt Combined Sarasota County 301, 303, 305

Page 70-12

CIRCUIT 13

Case Mgmt Intake Hillsborough Cty 105, 108
Case Mgmt Intake Hillsobrough Cty 303, 304, 305
Case Mgmt Intake Hillsborough Cty 101, 103, 106
Case Mgmt Combined Hillsborough Cty 301, 302

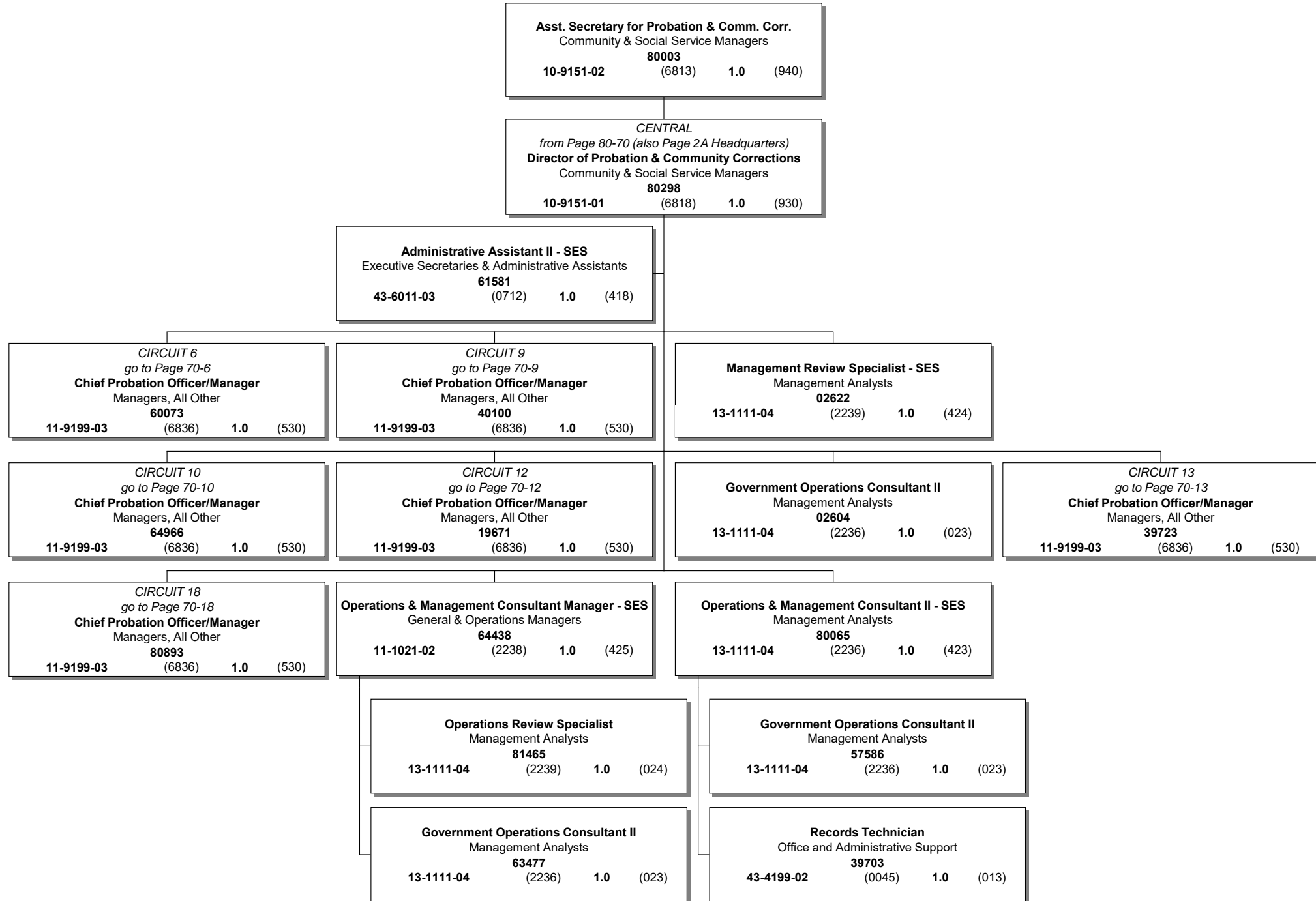
Page 70-13

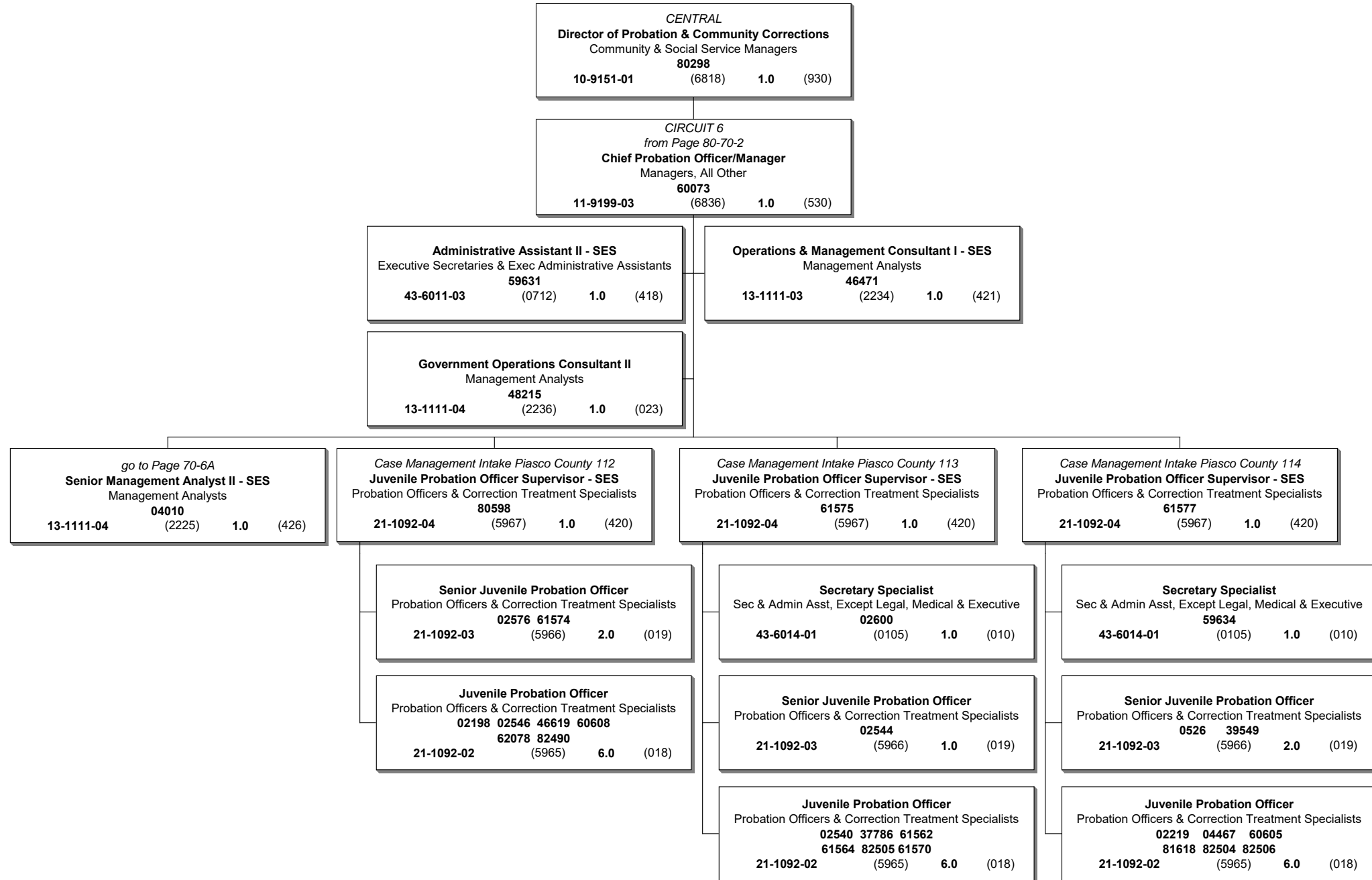
Page 70-13
Page 70-13
Page 70-13
Page 70-13A

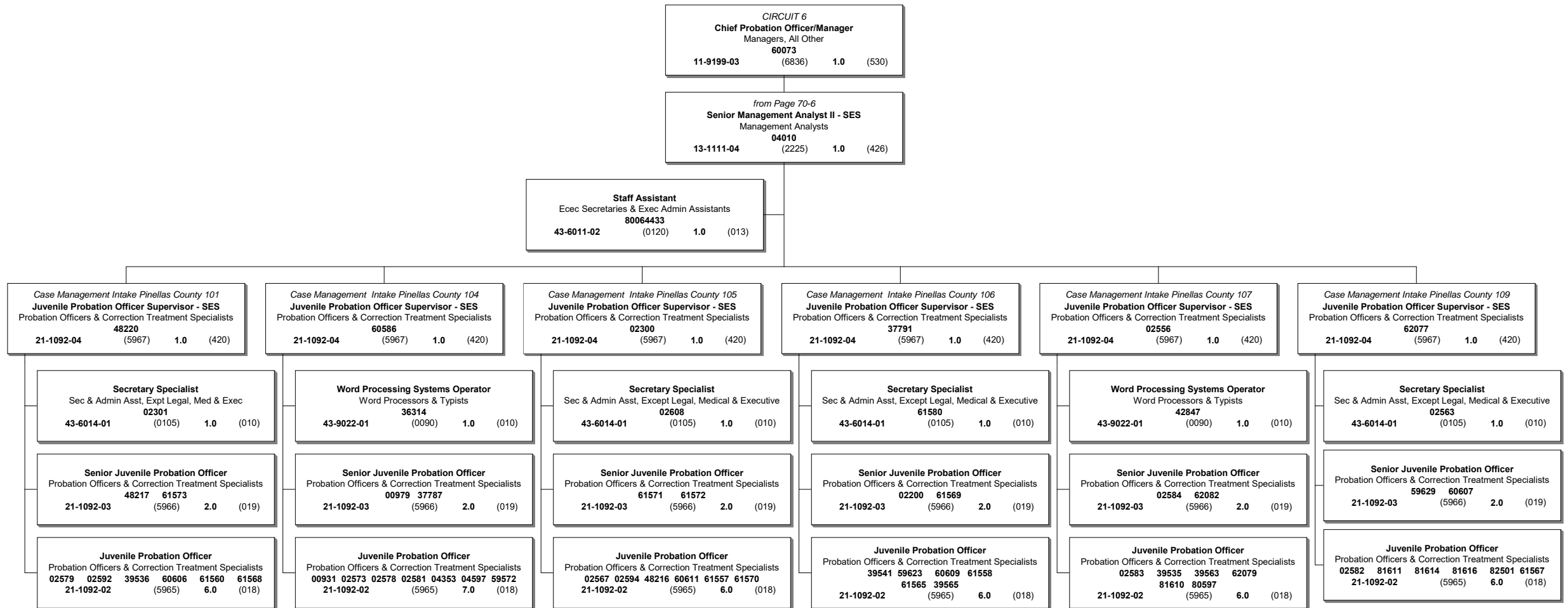
CIRCUIT 18

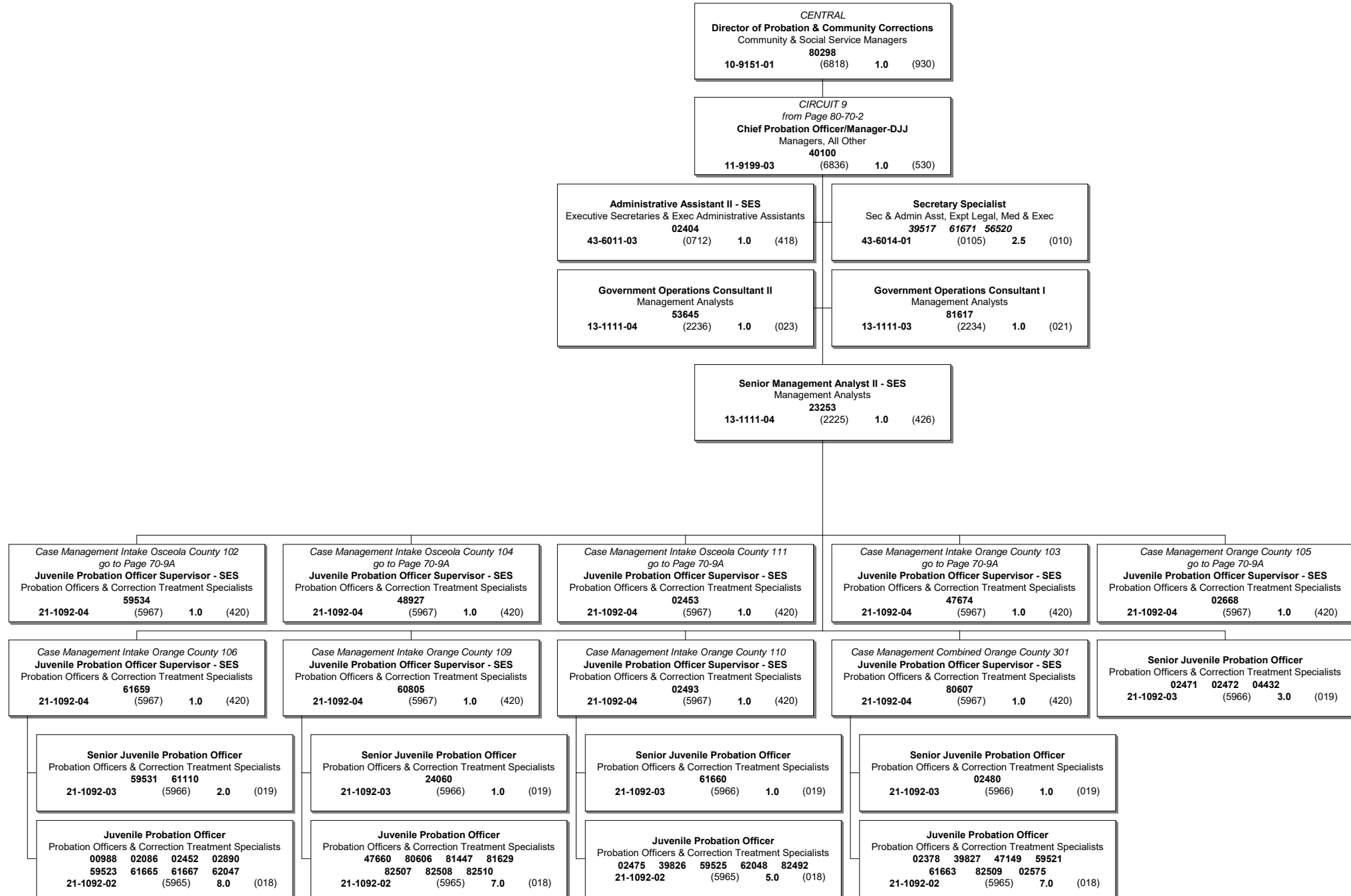
Case Mgmt Intake Seminole County 101, 102, 103
Case Mgmt Intake Seminole County 105, 106, 107, 108

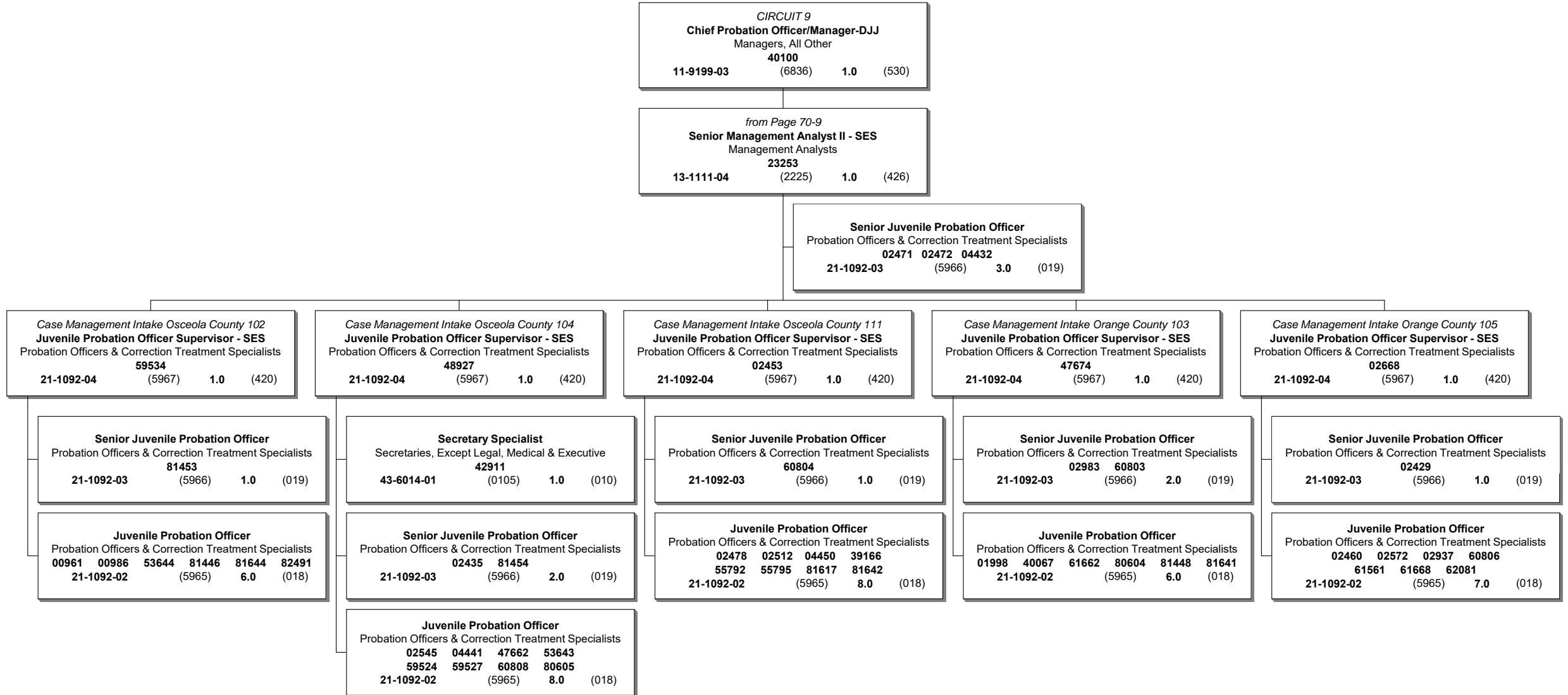
Page 70-18

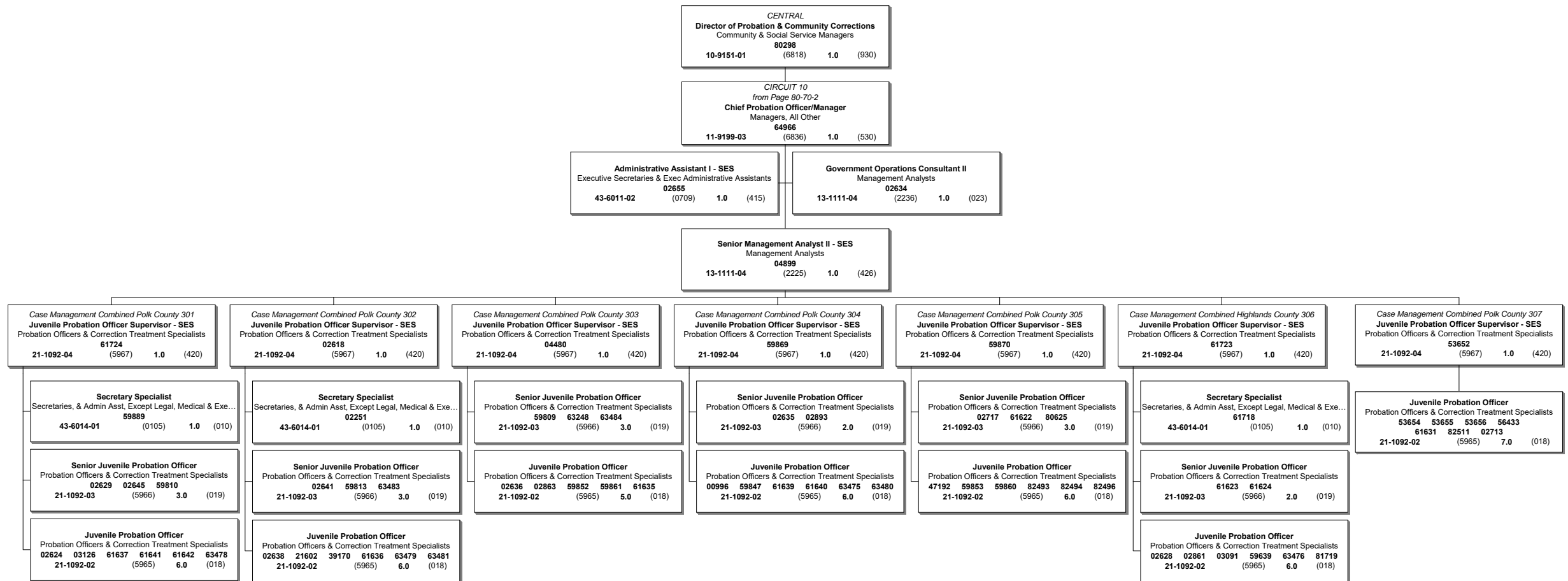


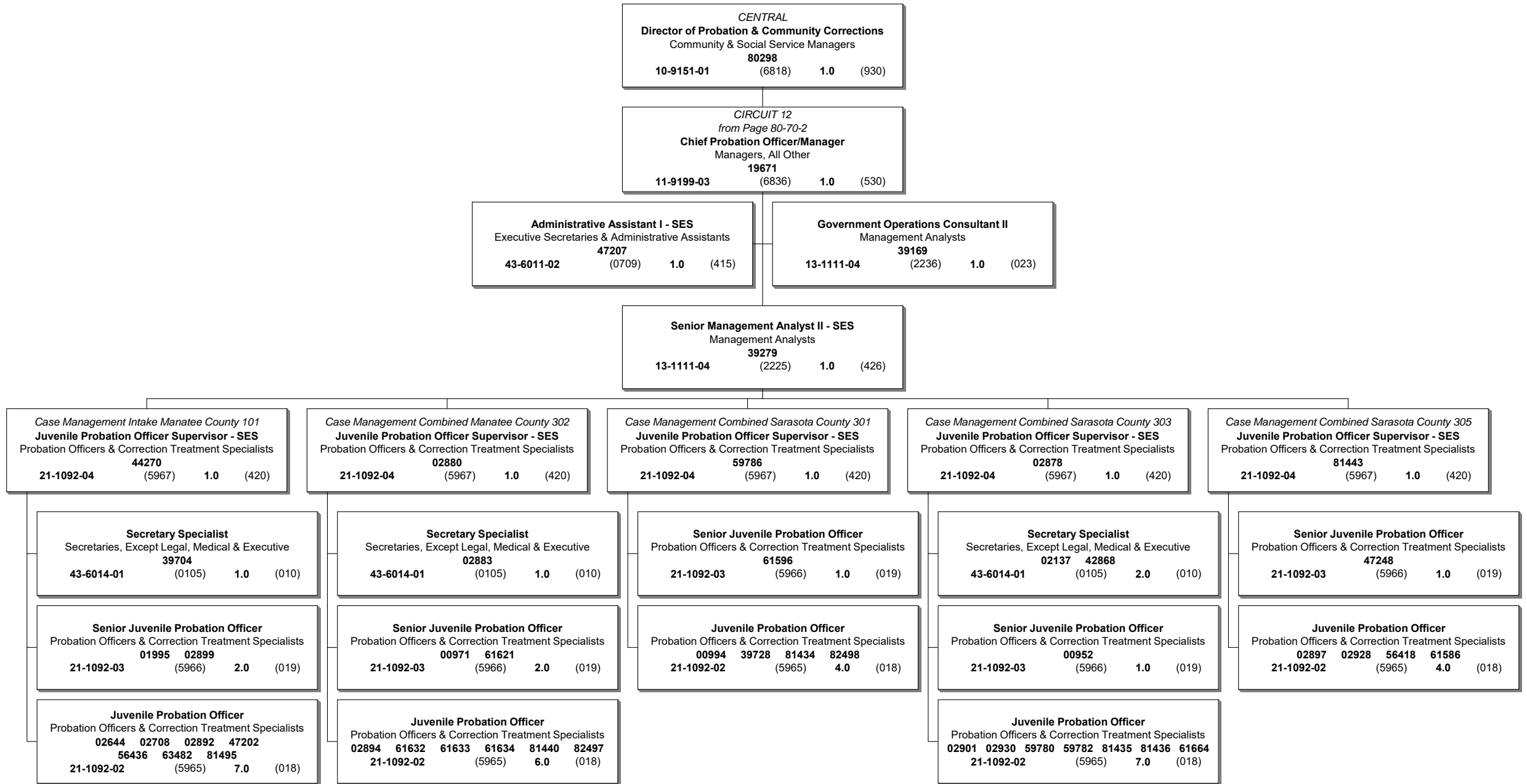


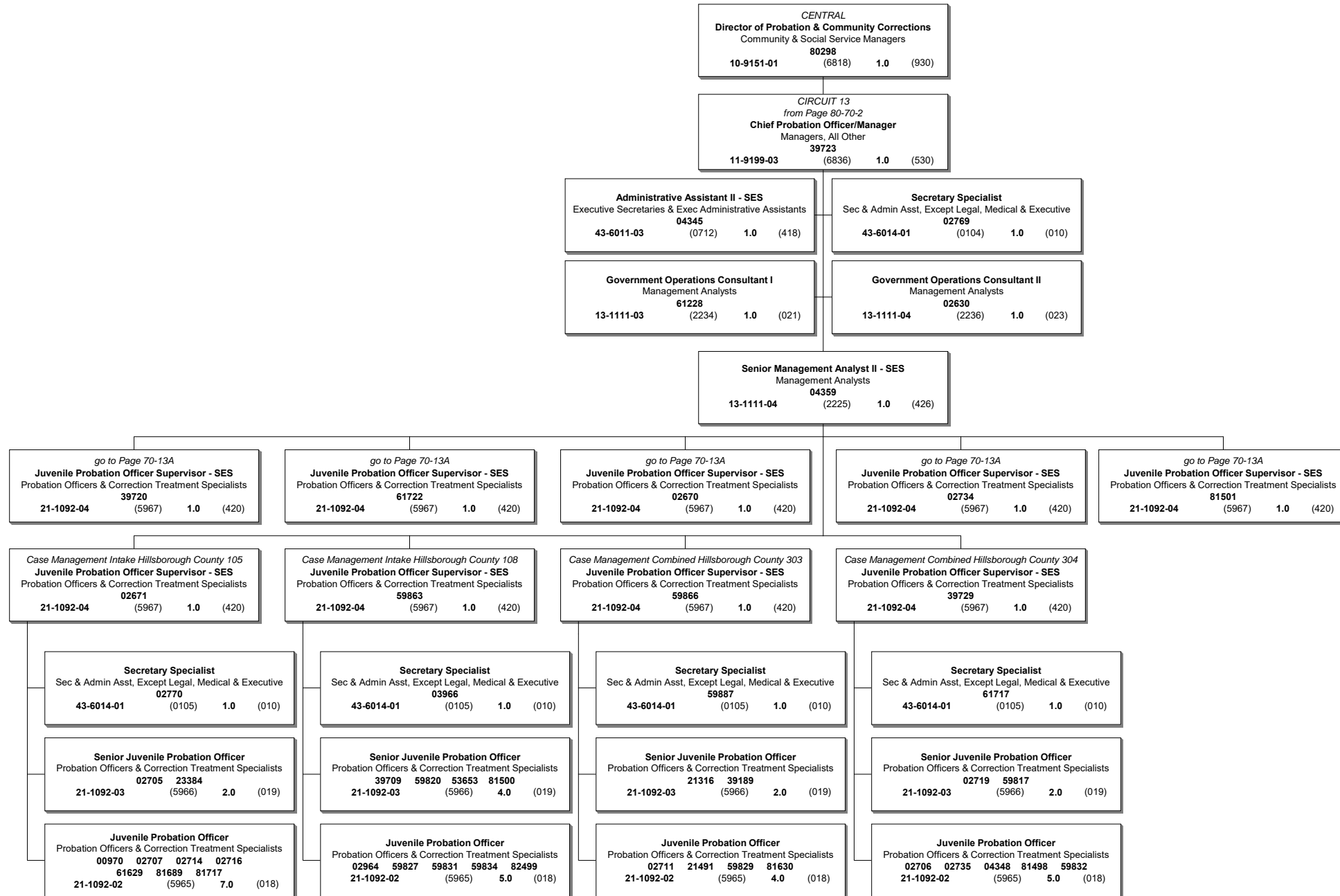












CIRCUIT 13
Chief Probation Officer/Manager
 Managers, All Other
39723
11-9199-03 (6836) 1.0 (530)

from Page 70-13
Senior Management Analyst II - SES
 Management Analysts
04359
13-1111-04 (2225) 1.0 (426)

Case Management Intake Hillsborough County 101
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
39720
21-1092-04 (5967) 1.0 (420)

Case Management Intake Hillsborough County 103
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
61722
21-1092-04 (5967) 1.0 (420)

Case Management Intake Hillsborough County 106
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
02670
21-1092-04 (5967) 1.0 (420)

Case Management Combined Hillsborough County 301
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
02734
21-1092-04 (5967) 1.0 (420)

Case Management Combined Hillsborough County 302
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
81501
21-1092-04 (5967) 1.0 (420)

Senior Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
00989 02691
21-1092-03 (5966) 2.0 (019)

Senior Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
61619 61620
21-1092-03 (5966) 2.0 (019)

Secretary Specialist
 Sec & Admin Asst, Except Legal, Medical & Executive
02678
43-6014-01 (0105) 1.0 (010)

Secretary Specialiss
 Sec & Admin Asst, Except Legal, Medical & Executive
00987
43-6014-01 (0105) 1.0 (010)

Secretary Specialist
 Sec & Admin Asst, Except Legal, Medical & Executive
02675
43-6014-01 (0105) 1.0 (010)

Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
00956 02688 02689 02741
39708 80600 81499
21-1092-02 (5965) 7.0 (018)

Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
02695 02702 23372 61625
61626 61628 80601
21-1092-02 (5965) 7.0 (018)

Senior Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
02725 04484
21-1092-03 (5966) 2.0 (019)

Senior Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
03096 81496
21-1092-03 (5966) 2.0 (019)

Senior Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
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21-1092-03 (5966) 3.0 (019)

Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
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21-1092-02 (5965) 5.0 (018)

Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
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21-1092-02 (5965) 4.0 (018)

Juvenile Probation Officer
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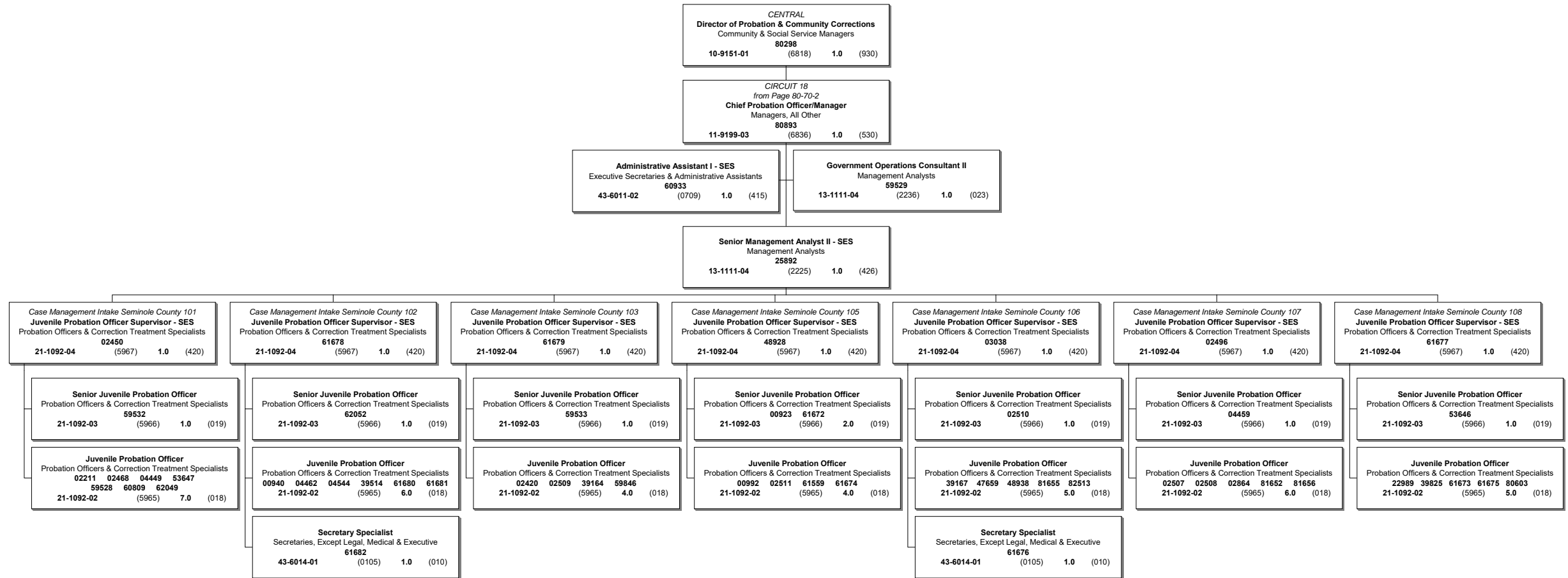


TABLE OF CONTENTS

Director of Probation & Community Corrections South Region Page 80-70-3

CIRCUIT 11

Case Mgmt Intake Miami-Dade County	101	Page 70-11
Case Mgmt Combined Miami-Dade Cty	312, 313, 314	Page 70-11A
Case Mgmt Combined Miami-Dade Cty	319	Page 70-11A
Case Mgmt Combined Miami-Dade Cty	322, 323, 324	Page 70-11B
Case Mgmt Combined Miami-Dade Cty	331	Page 70-11B
Case Mgmt Combined Miami-Dade Cty	327, 332, 333	Page 70-11C
Case Mgmt Combined Miami-Dade Cty	335	Page 70-11C

CIRCUIT 15

Case Mgmt Intake Palm Beach Cty	101, 102	Page 70-15A
Case Mgmt Combined Palm Beach Cty	302, 303, 304	Page 70-15A
Case Mgmt Combined Palm Beach Cty	306, 308	Page 70-15A

CIRCUIT 16

Case Mgmt Combined Monroe County	301, 302	Page 70-16
----------------------------------	----------	------------

CIRCUIT 17

Case Mgmt Intake Broward County	101, 102, 103	Page 70-17A
Case Mgmt Combined Broward County	309, 311, 313	Page 70-17A
Case Mgmt Combined Broward County	321	Page 70-17A
Case Mgmt Combined Broward County	323, 325, 327	Page 70-17B
Case Mgmt Combined Browrad County	331, 332, 333	Page 70-17B

CIRCUIT 19

Case Mgmt Intake St. Lucie County	101	Page 70-19
Case Mgmt Combined Martin County	303	
Case Mgmt Combined Indian River County	304	
Case Mgmt Combined Okeechobee County	305	

CIRCUIT 20

Case Mgmt Intake Collier County	102	Page 70-20
Case Mgmt Combined Hendry County	301	Page 70-20
Case Mgmt Combined Charlotte County	302	Page 70-20
Case Mgmt Intake Lee County	101, 103	Page 70-20A
Case Mgmt Combined Lee County	303, 304, 305	Page 70-20A

Asst. Secretary for Probation & Community Corr.
 Community & Social Service Managers
80003
10-9151-02 (6813) **1.0** (940)

SOUTH REGION
go to Page 80-70 (also Page 2A Headquarters)
Director of Probation & Community Corrections
 Community & Social Service Managers
02588
10-9151-01 (6818) **1.0** (930)

Administrative Assistant II - SES
 Exec Secretaries and Exec Administrative Assistants
40152
43-6011-03 (0712) **1.0** (418)

Secretary Specialist
 Sec & Admin Asst, Except Legal, Medical & Exec
02684
43-6014-01 (0105) **1.0** (010)

CIRCUIT 11 (South Region)
go to Page 70-11
Chief Probation Officer/Manager - DJJ
 Managers, All Other
59601
11-9199-03 (6836) **1.0** (530)

CIRCUIT 15 (South Region)
go to Page 70-15
Chief Probation Officer/Manager - DJJ
 Managers, All Other
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Government Analyst I
 Management Analysts
80116
13-1111-03 (2224) **1.0** (022)

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go to Page 70-16
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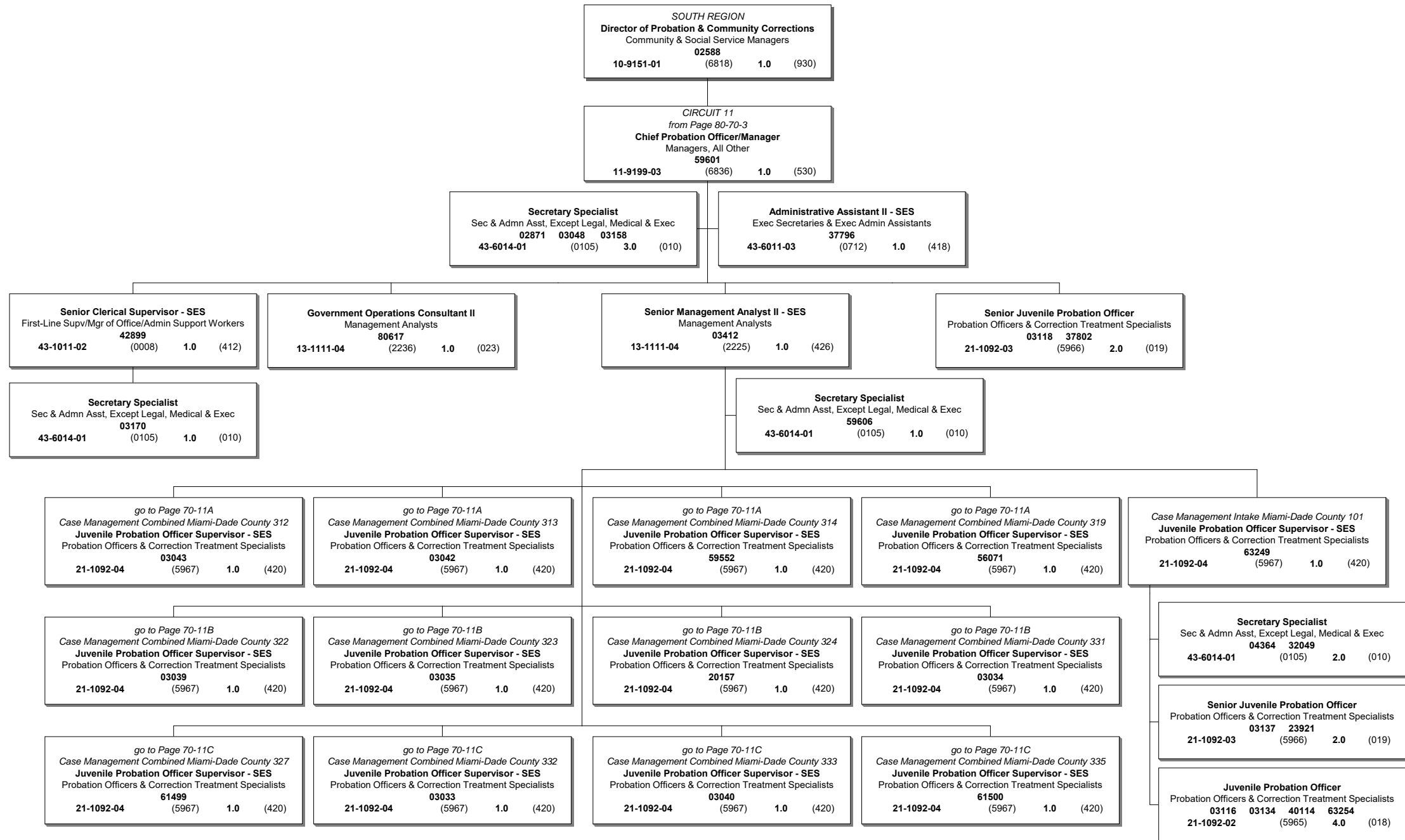
CIRCUIT 17 (South Region)
go to Page 70-17
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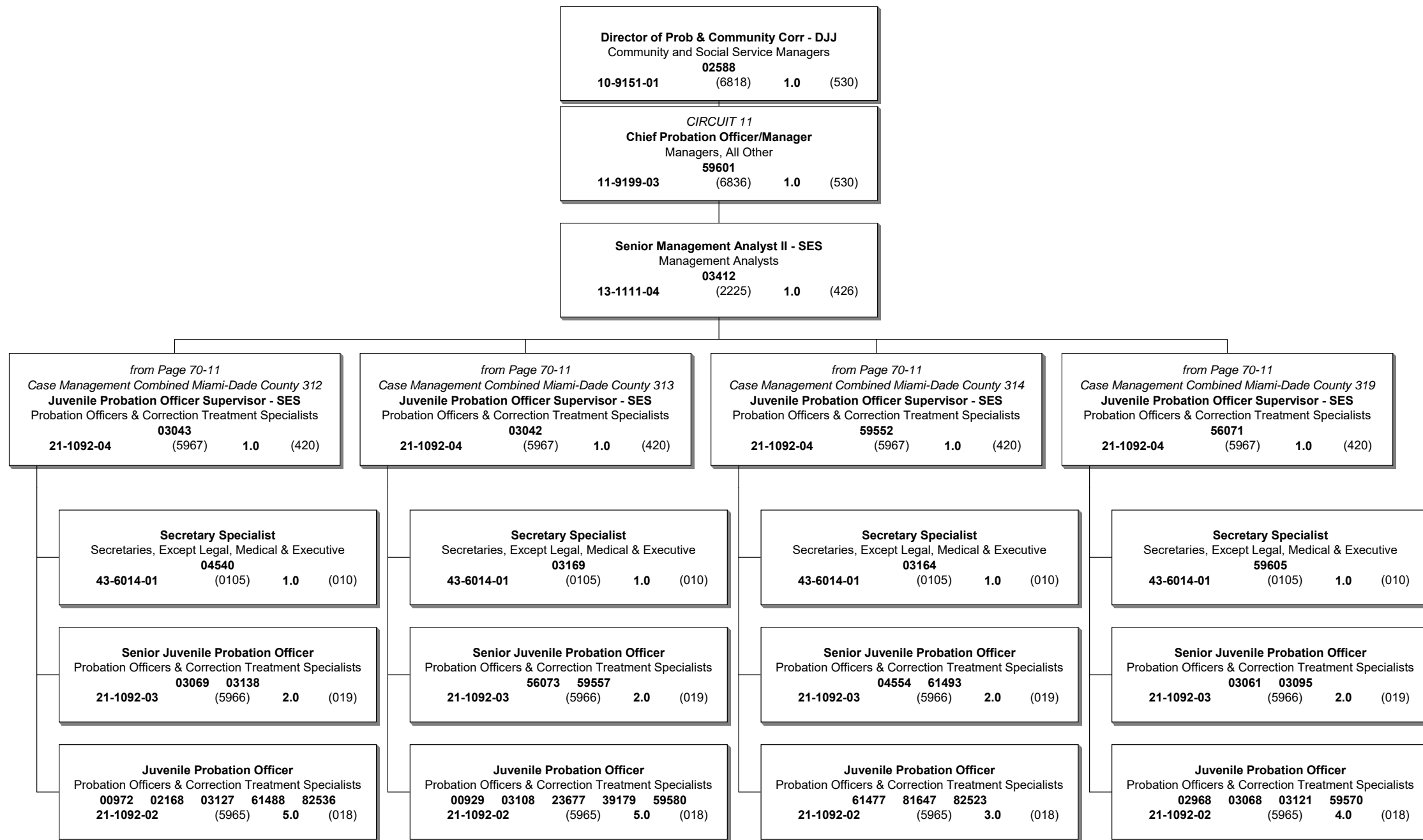
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CIRCUIT 19 (South Region)
go to Page 70-19
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 Managers, All Other
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CIRCUIT 20 (South Region)
go to Page 70-20
Chief Probation Officer/Manager - DJJ
 Managers, All Other
60731
11-9199-03 (6836) **1.0** (530)





CIRCUIT 11
Chief Probation Officer/Manager
 Managers, All Other
59601
11-9199-03 (6836) **1.0** (530)

Senior Management Analyst II - SES
 Management Analysts
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13-1111-04 (2225) **1.0** (426)

from Page 70-11
Case Management Combined Miami-Dade County 322
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 Probation Officers & Correction Treatment Specialists
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from Page 70-11
Case Management Combined Miami-Dade County 323
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
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21-1092-04 (5967) **1.0** (420)

from Page 70-11
Case Management Combined Miami-Dade County 324
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
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from Page 70-11
Case Management Combined Miami-Dade County 331
Juvenile Probation Officer Supervisor - SES
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Secretary Specialist
 Secretaries, Except Legal, Medical & Executive
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Secretary Specialist
 Secretaries, Except Legal, Medical & Executive
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Secretary Specialist
 Secretaries, Except Legal, Medical & Executive
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Secretary Specialist
 Secretaries, Except Legal, Medical & Executive
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Senior Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
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Senior Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
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Senior Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
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 Probation Officers & Correction Treatment Specialists
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Juvenile Probation Officer
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21-1092-02 (5965) **4.0** (018)

Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
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21-1092-02 (5965) **6.0** (018)

CIRCUIT 11
Chief Probation Officer/Manager
 Managers, All Other
59601
11-9199-03 (6836) **1.0** (530)

Senior Management Analyst II - SES
 Management Analysts
03412
13-1111-04 (2225) **1.0** (426)

from Page 70-11
Case Management Combined Miami-Dade County 327
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 Probation Officers & Correction Treatment Specialists
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from Page 70-11
Case Management Combined Miami-Dade County 332
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
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from Page 70-11
Case Management Combined Miami-Dade County 333
Juvenile Probation Officer Supervisor - SES
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from Page 70-11
Case Management Combined Miami-Dade County 335
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Senior Juvenile Probation Officer
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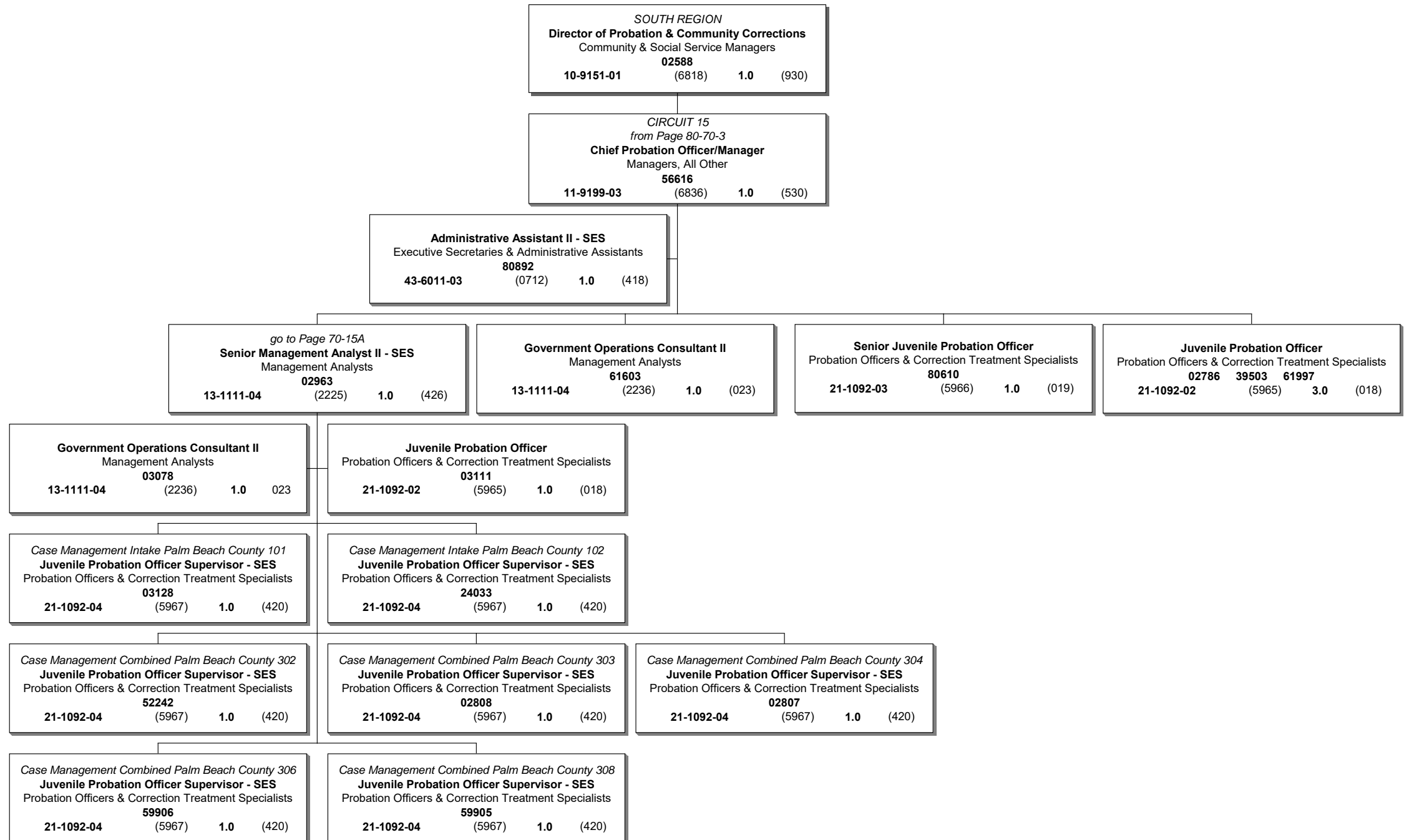
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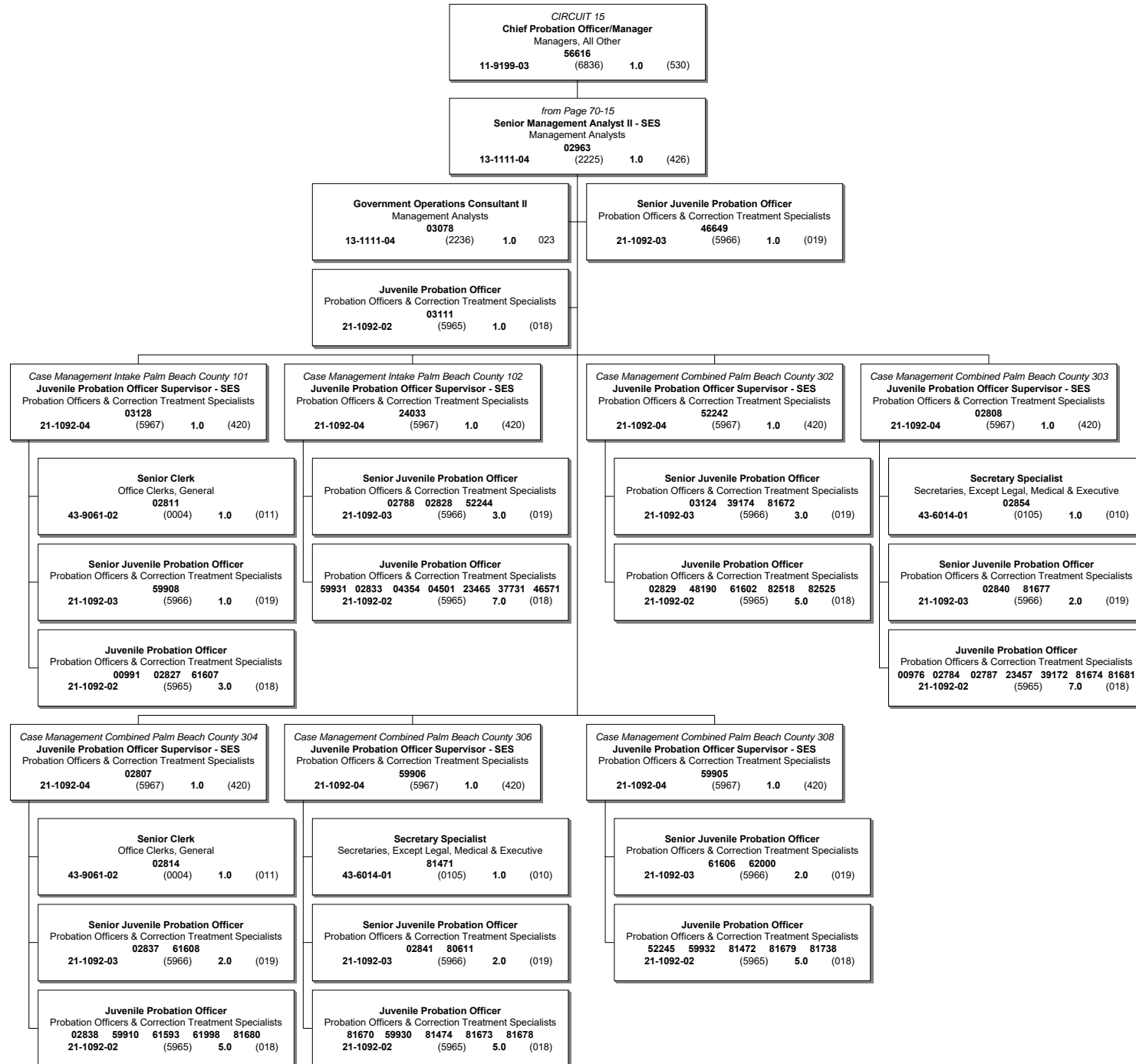
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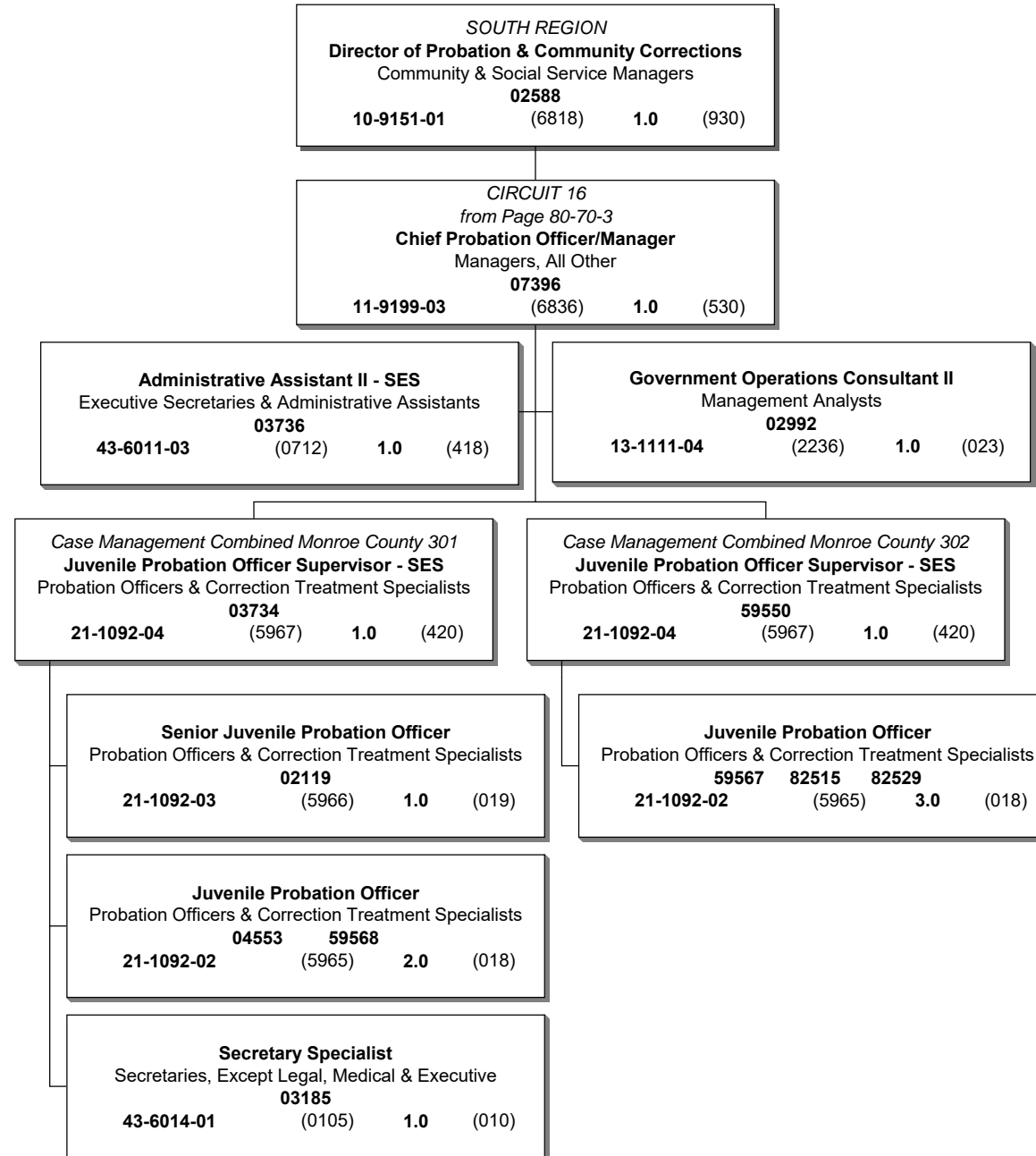
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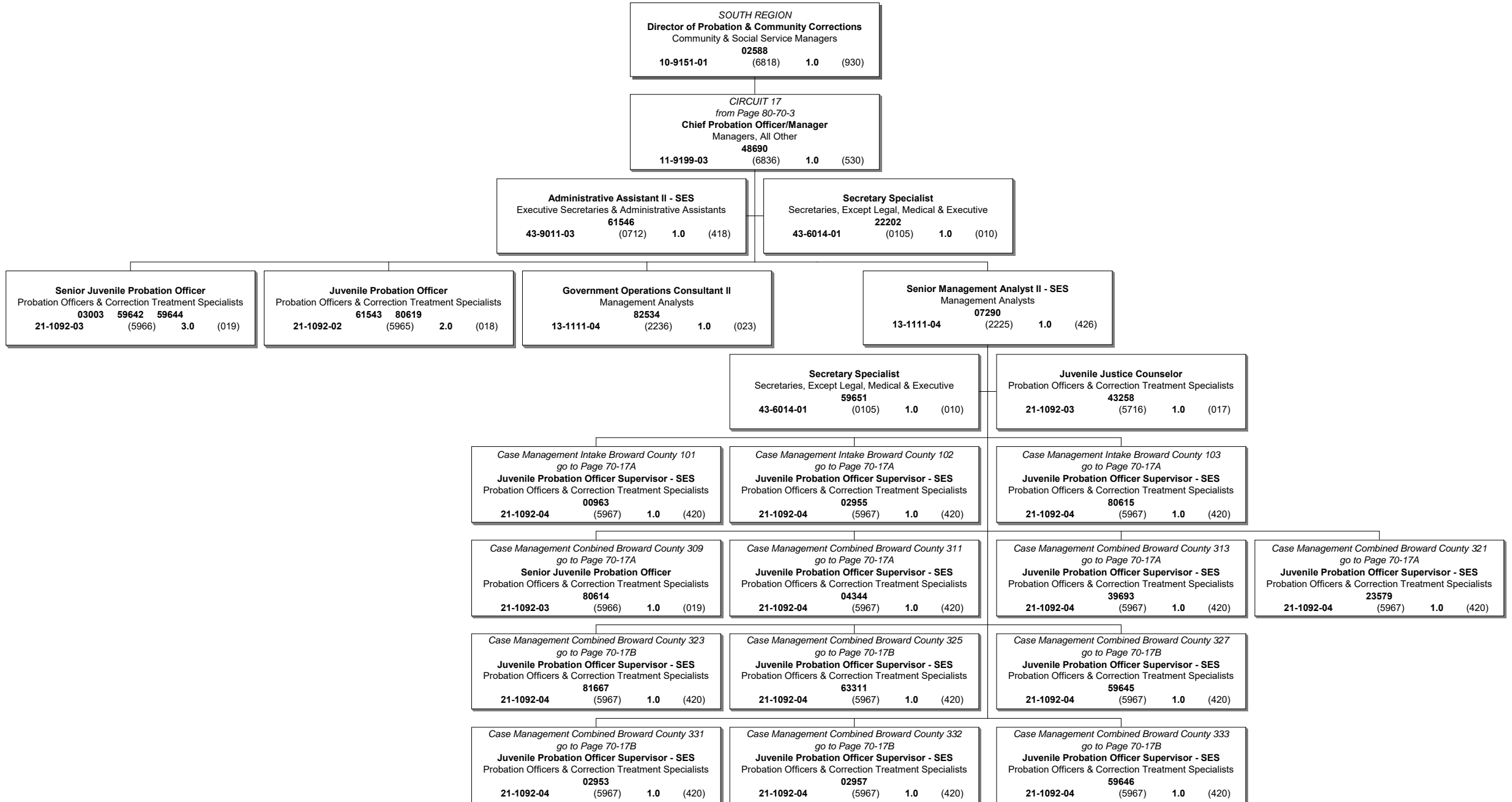
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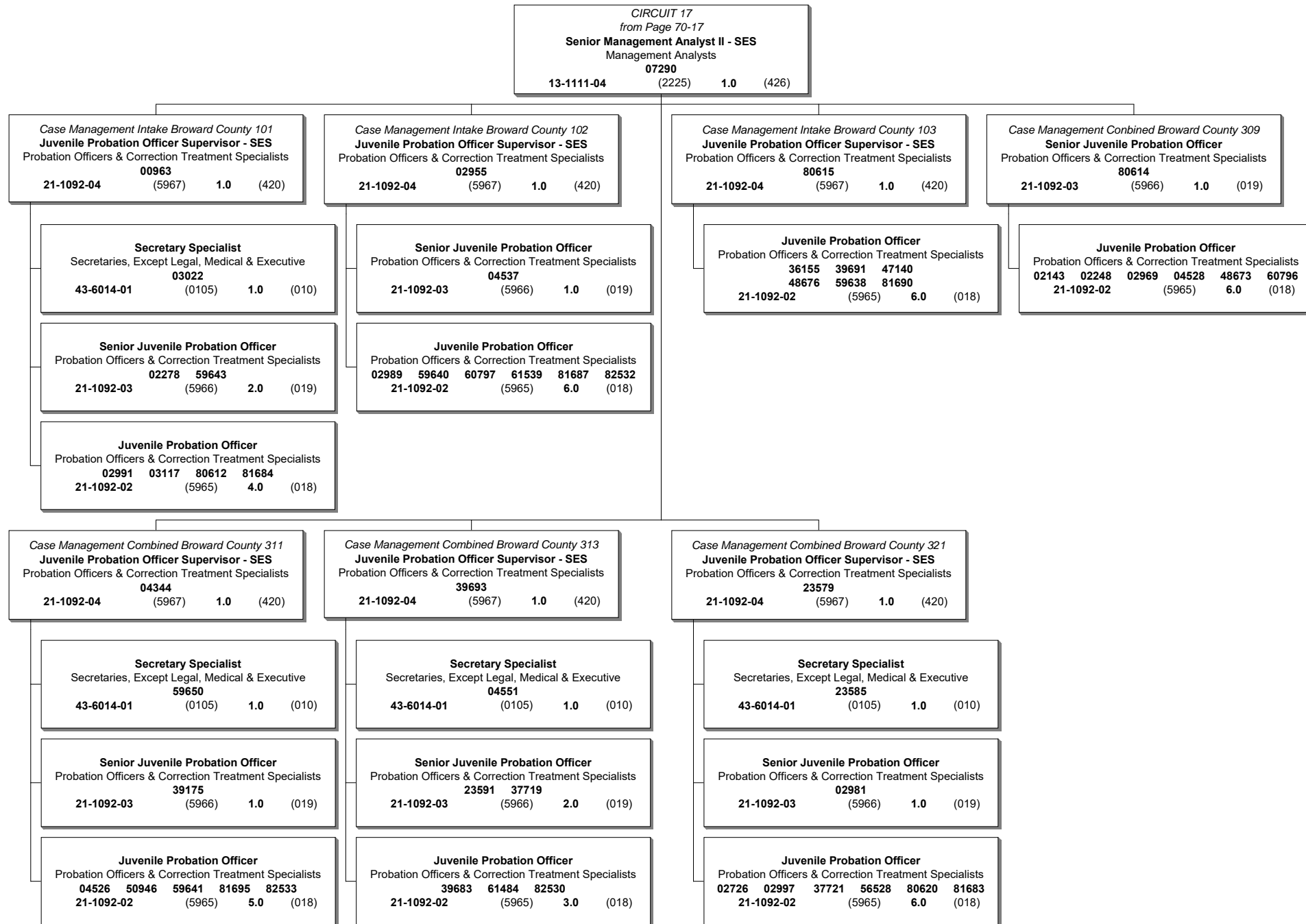
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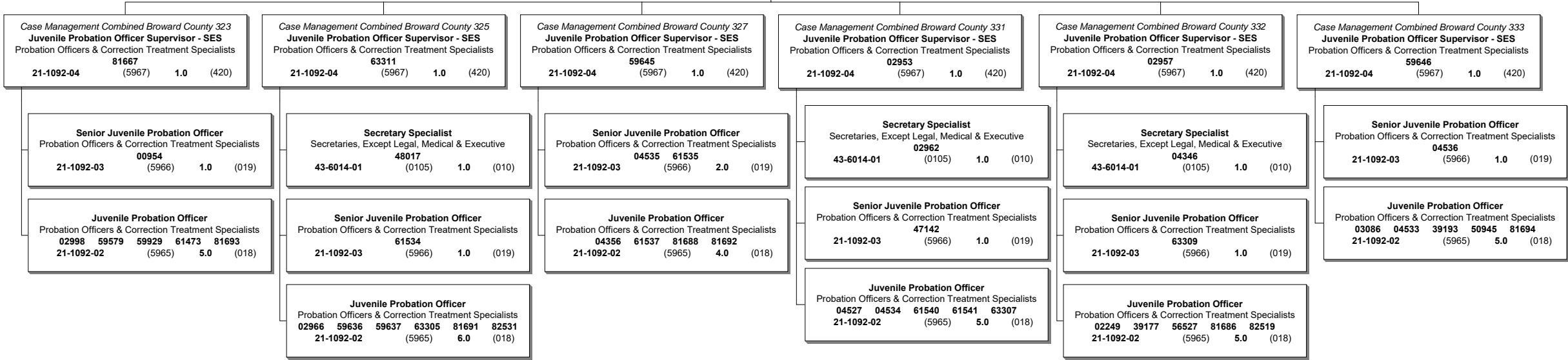


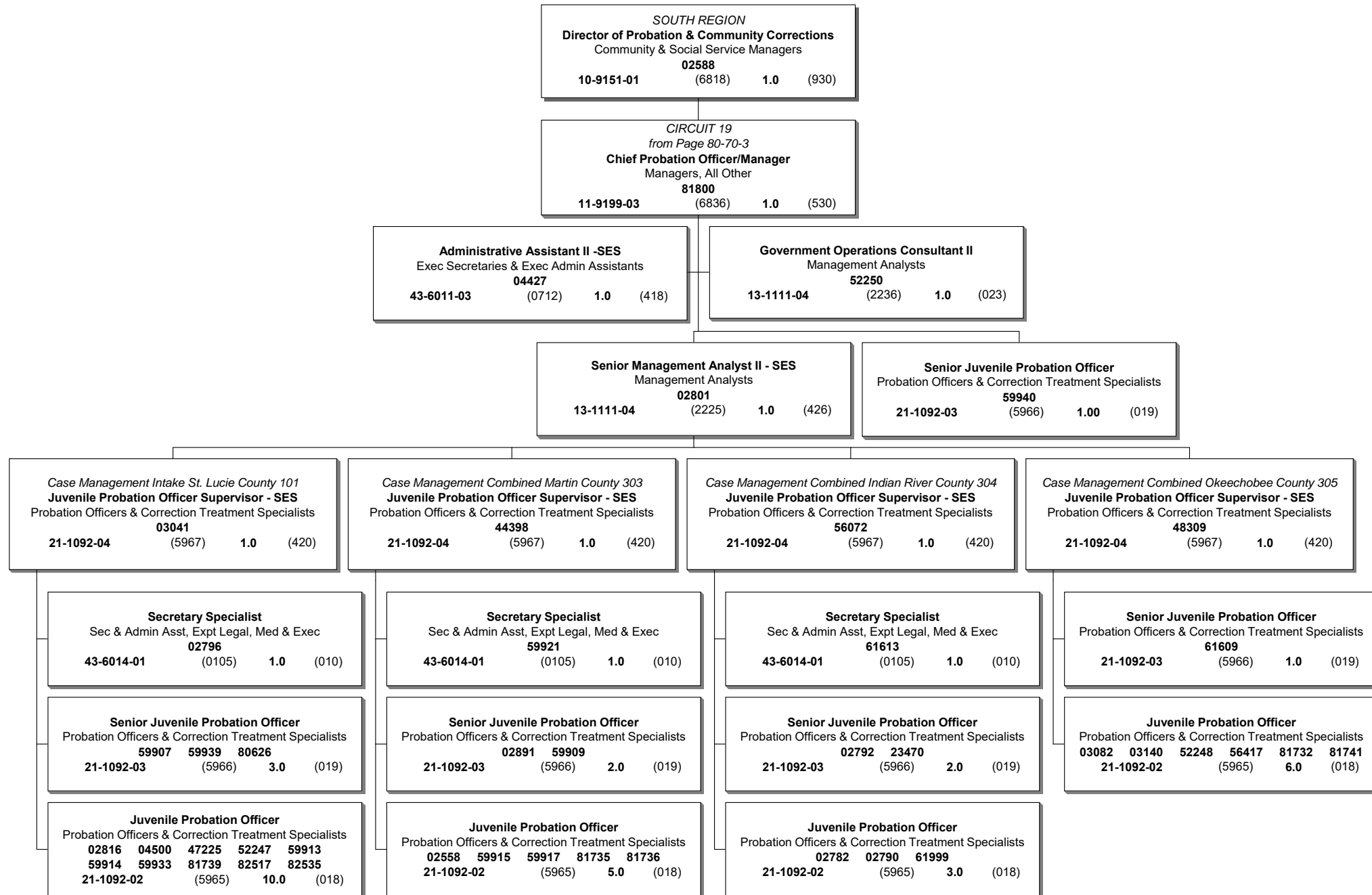






CIRCUIT 17
 from Page 70-17
Senior Management Analyst II - SES
 Management Analysts
 07290
 13-1111-04 (2225) 1.0 (426)





SOUTH REGION
Director of Probation & Community Corrections
 Community & Social Service Managers
02588
10-9151-01 (6818) **1.0** (930)

CIRCUIT 20
from Page 80-70-3
Chief Probation Officer/Manager
 Managers, All Other
60731
11-9199-03 (6836) **1.0** (530)

Administrative Assistant I
 Executive Secretaries & Administrative Assistants
59788
43-6011-02 (0709) **1.0** (015)

Government Operations Consultant II
 Management Analysts
82520
13-1111-04 (2236) **1.0** (023)

Senior Management Analyst II - SES
 Management Analysts
03240
13-1111-04 (2225) **1.0** (426)

Juvenile Probation Officer
 Probation Officers & Correction Treatment Specialists
61587
21-1092-02 (5965) **1.0** (018)

Case Management Intake Lee County 101
go to Page 70-20A
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
02919
21-1092-04 (5967) **1.0** (019)

Case Management Intake Lee County 103
go to Page 70-20A
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
04555
21-1092-04 (5967) **1.0** (019)

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 Probation Officers & Correction Treatment Specialists
46092
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Case Management Combined Lee County 304
go to Page 70-20A
Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
60547
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Case Management Combined Lee County 305
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 Probation Officers & Correction Treatment Specialists
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 Probation Officers & Correction Treatment Specialists
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Juvenile Probation Officer Supervisor - SES
 Probation Officers & Correction Treatment Specialists
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 Probation Officers & Correction Treatment Specialists
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Senior Juvenile Probation Officer
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Juvenile Probation Officer
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04514 63301 81437 82537
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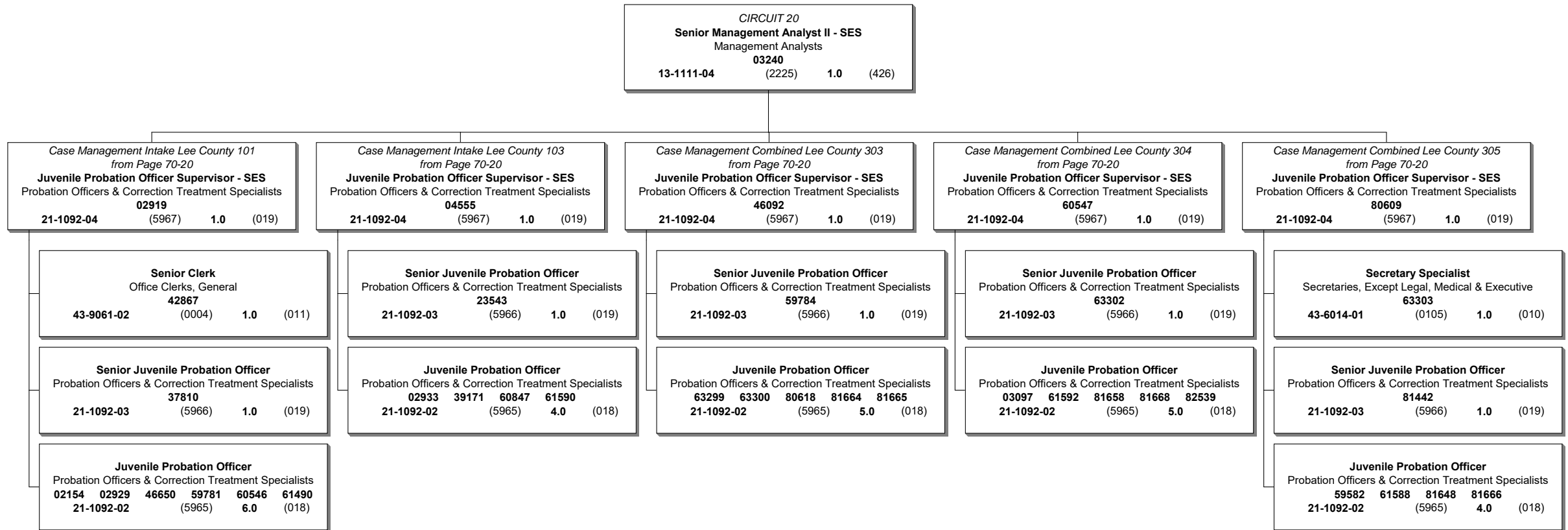


TABLE OF CONTENTS

Assistant Secretary for Residential & Correctional Facilities

North Region

Central Region

South Region

Page 80-80 *(also Page 2B in Headquarters)*

Page 80-80A

Page 80-80B

Page 80-80C

Deputy Secretary - DJJ
 General & Operations Managers
65162
 10-1021-02 (9487) 1.0 (950)

from Page 2
Asst. Sec. for Residential & Corr. Facilities
 Community & Social Service Managers
81808
 10-9151-02 (6815) 1.0 (940)

Government Operations Consultant III
 Management Analysts
57019
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Government Operations Consultant II
 Management Analysts
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Administrative Assistant III - SES
 Exec Secretaries & Exec Administrative Assistants
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NORTH REGION
go to Page 80-80A
Dir. of Residential & Correction Facilities
 Community & Social Service Managers
02437
 10-9151-1 (6819) 1.0 (930)

PREA Coordinator
Program Administrator - SES
 Community & Social Service Managers
82259
 11-9151-02 (5916) 1.0 (425)

Chief of Contract Development & Planning - SES
 Purchasing Managers
00884
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Programs & Policy Coordinator - SES
 General & Operations Manager
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Senior Management Analyst II - SES
 Management Analysts
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CENTRAL REGION
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Dir. of Residential & Correction Facilities
 Community & Social Service Managers
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 General & Operations Managers
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Senior Management Analyst Supervisor - SES
 Management Analysts
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Senior Management Analyst II - SES
 Management Analysts
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SOUTH REGION
go to Page 80-80C
Dir. of Residential & Correction Facilities
 Community & Social Service Managers
02799
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Operations & Management Consultant Manager - SES
 General & Operations Managers
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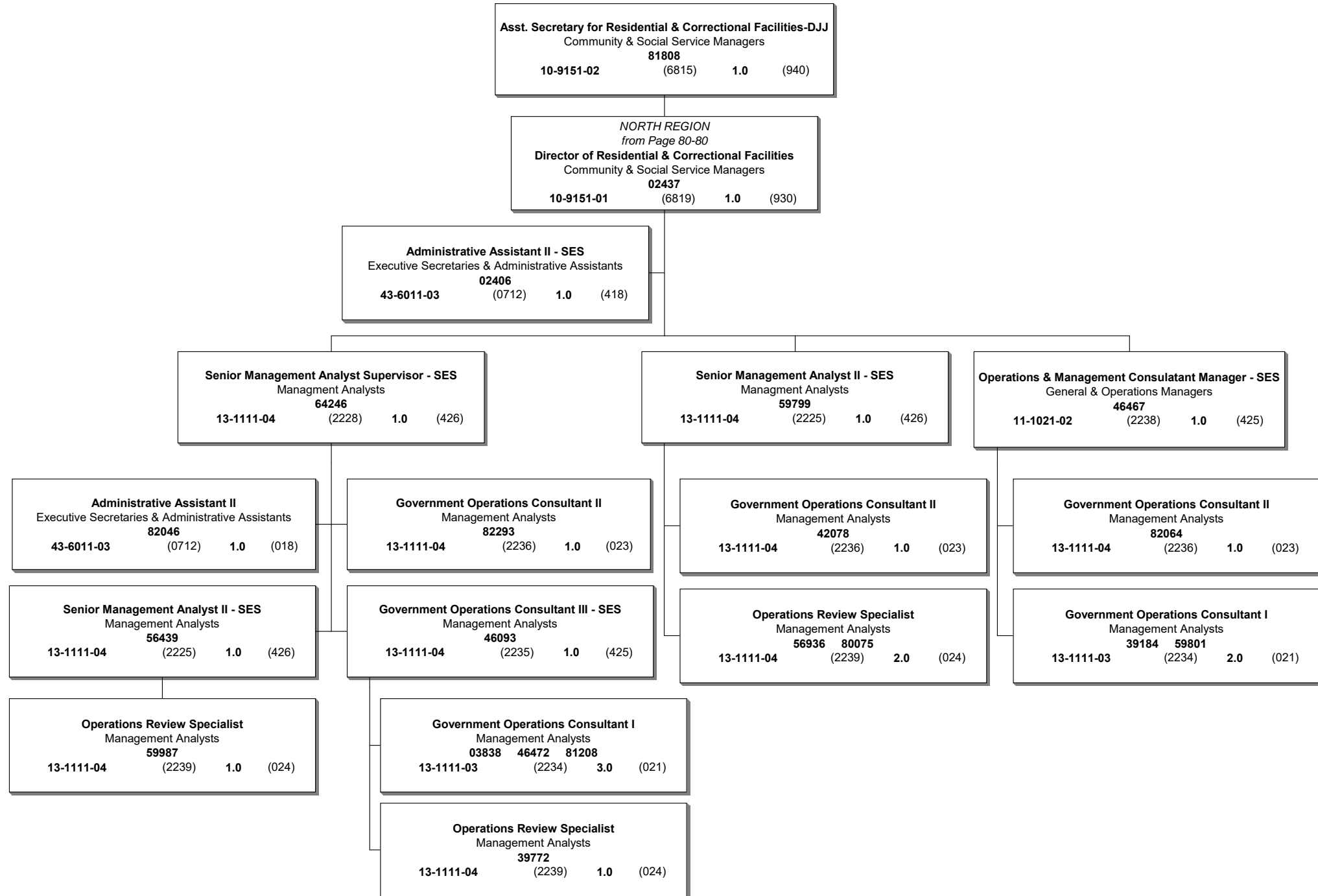
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 Construction Managers
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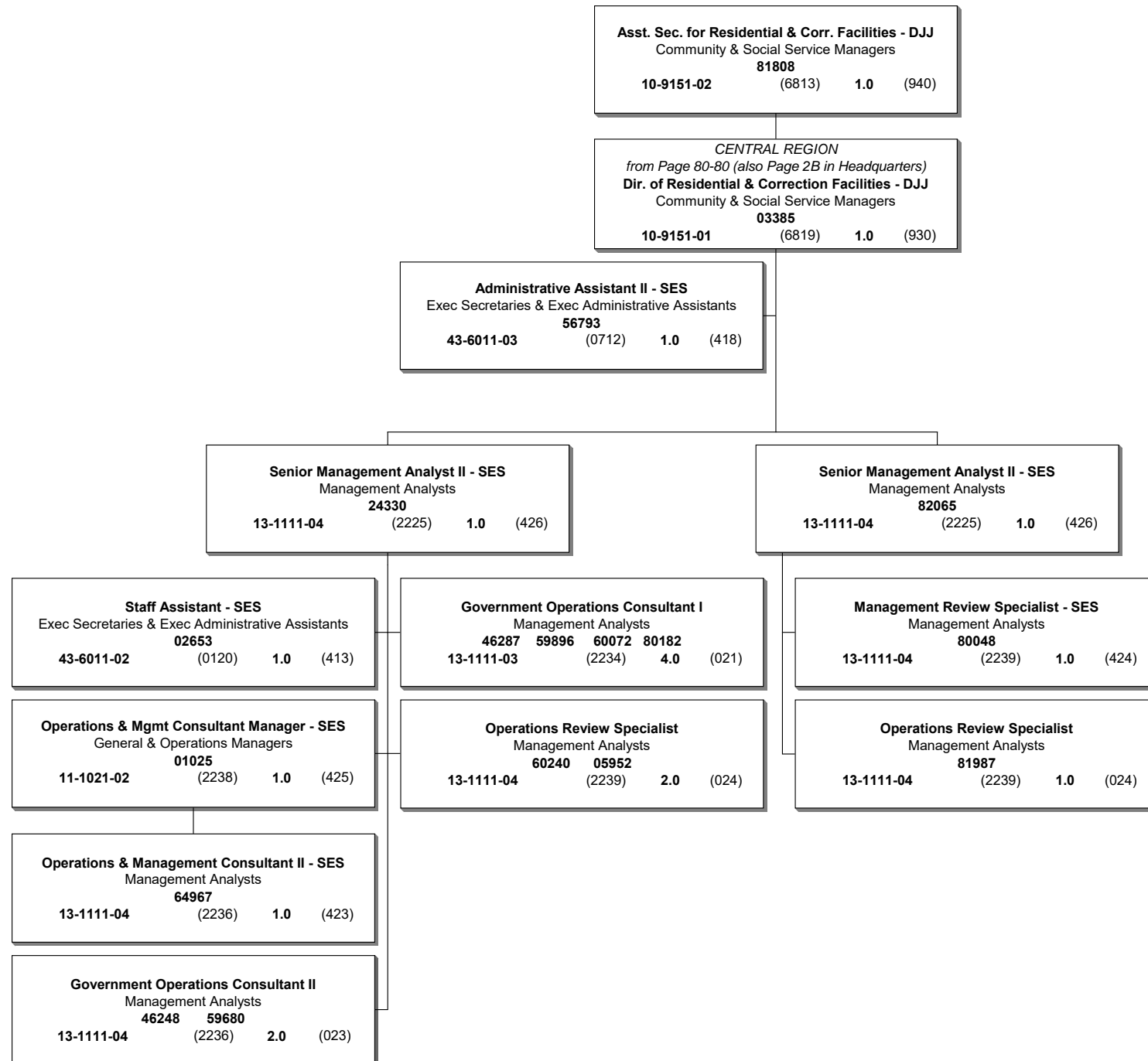
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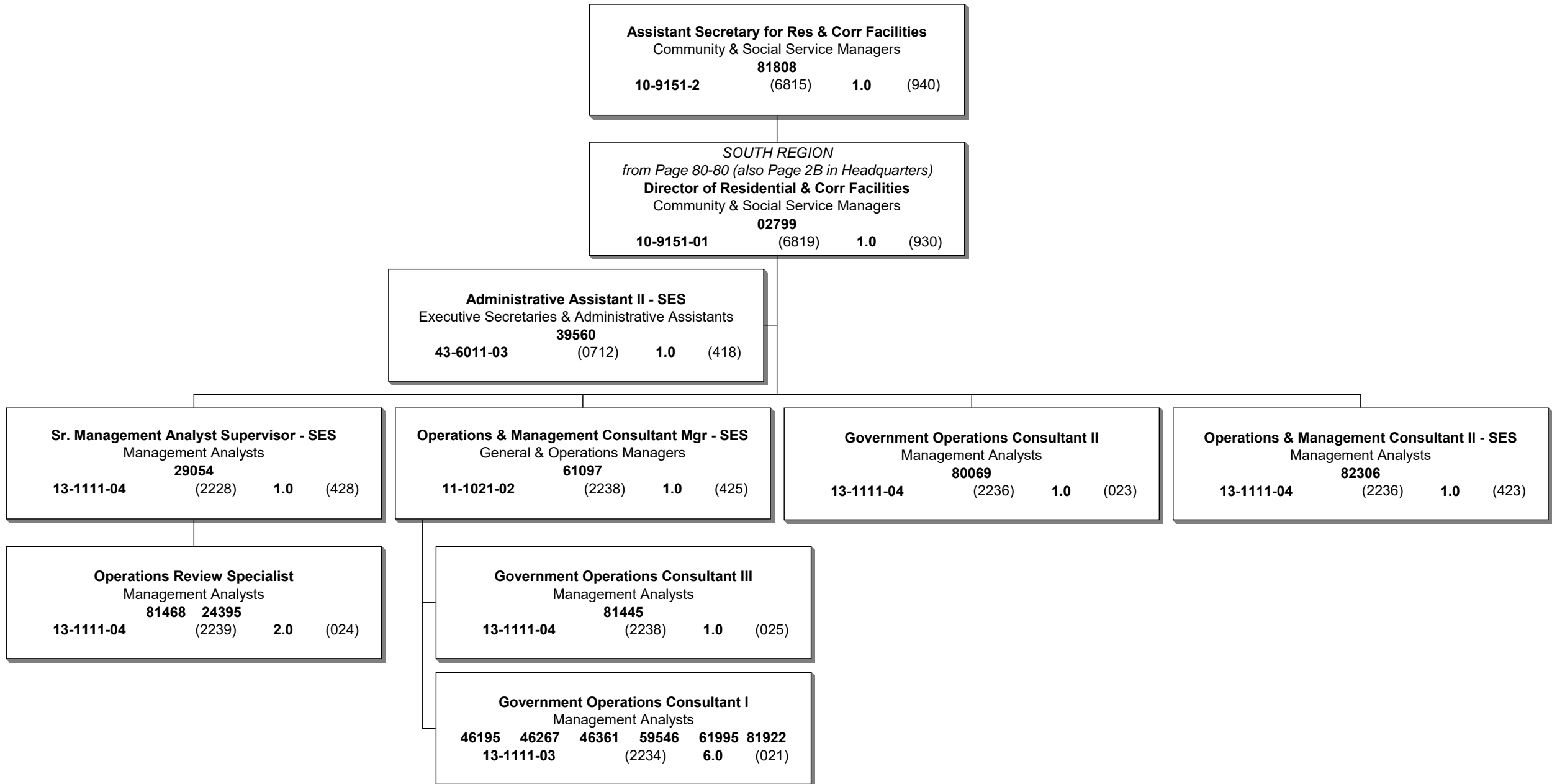
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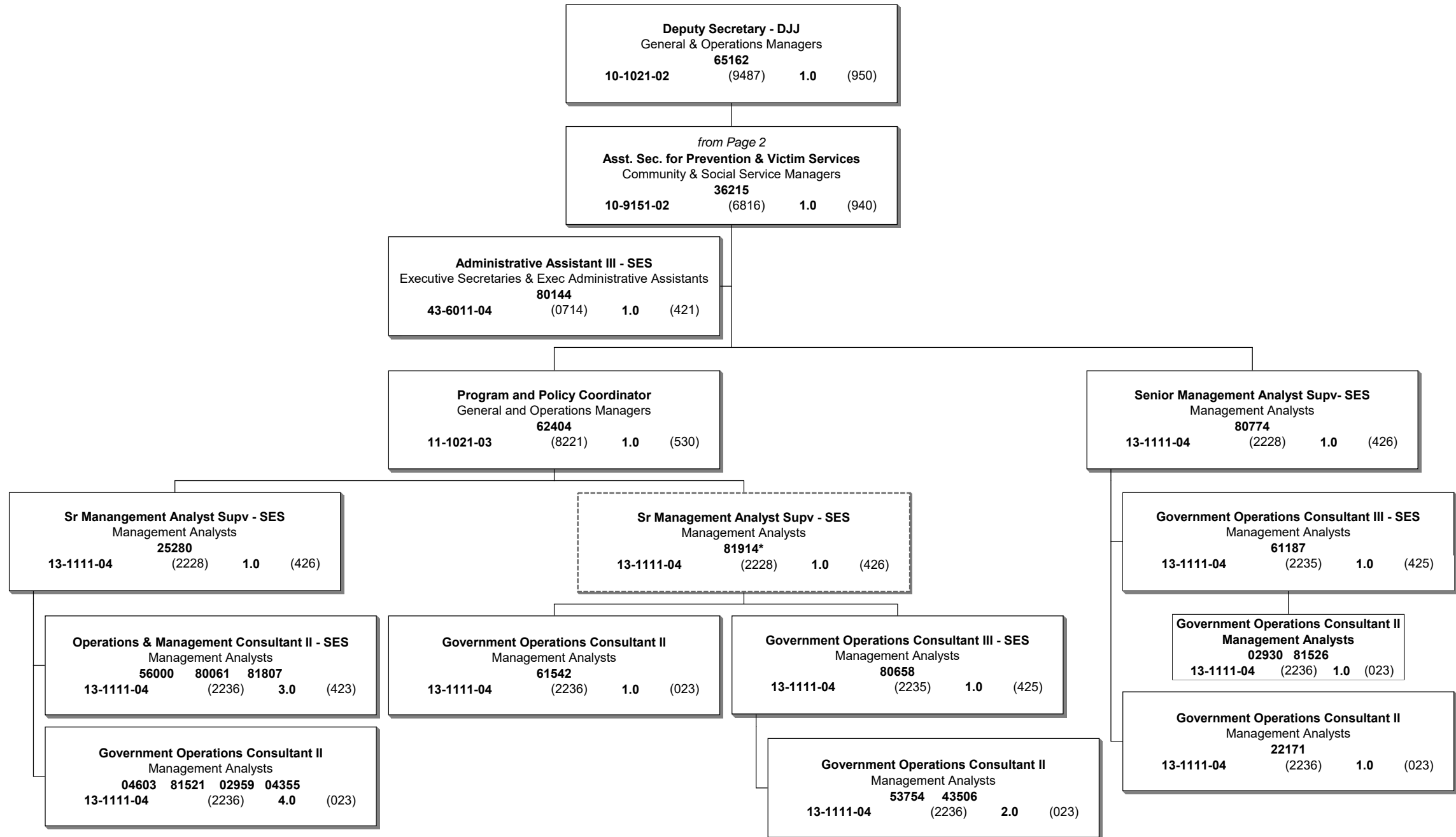
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Government Operations Consultant I
 Management Analysts
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*Funded by Residential

JUVENILE JUSTICE, DEPARTMENT OF		FISCAL YEAR 2016-17			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		537,618,584		8,147,103	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		9,003,140		-175,124	
FINAL BUDGET FOR AGENCY		546,621,724		7,971,979	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
<i>Executive Direction, Administrative Support and Information Technology (2)</i>					7,953,144
Secure Supervision * Number of cases served		33,345	2,817.92	93,963,397	
Health Services * Number of cases served		37,727	406.16	15,323,343	
Mental Health Services * Number of cases served		33,345	88.62	2,955,141	
Food Services * Number of resident days food services are provided		349,874	19.67	6,883,450	
Transportation * Number of miles youth transported		692,427	2.45	1,694,820	
Facilities, Repair Maintenance * Square feet maintained		994,077	2.57	2,551,640	
Counseling And Supervision - Contracted * Number of youth served		8,105	2,992.35	24,253,013	
Counseling And Supervision - State Provided * Number of youth served		42,191	1,577.04	66,537,080	
Juvenile Assessment Center Administration * Number of youth served		22,139	225.74	4,997,568	
Intake And Screening * Number of cases served		64,652	416.64	26,936,876	
Diversion * Number of youth served		16,638	382.73	6,367,810	
Transitional Services * Number of youth served		2,185	5,264.67	11,503,296	
Redirection Services * Number of youth served		1,730	3,553.86	6,148,174	
Sex Offender Treatment * Number of youth served		539	10,212.04	5,504,287	
Mental Health Treatment * Number of youth served		4,382	2,551.26	11,179,634	
Substance Abuse Treatment * Number of youth served		2,489	8,895.54	22,140,996	
Care And Custody * Number of youth served		4,382	28,669.14	125,628,152	
Behavioral Training And Life Skills * Number of youth served		4,382	834.19	3,655,416	
Vocational Training * Number of youth served		4,382	610.56	2,675,463	
Secure Children-in-need-of-services / Families-in-need-of-services * Number of youth served		4,302	8.72	37,500	
Non-secure Children-in-need-of-services / Families-in-need-of-services * Number of youth served		10,513	3,516.13	36,965,082	
Female Diversion Programs * Number of youth served		2,634	7,234.66	19,056,099	
School Attendance * Number of youth served		496	605.34	300,248	
Violence Reduction * Number of youth served		1,393	1,590.28	2,215,260	
Afterschool Programming * Number of youth served		3,030	605.19	1,833,711	
Central Communications Center * Number of incidents received and logged for review		7,902	79.57	628,739	
Juvenile Justice System Improvements * Number of programs impacted		20	133,583.95	2,671,678	
TOTAL				504,607,873	7,953,144
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER					
REVERSIONS				42,013,979	18,835
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				546,621,852	7,971,979

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

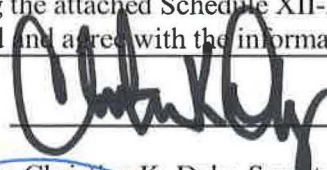


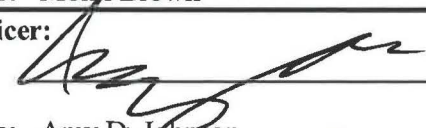
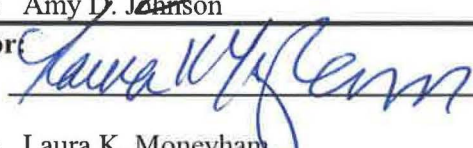
(1) Some activity unit costs may be overstated due to the allocation of double budgeted items.

(2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.

(3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.

(4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

**SCHEDULE 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 Juvenile Justice	Schedule XII-B Submission Date: September 15, 2017
Project Name: Major Outsourcing and Privatization Initiatives	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2018-2019 LBR Issue Code: N/A	FY 2018-2019 LBR Issue Title: N/A
Agency Contact for Schedule XII-B (Name, Phone #, and E-mail address): Monti Brown, (850) 717-2401, Miriam.Brown@djj.state.fl.us	
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: 8/28/17
Printed Name: Christina K. Daly, Secretary	
Agency Chief Information Officer: (If applicable) 	Date: 8/15/17
Printed Name: Dennis E. Hollingsworth	
Budget Officer: 	Date: 8/14/17
Printed Name: Monti Brown	
Planning Officer: 	Date: 8/18/17
Printed Name: Amy D. Johnson	
Project Sponsor: 	Date: 8/18/17
Printed Name: Laura K. Moneyham	

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

Background Information	
1.	<p>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>Please refer to the business plan previously submitted from the Department of Juvenile Justice, Residential Services, which affected the agency’s decision to privatize all five remaining state-operated facilities by July 1, 2013.</p>	
2.	<p>Have the anticipated cost savings and benefits of the initiative been realized? Explain.</p> <p>In the fourth full year of privatization, the amount budgeted was \$8,653,151 and the total expended was \$8,555,221. The total cost savings from the fourth year’s budget was \$744,779. The anticipated cost savings from the initial funding was \$2.1 million. Therefore, the actual cost savings from privatizing all remaining residential facilities was less than the amount anticipated.</p>
3.	<p>Provide a narrative description of the competitive solicitation used to outsource or privatize the service or activity.</p> <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.</p>
<p>The Department of Juvenile Justice, Residential Services, used an Invitation to Negotiate (ITN) process. Please refer to the links in FACTS that are provided below for the documents used for competitive procurement:</p> <ul style="list-style-type: none"> • 10079 - https://facts.fldfs.com/Search/ContractDetail.aspx?AgencyId=800000&ContractId=10079 • 10092 – https://facts.fldfs.com/Search/ContractDetail.aspx?AgencyId=800000&ContractId=10092 • 10094 – https://facts.fldfs.com/Search/ContractDetail.aspx?AgencyId=800000&ContractId=10094 • 10098 – https://facts.fldfs.com/Search/ContractDetail.aspx?AgencyId=800000&ContractId=10098 <p>Click on the “Documents” tab</p>	
4.	<p>Section 287.057(13)(a), <i>Florida Statutes</i>, 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.</p>

<p>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.</p>
<p>The contracts executed for the non-secure residential programs have not yet expired. The contract numbers and end dates are as follows:</p> <ul style="list-style-type: none"> • #10079-Escambia Boys Base will end May 31, 2018; • #10098-Les Peters Academy will end June 30, 2018; • #10092-Charles Britt Academy will end June 30, 2018; and • #10094-Duval Academy will end June 30, 2018.
<p>5. For the outsourced or privatized service or activity, has the contractor satisfactorily complied with all service level requirements? Provide a 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.</p>
<p>The Bureau of Monitoring and Quality Improvement (MQI) is responsible for the assessment of program compliance in areas such as management, operations, and service delivery. The goal of MQI is to accurately and effectively determine the level of performance and quality of services at which juvenile justice programs achieve the Department’s mission. The Bureau performs routine oversight activities to ensure contracted providers meet performance expectations for services provided to and in support of youth in DJJ’s care. Activities include verification that all contractual requirements and operational standards are met; highlighting progress that is made over time or used to record areas of needed improvement; coordination and assignment of skilled resources to monitor services; and coordination of all monitoring activities to meet monitoring objectives in the most efficient manner. A list of reports, resources, and trainings are available online at http://www.djj.state.fl.us/partners/QI.</p> <p>Residential contracts are required to adhere to standards, which are found online at http://www.djj.state.fl.us/partners/QI/resources. Click on the link for “Residential Standards.”</p> <p>The “Overall Rating Summary” for each of the privatized residential programs is found online at http://www.djj.state.fl.us/partners/QI/reports. Please refer to the Monitoring Tool that is available at http://www.djj.state.fl.us/docs/department-forms/administrative-monitoring-tool-combined.doc?sfvrsn=0.</p> <p>For each indicator that did not achieve full compliance, a corrective action was required and subsequent verification monitoring confirmed that all indicators were met.</p>
<p>6. Describe any unexpected benefits from outsourcing or privatization of the service or activity.</p>
<p>We have not realized any unexpected benefits of privatization.</p>
<p>7. Describe any unexpected problems or issues with the outsourcing or privatization of the service or activity.</p>
<p>Privatization was finalized by July 1, 2013. As the Department has completed the fourth full year of services, any issues or deficiencies that occurred have been resolved through closely monitoring all programs through DJJ staff that includes the Office of Residential Services and the Bureau of Monitoring and Quality Improvement.</p>

8. Briefly describe your agency's overall level of satisfaction with the results of outsourcing or privatization of the service or activity.
Privatization was finalized by July 1, 2013. Programs developed as a result of privatization are performing in accordance with DJJ rules, guidelines and policies. When non-adherence occurs, the programs have been responsive and have corrected any and all deficiencies.
9. What lessons learned should be shared with other agencies considering the outsourcing or privatization of a similar service or activity?
We have no new information to share that was not provided with the first report submitted last year.

Attachment 1

Department of Juvenile Justice
Transition of State Operated Residential Programs to
Private Provider Operation

EXECUTIVE SUMMARY:

The state of Florida has approximately 3,000 residential beds for the continued care of delinquent youth committed to the custody of the Department of Juvenile Justice. Of this number, 156 beds (5%) are operated by the state while the vast majority (95%) are operated by private providers who contract with the Department. The privatization of residential services has taken place over a number of years but has accelerated considerably over the past two years with legislative mandated bed reductions being made exclusively to state operated facilities. With the legislative intent to privatize these services along with the department's goal of providing services to youth in the most efficient and least disruptive way possible, the business plan is to privatize the remaining beds in an orderly and planned fashion. This will ensure continuation of needed services for youth, allow time for the department to address the incumbent employment issues, and provide a documented cost savings to the state.

There are five remaining state operated residential programs: Pensacola Boys Base Halfway House, Duval Halfway House, Britt Halfway House, Les Peters Halfway House, and the Falkenburg Juvenile Correctional Facility – Mental Health. The total current year budget for all five facilities is \$15.5 million. The projected first full year private provider cost is \$13 million plus a potential \$0.8 million in costs related to state employee leave payouts. The second full year of the contracts would reduce to \$12 million as the private providers become eligible for behavior health overlay services reimbursement. Overall, the proposed action will provide \$1.75 million in reduced residential costs in the first full year of operation and \$3.5 million in annual recurring reduced costs in the second year and beyond.

The Department of Juvenile Justice plans, with Legislative approval, to reinvest these savings into prevention services, community-based interventions, as well as and increasing the availability of transitional services such as vocational programming, education, employment, transitional housing and transportation. This represents one of the department's primary strategies in its Roadmap to System Excellence.¹

¹ See <http://www.djj.state.fl.us/roadmap-to-system-excellence>.

BENCHMARKING – DESCRIBING CURRENT SERVICE

Chapter 985.601(1) directs the department to “plan, develop, and coordinate comprehensive services and programs statewide for the prevention, early intervention, control, and rehabilitative treatment of delinquent behavior.” Chapter 985.601 (3)(a) directs the department to “develop or contract for diversified and innovative programs to provide rehabilitative treatment, including early intervention and prevention, diversion, comprehensive intake, case management, diagnostic and classification assessments, individual and family counseling, shelter care, diversified detention care emphasizing alternatives to secure detention, diversified probation, halfway houses, foster homes, community-based substance abuse treatment services, community-based mental health treatment services, community-based residential and nonresidential programs, mother-infant programs, and environmental programs. Each program shall place particular emphasis on reintegration and conditional release for all children in the program.”

Chapter 985.03(46), sections (a)-(e) define the restrictiveness levels of commitment, ranging from minimum-risk residential programs to maximum risk residential programs.

Chapter 985.644(1) provides “The department may contract with the Federal Government, other state departments and agencies, county and municipal governments and agencies, public and private agencies, and private individuals and corporations in carrying out the purposes of, and the responsibilities established in, this chapter.”

As of October 3, 2012 the department had an operating capacity of 2969 residential beds separated into 104 programs. Currently ninety five percent (95%) of all commitment facilities are contracted with private vendors and five percent (5%) are state operated. The five state-operated programs are as follows:

- Pensacola Boys Base Halfway House:

This is a moderate risk program for boys ages 14-18 that require mental health overlay services. In FY 11/12, this was a 28-bed facility. In FY 12/13 the capacity was reduced to 20 beds. In FY 11/12, the facility had 23 FTEs and has 21 FTEs for FY 12/13. The direct care and supervision of youth is provided by state employees and the mental health, medical and food services are contracted with private vendors. The total budget for FY 12/13 including Grants and Aids Contracted Services is \$1,710,802 (Risk Management insurance is excluded since it is based on past exposure and is therefore a continuing cost). Of the 21 current FTEs, 21 are filled and include the following position types: Residential Officer/ Counselor; Counselor Supervisor; Social Services Counselor; Staff Assistant; Maintenance Mechanic; Assistant Superintendent; Facility Superintendent. 7 staff have less than 6 years of service, 8 staff have 6-15 years of service, 6 staff have 15-25 years of service, and 0 have 25-30 years of service.

The program demonstrated performance measures within expected ranges, including a FY 11/12 QA rating of “81%--Commendable” and for FY 12/13 they achieved a “Satisfactory Compliance” in all but one indicator. The program achieved limited compliance in tool

management, which was immediately rectified by the program. The FY 11/12 Comprehensive Accountability Report (CAR) indicates that for FY 09/10, the program released 54 youth who had a recidivism rate of 29%.

- Duval Halfway House:

This is a moderate risk program for boys ages 14-18 that require mental health overlay services. In FY 11/12, this was a 28-bed facility. In FY 12/13 the capacity was reduced to 20 beds. In FY 11/12, the facility had 26.5 FTEs and has 23.5 FTEs for FY 12/13. The direct care/supervision of youth and food services are provided by state employees and the mental health and medical services are contracted with private vendors. The total budget for FY 12/13 including Grants and Aids Contracted Services is \$1,658,998. Of the 23.5 current FTEs, 22.5 are filled and include the following position types: Residential Officer/ Counselor; Recreation Therapy Analyst; Counselor Supervisor; Social Services Counselor; Staff Assistant; Maintenance Mechanic; Food Support Worker; Food Production Supervisor; Assistant Superintendent; Facility Superintendent. 12 staff have less than 6 years of service, 9 staff have 6-15 years of service, 2 staff have 15-25 years of service, and 0 have 25-30 years of service.

The program demonstrated performance measures within expected ranges, including a FY 11/12 QA rating of "75%--Acceptable Rating". The FY 12/13 QI report has not yet been completed; however the program failed four (4) indicators (In-service Training, Delinquency Intervention Services, Safety Agreements for Outside Contractors, and Behavioral Management Monitoring) that the program is developing a corrective action plan for. The FY 11/12 Comprehensive Accountability Report (CAR) indicates that for FY 09/10, the program released 57 youth who had a recidivism rate of 51%.

- Britt Halfway House:

This is a moderate risk program for boys ages 14-18 that require substance abuse treatment overlay services. This is a 28-bed facility. The total number of FTEs for FY 11/12 and FY 12/13 is 35. All services are provided by state employees including direct care and supervision, case management, substance abuse treatment, mental health treatment, medical, and food services. The total budget for FY 12/13 including Grants and Aids Contracted Services is \$1,909,016. Of the 35 FTEs, 32 are filled and include the following position types: Residential Officer/ Counselor; Counselor Supervisor; Social Services Counselor; Behavioral Specialist; Senior Behavioral Specialist; Registered Nurse Specialist; Maintenance Mechanic; Food Support Worker; Food Production Supervisor; Secretary Specialist; Assistant Superintendent; Facility Superintendent. 16 staff have less than 6 years of service, 11 staff have 6-15 years of service, 3 staff have 15-25 years of service, 0 have 25-30 years of service, and 2 have more than 30 years of service.

The program demonstrated performance measures within expected ranges, including achieving "Satisfactory Compliance" in all but two indicators. The program achieved limited

compliance in Transportation and Medication Administration, which were immediately rectified by the program. The program has not a FY 12/13 QI site visit, as of this writing. The FY 11/12 Comprehensive Accountability Report (CAR) indicates that for FY 09/10, the program released 46 youth who had a recidivism rate of 43%.

- Les Peters Halfway House:

This has been a 28-bed moderate risk program for boys ages 14-18 that require substance abuse treatment services overlay services. Effective 10/1/12, the program is being redesigned to be a 24 bed “step-down” program for youth from the Falkenburg Juvenile Correctional Facility – Mental Health providing the same level of intensive mental health services but at a non-secure risk level allowing these youth to successfully transition back into the community. The total number of FTEs for FY 11/12 and FY 12/13 is 34.5. All services are provided by state employees including direct care and supervision, case management, substance abuse treatment, mental health treatment, medical, and food services. The total budget for FY 12/13 including Grants and Aids Contracted Services is \$1,982,926. Of the 34.5 FTEs, 32.5 are filled and include the following position types: Residential Officer/ Counselor; Counselor Supervisor; Social Services Counselor; Behavioral Specialist; Senior Behavioral Specialist; Registered Nurse Specialist; Maintenance Mechanic; Food Support Worker; Food Production Supervisor; Secretary Specialist; Assistant Superintendent; Facility Superintendent. 11 staff have less than 6 years of service, 15 staff have 6-15 years of service, 3 staff have 15-25 years of service, 2 have 25-30 years of service and 2 have more than 30 years of service.

The program demonstrated performance measures within expected ranges, including a FY 11/12 QA rating of “81%--Commendable” and for 12/13 achieved “Satisfactory Compliance” in all but one indicator. The program achieved limited compliance in tool management, which was immediately rectified by the program. The FY 11/12 Comprehensive Accountability Report (CAR) indicates that for FY 09/10, the program released 42 youth who had a recidivism rate of 44%.

- Falkenburg Juvenile Correctional Facility – Mental Health :

This is a high risk program for boys ages 14-18 that require intensive mental health and substance abuse treatment services. In FY 11/12, this was a 70-bed facility. In FY 12/13 the capacity was reduced to 60 beds. In FY 11/12, the facility had 125 FTEs and has 113 FTEs for FY 12/13. All services are provided by state employees including direct care and supervision, case management, intensive mental health treatment, substance abuse treatment, medical, and food services. The total budget for FY 12/13 including Grants and Aids Contracted Services is \$8,266,687. Of the 113 current FTEs, 105 are filled and include the following position types: Residential Officer/ Counselor; Recreation Therapy Analyst; Counselor Supervisor; Social Services Counselor; Behavioral Specialist; Senior Behavioral Specialist; Registered Nurse Specialist; Registered Nurse Supervisor; Senior Physician; Education and Training Specialist; Training Specialist; Health Information Specialist; Custodial Worker;

Maintenance Mechanic; Maintenance Superintendent; Food Support Worker; Food Production Supervisor; Secretary Specialist; Administrative Secretary; Administrative Assistant; Government Operations Consultant; Operations and Management Consultant; Assistant Superintendent; Facility Superintendent. 49 staff have less than 6 years of service, 30 staff have 6-15 years of service, 16 staff have 15-25 years of service, 7 have 25-30 years of service and 3 have more than 30 years of service.

As the program was designed and operational effective 9/1/11 there was no QA review done for FY 11/12 and there is no Comprehensive Accountability Report (CAR) data to provide a recidivism rate at this time.

RATIONALE – THE BASIS FOR THE PROJECT

The project proposes to transition the remaining five state-operated residential commitment programs to privatized, contracted services. The transition would begin during FY 2012-13 and would be completed in FY 2013-14 by October 1, 2013. The three key components of this project include: administrative efficiencies, services delivery, and physical plant considerations.

Administrative Efficiencies – As noted previously, 95% of the Department’s residential commitment services are privatized and delivered through various contracted providers throughout the state. Throughout the history of DJJ, the existence of provider operated residential facilities has been a component of the juvenile justice continuum, balanced with a component of state-operated programs. Over the past several years, there has been a continuing trend to reduce the portion of residential services that are operated by the state. During the past two years, the Legislature has included specific proviso language requiring the reduction of state-operated beds before the reduction of provider operated beds when implementing bed reductions.

“From the funds in Specific Appropriations 1238 through 1261, the Department of Juvenile Justice shall first make residential bed reductions in both non-secure and secure beds that are operated by the department before reducing privately operated non-secure or secure residential beds.”²

This has led to the closing of facilities with limited planning time (60-90 days’ notice), resulting in a significant impact on the delivery of services to youth and staff employment options. The proposed project provides for a more planned transition from state-operated to private operated in order to more effectively and efficiently deal with staffing issues and minimize the impact on the delivery of services to the youth in the program.

² See Chapter 2012-118, Laws of Florida, page 175.

The administrative efficiency of staffing both a state-operated and private contracted system is based on a balanced level of services – state-operated and contracted services. As the proportion of state-operated programs has been continually reduced in recent years, these efficiencies have been eroded. With only 5% of the residential capacity being state-operated, maintaining administrative support services for these facilities is not cost effective.

Service Delivery - The continuation of the services provided by the existing state-operated programs are essential for ensuring that the continuum of services is sufficient to meet the needs of the state. The continuum of residential services must address not only the number of beds, but also youth to be served, types of specialized services needed, physical plant needs, and geographic distribution. A part of the project included reviewing the services currently provided by these programs to determine if any adjustments are needed to meet the anticipated service needs. The services provided by the existing state operated programs are critical to maintaining sufficient services in the residential continuum throughout the state. However, an analysis of the services provided by each of the facilities, and the capacity needs of the state indicates that some adjustments to services are needed to more effectively and efficiently address service delivery. The service delivery adjustments include changing the Duval program from mental health overlay beds to a substance abuse program, and establishing Les Peters as a step-down program for youth transitioning out of Falkenburg. The services at Pensacola and Britt will remain as they are currently provided.

Physical Plant – The transition from state-operated to privatized services must ensure that the facilities that currently house these five state-operated programs continue to be used and maintained as the sites for these services. The administrative efficiencies of the proposed project are, in part, predicated on the continued use of these five facilities for services in the future. The procurement process will require that any potential provider commit to housing the program in the existing site. The state has invested significant resources in building and maintaining each of these facilities. They are well-established in the communities in which they are located and are equipped to most effectively and efficiently deliver the services to be provided. In addition, requiring the continued use of these state owned facilities, as opposed to allowing for the option of provider-offered facilities, will likely increase the number of potential providers that compete to provide these services.

PROJECT ASSUMPTIONS and METHODOLOGIES

The proposed project is based on a number of assumptions dealing with the existing state-operated services. The key assumptions are:

- The state and Legislative trend of reducing state-operated beds vs. contracted services beds will continue.
- The need for moderate risk, overlay beds will continue to decline, but there will be a continued need for specialized services and secure programs.
- Maintaining the administrative support services needed for state-operated programs, which is only 5% of the capacity, is an inefficient use of resources. It will be more cost-effective to transition these services from state-operated to privatized.
- The services that are provided by these programs are a critical part of the residential capacity continuum and need to continue to be provided.
- The physical plants that currently house the five state-operated facilities are the best options as locations for continuing to provide the services under a privatized structure.
- A planned, methodical transition process over the next year, that allows the services to continue under a privatized system, is a better option than having programs closed with short notice and no plan for continuation of the services.

The methodology that will be used focuses on taking a proactive approach to addressing the future of state-operated programs. As noted earlier, for the past two years the Legislature has identified state-operated programs for reductions prior to reductions in provider programs, resulting in disruption of services and staff. The Department has developed a detailed process to transition these services in an orderly and efficient manner. The details of this process are provided in the Procurement Process section of this document.

HOW RECOMMENDED SOLUTION WAS FORMULATED

From October 2012 through January 2013, an Intent to Negotiate (ITN) will be posted on the Vendor Bid System (VBS) for all five (5) procurements: Pensacola Boys Base, Duval Halfway House, Britt Halfway House, Falkenburg Juvenile Correctional Facility – Mental Health and Les Peters Halfway House (see below for detailed timelines). Approximately a month from posting, proposals are due and upon submission of technical, past performance and cost proposals, each are reviewed by applicable areas. Scores for all proposals are then compiled by the Bureau of Contracts and a ranking is determined, proposers are notified if selected for oral presentations. Oral presentations are held with the top three ranking respondents and a debriefing is held with the evaluation/negotiation team members, after the presentations. Scores for all proposals are then compiled by the Bureau of Contracts and a Short List/Ranking of Respondents for Final Negotiations is posted on the VBS and negotiations take place. The final notice of award is anticipated to be posted on the VBS between March and June and approximately two (2) to three (3) months is allocated for facility transition to occur before the contract begins.

IDENTIFY IMPACT OF PROJECT TO STATE AND AGENCY

The impact of the project must be considered from both a personnel perspective and a service delivery perspective.

Personnel - The primary impact will be on the existing state personnel that staff the five programs that will be privatized. There will be efforts made to place those interested in continued state service in other state positions. The department has vacancies, particularly in Detention and Probation services and will work closely with those offices in placing individuals who qualify and desire to stay in a state position. In the past, when other state-operated residential programs were reduced, it was possible for some of the staff to transfer to positions within other state-operated facilities. Given that once the five programs are privatized, there will be no more state operated residential programs, the options for placement of the staff working in these facilities is more limited than in the past. The details of personnel issues will be addressed in the Employee Transition Management Plan section of this proposal.

It is also expected that a large portion of the state staff in the state-operated programs will be interested in continuing to work with the program under the privatized structure. As a part of the procurement process, steps will be taken to give priority consideration for employment to interested staff currently working in the program.

Service Delivery – With the exception of the adjustments to some of the specialized services to be done in the Duval and Les Peters programs, it is expected that there should be no discernible impact on the quality and quantity of the services delivered. Programs will continue to be monitored on an on-going basis and will also be subject to the DJJ quality improvement review process.

While the transition from state-operated to private may not impact the program services that are to be provided, it is important to be cognizant of the fact that historically one of the functions of the state-operated programs was to serve as a type of “safety net” to meet service delivery needs that may not be able to be addressed at a particular time by a private provider. State operated programs could also serve as sites for pilot initiatives to pursue innovation programming for limited cost since there are no contract requirements to consider as there are with private provider. In addition, the staff of these programs were available to assist the Department in the situations requiring their specialized expertise. With the elimination of the remainder of the Residential state operated programs the Department will need to address filling this gap in some fashion...

EMPLOYEE TRANSITION MANAGEMENT PLAN –

The Department has an approved Workforce Transition Plan that is used to address the needs of adversely affected staff in the event of the loss of state positions. Developing this project to privatize the affected facilities well in advance of the actual changeover allows staff significant

notice so that each can individually determine what the best course of action for them is. Additionally, the Workforce Transition Plan has specific actions to assist staff with future employment based on agency vacancies as well as the employee interests. The department has vacancies, particularly in Detention and Probation services, and will work closely with those offices in placing individuals who qualify and desire to stay in a state position. We will also work with DMS and other agencies in job placement along with Florida's local Workforce Boards.

IDENTIFICATION OF CRITICAL SUCCESS FACTORS

The transition from state-operated to private provider operated will have minimal impact on the critical success factors. All expectations and measures of success for residential commitment programs are the same – regardless of whether they are operated by the state or a private provider. The major difference is that with a private provider, the contract is the vehicle that is used to specify the program requirements. While there may be some unique contractual issues based on a specialized program type, overall the performance measures and outcomes, the quality improvement standards, the reporting requirements, and program monitoring will be those that are applied to all residential programs throughout the state. All residential programs must operate in accordance with the provisions of the administrative rules for the operation of residential services. Issues such as utilization, length of stay, PAR incidents, youth arrests, use of force, etc. are currently monitored for all programs as various measures of performance and success.

PROCUREMENT PROCESS

The solicitation process is done for each procurement and is managed by the Bureau of Contracts; this project would begin with posting an Invitation to Negotiate (ITN) on the Vendor Bid System (VBS). Utilizing the Invitation to Negotiate allows the State of Florida to obtain the best value and comprehensive services to meet the needs of youth. ITNs allow flexibility for innovative delinquency interventions and treatment models and includes the negotiation of achievable performance measures, which will assist the Department in meeting its' reform goals.

Prior to posting an ITN, an evaluation/negotiation team is appointed. This team is comprised of lead staff such as regional directors, senior management and subject matter experts. A solicitation conference call is held for all respondents to have the opportunity to ask questions they may have and questions/answers are posted on the VBS. The anticipated number of respondents could range from approximately eight (8) to twelve (12). Upon submission of technical, past performance and cost proposals, each are reviewed by applicable areas. Technical proposals are evaluated by the evaluation/negotiation team members, the Bureau of Residential Contract Development evaluates past performance and cost proposals are reviewed by the Bureau of Contracts.

A briefing meeting is held with the evaluation/negotiation team members to answer any questions or provide clarification and to ensure all materials were in receipt prior to evaluation, debriefing meetings are held after review of the proposals to discuss locations of requirements in each technical proposal and scores. Provider eligibility and qualifications are determined by review of key program components, ranging from management capabilities, performance outcomes, staffing and training, specialized services and transition. Points are allocated for each component with a maximum of three (3) points for areas which exceed expectations, and a minimum of zero (0) points for not meeting the expectations. Scores for all proposals are then compiled by the Bureau of Contracts and a ranking is determined, proposers are notified if selected for oral presentations. Oral presentations are held with the top three ranking respondents and a debriefing is held with the evaluation/negotiation team members, after the presentations. A Short List/Ranking of Respondents for Final Negotiations is posted on the VBS and negotiations take place. The final notice of award is posted on the VBS and Bureau of Contracts compiles the final contract document. Contract terms are anticipated to be for a period of five (5) years, with renewal options for durations up to the original term which may occur at the end of the original five (5) year term based on satisfactory performance.

Upon contract execution, all contracts are monitored. Program monitoring provides the Department with information necessary to assess the programmatic accountability of its providers. Both contracted programs as well as state operated programs are monitored in the same manner and will continue to be monitored to include all aspects of program performance, based on required terms and conditions and services/deliverables. Program monitoring is conducted both on and off-site at all programs to ensure contract compliance with Florida Statutes, Rules of the Florida Administrative Code, departmental policies and procedures, and contract terms and conditions. Monitoring activities may be announced or unannounced and may be conducted during nontraditional hours when applicable. In conjunction with standard program monitoring, programs also undergo Quality Improvement (QI) reviews in which program monitors also participate. Any deficiencies or issues that arise during the QI reviews require additional monitoring to be completed. Administrative monitoring is required, at a minimum, once per year on each contract and is conducted by the contract manager. To assure programmatic financial integrity is maintained, the contract manager reviews the accuracy of contract payments as they relate to programmatic requirements and service quality. Additional areas of oversight include the ability for issues or concerns at programs to be reported through a Centralized Communications Center (CCC), this allows for both youth and staff to report any incident as necessary, which result in program or administrative reviews to be conducted for investigation.

The anticipated timeline for state operated conversions is indicated below:

PENSACOLA BOYS BASE

Program	PENSACOLA BOYS BASE (28 beds)
Anticipated start date of program	5/1/13
Release of solicitation	Wednesday, October 24, 2012
Mandatory Site Visit (for state-owned/leased facilities only)	Wednesday, October 31, 2012
Solicitation Conference Question Deadline – Last date and time written questions will be accepted for Discussion at Solicitation Conference	Monday, November 5, 2012 by COB
Deadline for Submission of Intent to Attend Solicitation Conference Form	Monday, November 5, 2012 by COB
Solicitation Conference/Conference Call	Wednesday, November 14, 2012
Final date and time deadline written questions will be accepted. Deadline for Submission of Intent to Respond	Wednesday, November 21, 2012
Anticipated date that answers to written questions will be posted on the web site	Wednesday, December 5, 2012
Responses due and opened	Tuesday, January 8, 2013
Evaluator Briefing (Instructions and Confirmation or Receipt of Materials for Written Narrative Response Evaluation)	Friday, January 11, 2013
Evaluator Debriefing (Written Narrative Responses) Discuss page #s and scores only-Conference call	Wednesday-Thursday, January 30-31, 2013 * Time allocated due to the large amount of expected interest.
Oral Presentations (Final Dates and Times to be Communicated to Ranking Respondents selected for Oral Presentations and posted on VBS) (3 ORALS FOR 2 HOURS EACH with DEBRIEFING IMMEDIATELY FOLLOWING)	Wednesday-Thursday, February 13-14, 2013
Evaluator Debriefing (Oral Presentations) NO COMMENTS-SCORES FOR ORAL WILL BE PROVIDED DURING DEBRIEFING WHICH WILL BE ON THE RECORD.	Immediately following Oral Presentations
Anticipated Posting of Notice of Agency Decision “Short List/Ranking of Respondents for Final Negotiations”	Thursday, February 21, 2013
Anticipated Week/Dates of Negotiations (Final Dates and Times to be Communicated to Ranking Respondents selected for Final Negotiation and posted on VBS)	Monday-Tuesday, March 4-5, 2013* Time allocated due to concurrent negotiations with up to 3 of the top ranking respondents from the oral presentations.
Anticipated date of posting of Notice of Final Agency Decision	Tuesday, March 12, 2013
Transition Planning (Recruit, interview and train staff, complete background screening and drug testing, develop contracts for medical/mental health staff (i.e. DHA, Psychiatrist), coordinate and transfer facility services, obtain DCF licensure for substance abuse)	Approx. 2-3 months
Anticipated Contract Execution Date/Start of Contracts	Wednesday, May 1, 2013

** Additional considerations during this time: Solicitations other than state operated conversions.

**This timeline is contingent upon no protests being received.

DUVAL HALFWAY HOUSE

Program	DUVAL HALFWAY HOUSE (28 beds)
Anticipated start date of program	7/1/13
Release of solicitation	Thursday November 1, 2012
Mandatory Site Visit (for state-owned/leased facilities only)	Thursday November 8, 2012
Solicitation Conference Question Deadline – Last date and time written questions will be accepted for Discussion at Solicitation Conference	Wednesday, November 14, 2012 by COB
Deadline for Submission of Intent to Attend Solicitation Conference Form	Wednesday, November 14, 2012 by COB
Solicitation Conference/Conference Call	Tuesday, November 27, 2012
Final date and time deadline written questions will be accepted. Deadline for Submission of Intent to Respond	Thursday, December 6, 2012
Anticipated date that answers to written questions will be posted on the web site	Tuesday, December 18, 2012
Responses due and opened	Thursday, January 17, 2013
Evaluator Briefing (Instructions and Confirmation or Receipt of Materials for Written Narrative Response Evaluation)	Tuesday, January 22, 2013
Evaluator Debriefing (Written Narrative Responses) Discuss page #s and scores only-Conference call	Monday-Tuesday, February 25-26, 2013* Time allocated due to the large amount of expected interest.
Oral Presentations (Final Dates and Times to be Communicated to Ranking Respondents selected for Oral Presentations and posted on VBS) (3 ORALS FOR 2 HOURS EACH with DEBRIEFING IMMEDIATELY FOLLOWING)	Wednesday-Thursday, March 13-14, 2013
Evaluator Debriefing (Oral Presentations) NO COMMENTS-SCORES FOR ORAL WILL BE PROVIDED DURING DEBRIEFING WHICH WILL BE ON THE RECORD.	Immediately following Oral Presentations
Anticipated Posting of Notice of Agency Decision “Short List/Ranking of Respondents for Final Negotiations”	Friday, March 22, 2013
Anticipated Week/Dates of Negotiations (Final Dates and Times to be Communicated to Ranking Respondents selected for Final Negotiation and posted on VBS)	Monday-Wednesday, April 1-3, 2013* Time allocated due to concurrent negotiations with up to 3 of the top ranking respondents from the oral presentations.
Anticipated date of posting of Notice of Final Agency Decision	Thursday, April, 18 2013
Transition Planning (Recruit, interview and train staff, complete background screening and drug testing, develop contracts for medical/mental health staff (i.e. DHA, Psychiatrist), coordinate and transfer facility services, obtain DCF licensure for substance abuse)	Approx. 2-3 months
Anticipated Contract Execution Date/Start of Contracts	Monday, July 1, 2013

** Additional considerations during this time: Solicitations other than state operated conversions.

**This timeline is contingent upon no protests being received.

BRITT HALFWAY HOUSE

Program	BRITT HALFWAY HOUSE (28 beds)
Anticipated start date of program	7/1/13
Release of solicitation	Friday, November 2, 2012
Mandatory Site Visit (for state-owned/leased facilities only)	Friday, November 9, 2012
Solicitation Conference Question Deadline – Last date and time written questions will be accepted for Discussion at Solicitation Conference	Thursday, November 15, 2012 by COB
Deadline for Submission of Intent to Attend Solicitation Conference Form	Thursday, November 15, 2012 by COB
Solicitation Conference/Conference Call	Wednesday, November 28, 2012
Final date and time deadline written questions will be accepted. Deadline for Submission of Intent to Respond	Friday, December 7, 2012
Anticipated date that answers to written questions will be posted on the web site	Wednesday, December 18, 2012
Responses due and opened	Friday, January 18, 2013
Evaluator Briefing (Instructions and Confirmation or Receipt of Materials for Written Narrative Response Evaluation)	Wednesday, January 23, 2013
Evaluator Debriefing (Written Narrative Responses) Discuss page #s and scores only-Conference call	Tuesday-Wednesday, February 26-27, 2013* Time allocated due to the large amount of expected interest.
Oral Presentations (Final Dates and Times to be Communicated to Ranking Respondents selected for Oral Presentations and posted on VBS) (3 ORALS FOR 2 HOURS EACH with DEBRIEFING IMMEDIATELY FOLLOWING)	Thursday-Friday, March 14-15, 2013
Evaluator Debriefing (Oral Presentations) NO COMMENTS-SCORES FOR ORAL WILL BE PROVIDED DURING DEBRIEFING WHICH WILL BE ON THE RECORD.	Immediately following Oral Presentations
Anticipated Posting of Notice of Agency Decision “Short List/Ranking of Respondents for Final Negotiations”	Monday, March 25, 2013
Anticipated Week/Dates of Negotiations (Final Dates and Times to be Communicated to Ranking Respondents selected for Final Negotiation and posted on VBS)	Tuesday-Thursday, April 2-4, 2013* Time allocated due to concurrent negotiations with up to 3 of the top ranking respondents from the oral presentations.
Anticipated date of posting of Notice of Final Agency Decision	Friday, April 19, 2013
Transition Planning (Recruit, interview and train staff, complete background screening and drug testing, develop contracts for medical/mental health staff (i.e. DHA, Psychiatrist), coordinate and transfer facility services, obtain DCF licensure for substance abuse)	Approx. 2-3 months
Anticipated Contract Execution Date/Start of Contracts	Monday, July 1, 2013

** Additional considerations during this time: Solicitations other than state operated conversions.

**This timeline is contingent upon no protests being received.

FALKENBURG JUVENILE CORRECTIONAL FACILITY AND LES PETERS HALFWAY HOUSE

Program	FALKENBURG JUVENILE CORRECTIONAL FACILITY (60 beds) & LES PETERS HALFWAY HOUSE (24 bed step-down/transition)
Anticipated start date of program	10/1/13
Release of solicitation	Monday, January 7, 2013
Mandatory Site Visit (for state-owned/leased facilities only)	Wednesday, January 23, 2013
Solicitation Conference Question Deadline – Last date and time written questions will be accepted for Discussion at Solicitation Conference	Monday, January 28, 2013 by COB
Deadline for Submission of Intent to Attend Solicitation Conference Form	Monday, January 28, 2013 by COB
Solicitation Conference/Conference Call	Monday, February 11, 2013
Final date and time deadline written questions will be accepted. Deadline for Submission of Intent to Respond	Tuesday, February 19, 2013
Anticipated date that answers to written questions will be posted on the web site	Friday, March 1, 2013
Responses due and opened	Monday, April 1, 2013
Evaluator Briefing (Instructions and Confirmation or Receipt of Materials for Written Narrative Response Evaluation)	Monday, April 4, 2013
Evaluator Debriefing (Written Narrative Responses) Discuss page #s and scores only-Conference call	Tuesday-Wednesday, April 30-May 1, 2013* Time allocated due to the large amount of expected interest.
Oral Presentations (Final Dates and Times to be Communicated to Ranking Respondents selected for Oral Presentations and posted on VBS) (3 ORALS FOR 2 HOURS EACH with DEBRIEFING IMMEDIATELY FOLLOWING)	Wednesday-Thursday, May 15-16, 2013
Evaluator Debriefing (Oral Presentations) NO COMMENTS-SCORES FOR ORAL WILL BE PROVIDED DURING DEBRIEFING WHICH WILL BE ON THE RECORD.	Immediately following Oral Presentations
Anticipated Posting of Notice of Agency Decision “Short List/Ranking of Respondents for Final Negotiations”	Wednesday, May 22, 2013
Anticipated Week/Dates of Negotiations (Final Dates and Times to be Communicated to Ranking Respondents selected for Final Negotiation and posted on VBS)	Tuesday-Thursday, May 28-June 6, 2013* Time allocated due to concurrent negotiations with up to 3 of the top ranking respondents from the oral presentations.
Anticipated date of posting of Notice of Final Agency Decision	Wednesday, June 12, 2013
Transition Planning (Recruit, interview and train staff, complete background screening and drug testing, develop contracts for medical/mental health staff (i.e. DHA, Psychiatrist), coordinate and transfer facility services, obtain DCF licensure for substance abuse)	Approx. 3 months
Anticipated Contract Execution Date/Start of Contracts	Tuesday, October 1, 2013

** Additional considerations during this time: Solicitations other than state operated conversions.

**This timeline is contingent upon no protests being received.

The following are excerpts from standard contract language regarding requirements for data security, digital rights, and ownership of intellectual property:

RECORDS REQUIREMENTS

Record Retention

The Provider shall maintain programmatic and administrative books, records, and documents (including electronic storage media), for a minimum of five (5) years in accordance with chapters 119 and 257, Florida Statutes, and the Florida Department of State Record Retention Schedule located at <http://dls.dos.state.fl.us/recordsmgmt>. The Provider shall maintain youth records, which are programmatic in nature in a secure location with access limited to duly authorized Department and Provider staff. Upon expiration of this Contract, the Provider shall return all youth records to the Department. The Provider shall ensure these records are available at all reasonable times to inspection, review, or audit by state and federal personnel and other personnel duly authorized by the Department. In the event any work is subcontracted, the Provider shall require each subcontractor to maintain and allow access to such records for audit purposes in the same manner. The Provider shall retain sufficient records demonstrating its compliance with the terms of this Contract for a period of five (5) years from the date the audit report is issued, and shall allow the Department, or its designee, Comptroller, or Auditor General access to such records upon request. The Provider shall ensure that all working papers are made available to the Department, or its designee, Comptroller, or Auditor General upon request for a period of three (3) years from the date the audit report is issued, unless extended in writing by the Department.

Transfer of Records

Upon completion or termination of the Contract, the Provider shall cooperate with the Department to facilitate the transfer and return of records to the Department, at no cost to the Department. All records provided to or developed by the Provider for this Contract are the property of the Department.

Copyrights and Right to Data

1. Where activities supported by this Contract produce original writing, sound recordings, pictorial reproductions, drawings or other graphic representation and works of any similar nature, the Department has the right to use, duplicate and disclose such materials in whole or in part in any manner, for any purpose whatsoever, and to have others acting on behalf of the Department to do so.
2. If the materials so developed are subject to copyright, trademark or patent, legal title and every right, interest, claim or demand of any kind in and to any patent, trademark or copyright, or application for the same, will vest in the State of Florida, Department of State, for the exclusive use and benefit of the State. Ownership of intellectual property created as a result

of the services delivered under this Contract will reside with the Department.

Confidentiality

1. Pursuant to section 985.04, Florida Statutes, all information obtained in the course of this Contract regarding youth in the care of the Department is confidential. The Provider shall comply fully with all security procedures of the State and the Department in performance of the Contract. The Provider shall not divulge to third parties any confidential information obtained by the Provider or its agents, distributors, resellers, subcontractor, officers or employees in the course of performing Contract work, including, but not limited to, security procedures, business operations information, or commercial proprietary information in the possession of the State or Department. The Provider shall not be required to keep confidential information or material that is publicly available through no fault of the Provider, material that the Provider developed independently without relying on the State's or Department's confidential information, or material that is otherwise obtainable under State law as a public record. The Provider shall take appropriate steps to ensure its personnel, agents, and subcontractors protect confidentiality. The warranties of this paragraph shall survive the Contract.
2. The Provider shall comply with all requirements of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the regulation applicable to entities covered under HIPAA, issued by the Department of Health and Human Services, entitled "Standards for Privacy of Individually Identifiable Health Information" (45 CFR Parts 160 and 164, effective April 14, 2000), if applicable under this Contract.

MIS Security

In accordance with Rule 71A-1.005 (1)-(5) F.A.C., Contractors, Providers, and Partners employed by the Department or acting on behalf of the Department shall comply with all applicable security policies, and employ adequate security measures to protect the Department's information, applications, data, resources, and services. When applicable, network connection agreements shall be executed for third-party network connections prior to connection to the Department's internal network.

CONCLUSION:

The proposed action of transitioning the remaining state operated residential facilities to private provider operations addresses the goals of all stakeholders.

- It ensures the continuation of critically needed services for youth in most need of comprehensive treatment services.
- It continues the state's commitment to public safety by ensuring residential beds will be reserved for those youth that pose the greatest risk to public safety.
- It provides a reduction in residential costs which will be reinvested into the front end of the system. This will lead to preventing and diverting more youth from entering the juvenile justice system, thereby reducing juvenile delinquency and turning around the lives of troubled youth in the most effective manner.
- It allows for a smooth transition for youth, employees, and the private provider in the changeover from one service delivery type to another.
- It provides for increased competition within the private sector which can lead to improved services as well as lower costs.

**SCHEDULE XIIB-2: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS - COST AND DELIVERABLES DATA
NON-SECURE RESIDENTIAL COMMITMENT**

Section I: Cost Data

For each outsourced or privatized service or activity, complete the cost analysis below:

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned Savings	Actual/Revised Savings
FY 2012 - 2013	\$166,631	\$166,631*		\$0
FY 2013 - 2014	\$7,831,571	\$7,831,571	\$1,225,000	\$1,468,419
FY 2014 - 2015	\$7,831,572	\$7,425,525	\$2,100,000	\$1,874,475
FY 2015 - 2016	\$8,053,210	\$7,832,108	\$2,100,000	\$1,467,892
FY 2016 - 2017	\$8,653,151	\$8,555,221	\$2,100,000	\$744,779
FY 2017 - 2018	\$8,456,483	\$0	\$0	\$0

* We are calculating our savings on an annual basis, not a monthly basis.

Variance	Reasons			
Cost	N/A			
Savings	N/A			
\$744,779	The savings were less than anticipated because the negotiated costs for executed contracts were greater than anticipated			

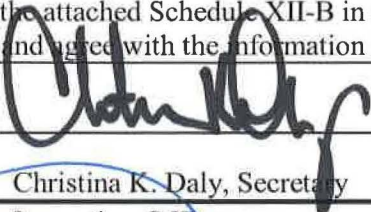
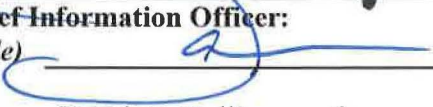

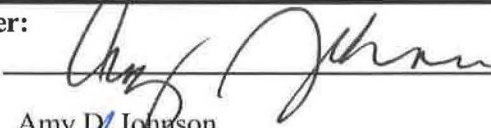
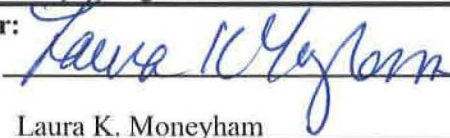
Section II: Deliverables and Milestones Schedule

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

Deliverables and Milestones	Original	Actual Date/ Revised Date
Appropriate care and custody of the youth being served	N/A	N/A

Variance	Reasons			
Schedule	N/A			

**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 Juvenile Justice	Schedule XII-B Submission Date: September 15, 2017
Project Name: Major Outsourcing and Privatization Initiatives	Is this project included in the Agency's LRPP? <u> X </u> Yes <u> </u> No
FY 2018-2019 LBR Issue Code: N/A	FY 2018-2019 LBR Issue Title: N/A
Agency Contact for Schedule XII-B (Name, Phone #, and E-mail address): Monti Brown, (850) 717-2401, Miriam.Brown@djj.state.fl.us	
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: <u>8/28/17</u>
Printed Name: Christina K. Daly, Secretary	
Agency Chief Information Officer: (If applicable) 	Date: <u>8/15/17</u>
Printed Name: Dennis E. Hollingsworth	
Budget Officer: 	Date: <u>8/14/17</u>
Printed Name: Monti Brown	
Planning Officer: 	Date: <u>8/18/17</u>
Printed Name: Amy D. Johnson	
Project Sponsor: 	Date: <u>8/18/17</u>
Printed Name: Laura K. Moneyham	

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

Background Information	
1.	<p>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>Please refer to the business plan previously submitted from the Department of Juvenile Justice, Residential Services, which affected the agency’s decision to privatize all five-remaining state-operated facilities by July 1, 2013.</p>	
2.	<p>Have the anticipated cost savings and benefits of the initiative been realized? Explain.</p> <p>In the fourth full year of privatization, the amount budgeted was \$5,436,456 and the total expended was \$5,427,706. The total cost savings from the fourth year’s budget was \$772,294. The anticipated cost savings from the initial funding was \$1.4 million. Therefore, the actual cost savings from privatizing all remaining residential facilities was less than the amount anticipated.</p>
3.	<p>Provide a narrative description of the competitive solicitation used to outsource or privatize the service or activity.</p> <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.</p>
<p>The Department of Juvenile Justice, Residential Services, used an Invitation to Negotiate (ITN) process. Please refer to the links in FACTS that are provided below for the documents used for competitive procurement:</p> <ul style="list-style-type: none"> • 10098 – https://facts.fldfs.com/Search/ContractDetail.aspx?AgencyId=800000&ContractId=10098 <p>Click on the “Documents” tab</p>	
4.	<p>Section 287.057(13)(a), <i>Florida Statutes</i>, 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.</p> <p>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.</p>

<p>The contract executed for the secure residential program has not yet expired. The contract number and end date is as follows:</p> <ul style="list-style-type: none"> • #10098-Les Peters Academy will end June 30, 2018;
<p>5. For the outsourced or privatized service or activity, has the contractor satisfactorily complied with all service level requirements? Provide a 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.</p>
<p>The Bureau of Monitoring and Quality Improvement (MQI) is responsible for the assessment of program compliance in areas such as management, operations, and service delivery. The goal of MQI is to accurately and effectively determine the level of performance and quality of services at which juvenile justice programs achieve the Department’s mission. The Bureau performs routine oversight activities to ensure contracted providers meet performance expectations for services provided to and in support of youth in DJJ’s care. Activities include verification that all contractual requirements and operational standards are met; highlighting progress that is made over time or used to record areas of needed improvement; coordination and assignment of skilled resources to monitor services; and coordination of all monitoring activities to meet monitoring objectives in the most efficient manner. A list of reports, resources, and trainings are available online at http://www.djj.state.fl.us/partners/QI.</p> <p>Residential contracts are required to adhere to standards, which are found online at http://www.djj.state.fl.us/partners/QI/resources. Click on the link for “Residential Standards.”</p> <p>The “Overall Rating Summary” for each of the privatized residential programs is found online at http://www.djj.state.fl.us/partners/QI/reports. Please refer to the Monitoring Tool that is available at http://www.djj.state.fl.us/docs/department-forms/administrative-monitoring-tool-combined.doc?sfvrsn=0.</p> <p>For each indicator that did not achieve full compliance, a corrective action was required and subsequent verification monitoring confirmed that all indicators were met</p>
<p>6. Describe any unexpected benefits from outsourcing or privatization of the service or activity.</p>
<p>We have not realized any unexpected benefits of privatization.</p>
<p>7. Describe any unexpected problems or issues with the outsourcing or privatization of the service or activity.</p>
<p>Privatization was finalized by July 1, 2013. As the Department has completed the fourth full year of services, any issues or deficiencies that occurred have been resolved through closely monitoring all programs through DJJ staff that includes the Office of Residential Services and the Bureau of Monitoring and Quality Improvement.</p>
<p>8. Briefly describe your agency’s overall level of satisfaction with the results of outsourcing or privatization of the service or activity.</p>
<p>Privatization was finalized by July 1, 2013. Programs developed as a result of privatization are performing in accordance with DJJ rules, guidelines and policies. When non-adherence occurs, the program has been responsive and have corrected any and all deficiencies.</p>

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

We have no new information to share that was not provided with the first report submitted last year.

Attachment 1

Department of Juvenile Justice
Transition of State Operated Residential Programs to
Private Provider Operation

EXECUTIVE SUMMARY:

The state of Florida has approximately 3,000 residential beds for the continued care of delinquent youth committed to the custody of the Department of Juvenile Justice. Of this number, 156 beds (5%) are operated by the state while the vast majority (95%) are operated by private providers who contract with the Department. The privatization of residential services has taken place over a number of years but has accelerated considerably over the past two years with legislative mandated bed reductions being made exclusively to state operated facilities. With the legislative intent to privatize these services along with the department's goal of providing services to youth in the most efficient and least disruptive way possible, the business plan is to privatize the remaining beds in an orderly and planned fashion. This will ensure continuation of needed services for youth, allow time for the department to address the incumbent employment issues, and provide a documented cost savings to the state.

There are five remaining state operated residential programs: Pensacola Boys Base Halfway House, Duval Halfway House, Britt Halfway House, Les Peters Halfway House, and the Falkenburg Juvenile Correctional Facility – Mental Health. The total current year budget for all five facilities is \$15.5 million. The projected first full year private provider cost is \$13 million plus a potential \$0.8 million in costs related to state employee leave payouts. The second full year of the contracts would reduce to \$12 million as the private providers become eligible for behavior health overlay services reimbursement. Overall, the proposed action will provide \$1.75 million in reduced residential costs in the first full year of operation and \$3.5 million in annual recurring reduced costs in the second year and beyond.

The Department of Juvenile Justice plans, with Legislative approval, to reinvest these savings into prevention services, community-based interventions, as well as and increasing the availability of transitional services such as vocational programming, education, employment, transitional housing and transportation. This represents one of the department's primary strategies in its Roadmap to System Excellence.¹

¹ See <http://www.djj.state.fl.us/roadmap-to-system-excellence>.

BENCHMARKING – DESCRIBING CURRENT SERVICE

Chapter 985.601(1) directs the department to “plan, develop, and coordinate comprehensive services and programs statewide for the prevention, early intervention, control, and rehabilitative treatment of delinquent behavior.” Chapter 985.601 (3)(a) directs the department to “develop or contract for diversified and innovative programs to provide rehabilitative treatment, including early intervention and prevention, diversion, comprehensive intake, case management, diagnostic and classification assessments, individual and family counseling, shelter care, diversified detention care emphasizing alternatives to secure detention, diversified probation, halfway houses, foster homes, community-based substance abuse treatment services, community-based mental health treatment services, community-based residential and nonresidential programs, mother-infant programs, and environmental programs. Each program shall place particular emphasis on reintegration and conditional release for all children in the program.”

Chapter 985.03(46), sections (a)-(e) define the restrictiveness levels of commitment, ranging from minimum-risk residential programs to maximum risk residential programs.

Chapter 985.644(1) provides “The department may contract with the Federal Government, other state departments and agencies, county and municipal governments and agencies, public and private agencies, and private individuals and corporations in carrying out the purposes of, and the responsibilities established in, this chapter.”

As of October 3, 2012 the department had an operating capacity of 2969 residential beds separated into 104 programs. Currently ninety five percent (95%) of all commitment facilities are contracted with private vendors and five percent (5%) are state operated. The five state-operated programs are as follows:

- Pensacola Boys Base Halfway House:

This is a moderate risk program for boys ages 14-18 that require mental health overlay services. In FY 11/12, this was a 28-bed facility. In FY 12/13 the capacity was reduced to 20 beds. In FY 11/12, the facility had 23 FTEs and has 21 FTEs for FY 12/13. The direct care and supervision of youth is provided by state employees and the mental health, medical and food services are contracted with private vendors. The total budget for FY 12/13 including Grants and Aids Contracted Services is \$1,710,802 (Risk Management insurance is excluded since it is based on past exposure and is therefore a continuing cost). Of the 21 current FTEs, 21 are filled and include the following position types: Residential Officer/ Counselor; Counselor Supervisor; Social Services Counselor; Staff Assistant; Maintenance Mechanic; Assistant Superintendent; Facility Superintendent. 7 staff have less than 6 years of service, 8 staff have 6-15 years of service, 6 staff have 15-25 years of service, and 0 have 25-30 years of service.

The program demonstrated performance measures within expected ranges, including a FY 11/12 QA rating of “81%--Commendable” and for FY 12/13 they achieved a “Satisfactory Compliance” in all but one indicator. The program achieved limited compliance in tool

management, which was immediately rectified by the program. The FY 11/12 Comprehensive Accountability Report (CAR) indicates that for FY 09/10, the program released 54 youth who had a recidivism rate of 29%.

- Duval Halfway House:

This is a moderate risk program for boys ages 14-18 that require mental health overlay services. In FY 11/12, this was a 28-bed facility. In FY 12/13 the capacity was reduced to 20 beds. In FY 11/12, the facility had 26.5 FTEs and has 23.5 FTEs for FY 12/13. The direct care/supervision of youth and food services are provided by state employees and the mental health and medical services are contracted with private vendors. The total budget for FY 12/13 including Grants and Aids Contracted Services is \$1,658,998. Of the 23.5 current FTEs, 22.5 are filled and include the following position types: Residential Officer/ Counselor; Recreation Therapy Analyst; Counselor Supervisor; Social Services Counselor; Staff Assistant; Maintenance Mechanic; Food Support Worker; Food Production Supervisor; Assistant Superintendent; Facility Superintendent. 12 staff have less than 6 years of service, 9 staff have 6-15 years of service, 2 staff have 15-25 years of service, and 0 have 25-30 years of service.

The program demonstrated performance measures within expected ranges, including a FY 11/12 QA rating of "75%--Acceptable Rating". The FY 12/13 QI report has not yet been completed; however the program failed four (4) indicators (In-service Training, Delinquency Intervention Services, Safety Agreements for Outside Contractors, and Behavioral Management Monitoring) that the program is developing a corrective action plan for. The FY 11/12 Comprehensive Accountability Report (CAR) indicates that for FY 09/10, the program released 57 youth who had a recidivism rate of 51%.

- Britt Halfway House:

This is a moderate risk program for boys ages 14-18 that require substance abuse treatment overlay services. This is a 28-bed facility. The total number of FTEs for FY 11/12 and FY 12/13 is 35. All services are provided by state employees including direct care and supervision, case management, substance abuse treatment, mental health treatment, medical, and food services. The total budget for FY 12/13 including Grants and Aids Contracted Services is \$1,909,016. Of the 35 FTEs, 32 are filled and include the following position types: Residential Officer/ Counselor; Counselor Supervisor; Social Services Counselor; Behavioral Specialist; Senior Behavioral Specialist; Registered Nurse Specialist; Maintenance Mechanic; Food Support Worker; Food Production Supervisor; Secretary Specialist; Assistant Superintendent; Facility Superintendent. 16 staff have less than 6 years of service, 11 staff have 6-15 years of service, 3 staff have 15-25 years of service, 0 have 25-30 years of service, and 2 have more than 30 years of service.

The program demonstrated performance measures within expected ranges, including achieving "Satisfactory Compliance" in all but two indicators. The program achieved limited

compliance in Transportation and Medication Administration, which were immediately rectified by the program. The program has not a FY 12/13 QI site visit, as of this writing. The FY 11/12 Comprehensive Accountability Report (CAR) indicates that for FY 09/10, the program released 46 youth who had a recidivism rate of 43%.

- Les Peters Halfway House:

This has been a 28-bed moderate risk program for boys ages 14-18 that require substance abuse treatment services overlay services. Effective 10/1/12, the program is being redesigned to be a 24 bed “step-down” program for youth from the Falkenburg Juvenile Correctional Facility – Mental Health providing the same level of intensive mental health services but at a non-secure risk level allowing these youth to successfully transition back into the community. The total number of FTEs for FY 11/12 and FY 12/13 is 34.5. All services are provided by state employees including direct care and supervision, case management, substance abuse treatment, mental health treatment, medical, and food services. The total budget for FY 12/13 including Grants and Aids Contracted Services is \$1,982,926. Of the 34.5 FTEs, 32.5 are filled and include the following position types: Residential Officer/ Counselor; Counselor Supervisor; Social Services Counselor; Behavioral Specialist; Senior Behavioral Specialist; Registered Nurse Specialist; Maintenance Mechanic; Food Support Worker; Food Production Supervisor; Secretary Specialist; Assistant Superintendent; Facility Superintendent. 11 staff have less than 6 years of service, 15 staff have 6-15 years of service, 3 staff have 15-25 years of service, 2 have 25-30 years of service and 2 have more than 30 years of service.

The program demonstrated performance measures within expected ranges, including a FY 11/12 QA rating of “81%--Commendable” and for 12/13 achieved “Satisfactory Compliance” in all but one indicator. The program achieved limited compliance in tool management, which was immediately rectified by the program. The FY 11/12 Comprehensive Accountability Report (CAR) indicates that for FY 09/10, the program released 42 youth who had a recidivism rate of 44%.

- Falkenburg Juvenile Correctional Facility – Mental Health :

This is a high risk program for boys ages 14-18 that require intensive mental health and substance abuse treatment services. In FY 11/12, this was a 70-bed facility. In FY 12/13 the capacity was reduced to 60 beds. In FY 11/12, the facility had 125 FTEs and has 113 FTEs for FY 12/13. All services are provided by state employees including direct care and supervision, case management, intensive mental health treatment, substance abuse treatment, medical, and food services. The total budget for FY 12/13 including Grants and Aids Contracted Services is \$8,266,687. Of the 113 current FTEs, 105 are filled and include the following position types: Residential Officer/ Counselor; Recreation Therapy Analyst; Counselor Supervisor; Social Services Counselor; Behavioral Specialist; Senior Behavioral Specialist; Registered Nurse Specialist; Registered Nurse Supervisor; Senior Physician; Education and Training Specialist; Training Specialist; Health Information Specialist; Custodial Worker;

Maintenance Mechanic; Maintenance Superintendent; Food Support Worker; Food Production Supervisor; Secretary Specialist; Administrative Secretary; Administrative Assistant; Government Operations Consultant; Operations and Management Consultant; Assistant Superintendent; Facility Superintendent. 49 staff have less than 6 years of service, 30 staff have 6-15 years of service, 16 staff have 15-25 years of service, 7 have 25-30 years of service and 3 have more than 30 years of service.

As the program was designed and operational effective 9/1/11 there was no QA review done for FY 11/12 and there is no Comprehensive Accountability Report (CAR) data to provide a recidivism rate at this time.

RATIONALE – THE BASIS FOR THE PROJECT

The project proposes to transition the remaining five state-operated residential commitment programs to privatized, contracted services. The transition would begin during FY 2012-13 and would be completed in FY 2013-14 by October 1, 2013. The three key components of this project include: administrative efficiencies, services delivery, and physical plant considerations.

Administrative Efficiencies – As noted previously, 95% of the Department’s residential commitment services are privatized and delivered through various contracted providers throughout the state. Throughout the history of DJJ, the existence of provider operated residential facilities has been a component of the juvenile justice continuum, balanced with a component of state-operated programs. Over the past several years, there has been a continuing trend to reduce the portion of residential services that are operated by the state. During the past two years, the Legislature has included specific proviso language requiring the reduction of state-operated beds before the reduction of provider operated beds when implementing bed reductions.

“From the funds in Specific Appropriations 1238 through 1261, the Department of Juvenile Justice shall first make residential bed reductions in both non-secure and secure beds that are operated by the department before reducing privately operated non-secure or secure residential beds.”²

This has led to the closing of facilities with limited planning time (60-90 days’ notice), resulting in a significant impact on the delivery of services to youth and staff employment options. The proposed project provides for a more planned transition from state-operated to private operated in order to more effectively and efficiently deal with staffing issues and minimize the impact on the delivery of services to the youth in the program.

² See Chapter 2012-118, Laws of Florida, page 175.

The administrative efficiency of staffing both a state-operated and private contracted system is based on a balanced level of services – state-operated and contracted services. As the proportion of state-operated programs has been continually reduced in recent years, these efficiencies have been eroded. With only 5% of the residential capacity being state-operated, maintaining administrative support services for these facilities is not cost effective.

Service Delivery - The continuation of the services provided by the existing state-operated programs are essential for ensuring that the continuum of services is sufficient to meet the needs of the state. The continuum of residential services must address not only the number of beds, but also youth to be served, types of specialized services needed, physical plant needs, and geographic distribution. A part of the project included reviewing the services currently provided by these programs to determine if any adjustments are needed to meet the anticipated service needs. The services provided by the existing state operated programs are critical to maintaining sufficient services in the residential continuum throughout the state. However, an analysis of the services provided by each of the facilities, and the capacity needs of the state indicates that some adjustments to services are needed to more effectively and efficiently address service delivery. The service delivery adjustments include changing the Duval program from mental health overlay beds to a substance abuse program, and establishing Les Peters as a step-down program for youth transitioning out of Falkenburg. The services at Pensacola and Britt will remain as they are currently provided.

Physical Plant – The transition from state-operated to privatized services must ensure that the facilities that currently house these five state-operated programs continue to be used and maintained as the sites for these services. The administrative efficiencies of the proposed project are, in part, predicated on the continued use of these five facilities for services in the future. The procurement process will require that any potential provider commit to housing the program in the existing site. The state has invested significant resources in building and maintaining each of these facilities. They are well-established in the communities in which they are located and are equipped to most effectively and efficiently deliver the services to be provided. In addition, requiring the continued use of these state owned facilities, as opposed to allowing for the option of provider-offered facilities, will likely increase the number of potential providers that compete to provide these services.

PROJECT ASSUMPTIONS and METHODOLOGIES

The proposed project is based on a number of assumptions dealing with the existing state-operated services. The key assumptions are:

- The state and Legislative trend of reducing state-operated beds vs. contracted services beds will continue.
- The need for moderate risk, overlay beds will continue to decline, but there will be a continued need for specialized services and secure programs.
- Maintaining the administrative support services needed for state-operated programs, which is only 5% of the capacity, is an inefficient use of resources. It will be more cost-effective to transition these services from state-operated to privatized.
- The services that are provided by these programs are a critical part of the residential capacity continuum and need to continue to be provided.
- The physical plants that currently house the five state-operated facilities are the best options as locations for continuing to provide the services under a privatized structure.
- A planned, methodical transition process over the next year, that allows the services to continue under a privatized system, is a better option than having programs closed with short notice and no plan for continuation of the services.

The methodology that will be used focuses on taking a proactive approach to addressing the future of state-operated programs. As noted earlier, for the past two years the Legislature has identified state-operated programs for reductions prior to reductions in provider programs, resulting in disruption of services and staff. The Department has developed a detailed process to transition these services in an orderly and efficient manner. The details of this process are provided in the Procurement Process section of this document.

HOW RECOMMENDED SOLUTION WAS FORMULATED

From October 2012 through January 2013, an Intent to Negotiate (ITN) will be posted on the Vendor Bid System (VBS) for all five (5) procurements: Pensacola Boys Base, Duval Halfway House, Britt Halfway House, Falkenburg Juvenile Correctional Facility – Mental Health and Les Peters Halfway House (see below for detailed timelines). Approximately a month from posting, proposals are due and upon submission of technical, past performance and cost proposals, each are reviewed by applicable areas. Scores for all proposals are then compiled by the Bureau of Contracts and a ranking is determined, proposers are notified if selected for oral presentations. Oral presentations are held with the top three ranking respondents and a debriefing is held with the evaluation/negotiation team members, after the presentations. Scores for all proposals are then compiled by the Bureau of Contracts and a Short List/Ranking of Respondents for Final Negotiations is posted on the VBS and negotiations take place. The final notice of award is anticipated to be posted on the VBS between March and June and approximately two (2) to three (3) months is allocated for facility transition to occur before the contract begins.

IDENTIFY IMPACT OF PROJECT TO STATE AND AGENCY

The impact of the project must be considered from both a personnel perspective and a service delivery perspective.

Personnel - The primary impact will be on the existing state personnel that staff the five programs that will be privatized. There will be efforts made to place those interested in continued state service in other state positions. The department has vacancies, particularly in Detention and Probation services and will work closely with those offices in placing individuals who qualify and desire to stay in a state position. In the past, when other state-operated residential programs were reduced, it was possible for some of the staff to transfer to positions within other state-operated facilities. Given that once the five programs are privatized, there will be no more state operated residential programs, the options for placement of the staff working in these facilities is more limited than in the past. The details of personnel issues will be addressed in the Employee Transition Management Plan section of this proposal.

It is also expected that a large portion of the state staff in the state-operated programs will be interested in continuing to work with the program under the privatized structure. As a part of the procurement process, steps will be taken to give priority consideration for employment to interested staff currently working in the program.

Service Delivery – With the exception of the adjustments to some of the specialized services to be done in the Duval and Les Peters programs, it is expected that there should be no discernible impact on the quality and quantity of the services delivered. Programs will continue to be monitored on an on-going basis and will also be subject to the DJJ quality improvement review process.

While the transition from state-operated to private may not impact the program services that are to be provided, it is important to be cognizant of the fact that historically one of the functions of the state-operated programs was to serve as a type of “safety net” to meet service delivery needs that may not be able to be addressed at a particular time by a private provider. State operated programs could also serve as sites for pilot initiatives to pursue innovation programming for limited cost since there are no contract requirements to consider as there are with private provider. In addition, the staff of these programs were available to assist the Department in the situations requiring their specialized expertise. With the elimination of the remainder of the Residential state operated programs the Department will need to address filling this gap in some fashion...

EMPLOYEE TRANSITION MANAGEMENT PLAN –

The Department has an approved Workforce Transition Plan that is used to address the needs of adversely affected staff in the event of the loss of state positions. Developing this project to privatize the affected facilities well in advance of the actual changeover allows staff significant

notice so that each can individually determine what the best course of action for them is. Additionally, the Workforce Transition Plan has specific actions to assist staff with future employment based on agency vacancies as well as the employee interests. The department has vacancies, particularly in Detention and Probation services, and will work closely with those offices in placing individuals who qualify and desire to stay in a state position. We will also work with DMS and other agencies in job placement along with Florida's local Workforce Boards.

IDENTIFICATION OF CRITICAL SUCCESS FACTORS

The transition from state-operated to private provider operated will have minimal impact on the critical success factors. All expectations and measures of success for residential commitment programs are the same – regardless of whether they are operated by the state or a private provider. The major difference is that with a private provider, the contract is the vehicle that is used to specify the program requirements. While there may be some unique contractual issues based on a specialized program type, overall the performance measures and outcomes, the quality improvement standards, the reporting requirements, and program monitoring will be those that are applied to all residential programs throughout the state. All residential programs must operate in accordance with the provisions of the administrative rules for the operation of residential services. Issues such as utilization, length of stay, PAR incidents, youth arrests, use of force, etc. are currently monitored for all programs as various measures of performance and success.

PROCUREMENT PROCESS

The solicitation process is done for each procurement and is managed by the Bureau of Contracts; this project would begin with posting an Invitation to Negotiate (ITN) on the Vendor Bid System (VBS). Utilizing the Invitation to Negotiate allows the State of Florida to obtain the best value and comprehensive services to meet the needs of youth. ITNs allow flexibility for innovative delinquency interventions and treatment models and includes the negotiation of achievable performance measures, which will assist the Department in meeting its' reform goals.

Prior to posting an ITN, an evaluation/negotiation team is appointed. This team is comprised of lead staff such as regional directors, senior management and subject matter experts. A solicitation conference call is held for all respondents to have the opportunity to ask questions they may have and questions/answers are posted on the VBS. The anticipated number of respondents could range from approximately eight (8) to twelve (12). Upon submission of technical, past performance and cost proposals, each are reviewed by applicable areas. Technical proposals are evaluated by the evaluation/negotiation team members, the Bureau of Residential Contract Development evaluates past performance and cost proposals are reviewed by the Bureau of Contracts.

A briefing meeting is held with the evaluation/negotiation team members to answer any questions or provide clarification and to ensure all materials were in receipt prior to evaluation, debriefing meetings are held after review of the proposals to discuss locations of requirements in each technical proposal and scores. Provider eligibility and qualifications are determined by review of key program components, ranging from management capabilities, performance outcomes, staffing and training, specialized services and transition. Points are allocated for each component with a maximum of three (3) points for areas which exceed expectations, and a minimum of zero (0) points for not meeting the expectations. Scores for all proposals are then compiled by the Bureau of Contracts and a ranking is determined, proposers are notified if selected for oral presentations. Oral presentations are held with the top three ranking respondents and a debriefing is held with the evaluation/negotiation team members, after the presentations. A Short List/Ranking of Respondents for Final Negotiations is posted on the VBS and negotiations take place. The final notice of award is posted on the VBS and Bureau of Contracts compiles the final contract document. Contract terms are anticipated to be for a period of five (5) years, with renewal options for durations up to the original term which may occur at the end of the original five (5) year term based on satisfactory performance.

Upon contract execution, all contracts are monitored. Program monitoring provides the Department with information necessary to assess the programmatic accountability of its providers. Both contracted programs as well as state operated programs are monitored in the same manner and will continue to be monitored to include all aspects of program performance, based on required terms and conditions and services/deliverables. Program monitoring is conducted both on and off-site at all programs to ensure contract compliance with Florida Statutes, Rules of the Florida Administrative Code, departmental policies and procedures, and contract terms and conditions. Monitoring activities may be announced or unannounced and may be conducted during nontraditional hours when applicable. In conjunction with standard program monitoring, programs also undergo Quality Improvement (QI) reviews in which program monitors also participate. Any deficiencies or issues that arise during the QI reviews require additional monitoring to be completed. Administrative monitoring is required, at a minimum, once per year on each contract and is conducted by the contract manager. To assure programmatic financial integrity is maintained, the contract manager reviews the accuracy of contract payments as they relate to programmatic requirements and service quality. Additional areas of oversight include the ability for issues or concerns at programs to be reported through a Centralized Communications Center (CCC), this allows for both youth and staff to report any incident as necessary, which result in program or administrative reviews to be conducted for investigation.

The anticipated timeline for state operated conversions is indicated below:

PENSACOLA BOYS BASE

Program	PENSACOLA BOYS BASE (28 beds)
Anticipated start date of program	5/1/13
Release of solicitation	Wednesday, October 24, 2012
Mandatory Site Visit (for state-owned/leased facilities only)	Wednesday, October 31, 2012
Solicitation Conference Question Deadline – Last date and time written questions will be accepted for Discussion at Solicitation Conference	Monday, November 5, 2012 by COB
Deadline for Submission of Intent to Attend Solicitation Conference Form	Monday, November 5, 2012 by COB
Solicitation Conference/Conference Call	Wednesday, November 14, 2012
Final date and time deadline written questions will be accepted. Deadline for Submission of Intent to Respond	Wednesday, November 21, 2012
Anticipated date that answers to written questions will be posted on the web site	Wednesday, December 5, 2012
Responses due and opened	Tuesday, January 8, 2013
Evaluator Briefing (Instructions and Confirmation or Receipt of Materials for Written Narrative Response Evaluation)	Friday, January 11, 2013
Evaluator Debriefing (Written Narrative Responses) Discuss page #s and scores only-Conference call	Wednesday-Thursday, January 30-31, 2013 * Time allocated due to the large amount of expected interest.
Oral Presentations (Final Dates and Times to be Communicated to Ranking Respondents selected for Oral Presentations and posted on VBS) (3 ORALS FOR 2 HOURS EACH with DEBRIEFING IMMEDIATELY FOLLOWING)	Wednesday-Thursday, February 13-14, 2013
Evaluator Debriefing (Oral Presentations) NO COMMENTS-SCORES FOR ORAL WILL BE PROVIDED DURING DEBRIEFING WHICH WILL BE ON THE RECORD.	Immediately following Oral Presentations
Anticipated Posting of Notice of Agency Decision “Short List/Ranking of Respondents for Final Negotiations”	Thursday, February 21, 2013
Anticipated Week/Dates of Negotiations (Final Dates and Times to be Communicated to Ranking Respondents selected for Final Negotiation and posted on VBS)	Monday-Tuesday, March 4-5, 2013* Time allocated due to concurrent negotiations with up to 3 of the top ranking respondents from the oral presentations.
Anticipated date of posting of Notice of Final Agency Decision	Tuesday, March 12, 2013
Transition Planning (Recruit, interview and train staff, complete background screening and drug testing, develop contracts for medical/mental health staff (i.e. DHA, Psychiatrist), coordinate and transfer facility services, obtain DCF licensure for substance abuse)	Approx. 2-3 months
Anticipated Contract Execution Date/Start of Contracts	Wednesday, May 1, 2013

** Additional considerations during this time: Solicitations other than state operated conversions.

**This timeline is contingent upon no protests being received.

DUVAL HALFWAY HOUSE

Program	DUVAL HALFWAY HOUSE (28 beds)
Anticipated start date of program	7/1/13
Release of solicitation	Thursday November 1, 2012
Mandatory Site Visit (for state-owned/leased facilities only)	Thursday November 8, 2012
Solicitation Conference Question Deadline – Last date and time written questions will be accepted for Discussion at Solicitation Conference	Wednesday, November 14, 2012 by COB
Deadline for Submission of Intent to Attend Solicitation Conference Form	Wednesday, November 14, 2012 by COB
Solicitation Conference/Conference Call	Tuesday, November 27, 2012
Final date and time deadline written questions will be accepted. Deadline for Submission of Intent to Respond	Thursday, December 6, 2012
Anticipated date that answers to written questions will be posted on the web site	Tuesday, December 18, 2012
Responses due and opened	Thursday, January 17, 2013
Evaluator Briefing (Instructions and Confirmation or Receipt of Materials for Written Narrative Response Evaluation)	Tuesday, January 22, 2013
Evaluator Debriefing (Written Narrative Responses) Discuss page #s and scores only-Conference call	Monday-Tuesday, February 25-26, 2013* Time allocated due to the large amount of expected interest.
Oral Presentations (Final Dates and Times to be Communicated to Ranking Respondents selected for Oral Presentations and posted on VBS) (3 ORALS FOR 2 HOURS EACH with DEBRIEFING IMMEDIATELY FOLLOWING)	Wednesday-Thursday, March 13-14, 2013
Evaluator Debriefing (Oral Presentations) NO COMMENTS-SCORES FOR ORAL WILL BE PROVIDED DURING DEBRIEFING WHICH WILL BE ON THE RECORD.	Immediately following Oral Presentations
Anticipated Posting of Notice of Agency Decision “Short List/Ranking of Respondents for Final Negotiations”	Friday, March 22, 2013
Anticipated Week/Dates of Negotiations (Final Dates and Times to be Communicated to Ranking Respondents selected for Final Negotiation and posted on VBS)	Monday-Wednesday, April 1-3, 2013* Time allocated due to concurrent negotiations with up to 3 of the top ranking respondents from the oral presentations.
Anticipated date of posting of Notice of Final Agency Decision	Thursday, April, 18 2013
Transition Planning (Recruit, interview and train staff, complete background screening and drug testing, develop contracts for medical/mental health staff (i.e. DHA, Psychiatrist), coordinate and transfer facility services, obtain DCF licensure for substance abuse)	Approx. 2-3 months
Anticipated Contract Execution Date/Start of Contracts	Monday, July 1, 2013

** Additional considerations during this time: Solicitations other than state operated conversions.

**This timeline is contingent upon no protests being received.

BRITT HALFWAY HOUSE

Program	BRITT HALFWAY HOUSE (28 beds)
Anticipated start date of program	7/1/13
Release of solicitation	Friday, November 2, 2012
Mandatory Site Visit (for state-owned/leased facilities only)	Friday, November 9, 2012
Solicitation Conference Question Deadline – Last date and time written questions will be accepted for Discussion at Solicitation Conference	Thursday, November 15, 2012 by COB
Deadline for Submission of Intent to Attend Solicitation Conference Form	Thursday, November 15, 2012 by COB
Solicitation Conference/Conference Call	Wednesday, November 28, 2012
Final date and time deadline written questions will be accepted. Deadline for Submission of Intent to Respond	Friday, December 7, 2012
Anticipated date that answers to written questions will be posted on the web site	Wednesday, December 18, 2012
Responses due and opened	Friday, January 18, 2013
Evaluator Briefing (Instructions and Confirmation or Receipt of Materials for Written Narrative Response Evaluation)	Wednesday, January 23, 2013
Evaluator Debriefing (Written Narrative Responses) Discuss page #s and scores only-Conference call	Tuesday-Wednesday, February 26-27, 2013* Time allocated due to the large amount of expected interest.
Oral Presentations (Final Dates and Times to be Communicated to Ranking Respondents selected for Oral Presentations and posted on VBS) (3 ORALS FOR 2 HOURS EACH with DEBRIEFING IMMEDIATELY FOLLOWING)	Thursday-Friday, March 14-15, 2013
Evaluator Debriefing (Oral Presentations) NO COMMENTS-SCORES FOR ORAL WILL BE PROVIDED DURING DEBRIEFING WHICH WILL BE ON THE RECORD.	Immediately following Oral Presentations
Anticipated Posting of Notice of Agency Decision “Short List/Ranking of Respondents for Final Negotiations”	Monday, March 25, 2013
Anticipated Week/Dates of Negotiations (Final Dates and Times to be Communicated to Ranking Respondents selected for Final Negotiation and posted on VBS)	Tuesday-Thursday, April 2-4, 2013* Time allocated due to concurrent negotiations with up to 3 of the top ranking respondents from the oral presentations.
Anticipated date of posting of Notice of Final Agency Decision	Friday, April 19, 2013
Transition Planning (Recruit, interview and train staff, complete background screening and drug testing, develop contracts for medical/mental health staff (i.e. DHA, Psychiatrist), coordinate and transfer facility services, obtain DCF licensure for substance abuse)	Approx. 2-3 months
Anticipated Contract Execution Date/Start of Contracts	Monday, July 1, 2013

** Additional considerations during this time: Solicitations other than state operated conversions.

**This timeline is contingent upon no protests being received.

FALKENBURG JUVENILE CORRECTIONAL FACILITY AND LES PETERS HALFWAY HOUSE

Program	FALKENBURG JUVENILE CORRECTIONAL FACILITY (60 beds) & LES PETERS HALFWAY HOUSE (24 bed step-down/transition)
Anticipated start date of program	10/1/13
Release of solicitation	Monday, January 7, 2013
Mandatory Site Visit (for state-owned/leased facilities only)	Wednesday, January 23, 2013
Solicitation Conference Question Deadline – Last date and time written questions will be accepted for Discussion at Solicitation Conference	Monday, January 28, 2013 by COB
Deadline for Submission of Intent to Attend Solicitation Conference Form	Monday, January 28, 2013 by COB
Solicitation Conference/Conference Call	Monday, February 11, 2013
Final date and time deadline written questions will be accepted. Deadline for Submission of Intent to Respond	Tuesday, February 19, 2013
Anticipated date that answers to written questions will be posted on the web site	Friday, March 1, 2013
Responses due and opened	Monday, April 1, 2013
Evaluator Briefing (Instructions and Confirmation or Receipt of Materials for Written Narrative Response Evaluation)	Monday, April 4, 2013
Evaluator Debriefing (Written Narrative Responses) Discuss page #s and scores only-Conference call	Tuesday-Wednesday, April 30-May 1, 2013* Time allocated due to the large amount of expected interest.
Oral Presentations (Final Dates and Times to be Communicated to Ranking Respondents selected for Oral Presentations and posted on VBS) (3 ORALS FOR 2 HOURS EACH with DEBRIEFING IMMEDIATELY FOLLOWING)	Wednesday-Thursday, May 15-16, 2013
Evaluator Debriefing (Oral Presentations) NO COMMENTS-SCORES FOR ORAL WILL BE PROVIDED DURING DEBRIEFING WHICH WILL BE ON THE RECORD.	Immediately following Oral Presentations
Anticipated Posting of Notice of Agency Decision “Short List/Ranking of Respondents for Final Negotiations”	Wednesday, May 22, 2013
Anticipated Week/Dates of Negotiations (Final Dates and Times to be Communicated to Ranking Respondents selected for Final Negotiation and posted on VBS)	Tuesday-Thursday, May 28-June 6, 2013* Time allocated due to concurrent negotiations with up to 3 of the top ranking respondents from the oral presentations.
Anticipated date of posting of Notice of Final Agency Decision	Wednesday, June 12, 2013
Transition Planning (Recruit, interview and train staff, complete background screening and drug testing, develop contracts for medical/mental health staff (i.e. DHA, Psychiatrist), coordinate and transfer facility services, obtain DCF licensure for substance abuse)	Approx. 3 months
Anticipated Contract Execution Date/Start of Contracts	Tuesday, October 1, 2013

** Additional considerations during this time: Solicitations other than state operated conversions.

**This timeline is contingent upon no protests being received.

The following are excerpts from standard contract language regarding requirements for data security, digital rights, and ownership of intellectual property:

RECORDS REQUIREMENTS

Record Retention

The Provider shall maintain programmatic and administrative books, records, and documents (including electronic storage media), for a minimum of five (5) years in accordance with chapters 119 and 257, Florida Statutes, and the Florida Department of State Record Retention Schedule located at <http://dls.dos.state.fl.us/recordsmgmt>. The Provider shall maintain youth records, which are programmatic in nature in a secure location with access limited to duly authorized Department and Provider staff. Upon expiration of this Contract, the Provider shall return all youth records to the Department. The Provider shall ensure these records are available at all reasonable times to inspection, review, or audit by state and federal personnel and other personnel duly authorized by the Department. In the event any work is subcontracted, the Provider shall require each subcontractor to maintain and allow access to such records for audit purposes in the same manner. The Provider shall retain sufficient records demonstrating its compliance with the terms of this Contract for a period of five (5) years from the date the audit report is issued, and shall allow the Department, or its designee, Comptroller, or Auditor General access to such records upon request. The Provider shall ensure that all working papers are made available to the Department, or its designee, Comptroller, or Auditor General upon request for a period of three (3) years from the date the audit report is issued, unless extended in writing by the Department.

Transfer of Records

Upon completion or termination of the Contract, the Provider shall cooperate with the Department to facilitate the transfer and return of records to the Department, at no cost to the Department. All records provided to or developed by the Provider for this Contract are the property of the Department.

Copyrights and Right to Data

1. Where activities supported by this Contract produce original writing, sound recordings, pictorial reproductions, drawings or other graphic representation and works of any similar nature, the Department has the right to use, duplicate and disclose such materials in whole or in part in any manner, for any purpose whatsoever, and to have others acting on behalf of the Department to do so.
2. If the materials so developed are subject to copyright, trademark or patent, legal title and every right, interest, claim or demand of any kind in and to any patent, trademark or copyright, or application for the same, will vest in the State of Florida, Department of State, for the exclusive use and benefit of the State. Ownership of intellectual property created as a result

of the services delivered under this Contract will reside with the Department.

Confidentiality

1. Pursuant to section 985.04, Florida Statutes, all information obtained in the course of this Contract regarding youth in the care of the Department is confidential. The Provider shall comply fully with all security procedures of the State and the Department in performance of the Contract. The Provider shall not divulge to third parties any confidential information obtained by the Provider or its agents, distributors, resellers, subcontractor, officers or employees in the course of performing Contract work, including, but not limited to, security procedures, business operations information, or commercial proprietary information in the possession of the State or Department. The Provider shall not be required to keep confidential information or material that is publicly available through no fault of the Provider, material that the Provider developed independently without relying on the State's or Department's confidential information, or material that is otherwise obtainable under State law as a public record. The Provider shall take appropriate steps to ensure its personnel, agents, and subcontractors protect confidentiality. The warranties of this paragraph shall survive the Contract.
2. The Provider shall comply with all requirements of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the regulation applicable to entities covered under HIPAA, issued by the Department of Health and Human Services, entitled "Standards for Privacy of Individually Identifiable Health Information" (45 CFR Parts 160 and 164, effective April 14, 2000), if applicable under this Contract.

MIS Security

In accordance with Rule 71A-1.005 (1)-(5) F.A.C., Contractors, Providers, and Partners employed by the Department or acting on behalf of the Department shall comply with all applicable security policies, and employ adequate security measures to protect the Department's information, applications, data, resources, and services. When applicable, network connection agreements shall be executed for third-party network connections prior to connection to the Department's internal network.

CONCLUSION:

The proposed action of transitioning the remaining state operated residential facilities to private provider operations addresses the goals of all stakeholders.

- It ensures the continuation of critically needed services for youth in most need of comprehensive treatment services.
- It continues the state's commitment to public safety by ensuring residential beds will be reserved for those youth that pose the greatest risk to public safety.
- It provides a reduction in residential costs which will be reinvested into the front end of the system. This will lead to preventing and diverting more youth from entering the juvenile justice system, thereby reducing juvenile delinquency and turning around the lives of troubled youth in the most effective manner.
- It allows for a smooth transition for youth, employees, and the private provider in the changeover from one service delivery type to another.
- It provides for increased competition within the private sector which can lead to improved services as well as lower costs.

**SCHEDULE XIIB-2: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS - COST AND DELIVERABLES DATA
SECURE RESIDENTIAL COMMITMENT**

Section I: Cost Data

For each outsourced or privatized service or activity, complete the cost analysis below:

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned Savings	Actual/Revised Savings
FY 2013 - 2014	\$5,436,456	\$5,436,456*		
FY 2014 - 2015	\$5,584,718	\$5,484,718	\$1,400,000	\$715,282
FY 2015 - 2016	\$5,507,511	\$5,407,093	\$1,400,000	\$792,907
FY 2016 - 2017	\$5,436,456	\$5,427,706	\$1,400,000	\$772,294
FY 2017 - 2018	\$5,436,456	\$0	\$0	\$0

* We are calculating our savings on an annual basis but only 2 months have elapsed for this FY at the time of this report.

Variance	Reasons			
Cost	N/A			
Savings				
\$772,294	The savings were less than anticipated because the negotiated costs for executed contracts were greater than anticipated			

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
Appropriate care and custody of the youth being served	N/A	N/A

Variance	Reasons			
Schedule	N/A			

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

Contact Information
Agency: Department of Juvenile Justice
Name: Michele Cook
Phone: 850-717-2741
E-mail address: Michele.Cook@djj.state.fl.us

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/](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.
Replacement and installation of data and telecom equipment located in the Knight and Alexander Buildings, Tallahassee, Florida, with the commodity code 730310 for the telephone system that was completed May 2013.
2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.
The Department applied for and was approved for the Consolidated Equipment Financing Program (CEFP).
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).
The CEFP allows the Department to repay the cost of the data and telecom equipment over a 60 (sixty) month period. DJJ did not have the funds to cover the purchase in one lump sum. The amortization schedule is attached.
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.
Funds in Specific Appropriation 1146 of the Fiscal Year 2017- 18 General Appropriations Act, Chapter Law 2017-70 are being used for the payment of this contract.

EQUIPMENT SCHEDULE NO. 1
TO MASTER EQUIPMENT FINANCING AGREEMENT
EQUIPMENT SCHEDULE, RENTAL PAYMENTS, ETC.

The following Equipment comprises an Equipment Group which is the subject of an Agency Lease dated as of May 15, 2013 (the "Agency Lease"), between the undersigned Lessor and (the "Lessee"). The State of Florida Master Equipment Financing Agreement dated as of November 1, 2012, by and between the Chief Financial Officer of the State of Florida and Banc of America Public Capital Corp. is incorporated herein in its entirety, and Lessee hereby reaffirms all of its representations and warranties contained in said Agreement.

EQUIPMENT GROUP LOCATION

The Equipment Group will be located at one or more of the following addresses.

State of Florida, Department of Juvenile Justice
2737 Centerview Drive
Tallahassee, FL 32399

EQUIPMENT SCHEDULE NO. 1

EQUIPMENT LIST

<u>DESCRIPTION</u>	<u>MODEL/ SERIAL NUMBER</u>	<u>QUANTITY</u>	<u>COST PER UNIT</u>	<u>EXTENDED PRICE</u>	<u>WEIGHTED AVERAGE USEFUL LIFE</u>
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Vendor: Siemens Enterprise Communications, Inc.

Equipment: Data and Telecom Equipment

TOTAL PURCHASE PRICE \$280,823.77

Less Reductions:

Discounts \$0.00

Trade In \$0.00

Initial Pmt. \$0.00

Total Reductions

\$ 0.00

AMOUNT FINANCED

\$280,823.77

B-2

EQUIPMENT SCHEDULE NO. 1

RENTAL PAYMENTS

Lessee: State of Florida, Department of Juvenile Justice
Name of Contractor: Siemens Enterprise Communications, Inc.
Amount to be Financed: \$280,823.77
Lessor Commitment Date: May 15, 2013
Interest Rate: 1.3843%

The initial rental payment is due ten (10) days after the Funding Date and subsequent payments shall be due quarterly thereafter (commencing 90 days after the Funding Date).

Lessee will make 20 Rental Payments of \$14,506.79 each. The first payment, consisting of Principal only, is due on May 15, 2013, and the subsequent payments, consisting of Principal and Interest, shall be due as set forth in the attached schedule.

State of Florida, Department of Juvenile Justice, Lessee

Banc of America Public Capital Corp, Lessor

By: 

By: 

Title: Fred Souknecht, Director of Admin.

Title: Authorized Agent

Date: 5/1/2013

Date: 5/15/13

**EQUIPMENT SCHEDULE NO. 1
PAYMENT SCHEDULE**

Funding Date: May 15, 2013

PAYMENT NUMBER	PAYMENT DATE	TOTAL PAYMENT	PRINCIPAL COMPONENT	INTEREST COMPONENT 1.3843%	BALANCE	PAYMENT PRICE*
1	May-15-13	14,506.79	14,506.79		266,316.98	N/A
2	Aug-15-13	14,506.79	13,585.14	921.65	252,731.84	N/A
3	Nov-15-13	14,506.79	13,632.15	874.64	239,099.69	N/A
4	Feb-15-14	14,506.79	13,679.33	827.46	225,420.36	N/A
5	May-15-14	14,506.79	13,726.67	780.12	211,693.69	N/A
6	Aug-15-14	14,506.79	13,774.17	732.62	197,919.52	N/A
7	Nov-15-14	14,506.79	13,821.84	684.95	184,097.68	N/A
8	Feb-15-15	14,506.79	13,869.68	637.11	170,228.00	N/A
9	May-15-15	14,506.79	13,917.68	589.11	156,310.32	N/A
10	Aug-15-15	14,506.79	13,965.84	540.95	142,344.48	N/A
11	Nov-15-15	14,506.79	14,014.17	492.62	128,330.31	128,330.31
12	Feb-15-16	14,506.79	14,062.67	444.12	114,267.64	114,267.64
13	May-15-16	14,506.79	14,111.35	395.44	100,156.29	100,156.29
14	Aug-15-16	14,506.79	14,160.17	346.62	85,996.12	85,996.12
15	Nov-15-16	14,506.79	14,209.18	297.61	71,786.94	71,786.94
16	Feb-15-17	14,506.79	14,258.36	248.43	57,528.58	57,528.58
17	May-15-17	14,506.79	14,307.70	199.09	43,220.88	43,220.88
18	Aug-15-17	14,506.79	14,357.22	149.57	28,863.66	28,863.66
19	Nov-15-17	14,506.79	14,406.90	99.89	14,456.76	14,456.76
20	Feb-15-18	14,506.79	14,456.76	50.03	0.00	0.00
Total		290,135.80	280,823.77	9,312.03		

* Does not include Rental Payment due on such date plus any other amounts accrued and unpaid on such date.

ACKNOWLEDGMENT OF PAYMENT SCHEDULE:

Department of Financial Services

By: David James

Print Name: David James

Title: Senior Management Analyst II

EQUIPMENT SCHEDULE NO. 1

**CERTIFICATE OF ACCEPTANCE AND
ACKNOWLEDGMENT OF AGENCY LEASE**

I, the undersigned, hereby certify that I am the duly qualified and acting officer of Lessee identified below and, with respect to the above-referenced Equipment Schedule dated May 15, 2013, to the Agency Lease dated as of May 15, 2013, by and between Lessee and Banc of America Public Capital Corp ("Lessor"), represent and warrant that:

1. The equipment described in Exhibit B, page B-2 (the "Equipment Group") purchased from Siemens Enterprise Communications, Inc., and properly invoiced, has been delivered and installed in accordance with Lessee's Specifications, is in good working order and is fully operational and has been fully accepted by Lessee on the 15th day of May, 2013.

2. Lessee has legally available funds in its current fiscal year sufficient to pay all Rental Payments required to be paid under the Agency Lease during the current Fiscal Year of Lessee, and, such money will be applied in payment of all such Rental Payments due and payable during such current Fiscal Year.

3. During the Lease Term, the Equipment Group will be used by Lessee to perform essential governmental functions. Such functions are:

Voice and data Network functions at Department
Headquarters buildings

4. There is no litigation, action, suit or proceeding pending or before any court, administrative agency, arbitrator or governmental body that challenges the organization or existence of Lessee the authority of Lessee or its officers or its employees to enter into the Agency Lease; the proper authorization, approval and execution of the Agency Lease or any related other documents; the appropriation of money, or any other action taken by Lessee to provide money, sufficient to make Rental Payments coming due under the Agency Lease in Lessee's current Fiscal Year; or the ability of Lessee otherwise to perform its obligations under the Lease and the transactions contemplated thereby.

5. Rental Payments shall be due and payable by Lessee on the dates and in the amounts indicated on Page B-4 of the above-referenced Equipment Schedule.

6. No Non-Appropriation and no Event of Default or any event which, with the passage of time or the giving of notice, would constitute a default has occurred under the Agreement.

7. Lessee will maintain each item of equipment in the Equipment Group in good operating condition based on reasonable and customary practices for such equipment, with normal wear and tear excepted. The equipment financed under this Agreement may not be removed, sold or transferred to another party without the prior written permission of the Chief Financial Officer.

8. All capitalized terms herein have the meanings ascribed to them in the Agreement.

AGENCY ACKNOWLEDGMENT REGARDING THE AGENCY LEASE

Lessee desires to obtain certain equipment, and Lessee hereby determines that it is necessary and desirable and in the best interests of Lessee to enter into an Agency Lease (the "Agency Lease") with Banc of America Public Capital Corp ("Lessor") for the purposes of financing the acquisition of the Equipment described in Equipment Schedule No. 1. The execution and delivery of the Agency Lease, the exhibits and schedules thereto and such other instruments and documents related thereto, by Lessee and the financing of the acquisition of such Equipment have been approved by Lessee, and Lessee acknowledges that, by execution hereof, Lessee agrees to be bound by the provisions applicable to "Lessee" under the State of Florida Master Equipment Financing Agreement between Lessor and the State of Florida dated as of November 1, 2012.

Lessee: State of Florida, Department of Juvenile Justice

By: 

Title: Fred Schuknecht, Director of Admin.

Date: 5/1/2013

ARBITRAGE AND TAX CERTIFICATE

I, the undersigned, hereby certify that I am the duly qualified and acting officer of the agency of the State of Florida identified below ("Lessee"), and that in my official capacity as such officer, I am responsible for executing and delivering on behalf of Lessee the Agency Lease as defined in that certain State of Florida Master Equipment Financing Agreement dated as of November 1, 2012, (the "Master Lease Agreement") by and between the State of Florida and Banc of America Public Capital Corp ("Lessor") and as evidenced by Equipment Schedule No. 1. This Certificate is being issued pursuant to Section 148 of the Internal Revenue Code of 1986, as amended (the "Code"), and Treasury Regulations, Sections 1.148-0 through 1.148-11 and 1.150-1 and 1.150-2 (the "Regulations"). The following facts, estimates and circumstances are in existence on the date of this Certificate or are reasonably expected to occur hereafter.

1. The Agency Lease provides for the financing by Lessor of the acquisition of certain equipment described in Equipment Schedule No. 1 thereto (the "Equipment") and the lease of the Equipment by Lessee from Lessor. Pursuant to the Agency Lease, Lessee is required to make Rental Payments with respect to the Equipment, comprising principal and interest, on the dates and in the amounts set forth in applicable Equipment Schedule to the Agency Lease.

2. A contract or purchase order dated as of 4/16/2013, providing for the acquisition and delivery of the Equipment has been executed between Lessee and Siemens Enterprise Communications, Inc.

3. The Equipment will be acquired and installed with due diligence and, based upon the provisions of the contract or purchase order described in paragraph 4 hereof, the Equipment will be acquired and installed on or before May 15, 2013.

4. All of the spendable proceeds of the financing will be expended on the Equipment and related expenses within three years from May 15, 2013.

5. The original proceeds of Equipment Schedule No. 1, and the interest to be earned thereon (collectively, the "gross proceeds of the financing"), do not exceed the amount necessary for the purpose for which the Lease and such Equipment Schedule are issued.

6. The interest of Lessee in the Equipment has not been and is not expected during the term of the Agency Lease to be sold or disposed of by Lessee.

7. No sinking fund is expected to be created by Lessee with respect to the Agency Lease and the Rental Payments.

8. Lessee hereby covenants to comply with all requirements of the Code and Regulations relating to the rebate of arbitrage profit to the United States of America. It is expected that all gross proceeds of the financing will be expended on the Equipment no later than the day which is six months after the date of issuance of Equipment Schedule No. 1.

9. Neither the proceeds of the financing nor the Equipment financed therewith shall be used for any "private business use" within the meaning of Section 141(b)(6) of the Code. No proceeds of the financing will be used to make or finance a loan to another person.

10. The payment of Rental Payments is not guaranteed, directly or indirectly, in whole or in part by the United States or any agency or instrumentality thereof, nor is it otherwise federally guaranteed within the meaning of Section 149(b) of the Code.

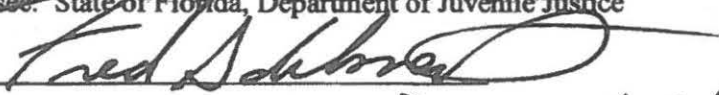
11. To the best of the knowledge and belief of the undersigned, the expectations of Lessee, as set forth above, are reasonable, and there are no present facts, estimates and circumstances which would change the foregoing expectations.

12. Lessee has not been notified of the listing or proposed listing of it by the Internal Revenue Service as an issuer whose arbitrage certificates may not be relied upon.

WITNESS my hand this 15th day of May.

Lessee: State of Florida, Department of Juvenile Justice

By:


Title: Fred Schutrecht, Director of Administration

CONSOLIDATED EQUIPMENT FINANCING PROGRAM

Department of Financial Services

Application to Finance Equipment pursuant Section 287.064, Florida Statutes

Note: This application form must be submitted, with all required substantiating documentation, at least 21 days before awarding the contract for such equipment.

1. a) Name of Agency: Department of Juvenile Justice
b) Address of Agency: 2737 Centerview Drive, Tallahassee, Florida 32399-3100
c) Agency Contact: Richard Haire Phone: 850-921-7952
Email address: Richard.Haire@djj.state.fl.us Fax: 850-487-3100
d) Agency Address and Contact Person (if different from above) _____
e) Reviewed by Purchasing Office (signature): Richard Haire
f) Submitted by (signature): Jeff Thibault
2. a) Equipment Description Data and Telecom equipment. See attached
b) Proposed Location of Equipment: 2737 Centerview Drive, Tallahassee
c) Equipment Vendor Name, Address: Siemens
Equipment Vendor FEID No. 48-1173664
d) Financing vendor name, address:
Name: Banc of America Public Capital Corp.
2059 Northlake Parkway, 4th Floor
Address: Tucker, GA 30084
Financing Vendor FEID No. 48-1173664
3. Attach written justification based on public purpose served by acquisition, need, size of purchase, and financial benefit to the State for deferred payment purchase. Attach documentation supporting recurring funds requirement in Sections 287.063(5) and 287.064 (11) (i.e. Budget Officer letter)
4. FLAIR Account from which payments will be made:
80-10-1-000100-80750100-10- 108280-00 22
5. Vendor Selection Method – State Term Contract # 730-000-09-01
Other Selection Method _____
*
* Attach bid tabulation sheet or other appropriate document.
6. Were funds specifically appropriated to purchase or replace existing equipment with this equipment? No Yes
Appropriation line item number _____
Appropriation amount for current FY \$59,032 (Budget Amendment B-ED13-0001/EOG#B0021)
7. If acquisition is for Information Technology Resources that have a purchase price more than threshold amount for Cat. THREE in §287.017, F.S., attach Chief

CONSOLIDATED EQUIPMENT FINANCING PROGRAM

Department of Financial Services

Application to Finance Equipment pursuant Section 287.064, Florida Statutes

8. Ensure that:
- a) An equipment schedule is prepared in detail.
 - b) The equipment meets the definition of commodity and ownership provisions of agreement will be satisfied.
 - c) Insurance selection on equipment has been made (check one of the following):
Self-insurance Commercial insurance policy
9. If purchasing a telephone system, attach Department of Management Services' approval.
10. a) Requested Financing term 20 Quarters
b) Equipment useful life 40 Quarters
c) Anticipated period the equipment will be used before major upgrade, modification or replacement 40 Quarters
Anticipated acceptance date 11/20/2012

11. Equipment – Total Purchase Price	<u>\$280,823.78</u>
Less Discounts and Credits	<u>()</u>
Less Trade-in	<u>()</u>
Less Freight and Installation	<u>()</u>
Less Maintenance	<u>()</u>
Total Cash Sale Price – Amount to be capitalized	<u>280,823.78</u>
Less Down Payment (if any)	<u>(0)</u>

12. Amount to be financed: \$280,823.787

D.J.
11/15/12

First payment is due within ten (10) days of funding.
Subsequent payments are due quarterly thereafter.

Send to:
Department of Financial Services
Bureau of Accounting, Finance and Federal Reporting Section
200 East Gaines Street, 414 Fletcher Building
Tallahassee, Florida 32399-0354
Phone: (850) 413-5594
Fax: (850) 413-3232
E-mail Address: financing@myfloridacfo.com

APPROVED
DEPARTMENT OF FINANCIAL SERVICES
DIVISION OF ACCOUNTING AND AUDITING
BY: *[Signature]*
DATE: *11/15/12*
APPROVAL NO: *C12-001*



CHIEF FINANCIAL OFFICER
JEFF ATWATER
STATE OF FLORIDA

November 15, 2012

Mr. Bill Rich
Department of Juvenile Justice
2737 Centerview Drive
Tallahassee, Florida 32399-3100

Re: Consolidated Equipment Financing Program; Lease Agreement Approval No. C12-001

Dear Mr. Rich:

Enclosed is the Agency's application form for an Agency Lease Agreement submitted to us for pre-audit review and approval. The Agreement provides for equipment financing between Department of Juvenile Justice, as Lessee, and Banc of America Public Capital Corp., as Lessor, for the purchase of Data and Telecom Equipment, with a total purchase price of \$280,823.77. Pursuant to Section 287.063, Florida Statutes, the deferred-payment purchase is approved, and the Chief Financial Officer's approval number C12-001 is assigned. This acquisition contemplates a total estimated financing amount of \$280,823.77 to be financed for twenty (20) quarters, at an assumed interest rate of 1.38% with an initial payment within ten (10) Business Days of the Funding Date, in the amount of \$14,505.33. The receipt of this letter, as approved by Lessor, shall constitute your authority to order the Equipment Group from the designated Contractor or Contractors.

The rate of interest for this Equipment Group shall be determined as of the date Lessor receives the Final Invoices from the Chief Financial Officer, in accordance with the then-current Exhibit F to the Master Equipment Financing Agreement dated November 1, 2012, between the State of Florida and Lessor (the "MEFA"), rounded to the nearest one-hundredth of a percent, subject to the statutory maximum.

The statutory maximum rate applicable to this Agency Lease is 5.05%.

Within two Business Days of receipt of the Final Invoice, the Lessor is required to prepare the following final documents to be executed by you: (i) Exhibit B to the MBFA, the Equipment Schedule, Rental Payment, etc., (ii) Exhibit C to the MEFA, the Certificate of Acceptance and Acknowledgment of Agency Lease, and (iii) Exhibit B to the MEFA, the Arbitrage and Tax Certificate. The Lessor shall make payment to a Contractor for an Equipment Group within ten Business Days after it has received all of the following: the fully executed documents referred to in (i), (ii), and (iii) above, (iv) evidence of insurance and/or self-insurance with respect to the Equipment Group in compliance with Article VI of the MBFA, (v) the Final Invoice(s) and/or bill of sale relating to the Equipment Group (with the original being sent to the Chief Financial Officer), and (vi) any other documents or items reasonably required by the Lessor. The Lessor is required to send a final Payment Schedule, in the form set forth on page B-4 of the MEFA, to you and the Chief Financial Officer not later than two (2) Business Days after the actual Funding Date.

FLORIDA DEPARTMENT OF FINANCIAL SERVICES
Division of Accounting and Auditing • Bureau of Financial Reporting
200 East Gaines Street • Tallahassee, Florida 32399-0364
AFFIRMATIVE ACTION • EQUAL OPPORTUNITY EMPLOYER

Please ensure the following tasks are completed:

1. The statement below is to be added to any purchase order issued for the equipment listed above:
This purchase order becomes a part of the Consolidated Equipment Financing Program Agency Lease entered into between Department of Juvenile Justice, and Banc of America Public Capital Corp. approved by the Chief Financial Officer of Florida, approval number of C12-001.

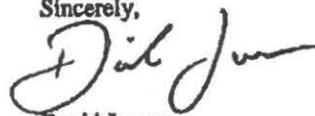
This Program requires the agency ownership of the equipment to be conveyed through a bill of sale and the documented delivery by seller and acceptance by agency of all equipment through a Certificate of Acceptance. The invoice is NOT to name Banc of America Public Capital Corp. as a billing or receiving party.
2. The equipment is to be added to the agency property records and the Division of Risk Management informed of the capital value for insurance purposes. If the equipment is not eligible for the self-insurance program, commercial insurance coverage is to be obtained through the Department of Management Services, Division of Purchasing, in sufficient time for the equipment to be covered upon acceptance.
3. Upon receipt of the warrant for the initial payment, the equipment schedule number is to be entered on the remittance advice and a facsimile of the warrant and remittance advice is to be transmitted to Bridgett Arnold, Banc of America Public Capital Corp., fax # 415-343-0533.

The voucher is to reference our approval number, C12-001, and the Equipment Schedule number assigned by Banc of America Public Capital Corp. [As applicable: The expenditure object codes appropriate for payments under this agreement are 6200, principal, and for subsequent payments the interest portion is identified by 6100].

The final amortization schedule, as represented on page B-4 of the completed Exhibit B to the MEFA, serves as the Agency's invoice for the lease term. The Agency shall highlight or circle the applicable payment date, principal and interest component on a copy of the amortization schedule, and attach the copy to the vouchers for periodic payments. Lessor shall endeavor to provide lessee with an invoice when payments are due.

We appreciate your participation in the Consolidated Equipment Financing Program and hope that you are satisfied with your new equipment. If you have any questions regarding these instructions or if we can be of any additional assistance, please feel free to contact me at (850) 413-5666 or financing@myfloridacfo.com.

Sincerely,



David James
Senior Management Analyst II

Approved by LESSOR:

Banc of America Public Capital Corp.

Name:

Title:

Date:

Bridgett Arnold
Authorized Agent
11/20/12

**Schedule XIV
Variance from Long Range Financial Outlook**

Agency: Department of Juvenile Justice

Contact: Monti Brown

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 2017 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 2018-2019 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 2018-2019 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Department of Juvenile Justice - Prevention and Intervention Programs	B	1.3M	9,513,541
b	Maintenance, Repairs, and Capital Improvements - Statewide Buildings - Other High Priority Needs	B	4.9M	11,647,000
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.

Item a - The Department's FY 2018-19 Legislative Budget Request includes the following issues in the Delinquency Prevention and Diversion budget entity: 1) \$1,091,330 in Grants & Donations Trust Fund (GDTF) to continue Stop Now and Plan (SNAP) programs funded in 6 judicial circuits and \$2,579,961 in GDTF to expand the SNAP program to the remaining 10 judicial circuits in Florida. 2) \$2,800,000 for PACE Center for Girls, Inc. that includes \$1,400,000 in General Revenue to serve at-risk middle and high school girls statewide and \$1,400,000 in General Revenue to continue the 62-slot PACE Center for Girls program in Hernando County. 3) \$1,000,000 in GDTF for the Prodigy Cultural Arts program located in central west Florida (Pinellas, Hillsborough, Pasco, Polk, Osceola, Manatee, Sarasota, Orange and Highlands counties) to continue prevention and diversion programs for youth ages 6-17 who have been identified to possess risk factors that may result in delinquency, academic failure, school dropout, etc. 4) \$500,000 in General Revenue for the Florida Alliance of Boys and Girls Clubs to continue after school prevention services for youth ages 6-18. Services are offered statewide and include positive peer interaction and individualized treatment plans for youth. 5) \$1,000,000 for Big Brothers Big Sisters Association of Florida programs (General Revenue \$600,000 and GDTF \$400,000) to continue mentoring programs that offer one-to-one adult role model relationships for youth between the ages of 5-17 facing adversity. 6) \$200,000 in GDTF for the Outward Bound program to continue extended follow-up services for youth completing the 20-day wilderness expeditions. 7) \$342,250 in General Revenue budget to conduct a pilot project for one year that would provide emergency shelter services to commercially sexually exploited children in Florida. The Long Range Financial Outlook's projection for this budget driver is based on a three-year appropriation average.

Item b - The Department's Capital Improvement Program Plan includes the \$4.9 million projected in the Long Range Financial Outlook for this budget driver and additional funding requests for other needs related to maintaining the state's property.

* R/B = Revenue or Budget Driver

Office of Policy and Budget - July 2017

DEPARTMENT OF JUVENILE JUSTICE

Program or Budget Entity Level

Exhibits and Schedules



Christina K. Daly, Secretary

SCHEDULE IV-B FOR REPLACEMENT OF POSITIVE ACHIEVEMENT CHANGE TOOL (PACT)/RPACT

For Fiscal Year 2018-19

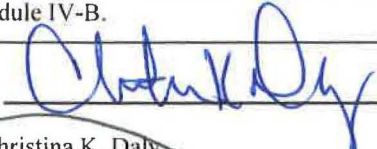
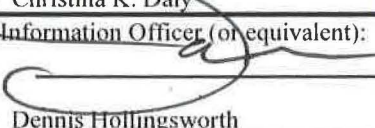
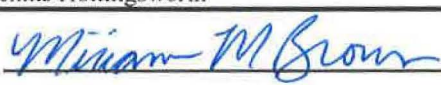



09-15-2017

DEPARTMENT OF JUVENILE JUSTICE

Schedule IV-B for REPLACEMENT OF POSITIVE ACHIEVEMENT CHANGE TOOL (PACT)/RPACT

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Juvenile Justice	Schedule IV-B Submission Date: September 15, 2017
Project Name: Replacement of Positive Achievement Change Tool (PACT)/RPACT	Is this project included in the Agency's LRPP? <u> X </u> Yes ___ No
FY 2018-19 LBR Issue Code: 24010C0	FY 2018-19 LBR Issue Title: Information Technology Infrastructure Replacement
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Jackie Suttle, 850-717-2321, jackie.suttle@djj.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 9/11/17
Printed Name: Christina K. Daly	
Agency Chief Information Officer (or equivalent): 	Date: 9/11/17
Printed Name: Dennis Hollingsworth	
Budget Officer: 	Date: 9/11/17
Printed Name: Miriam Brown	
Planning Officer: _____	Date: _____
Printed Name:	
Project Sponsor: 	Date: 9-1-17
Printed Name: Mark Greenwald	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Mark Greenwald, 850-717-2627, Mark.Greenwald@djj.state.fl.us
Cost Benefit Analysis:	Jackie Suttle, 850-717-2321, Jackie.Suttle@djj.state.fl.us
Risk Analysis:	Lee Hartsfield, 850-717-2330, Lee.Hartsfield@djj.state.fl.us

Technology Planning:	Dennis Hollingsworth, 850-717-2315, Dennis.Hollingsworth@djj.state.fl.us
Project Planning:	Lee Hartsfield, 850-717-2330, Lee.Hartsfield@djj.state.fl.us

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

A. Background and Strategic Needs Assessment

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

1. **Business Need:** The Department of Juvenile Justice seeks to replace two key risk assessment instruments, the Positive Achievement Change Tools (PACT) and the Residential PACT (RPACT), which are currently contracted through a vendor, Allvest Information Services, Inc. DBA Assessments.Com, with an updated and far more accurate risk assessment instrument that is owned by the State and housed on equipment in the State Data Center. There are three critical reasons for this business need: 1) The PACT instrument, which is a major driver of placement decisions, uses an outdated process that can be significantly improved upon using machine-learning technology. There is a significant financial and human cost associated with misclassification of youth; 2) Continued outsourcing of this critical function leaves the Department at risk as an outside vendor owns the source code that is deeply integrated into the Department’s Juvenile Justice Information System (JJIS). Should the vendor’s software fail, or the Department needs to make modifications to the existing PACT tool, JJIS assessment capabilities would become largely non-functional until the application is modified or restored; and 3) In the long run, taking this function in-house will yield cost savings to the state by improving the accuracy of placements and increase the ability to maintain the integrity and reliability of the assessments.

Background of Risk Assessment in Juvenile Justice: As with adult criminal justice, assessment of risk to reoffend is key to informing placement and treatment decisions in Juvenile Justice. Good risk assessment identifies both risk of reoffending and specific criminogenic needs to target through evidence-based interventions. Rigorous research has demonstrated that appropriate placement, driven by accurate risk assessment, is key to reducing recidivism and protecting public safety.

The science of risk assessment has evolved tremendously over the years. “Early” risk assessment consisted simply of practitioner judgement, an approach fraught with potential for bias, inconsistency, and inaccuracy. “Second generation” risk assessment instruments focused on static risk factors such as age and number of prior convictions. “Third generation” risk assessments focus on both risks and needs, while “fourth generation” risk assessments identify risk, needs, and key responsivity factors, and are the most effective with regards to matching youth to specific evidence-based interventions as well as restrictiveness levels. Extensive research demonstrates that the greatest reductions in recidivism are realized by juvenile justice practice that follows the Risk-Need-Responsivity model, driven by accurate, fourth-generation assessments. The “risk” component of the model entails matching offenders to the appropriate level of service, reserving the most intensive treatments for the highest risk offenders. The “need” component of the model entails focusing interventions on dynamic (changeable), criminogenic risk factors such as antisocial peers and lack of pro-social leisure activities. The “responsivity” component of the model entails addressing characteristics that may interfere with treatment, such as motivation level and certain mental health problems.

The PACT assessment is a Florida adaptation of a widely used fourth-generation instrument, the Washington State Juvenile Court Assessment. The RPACT is the version of the instrument used for youth already in residential placement, and is used to help monitor and inform intervention and changes in risk. Although both instruments would be included in the project, the PACT is the instrument that guides sanctioning decisions. Like the original Washington State instrument, the PACT has had acceptable performance in validation studies but the Department is seeking to improve the accuracy and predictive validity of the assessment tool while eliminating the risks associated with the dependability of the current

vendor owned/housed tool.

Florida is a national leader with regards to juvenile justice research as well as implementation of evidence based reform initiatives, and the success of the State's hard work in this area is seen in juvenile offending and commitment rates that have trended sharply down throughout the Scott administration. Accurate, state-of-the-art risk assessment is key to reducing recidivism. A key component in reducing offending is using risk assessment to help guide placement decisions. Florida developed, through rigorous research, a "dispositional matrix," which combines the PACT score, the seriousness of a youth's current offense, and prior placement history to determine the ideal level of placement for maximum intervention success. This approach has been validated through a large-scale study that found that youth placed in "optimal" restrictiveness levels based upon the matrix recidivated at a rate of 18.9%, compared to a rate of 21.3% for placements that are "appropriate" but not optimal. In comparison, youth who were "over-sanctioned" per matrix guidelines recidivated at an overall rate of 34%, and the youth who did worst of all were those who were placed below matrix guidelines, who recidivated at a rate of 53.5% (please see Attachment I). The dramatic reduction in recidivism among youth who are properly placed according to the Risk-Needs-Responsivity model clearly shows the critical importance of accurate risk assessment in protecting public safety, reducing taxpayer and societal costs of crime, and in giving troubled youth the best possible chance to recover their futures.

Business Need 1): More Accurate Risk Assessment: Despite the clear success of fourth-generation risk assessments, new technology has made it possible to even further advance the accuracy of these assessments. In fact, While the PACT has served Florida's reform efforts well, there is a clear opportunity to dramatically improve upon the performance of Florida's risk-assessment model. The advent of machine-learning technology and predictive analytics offers the promise of improving significantly upon the accuracy of juvenile risk assessment. In fact, Florida DJJ recently commissioned a proof-of-concept study that demonstrated the potential to greatly improve upon the accuracy of its risk assessment using these technologies.

Beginning in 2013, Florida contracted with Algorithm, Inc., working with former head of the Federal Office of Juvenile Justice and Delinquency Prevention, Ira Schwartz, to apply guided machine learning applications to analyze data for 95,459 juvenile justice cases that included releases and recidivism for a multi-year cohort of youth. Data analyzed included PACT records, offense histories, placement histories, and recidivism outcomes for 12 months following program completion, including tracking older youth into the adult system. The results of this proof-of-concept project were frankly startling. Using the same elements already used to assess youth (prior offending plus PACT items), by adjusting scoring to be sensitive to the risk profiles of specific subtypes of youth, classification could be improved substantially. Among the findings:

- The level of importance of and interaction between risk factors varied greatly between youth. Additionally, the model was sensitive to subtleties that could never be accounted for in the traditional PACT process. For example, for males, the top criminal history predictor of recidivism was number of prior adjudicated charges. However, if a youth has more than two prior adjudications, the level of risk does not necessarily equate to greater risk. In fact, if the youth has more than two prior adjudications and less than or equal to 13 prior charges, he is significantly less likely to recidivate than if he has more than 13 prior charges. The prediction model for females is significantly different than for males, with different factors rising to prominence in the predictive model.
- The PACT, despite its strengths, fails to accurately classify a large proportion of youth. Primarily, it tends to over-estimate risk. Because the PACT risk score is such an integral component of guiding the Department's recommendations to the court, reduction in over-estimation of risk would result in fewer recommendations for costly and restrictive intensive interventions including residential commitment. Reductions in deep-end placements of youth reduce costs to taxpayers (youth typically spend six-nine months in residential placement, at a cost of around \$200 per day). Additionally, according to the Risk-Need-Responsivity model and the Department's own validation study of the dispositional matrix, more accurate assessment of youth risk is anticipated to bring about further reductions in juvenile offending.

- The outcomes of the proof-of-concept project included key findings such as: 1) The PACT rated 15% of white males and 26% of males of color as high or moderate-high risk to reoffend. The machine learning model assessed 8% of white males and 15% of males of color as high or moderate-high risk to reoffend. 2) The PACT assessed 92% of white females as low or moderate-risk to reoffend, and 86% of females of color as low or moderate-risk to reoffend. The machine-learning model classified 98% of white females and 96% of females of color as low or moderate-risk to reoffend (see Attachment 2).

Notably, an additional project serves as a second proof-of-concept and demonstrates the Department's capability to implement its own assessment instrument. During FY 2012-13, the Department implemented the Prevention Assessment Tool (PAT), which was coded and integrated into JJIS by the Department's information technology team.

It is important to note that, per the Department's direction, race was explicitly omitted from the model, in order to ensure a race-neutral outcome. The results of the proof-of-concept show great promise for reducing racial-ethnic disparity, as the dramatic decrease in youth of color who would be classified as high or moderate-high risk would lead to less restrictive placement recommendations. Again, it should be emphasized that the findings of the proof-of-concept demonstrate that public safety would not be compromised by reducing the over-classification of youth, and most likely would be enhanced.

Business Need 2): Eliminate the risk associated with using an outside vendor for the assessment function: The PACT assessment data, and to a greater extent the RPACT assessment data, are deeply integrated into the functionality of the Juvenile Justice Information System (JJIS). If there was any interruption in the flow of data between the vendor and JJIS, the functionality of JJIS would be severely compromised, with many critical functions ceasing to function altogether. For example, youth could not be fully screened for mental health, substance abuse, or suicide risk, and the ability to screen for human trafficking victimization would likely also be lost. Additional touchpoints between the PACT and JJIS include pre-and post-disposition reports, supervisory case reviews, and state attorney recommendations. For residential youth, functions that would cease include performance plans and youth needs assessment summaries, both critical to planning and implementing evidence-based interventions for the deepest-end youth.

Business Need 3): A long-term cost-effective solution: The vendor that holds the rights to the PACT and RPACT has steadily increased costs to the Department, with the most recent increase placing the annual contracted cost at \$75,900 per year. The Department pays an additional \$995 annually to a separate escrow company that holds the proprietary code. While this project would require an initial up-front investment, once implemented, the new assessment model would require minimal maintenance and upkeep and would be handled within existing agency information technology resources. Future costs will be controllable as they will be incorporated into the normal JJIS systems maintenance and support costs of the Department. Additionally, upgrades and enhancements and modifications, when needed, could be completed without delay or additional funding. Please note that what is not reflected is the cost savings associated with assessments resulting in improper program assignments.

2. **Business Objectives:** The original PACT Tool went into development in 2005 as a comprehensive, evidence-based system for assessing the risks and needs of youth referred to the juvenile justice system. This process included pilot testing of the assessment tool and a Pre-Validation Study to norm the instrument to Florida's delinquency population and examine its initial validity in predicting offender risk to re-offend. The final product is owned by a private entity (Assessment.com). The Department is solely dependent on the provider for ongoing service and maintenance, and any enhancements the Department requires would be completed on the provider's system and not a tool owned by the state.

Risk assessment scores generated by the PACT play a key role in determining recommendations to the court regarding youth placement and sanctions. The criminogenic needs and responsivity measures on the PACT provide key information to guide the use of specific evidence-based

interventions to maximize the likelihood of youth success and corresponding protection of public safety. The Department recently completed an extensive proof-of-concept study demonstrating that significant improvements in the accuracy of risk prediction are possible using machine-learning and predictive analytics technology. Improvements in risk prediction equate to more efficient use of taxpayer resources, increases in public safety, and greater success in helping youth get back onto the track towards successful adulthood. The three primary objectives of the proposed project are to increase risk prediction accuracy, eliminate the risk associated with the Department's reliance on an outside vendor for a critical juvenile justice process that is deeply integrated into the Department's information system as well as procedures and practice, and in the long-term, to eliminate an ongoing cost through up-front investment.

As a recognized leader in juvenile justice, with the recent experience of conducting a successful proof-of-concept, Florida DJJ is ideally positioned to develop and implement an assessment process that represents the "next level" in leveraging technology to maximize outcomes in corrections.

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(es):** The current process is based around the PACT (and RPACT) source code which is deeply integrated into the Department's Juvenile Justice Information System (JJIS). When a youth is assessed, assessment input data uses a proprietary scoring algorithm to return a risk score to JJIS. The risk score, along with sub-domain scores, populate numerous forms within JJIS and have numerous touch-points within JJIS. Just one example is that depending on information in the PACT assessment, JJIS may flag the assessor to screen the youth for human trafficking victimization.

NOTE: If an agency has completed a workflow analysis, include through file insertion or attachment the analyses documentation developed and completed by the agency.

2. Assumptions and Constraints:

Assumptions:

- The project will receive continued support from DJJ management;
- Long-term, DJJ Information Technology staff will maintain the application;
- The Department will engage a vendor with similar capabilities to the vendor that conducted the initial proof-of-concept project, and work closely with that entity using lessons learned to ensure that the updated machine-learning analytics project is completed successfully and timely using updated youth data.
- The Department will oversee coding of the project, integrating the scoring algorithms identified through the analytics phase of the project, to develop new PACT and RPACT instruments with the same deep integration with JJIS as the existing assessment instruments.
- The Department will need to work closely with the vendor selected to conduct the analytics component of the project to ensure that the vendor has a thorough understanding of the input data (juvenile justice data).
- The Department will need to ensure significant coordination between the analytics and development phases to ensure a "smooth handoff" of the scoring algorithms to the developers who will code the instruments.
- Timely development of the instrument and thorough validation is completed and presented to the information technology unit for the development of the coding solution.

Constraints:

- Careful project oversight will be needed to ensure the best possible outcome, as well as adherence to established timelines.
- Extensive testing will be necessary due to how deeply integrated various elements of the PACT are within JJIS.

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 technology component of the project must be provided in a manner that is conducive to updating and validating the work done during the original proof-of-concept phase. While the assessment methodology will change, there are no anticipated significant changes to the current business processes associated with performing assessments by the Department.
2. **Business Solution Alternatives:** Continue with current solution.
3. **Rationale for Selection:** Most importantly, the proposed project will substantially improve risk prediction to more efficiently target resources to the youth at most risk to re-offend, while providing youth at lower risk to re-offend effective, lower-intensity sanctions more suited to their criminogenic needs. Additionally, the project will eliminate the Department's risky reliance on an outside vendor for the assessment functions. Moreover, the project will give needed flexibility to maintaining and enhancing the PACT while saving the State recurring support costs to an outside vendor. In 2014, change requests to the current vendor were charged at \$150 per hour. The cost estimates for a new solution are estimated at \$80 per hour or less. The estimates for the number of resource hours are anticipated to be the same for either alternative.
4. **Recommended Business Solution:** Expand on and update the original, successful proof of concept and use it as the basis for a State owned PACT.

D. Functional and Technical Requirements

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

Improve the risk prediction results through application of a scoring algorithm. Supervised machine learning is an analytic process where an investigator provides a computer with a set of input variables and a desired output, or target variable, and it "learns" a set of rules that map the inputs to the output. This occurs with a partitioned "training" set of data, on which the computer applies a specific machine learning algorithm that considers each case, infers a new function, which is then used for mapping subsequent cases. Machine learning algorithms differ in their use of statistical and/or analytic techniques to derive rule sets.

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.

Schedule IV-B for REPLACEMENT OF POSITIVE ACHIEVEMENT CHANGE TOOL (PACT)/RPACT

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Improved risk assessment and classification of youth, with resultant more efficient resource allocation and improved crime outcomes.	Initially, through the validation process of the analytics component. Later, through the ability to further shift resources from the deeper-end of the system to less costly, less-intensive interventions. Recidivism reductions realized through less costly, less-intensive interventions. Recidivism reductions realized through more appropriate placement of youth. Metrics will be tracked to be used to compare the current baseline to changes resulting from the new tool.	Taxpayers, potential crime victims avoided, and troubled youth and their families.	Analytics component to be completed by 3/31/2018. Full implementation to be completed by June 30, 2019. It will take 2-3 years to gather data to measure the extent of the improvement resulting from the new assessment tool.

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.

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Improved youth classification	Taxpayers	Reduce or eliminate over-classification of youth, and resultant waste of scarce resources on youth who would benefit	Fewer youth classified as high or moderate-high risk, lower recidivism.	Upon full implementation June 30, 2019. It will take 2-3 years to gather data to measure the extent of improvement resulting from

BENEFITS REALIZATION TABLE					
			more from less-intensive interventions.		the new assessment tool.
2	Improved youth classification	Communities and crime victims avoided. Metrics will be tracked to be used to compare the current baseline to changes resulting from the new tool.	Youth who are properly classified and placed have the best outcomes with regard to remaining crime-free.	Reduced recidivism	Upon full implementation June 30, 2019. It will take 2-3 years to gather data to measure the extent of improvement resulting from the new assessment tool.
3	Eliminate DJJ's reliance on an outside vendor for a core function.	DJJ staff, youth, communities	DJJ will own, house, and control the risk assessment process and any needed enhancements.	Successful implementation of the new process and IT solution.	Upon full implementation

B. Cost Benefit Analysis (CBA)

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

See attached. Experience with the development of the PAT and that systems relative complexity to the PACT and RPACT were used as a foundation for estimating the cost for staff augmentation. A preliminary PM Risk and Complexity assessment was completed and the project level was determined to be a level 2, therefore, no IV&V costs were included in the project budget.

What is not reflected is the cost savings associated with assessments resulting in improper program assignments.

With per diems around \$180 daily for non-secure and \$216 daily for secure commitment, and the average length of stay in non-secure programs 237 days and secure programs 334 days, each non-secure commitment avoided equates to approximately \$43,000 in savings to taxpayers and every secure commitment avoided equates to around \$72,000 dollars. Therefore, while cost recoupment in terms of eliminating the annual payment to the current vendor will occur over a number of years, the state has the potential to recoup the project cost if just 18 secure residential commitments or 18 non-secure residential commitments are avoided.

On the CBA spreadsheet, the on-going operational costs of the current PACT support were projected to end after FY 19-20, therefore, no additional costs of current solution (pre LBR funded project replacement solution) are reflected.

For the project costs, with the project ending in FY 18-19, it was presumed that the on-going maintenance/support costs would be absorbed into the overall JJIS support and maintenance costs. The data to allow the ability to estimate the new PACT maintenance/support costs will be available after the scope of work and complexities of the instrument, algorithms, and processes (pathways) are fully developed during phase I of this project (instrument development and validation).

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.

See attached.

The Overall Project Risk is Medium. The foundation of experience and expertise allows DJJ staff to successfully mitigate many of the critical risk factors which inherently exist in projects of this size and complexity. DJJ staff has laid much of the preliminary groundwork in researching different options for revising the assessment instrument. A phased approach to the project is another proactive measure which will mitigate many of the unknown risks relating to process definition and system coding requirements once the assessment instrument is created and validated. The new assessment instrument will then be examined in relation to existing JJIS processes. The process review and integration analysis may identify opportunities for process and product improvement. DJJ will continue to utilize the AST's Risk and Complexity Assessments as outlined in AST Rule 74-1. The AST Pre-Charter Risk and Complexity Assessment identified this effort as a medium risk and medium complexity IT project and DJJ will follow through on all IT project management requirements assigned to a level 2 project. Finally, the Overall Project Risk of Medium far outweighs the risks that exist if DJJ was to do nothing and continue using the current JJIS application and assessment tool.

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. **Current System:** The current assessment system is housed with the vendor, Allvest Information Services, Inc. DBA Assessments.Com. There are over 2300 users performing PACT and RPACT assessments daily.
 - a. **Description of Current System:** The configuration and standards of the vendor owned system are unknown.
 - b. **Current System Resource Requirements:** Unknown as this is a vendor owned system.
 - c. **Current System Performance:** System is providing information but enhancements and corrections to the tool have been costly and unsatisfactory.
2. **Information Technology Standards:** Department IT standards are not applied to the system and the Department has compatibility and recoverability concerns. It is unknown if the system is in compliance with the AST Security rule and guidelines.

B. Current Hardware and/or Software Inventory: The configuration and standards of the system are unknown.

C. Proposed Technical Solution

Technical Solution Alternatives: The replacement tool will be housed on existing hardware located in the State Data Center and within existing appropriation funding. The project will comply with AST technology standards and the resulting assessment tool will result in minimal changes to the resources required from the State Data Center.

Rationale for Selection: As the new tool will be totally integrated with JJIS, resources will be covered by

existing data center allocations, standards will be consistent with existing systems, and back-up and recovery will be assured. Updates to the system will be timely and meet expectations.

Recommended Technical Solution: Using established coding and infrastructure standards and in compliance with all AST technology standards, create the new tool as a component of JJIS, fully integrated and meeting Department standards. The solution will be developed in a manner that the AST Security rule and guidelines are followed and incorporated.

D. Proposed Solution Description

1. **Summary Description of Proposed System:** The replacement tool will be housed on existing hardware located in the State Data Center and within existing appropriation funding. The development of the assessment instrument and validating the instrument must be completed prior to commencing with the application development.
2. **Resource and Summary Level Funding Requirements for Proposed Solution (if known):** The estimates for the funding for the instrument development, validation, and application development are derived from the experience with the time and costs associated with the two proof of concepts.

E. Capacity Planning: Based upon the current PAT code and storage requirements, capacity changes will be minimal for adding to the technology infrastructure.

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.

The following is the anticipated timeline for the project:

May 2017 – Begin procurement process for the development and validation of the assessment instrument

July 2017 – Award the contract for development and validation of the assessment instrument and begin work

January 2018 – Begin developing the scope, deliverables, and objectives for the coding of the assessment instrument and process flow integration with JJIS

March 2018 – Initiate procurement of the solution for coding the assessment instrument

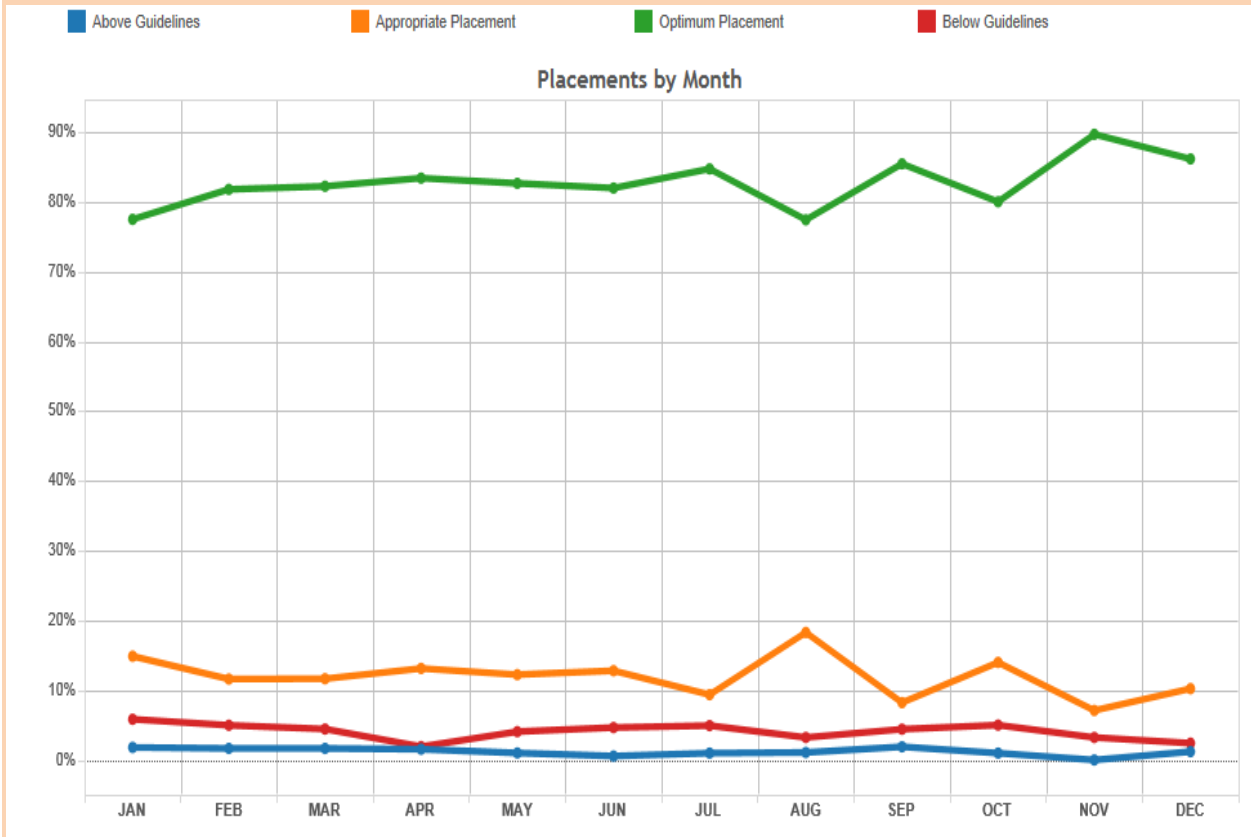
Schedules will be fine-tuned as the details on the scope and complexity of the coding and database structures have been more fully defined. The project timeline, phases/gates, deliverables, and work breakdown will be in compliance with the AST Project management rule and result in compliant project management processes and required documentation.

Communications Plan is attached. This plan will be updated as the first phase proceeds, to include identified individual subject matter experts and stakeholders along with the scope and frequency of communication to each group.

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.

The Florida Department of Juvenile Justice Disposition Matrix: A Validation Study



By

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February, 2014

Table of Contents

Issue.....	4
Highlighted Results.....	4
Methodology.....	5
Disposition Matrix.....	5
Figure 1. FDJJ Disposition Matrix.....	6
Recidivism Results.....	7
Figure 2. Disposition Matrix Adherence Rates.....	8
Figure 3. 12-Month Recidivism Rate by Matrix Adherence.....	8
Figure 4. 12-Month Recidivism Rate by Matrix Adherence by Risk Level.....	9
Figure 5. Matrix Level Adherence Rates.....	10
Figure 6. All Youth 12-Month Recidivism by Matrix Adherence Level.....	11
Figure 7. Low Risk Youth 12-Month Recidivism by Matrix Adherence Level.....	12
Figure 8. Moderate Risk Youth 12-Month Recidivism by Matrix Adherence Level.....	13
Figure 9. Mod-High Risk Youth 12-Month Recidivism by Matrix Adherence Level....	14
Figure 10. High Risk Youth 12-Month Recidivism by Matrix Adherence Level.....	15
Figure 11. Matrix Level Adherence and Male/Female Youth.....	15
Figure 12. 12-Month Recidivism for Male Youth.....	16
Figure 13. 12-Month Recidivism for Female Youth.....	17
Figure 14. Matrix Level Adherence by Race/Ethnicity.....	18
Figure 15. 12-Month Recidivism by Race/Ethnicity.....	19
Offense or Violation during Service Results.....	19
Figure 16. Low Risk Probation Youth Offenses/Violations During Service.....	20
Figure 17. Moderate Risk Probation Youth Offenses/Violations During Service.....	21

Figure 18. Mod-High Risk Probation Youth Offenses/Violations During Service.....	21
Figure 19. High Risk Probation Youth Offenses/Violations During Service.....	22
Figure 20. Low Risk Day Tx/Redirection Youth Offenses/Violations During Service...	23
Figure 21. Mod Risk Day Tx/Redirection Youth Offenses/Violations During Service...	23
Figure 22. Mod-High Risk Day Tx/Red Youth Offenses/Violations During Service.....	24
Figure 23. High Risk Day Tx/Redirection Youth Offenses/Violations During Service...	25
Offenses Excluding Violations during Service Results.....	25
Table 1. Adjudicated New Law Offenses During Service.....	26
Any Offense during Service or Subsequent Recidivism Results.....	27
Figure 24. Any Offense/Violation During or Offense After Service by Matrix Adherence.....	27
Figure 25. Any Offense/Violation During or Offense After Service.....	28
Implications.....	29
Appendix A: Recidivism Rates by Risk Level, Presenting Offense, Placement, and Disposition Matrix Adherence.....	30
Appendix B: Diversion Recidivism Rates by Risk Level, Presenting Offense, Placement, and Disposition Matrix Adherence.....	31
Appendix C: Probation Supervision Recidivism Rates by Risk Level, Presenting Offense, Placement, and Disposition Matrix Adherence.....	32
Appendix D: Day Treatment/Redirection Recidivism Rates by Risk Level, Presenting Offense, Placement, and Disposition Matrix Adherence	33
Appendix E: Non-Secure Commitment Recidivism Rates by Risk Level, Presenting Offense, Placement, and Disposition Matrix Adherence.....	34
Appendix F: Secure Commitment Recidivism Rates by Risk Level, Presenting Offense, Placement, and Disposition Matrix Adherence.....	35

Issue:

As part of the Juvenile Justice System Improvement Project (JJSIP), the Florida Department of Juvenile Justice (FDJJ) has developed and implemented a Disposition Matrix to guide Juvenile Probation Officers in their recommendations to the court. This report is the first assessment as to whether dispositions/placements made according to the Disposition Matrix suggestions have more successful outcomes than those made which deviate from the Disposition Matrix recommendations.

Highlighted Results:

- 92% of the dispositions fell within the Disposition Matrix suggested range. Female youth were more likely to receive an optimum placement than male youth. White and Hispanic youth were more likely to receive an optimum placement than Black youth;
- Youth receiving placements within the Disposition Matrix suggested range had significantly lower subsequent recidivism than those placed outside of the suggested range. This result held true for males, females, across race/ethnicity, and for all risk levels of youth. Overall, the 12 month recidivism rate of those placed outside of the Disposition Matrix suggestions is **two times higher** than that of those placed within the suggested range;
- The recidivism rate of low risk to re-offend youth placed outside of the Disposition Matrix suggestions is **114% higher** than the rate for low risk youth placed within the suggestions. The recidivism rate for high risk to re-offend youth placed outside of suggestions is **39% higher** than the rate for high risk to re-offend youth placed within suggestions. Similar results hold true for moderate and moderate-high risk to re-offend youth, though not as pronounced;
- For males, a disposition/placement above guidelines is associated with a **67% increase** in recidivism from the optimum placement rate, and a below guidelines disposition/placement is associated with a **148% increase** in recidivism from the optimum placement rate;
- For females, a disposition/placement above guidelines is associated with a **43% increase** in recidivism from the optimum placement rate, and a below guidelines disposition/placement is associated with a **304% increase** in recidivism rate from the optimum placement rate;
- **Youth who receive optimum placements have the highest success rates both during and after placement.** Youth who receive placements below suggestions, meaning not restrictive enough according to the Disposition Matrix, have the worst performance. The recidivism rate for all race/ethnic subgroups was over 50% for below guidelines dispositions/placements;
- Dispositions/placements made outside of the Disposition Matrix suggestions lead to over **1.5 times more** failures in terms of a comprehensive measure that includes both adjudications during placement and within 12 months of release;

- The failure rates on a comprehensive measure including both offenses and violations during service and 12 month recidivism for above guidelines placements was **59% higher** than those of optimum placements and the failure rates for below guidelines placements was **108% higher** than those of optimum placements;
- **Regardless of the outcome measure examined (recidivism, offenses during service, or a combined metric of both) dispositions/placements within the Disposition Matrix performed significantly better than those outside of the suggested range.**

Methodology:

The FDJJ Bureau of Research and Planning examined all fiscal year 2010-2011 (FY 10-11) releases that were from a placement that was the first disposition of a given arrest. Furthermore, the youth released must have been assessed using the FDJJ risk/need assessment, the Community Positive Achievement Change Tool (C-PACT). Data were taken from the closest C-PACT risk assessment to the date of the disposition administered to each juvenile. This process resulted in 38,117 releases (both successful and unsuccessful) that were from the first disposition of a referral and for which a C-PACT was available. The majority of releases from FY 10-11 that were not included in this analysis were diversion placements for which there was no C-PACT assessment and from commitment placements that were not the original disposition of a given referral (arrest). Furthermore, aftercare placements are not included, as they are not part of the Disposition Matrix, and they are not the first placement of a given disposition (a youth must first be released from residential commitment to go to aftercare; the residential commitment is included, not the aftercare). As this brief uses only the original disposition of an arrest, each release is a unique youth (a youth cannot appear multiple times in the data).

Disposition Matrix:

The Disposition Matrix is a structured decision making tool used by Juvenile Probation Officers (JPOs) in their disposition recommendations to court (see Figure 1). The Level 1 indication is not actually used by JPOs, as civil citation occurs at “arrest” (and is therefore not a recommendation to a court). However, Level 1 is included on the Disposition Matrix to illustrate the FDJJ focus on the importance of civil citation and which youth should receive it.

Key Points of the Dispositional Matrix include:

- Low-risk offenders remain in the community with minimal supervision;
- Moderate-risk offenders typically placed in more structured community programs, with intensive probation supervision for higher risk youth;
- Residential placement reserved for the highest risk offenders **after community-based alternatives have been exhausted.**

The Dispositional Matrix is to be implemented according to specific guidelines regarding (see [http://www.djj.state.fl.us/research/latest-initiatives/juvenile-justice-system-improvement-project-\(jjsip\)/structured-decision-making-and-the-dispositional-matrix](http://www.djj.state.fl.us/research/latest-initiatives/juvenile-justice-system-improvement-project-(jjsip)/structured-decision-making-and-the-dispositional-matrix) for the guidelines).

Figure 1.



Florida Department of Juvenile Justice Disposition Recommendation Matrix
 (Staff must always begin with the least restrictive setting within a particular disposition category. See SDM guidelines)

Most Serious Presenting Offense	PACT Risk Level to Re-Offend			
	Low-Risk to Re-offend	Moderate-Risk to Re-offend	Moderate/High-Risk to Re-offend	High-Risk to Re-offend
1st TIME MISDEMEANOR ¹	Level 1	Level 1	N/A	N/A
Minor ²	Level 2 or 3a	Level 2 or 3a	Level 2 or 3a-c	Level 3a-c or 4
Serious ³	Level 2 or 3a	Level 2 or 3a-b	Level 3a-c or 4	Level 3a-c or 4
Violent ⁴	Level 2 or 3a-b	Level 2, 3a-c or 4	Level 3a-c, 4 or 5	Level 3a-c, 4 or 5

¹ - First time misdemeanor offenders with no history of arrest or participation in alternatives to arrest. Under Section 985.12, Florida Statutes, all first time misdemeanants are eligible for civil citation. Youth deemed ineligible for civil citation (based on community standards) should be reviewed under the "Misdemeanor" category based on their PACT Risk Level to Reoffend.

² - All misdemeanor offenses.

³ - Felony offenses that do not include violence.

⁴ - Violent felony offenses (does not include misdemeanor assault/battery, which is captured under "minor").

Level 1 - Alternatives to Arrest	Level 2 - Diversion & Non-DJJ Probation
Level 3 - Community Supervision	Level 4 - Non Secure Residential Commitment (Low & Moderate-Risk Programs)
(3a) - Probation supervision	Level 5 - Secure Residential Commitment (High & Maximum-Risk Programs)
(3b) - Probation enhancement services (ART, LifeSkills, etc.)	
(3c) - Day Treatment, MST, FFT	

All given dispositions can be grouped into four categories according to the Disposition Matrix. A disposition could be:

- **Below Guidelines:** The disposition is less restrictive than the Disposition Matrix would suggest. For example if the Disposition Matrix suggests probation through non-secure residential placement, and the youth was placed in diversion, the placement is less restrictive than the Disposition Matrix calls for, and is therefore below guidelines.
- **Optimum Placement:** The disposition is the least restrictive option suggested within the given cell of the Disposition Matrix that has not previously been attempted with that youth. For example, if the Disposition Matrix suggests diversion through day treatment/redirection and the youth has never been placed on diversion before, receiving diversion would be an optimum placement. In the same example, if the youth has received diversion, then probation supervision would be the least restrictive not previously attempted, and therefore classified as an optimum placement.
- **Appropriate Placement:** The disposition/placement is within the suggested range of the given cell of the Disposition Matrix. For example, if the Disposition Matrix suggests probation supervision through day treatment/redirection, and the youth actually received any of those options, the placement would be appropriate.
- **Above Guidelines:** The disposition is more restrictive than the Disposition Matrix would suggest. For example, if the Disposition Matrix suggests diversion through non-secure residential placement and the youth receives secure residential placement, the placement was above guidelines.

Given the definitions above, both below guidelines and above guidelines are outside of the Disposition Matrix suggestions. Optimum placements and appropriate placements are both within the Disposition Matrix suggestions. We classified each of the 38,117 releases examined as to whether the placement into that service was below guidelines, optimum, appropriate, or above guidelines according to the youth's risk to re-offend at the time of the arrest leading to that disposition, the presenting offense being disposed, and the youth's prior placement history (used in determining optimum placements which require knowledge of whether a given placement had been attempted previously with that youth). We now turn to the results examining the 38,117 releases and the dispositions/placements into the services for which those youth were released.

Recidivism Results:

The first step of the analysis examined whether youth receiving placements/dispositions within the Disposition Matrix suggestions (and therefore optimum or appropriate) have lower recidivism rates than youth receiving placements/dispositions outside of the Disposition Matrix suggestions (and therefore below or above guidelines). Recidivism was measured as adjudication of a subsequent new law violation within 12 months of release from the placement. The release could have been either a successful completion, or an unsuccessful release. Both successful and unsuccessful releases are included as we are attempting to

examine whether the Disposition Matrix is a useful tool to use when placing/disposing youth, and not examining the performance of only successful youth (see Appendix A-F for recidivism rates by risk level, presenting offense, and Disposition Matrix category).

Figure 2 illustrates that 92% of the 38,117 releases were placed/disposed within the Disposition Matrix suggestions (either optimum or appropriate). 8% of the placements/dispositions were outside of the Disposition Matrix being either below or above guidelines.

Figure 2.

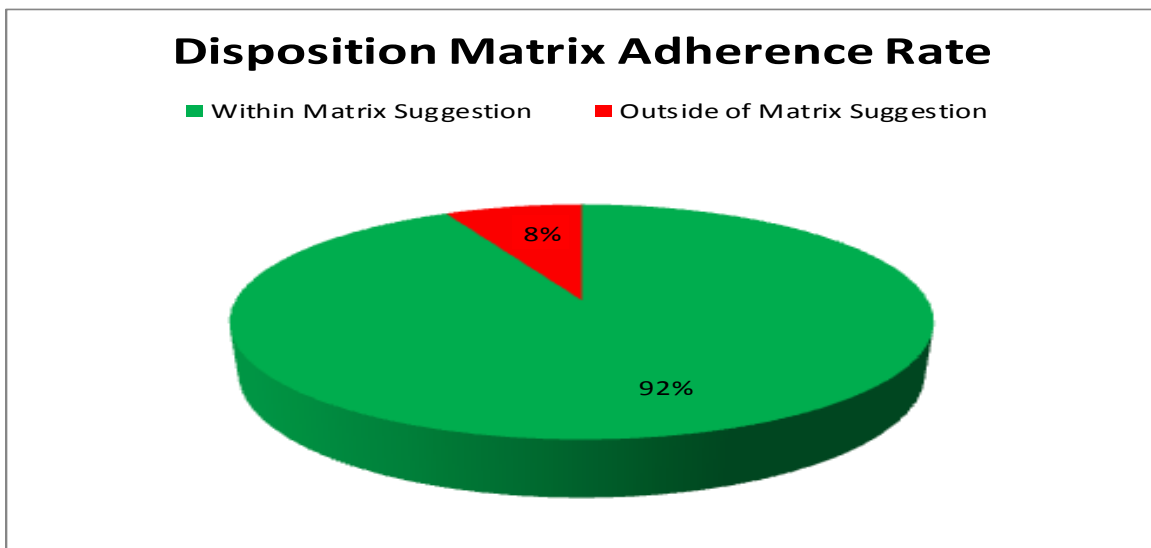


Figure 3.

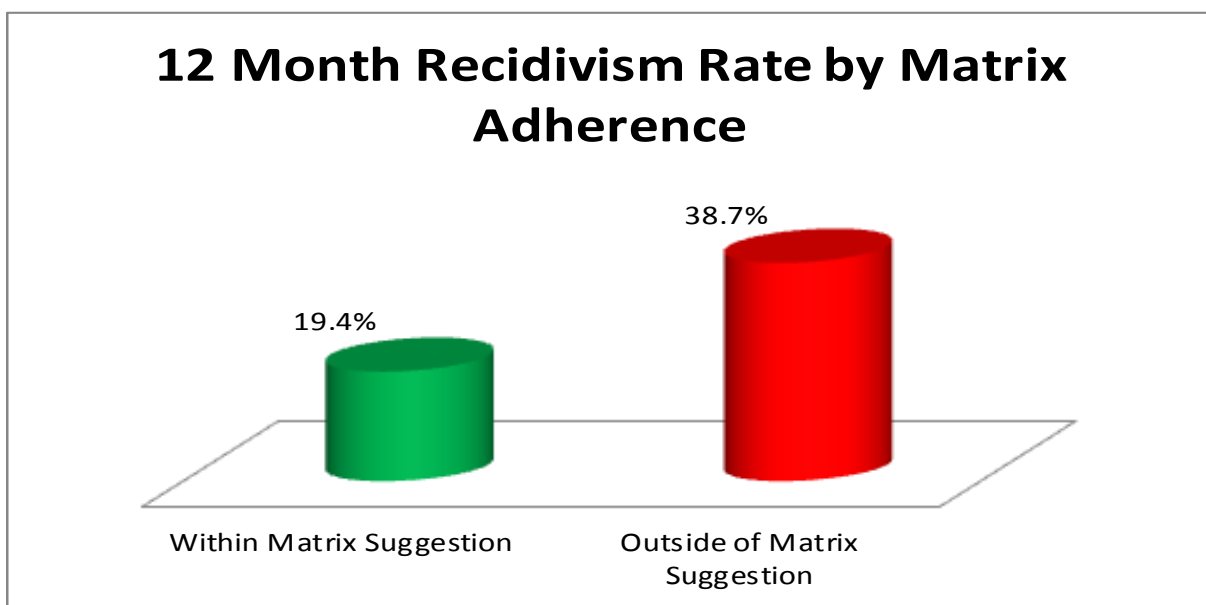
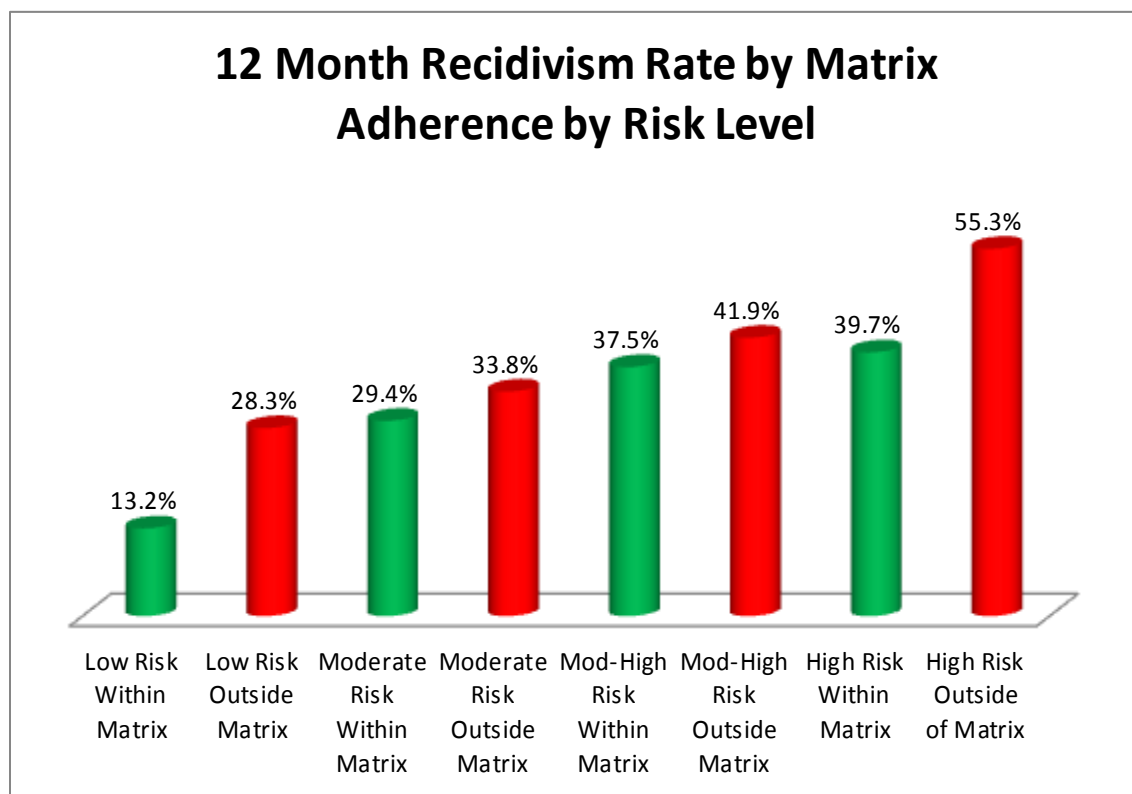


Figure 3 examines the question as to whether dispositions/placements made in congruence with the Disposition Matrix have better or worse outcomes. As shown, the 92% of youth disposed/placed within the Disposition Matrix suggested ranges had an average recidivism rate of 19.4% while those whose dispositions/placement was outside of the Disposition Matrix suggestions (either less restrictive than the suggestions or more restrictive) had an average recidivism rate of 38.7%. This difference was statistically significant ($p < .001$) with an effect size approaching large (Cohen's $d = .73$). ***This means adhering to the Disposition Matrix suggested range for a given disposition/placement results in a significantly lower recidivism rate;*** the recidivism rate of those placed outside of the Disposition Matrix suggestions is two times that of those placed within the suggested range.

Figure 4.



The next step was to examine whether this finding in support of the Disposition Matrix held true regardless of the overall risk to re-offend level of the youth being disposed/placed. Of note, the adherence rates (the percent of each risk level disposed/placed within the suggestions) were highest for low risk youth (96.6%), followed by moderate-high (85%), then moderate (84.4%), with high risk youth having the lowest adherence to the Disposition Matrix suggestions (79.6%). This suggests either staff or the courts to be more reluctant to follow the Disposition Matrix when presented with a high risk youth (which is to their detriment, as illustrated below). Figure 4 illustrates the 12 month recidivism rate for youth placed within the Disposition Matrix suggestions versus outside the Disposition Matrix suggestions across each

risk level of youth. ***In all instances, youth placed within the suggestions had lower recidivism rates than those youth of identical risk level disposed/placed outside of the suggestions*** (all statistically significant at $p < .05$). The effect size for low risk youth was the highest (Cohen's $d = .65$), followed by high risk youth (Cohen's $d = .45$), while the effect sizes for moderate and moderate-high risk youth were smaller (Cohen's $d = .15$ and $.14$, respectively). These results suggest the Disposition Matrix suggestions are the best option for all risk levels of youth in terms of lower recidivism rates, and the difference in recidivism rates between those placed within the suggestions versus those placed outside of the suggestions are the most pronounced for low and for high risk youth. The fact that high risk youth receive the lowest adherence to the Disposition Matrix suggestions is undeniably to their detriment, and to the detriment of public safety as evidenced by the 55.3% recidivism rate for high risk youth disposed/placed outside of the suggestions. The recidivism rate for high risk youth placed outside of the suggestions is 39% higher than that of high risk youth placed within suggestions (55.3% is 39% greater than 39.7%).

Knowing that dispositions/placements within the suggested range of the Disposition Matrix have lower recidivism rates has policy implications in its own right. However, we next examine differences in re-offending based on the level of adherence to the suggestions. There are four categories of adherence, as described above. Within suggestions contains the categories of optimum placement and appropriate placement, while outside of suggestions contains both below guidelines and above guidelines. Now, we examine adherence rates and recidivism across each of those four categories.

Figure 5.

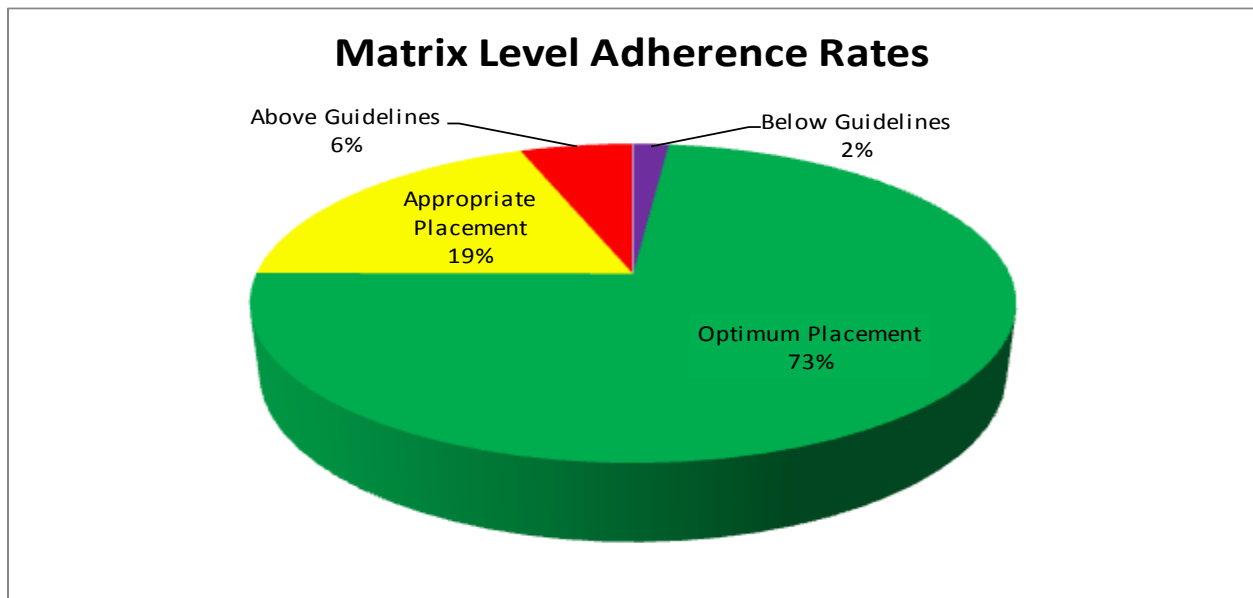


Figure 5 shows the adherence rates for the 38,117 youth across each of the four Disposition Matrix classifications. We see that the 92% of dispositions/placements that fit within the

suggestions is composed of 73% being optimum placements (the least restrictive option within a given cell not previously attempted with a youth), and 19% appropriate placements. Figure 5 also shows 6% of the dispositions/placements were above the Disposition Matrix guidelines, while 2% were below guidelines (less restrictive than the Disposition Matrix would suggest).

Figure 5 is certainly encouraging with respect to how close actual dispositions/placements are being made to the Disposition Matrix suggestions (almost $\frac{3}{4}$ being the optimum placement we would desire). Furthermore, we see very few cases of exceeding the restrictiveness of the Disposition Matrix suggestions (2,188 of the 38,117 youth, or 5.7%). However, that still represents over 2,000 youth in the one year examined. Only 691 (1.8%) of the 38,117 youth received a disposition/placement that was below the suggested range of the Disposition Matrix. Examining the Disposition Matrix (Figure 1) we see that the only cases that can be below the guidelines are moderate-high risk to re-offend youth with either a serious or a violent presenting offense that receive diversion, or a high risk to re-offend youth with any presenting offense that receives diversion. Therefore, examining below guidelines dispositions/placements always involves a moderate-high or a high risk youth and always involves a placement in diversion (this is because probation supervision is always within the Disposition Matrix for any youth and any offense, except Civil Citation, Level 1, not included in actual disposition recommendations).

Figure 6.

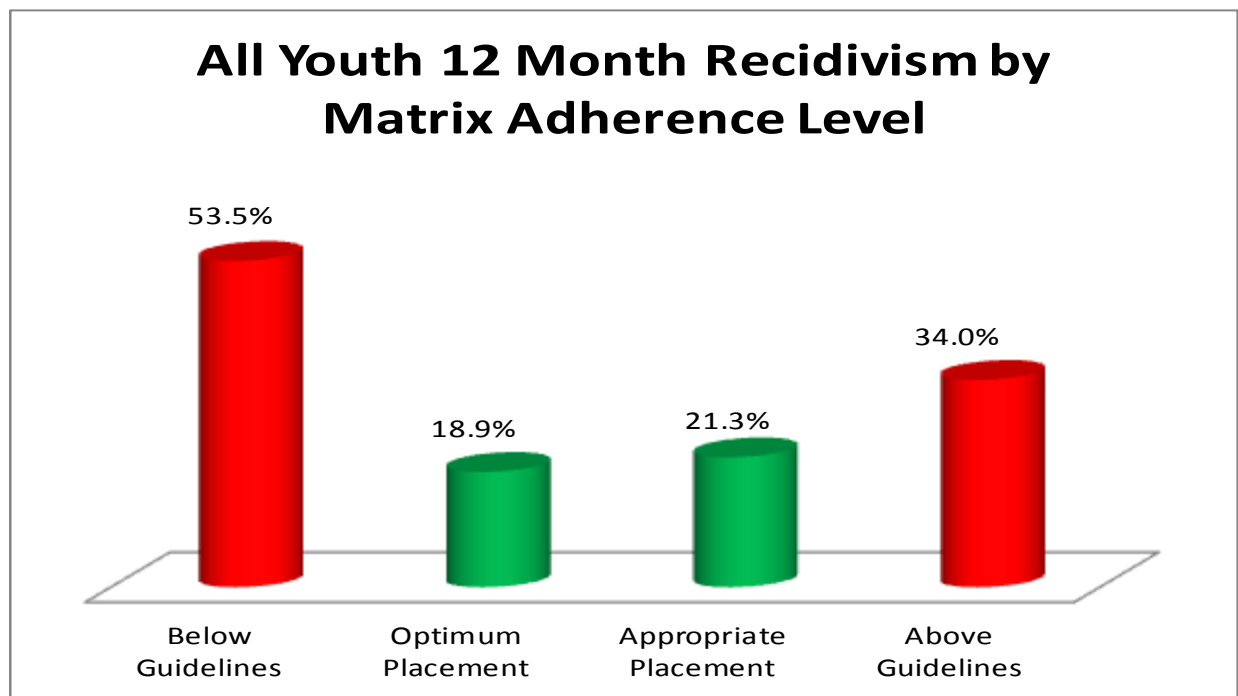


Figure 6 displays the 12 month recidivism rates by the extent of adherence to the Disposition Matrix for all 38,117 youth. **Youth receiving optimum placements have the lowest recidivism rates, while those above and below guidelines perform the worst.** Interestingly, those

disposed/placed below guidelines perform worst of all. Again, these below guideline cases are all moderate-high and high risk youth receiving diversion, so it makes intuitive sense they would have higher rates (no low or moderate risk youth are included in that group to drive down the average rate). However, it is very telling that there is some level of restrictiveness that should be met when working with these higher risk cases. The recidivism rate for above guideline cases was 1.8 times that of optimum placements, while below guidelines youth experienced recidivism rates 2.8 times higher than optimum placements. Statistically, based on ANOVA comparison of means, optimum placement performed better than all other levels ($p < .001$), appropriate placement performed better than above and below placements ($p < .001$), above guidelines performed better than below guidelines ($p < .001$), and below guidelines performed worse than all other levels ($p < .001$). These results show that, within guidelines, optimum placements are the most effective, followed closely by appropriate placements. Above guidelines dispositions/placements as well as below guidelines placements are done at a detriment to public safety.

The next step is to examine whether this pattern holds across all risk to re-offend levels of youth. As the majority of the 38,117 youth are low risk to re-offend (69%), perhaps those youth are driving the results displayed in Figure 6. Figures 7-10 illustrate the recidivism rates separately for each risk level of youth (low, moderate, mod-high, and high) by Disposition Matrix adherence (below guidelines, optimum, appropriate, above guidelines).

Figure 7.

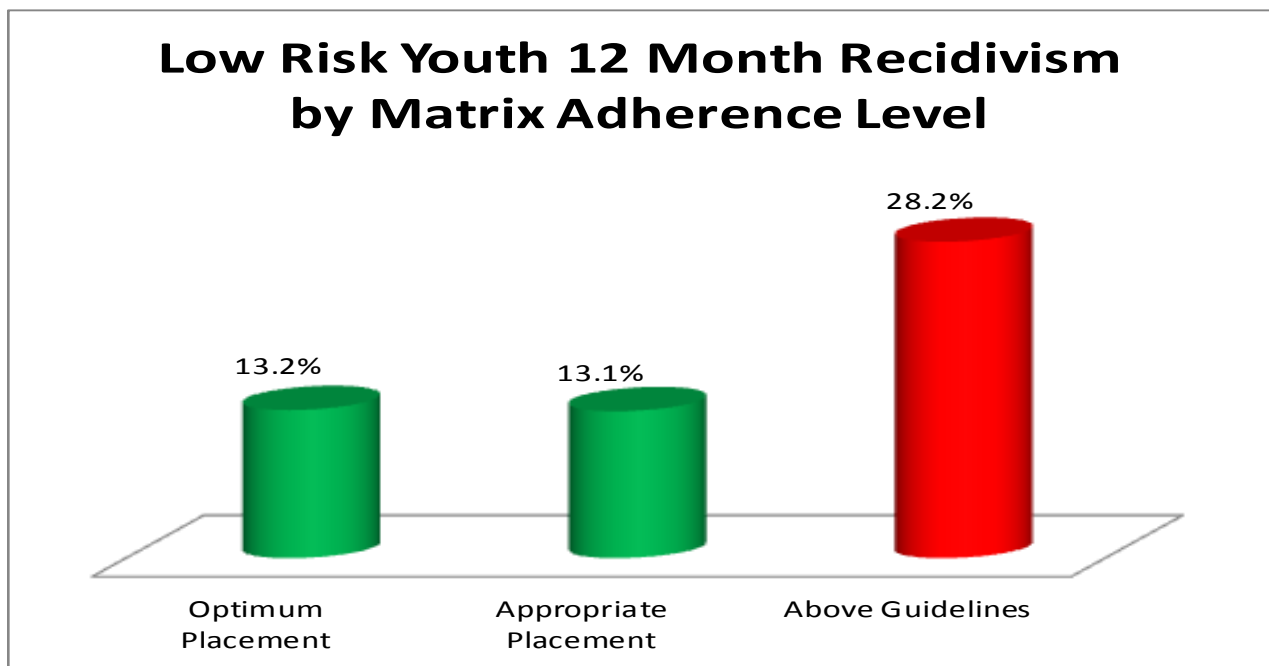


Figure 7 shows the recidivism rates for low risk youth. As the Disposition Matrix allows for diversion placements of all low risk youth (even low risk youth with a violent presenting offense), there is no category of below guidelines for low risk youth. As shown, the rates for optimum placement and appropriate placement are statistically equivalent (13.2% and 13.1%,

respectively). The rate for above guidelines is worse than both optimum and appropriate placements ($p < .001$ in both instances). In fact, ***the recidivism rate for low risk youth receiving dispositions/placements above guidelines is more than two times that of either optimum or appropriate placements.*** This means twice as many subsequent crimes could have been prevented had these low risk youth been disposed/placed according to the Disposition Matrix suggestions. This result is in keeping with prior research, including that conducted by the FDJJ, confirming the Risk Principle (please see: <http://www.djj.state.fl.us/docs/research2/briefing-report-the-risk-principle.pdf?sfvrsn=0> for FDJJ research regarding the Risk Principle).

Next, we examine dispositions/placements of moderate risk youth. Figure 8 illustrates the recidivism rates of moderate risk youth according to adherence to the Disposition Matrix. Again, there is no below guidelines placements as diversion is within range for any moderate risk youth, even those presenting with violent offenses. For moderate risk youth, we find appropriate placements perform the best; better than optimum ($p < .001$) and better than above guidelines ($p < .001$). For moderate risk youth, the recidivism rate for optimum placements was lower than that for above guideline placements, though statistically they were equivalent. These results show that adhering to the Disposition Matrix suggested range is better than deviating from it (appropriate placements outperform above guidelines placements), though optimum placements are not the best option. Additional analysis (not shown) indicates that higher recidivism rate (35.2%) for diversion of moderate risk youth (an optimum placement) is the major driving factor of appropriate placements performing better.

Figure 8.

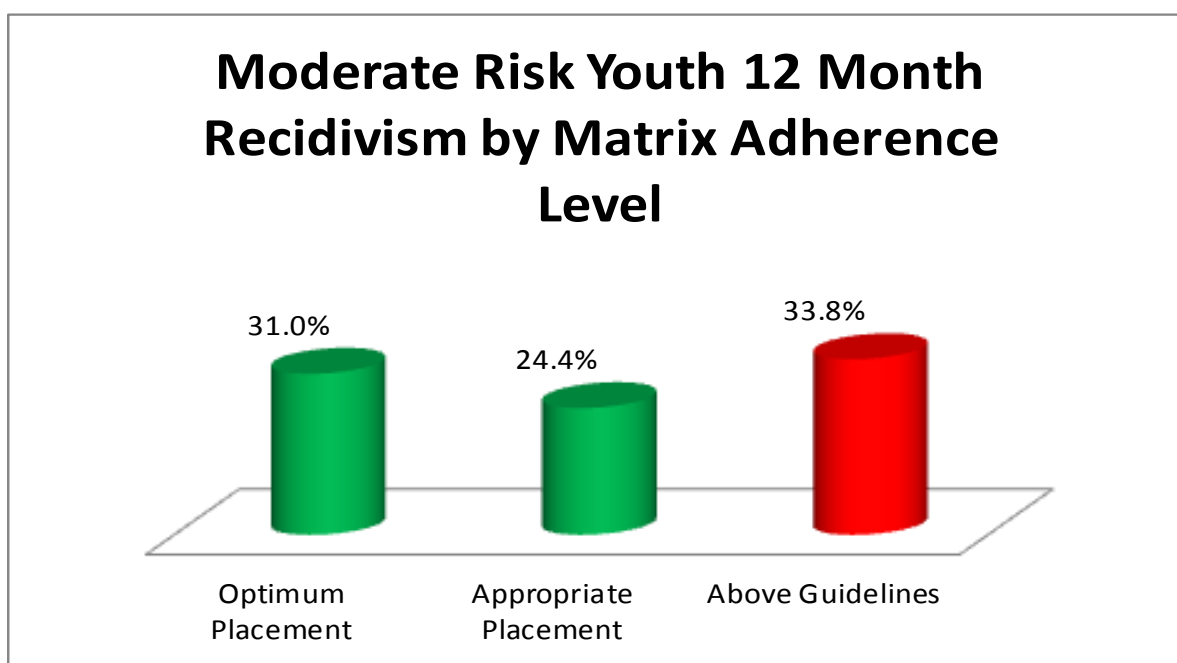
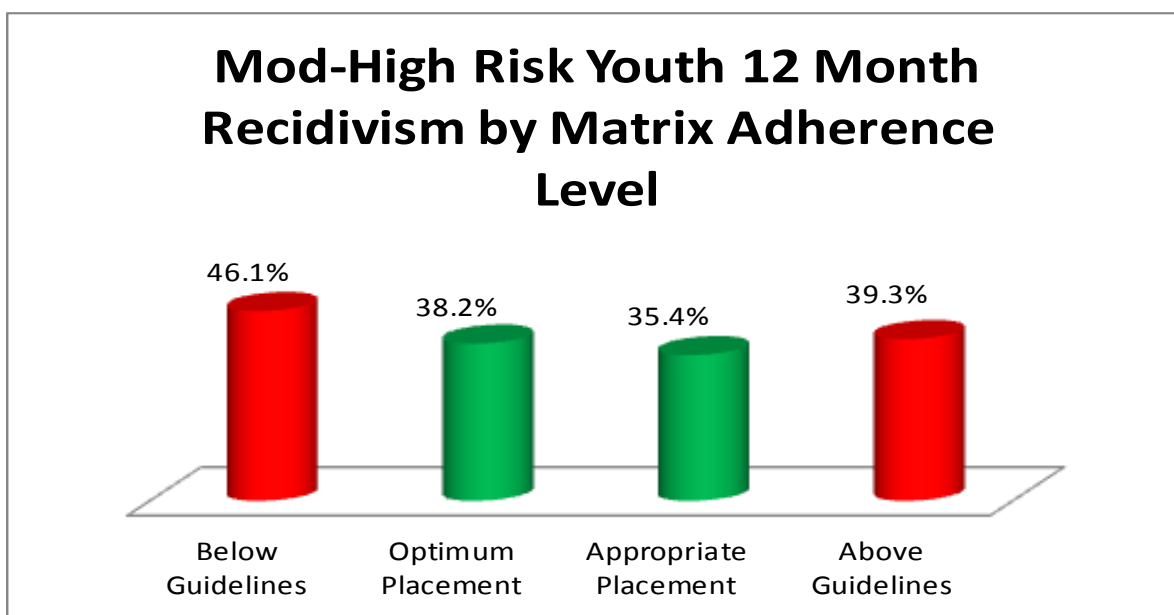


Figure 9 shows recidivism rates for moderate-high risk youth by level of adherence to the Disposition Matrix. For moderate-high risk to re-offend youth presenting on either a serious or

a violent offense, diversion is a placement below guidelines of the Disposition Matrix. Therefore, Figure 9 includes all four adherence options (below guidelines, optimum, appropriate, above guidelines). As seen with moderate risk youth, appropriate placements performed the best, followed by optimum placements. Statistically, based on ANOVA comparison of means, performance of both optimum and above guidelines placements is equivalent to all other levels of adherence. Appropriate placements perform significantly better (lower recidivism) than below guidelines placements ($p < .015$). This, similarly to moderate risk youth, is driven by the poor performance of moderate-high risk to re-offend youth being placed in diversion having a 55.2% recidivism rate when that placement was optimum according to the Disposition Matrix (for moderate-high with a minor presenting offense). Moderate-high risk youth presenting with a minor offense actually had higher recidivism rates (55.2%) when they received diversion (an optimum placement) than moderate-high risk youth presenting with serious offenses (48.7%) or violent offenses (41.7%) receiving diversion that was a below guideline placement. These results indicate some “fine-tuning” revisions within particular cells of the Disposition Matrix may be needed, though placements within suggested ranges of the Disposition Matrix outperform those outside of suggestions.

Figure 9.



Finally, we examine the high risk youth. High risk to re-offend youth presenting with any offense that received diversion was classified as below guidelines. Therefore, all four categories are included in Figure 10. High risk youth presenting on minor or serious offenses that receive secure residential commitment are classified as above guidelines. Figure 10 illustrates optimum placements for high risk youth outperform all other classifications (statistically significant at $p < .005$ for all comparisons). Appropriate placements perform better than below guidelines and above guidelines placements (the former significant at $p < .001$, the later non-significant). The recidivism rates for below guidelines and above guidelines placements are statistically

equivalent (though over 8 percentage points different). **These results show the Disposition Matrix performs very well for high risk youth, with optimum placements being the best option for public safety.** The recidivism rate for a below guideline placement of a high risk youth is 1.5 times that of an optimum placement, indicating there is a threshold of restrictiveness that should be met for high risk cases. **High risk youth presenting with a minor offense and being placed in diversion had the highest recidivism rate of any youth in any placement of any Disposition Matrix adherence level (58.9%).** Conversely, above guidelines dispositions/placements of high risk to re-offend youth results in recidivism rates 34% higher than those of optimum placements (49.8% is 34% greater than 37.1%).

Figure 10.

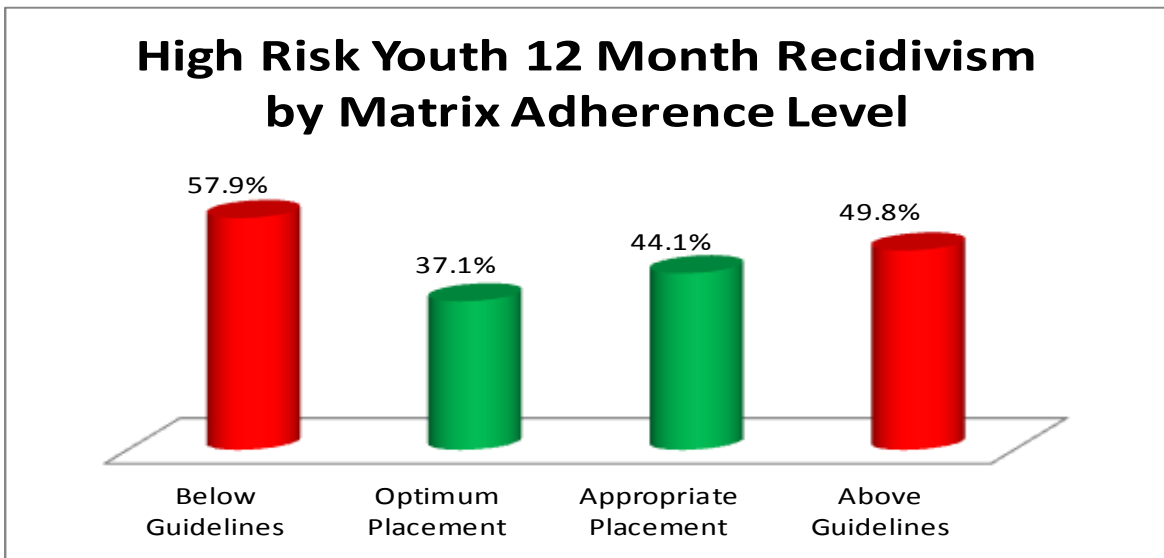
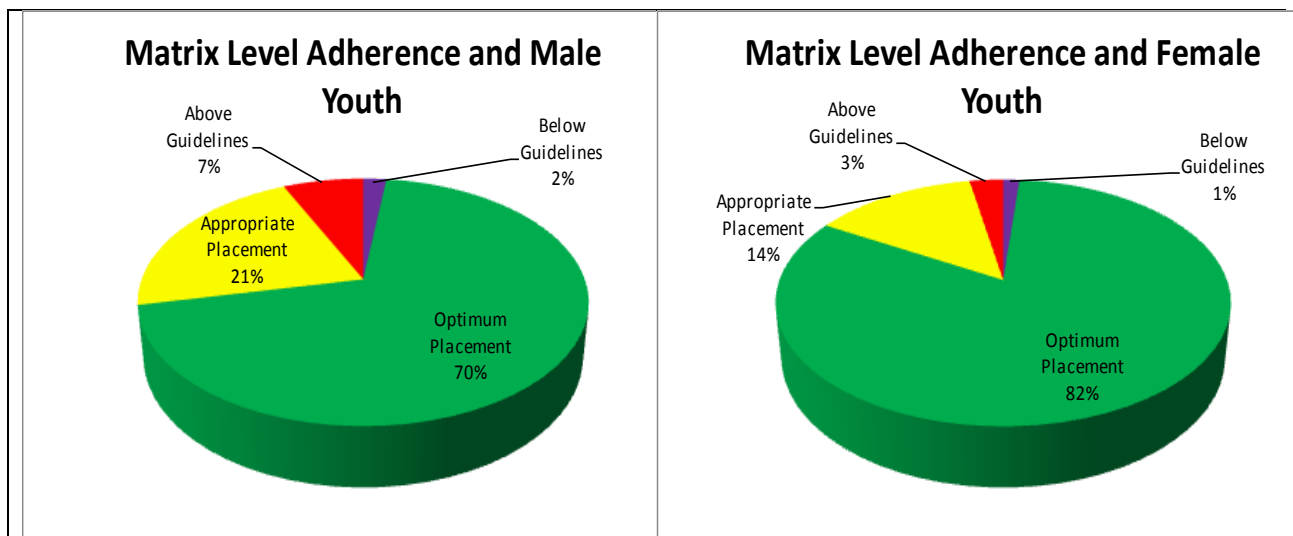


Figure 11.



Next, we examine whether the success of the Disposition Matrix suggestion holds true for both male and female youth. It is essential to examine gender differences in any structured decision making tool (risk assessments, recommendation matrices, etc.) to ensure the tools used by an agency are equally effective and appropriate for both males and females. There were 27,115 males and 11,002 females in the study sample. Figure 11 illustrates female youth have much higher adherence rates to optimum placement (82% versus 70% for males). Males have higher adherence rates for appropriate placements (21% versus 14% for females). Combined together, to examine extent of dispositions/placements within the Disposition Matrix suggestions, 96% of females receive either optimum or appropriate placements, compared to 91% of males. Males are twice as likely to receive below guidelines placements, though less than 2% of either gender receives such placements (1.9% of males). Males are also almost 2.5 times more likely to receive an above guideline disposition/placement (6.9% compared to 2.9% for females).

Figure 12.

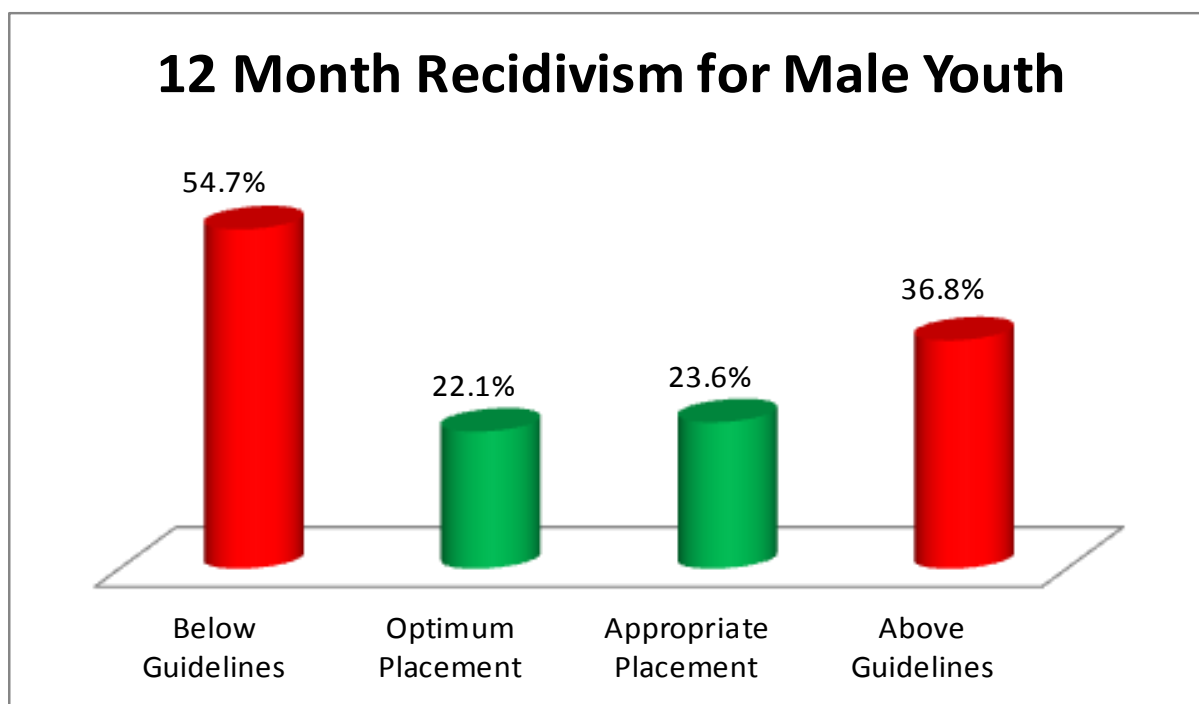
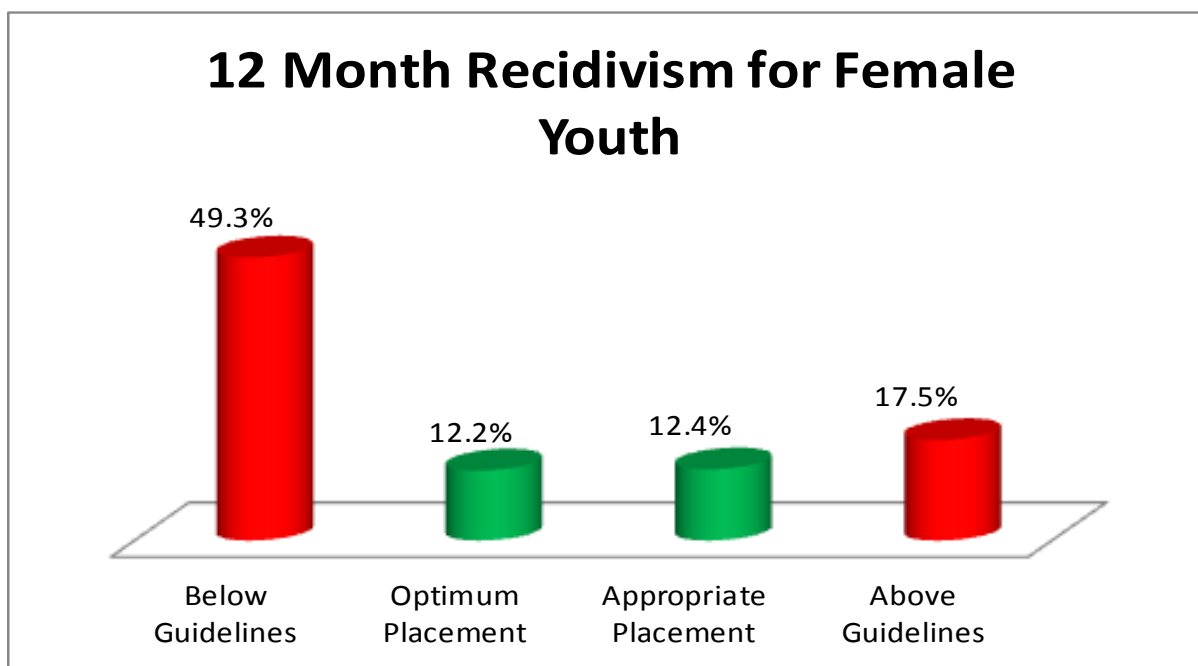


Figure 12 shows the recidivism rates for male youth according to the level of adherence to the Disposition Matrix. As shown, optimum placements have the lowest recidivism rates, followed by appropriate, then above guidelines, then below guidelines. In comparing recidivism rates using ANOVA, optimum placements have lower rates than above and below guidelines placements (both at $p < .001$), while they are statistically equivalent to appropriate placements. Appropriate placements of male youth perform significantly better than above guidelines placements ($p < .001$) and below guidelines placements ($p < .001$). Dispositions/placements classified as above guidelines perform better than below guidelines placements of males ($p < .001$). These results confirm the ability of the Disposition Matrix to suggest dispositions/placements for male youth that will outperform placements not adhering to its suggested ranges.

As shown, for males, a disposition/placement above guidelines is associated with a 67% increase in recidivism from the optimum placement rate (36.8% is 67% greater than 22.1%), and a below guidelines disposition/placement is associated with a 148% increase in recidivism from the optimum placement rate (54.7% is 148% greater than 22.1%).

The results (shown in Figure 13) are similar for female youth. Optimum placements perform the best (though statistically equivalent to appropriate placements and above guidelines placements). Both appropriate and above guidelines placements perform significantly better than below guidelines placements ($p < .001$). For females, a disposition/placement above guidelines is associated with a 43% increase in recidivism from the optimum placement rate (17.5% is 43% greater than 12.2%), and a below guidelines disposition/placement is associated with a 304% increase in recidivism rate from the optimum placement rate (49.3% is 304% greater than 12.2%). It should be noted that for each level of adherence to the Disposition Matrix (below guidelines, optimum, appropriate, above guidelines) the recidivism rate for females is lower than that of males. The optimum placement, appropriate placement, and above guidelines recidivism rates for males is roughly twice that of females. However, the below guidelines male recidivism rate is much closer to the below guideline female recidivism rate, though still 10% higher (54.7% is 10% greater than 49.3%).

Figure 13.



Next, we examine adherence and outcome differences across race/ethnicity. Similar to gender differences, any structured decision making tool should be examined to ensure the tool performs similarly for all race/ethnic subgroups. Consistent with FDJJ annual reports, we classified each youth into White, Black, Hispanic, "Other", and "Unknown" for race/ethnicity.

For the purpose of this brief, only the White, Black, and Hispanic youth will be compared as small sample sizes in the “Other” and “Unknown” classifications makes recidivism comparisons unreliable. Figure 14 displays the rates of adherence to each of the four Disposition Matrix levels for White, Black, and Hispanic youth, as well as the full sample of 38,117 youth (represented in the “Total” column).

Figure 14 shows over 70% of each race/ethnic subgroup receive optimum placements, though 4% fewer Black youth were optimally disposed/placed (70.9% for Black youth versus 74.9% for White youth and 73.2% for Hispanic youth). Black youth are more likely to receive dispositions/placements below the guidelines (less restrictive than the Disposition Matrix would suggest) and more likely to receive above guidelines placements (more restrictive than the Disposition Matrix would suggest). Roughly 9% of Black youth receive dispositions/placements outside of the Disposition Matrix suggestions (either below or above), compared to under 7% of White youth and under 6% of Hispanic youth.

Figure 14.

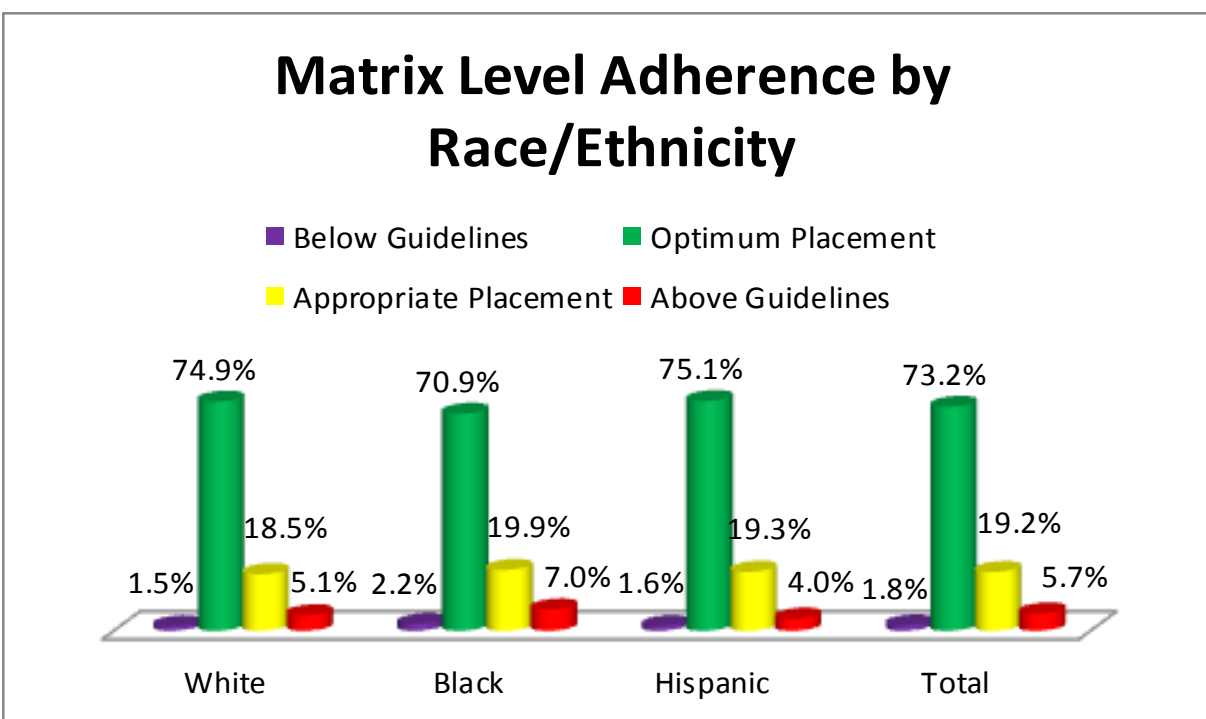
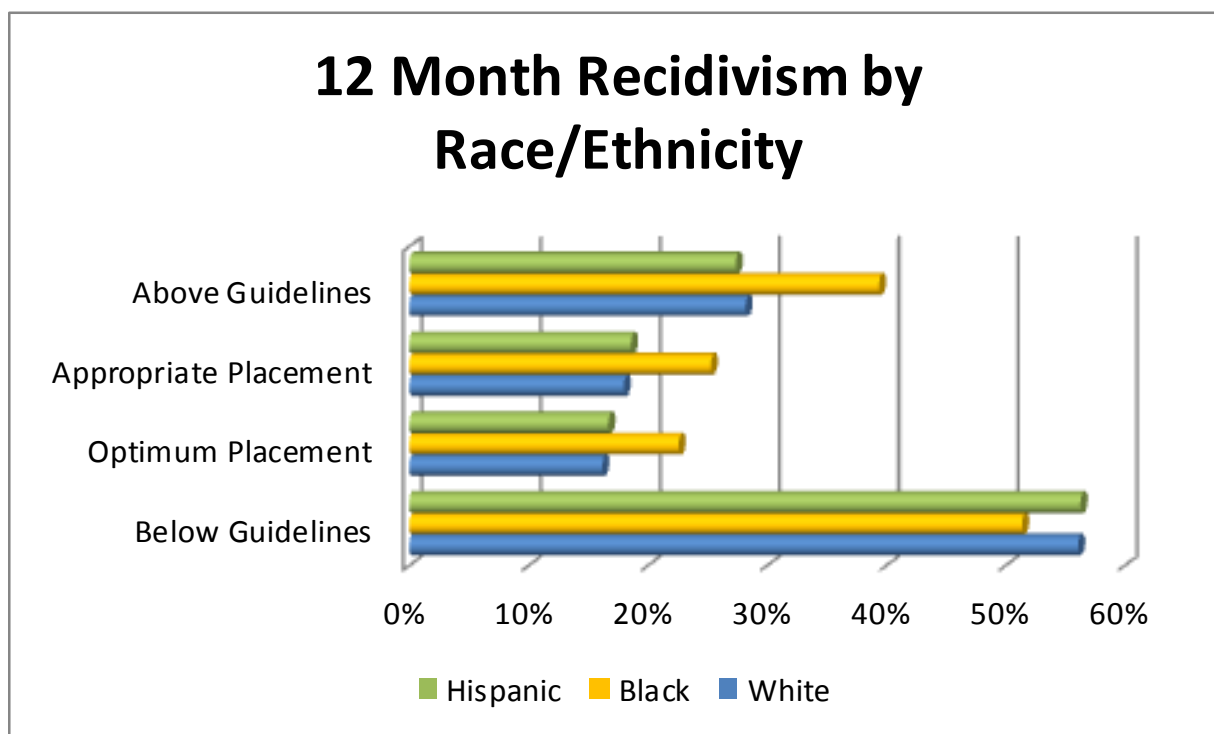


Figure 15 displays the recidivism rates by race/ethnicity for each Disposition Matrix level of adherence. This figure demonstrates whether the Disposition Matrix suggestions are more or less effective by race/ethnicity. As shown, optimum placements had the lowest recidivism rate for each race/ethnicity, followed by appropriate placements, then above guidelines placements, with below guidelines placements having the worst (highest) recidivism rate for each race/ethnicity. ***This indicates the Disposition Matrix helps optimize success for each race/ethnic subgroup.*** White and Hispanic youth had similar recidivism rates across Disposition

Matrix adherence levels. The White and Hispanic rates were lower than the Black recidivism rate for three of the four adherence levels, with Black youth receiving below guidelines placements doing better than White and Hispanic youth receiving below guidelines placements. ***Notably, however, the recidivism rate for all race/ethnic subgroups was over 50% for below guidelines dispositions/placements.***

Figure 15.

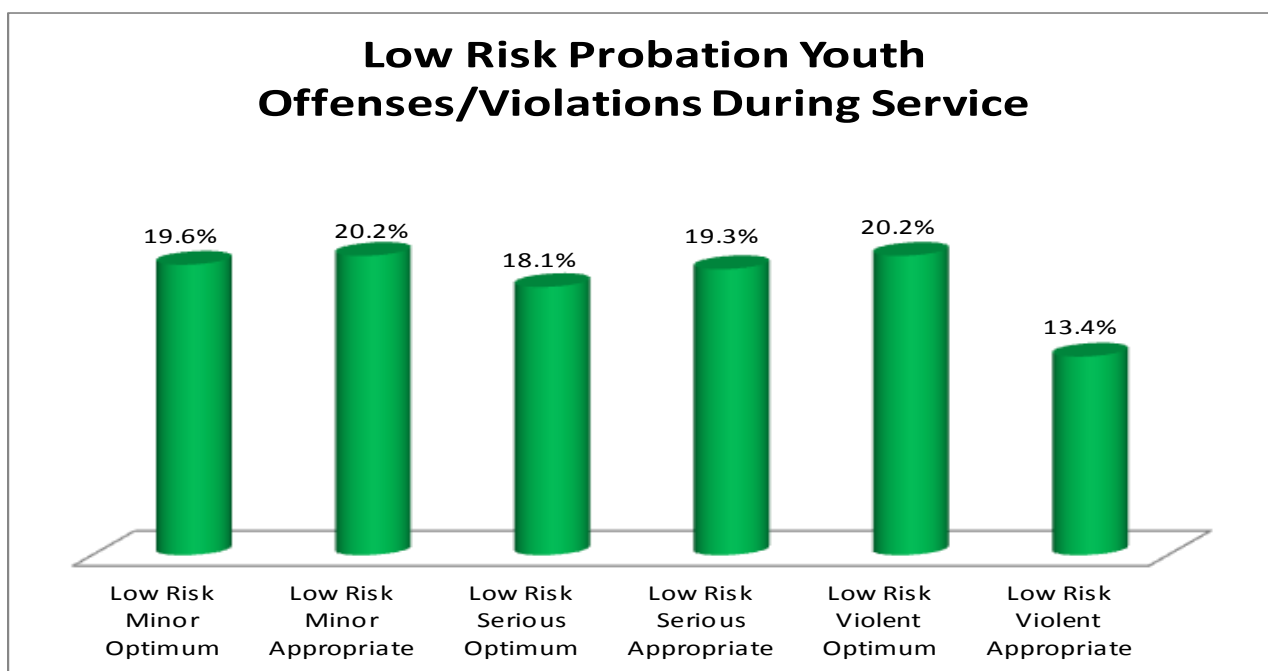


Offense or Violation during Service Results:

To this point, this brief has examined recidivism differences across Disposition Matrix adherence levels. However, another goal of a Disposition Matrix is to optimize the rate at which youth are successful while they are receiving services within a disposition/placement. While examining recidivism determined whether the youth re-offended after release (successful or not) from the placement, we now turn to offenses during service and violations of probation. This portion of the brief examines adjudications for any offense (new law offense or non-law violations) that occurred during placement. This shows whether the various adherence levels of the Disposition Matrix (below guidelines, optimum, appropriate, above guidelines) differ in how successful they are at keeping youth crime and violation free during placement. We examine offenses during service, as we will now call these adjudications, for both probation supervision and for day treatment/redirection.

First, we examine offenses during service for probation supervision dispositions/placements of low risk to re-offend youth. For low risk youth presenting with any offense, probation supervision is always either optimum or appropriate. Therefore, there are no below guidelines or above guidelines probation supervision dispositions/placements of low risk youth. As shown in Figure 16, low risk youth who presented with minor and for serious offenses performed better with an optimum placement than an appropriate placement. Low risk youth presenting with a violent offense perform better when probation supervision is an appropriate placement than an optimum placement. The only way probation can be an appropriate placement, and not an optimum placement for a low risk youth is when that youth has received diversion previously (remember optimum is the least restrictive option not previously attempted, so for probation to be optimum diversion must have been previously attempted since diversion is within the guidelines for any low risk youth). ***This indicates that low risk youth presenting with a violent offense that have not had a prior diversion placement perform better on probation than low risk youth presenting with a violent offense that have had a prior diversion placement.*** The probation supervision offense during service rate is below 21% for all low risk youth, regardless of presenting offense.

Figure 16.



All offense during service rates are higher for moderate risk youth than the low risk youth reported above (see Figure 17). ***For moderate risk youth, optimum placements always outperformed appropriate placements*** (within categories of minor, serious, and violent presenting offense). Interestingly, and similar to the low risk violent youth with appropriate disposition/placement, moderate risk youth presenting with a violent offense had lower offense during service rates than other moderate risk youth. This could be due to more intense

monitoring, more probation contacts, or more treatment referrals for youth presenting with violent offenses, though that is purely speculation and beyond the capacity of these data.

Figure 17.

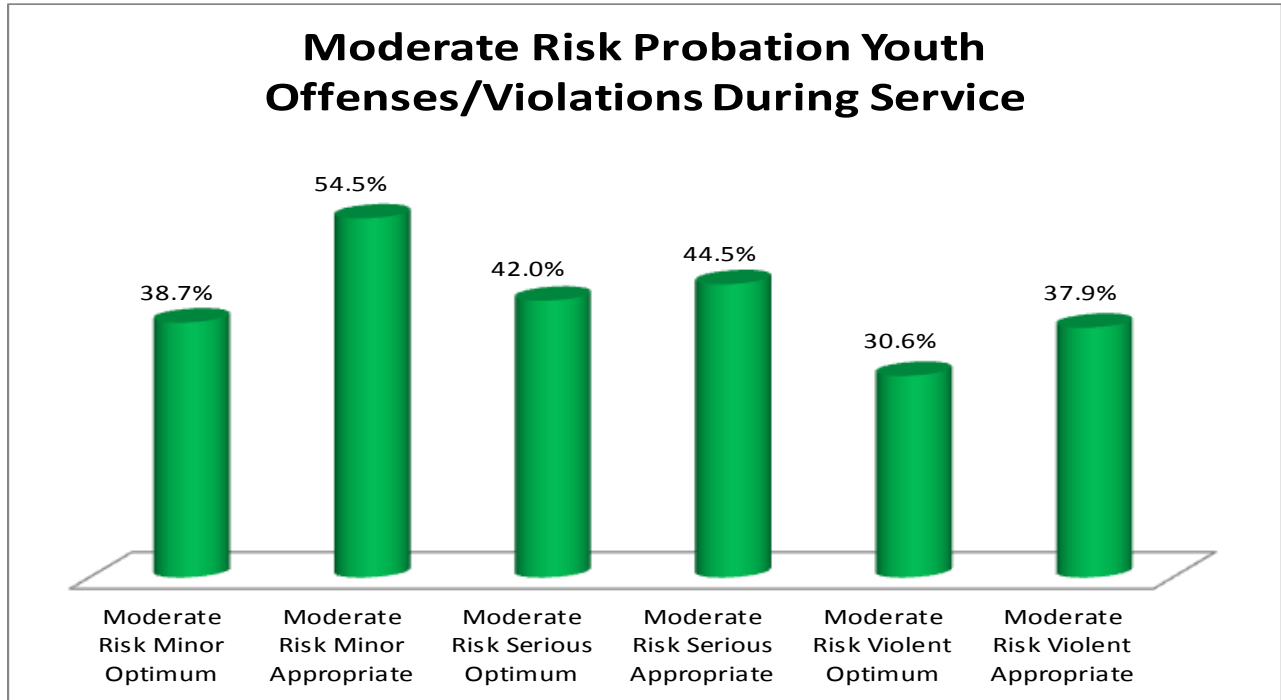
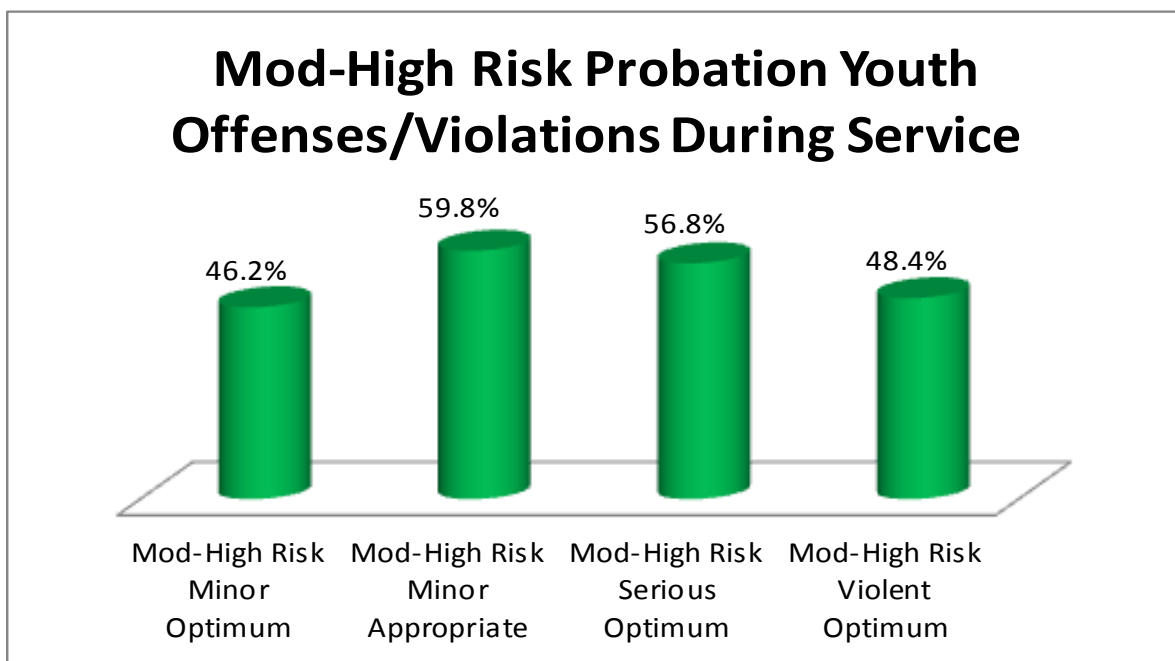


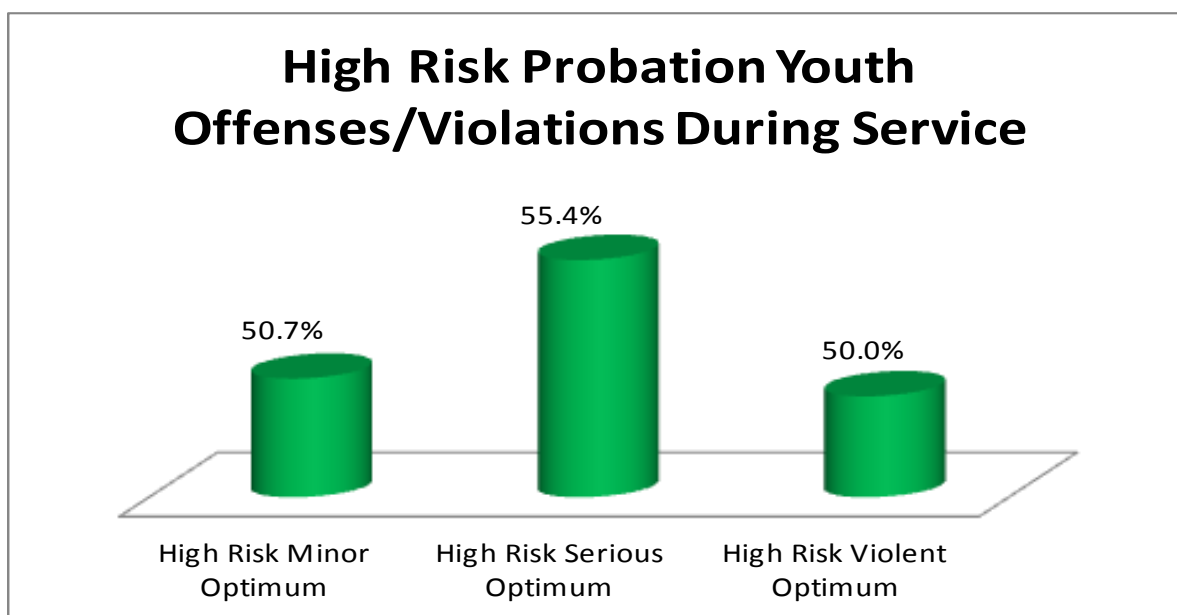
Figure 18.



Results for moderate-high risk to re-offend youth are presented in Figure 18. As dictated by the Disposition Matrix, probation supervision for a moderate-high risk youth presenting on either a serious or a violent offense is always an optimum placement. As a tribute to the validity of the C-PACT, for each subgroup (ex. Mod-high risk, minor presenting offense, appropriate placement) the recidivism rates for moderate-high risk to re-offend youth are higher than those presented for moderate risk youth in Figure 17, which were higher than those of low risk youth in Figure 16. Where there is possibility of distinction, based on the Disposition Matrix, for moderate-high risk youth presenting with a minor offense, optimum placements performed better than appropriate placements.

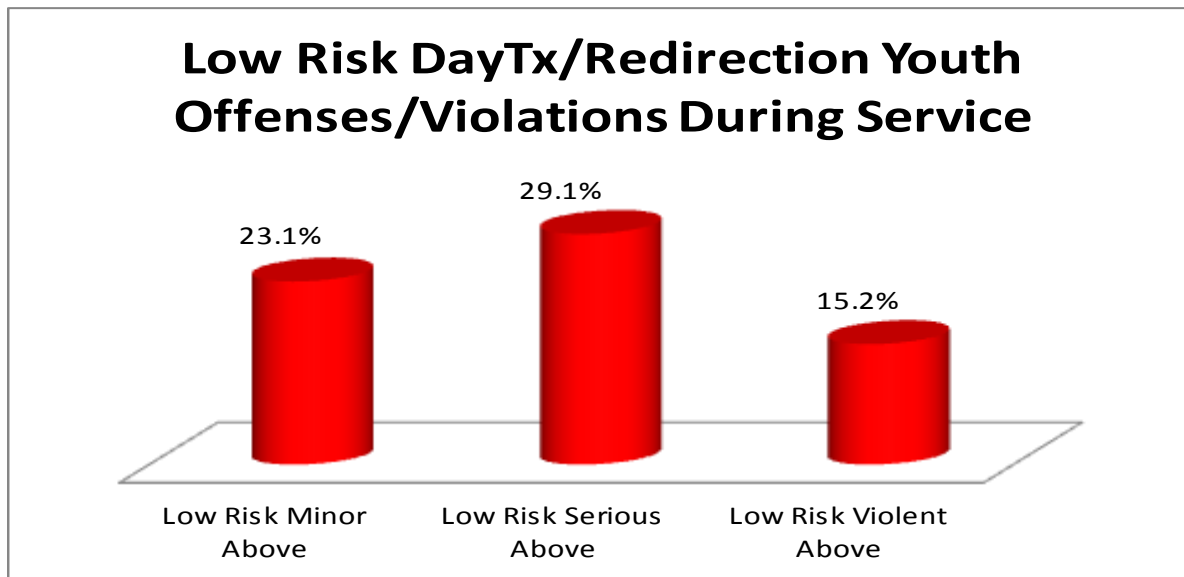
Finally, the offense during service rate is presented for high risk youth in Figure 19. For high risk to re-offend youth with any presenting offense, probation supervision is always an optimum disposition/placement according to the Disposition Matrix. Again, as a testament to the C-PACT, **high risk youth do indeed have the highest offense during service rates, exceeding 50%, regardless of presenting offense**, in comparison to moderate-high, moderate, and low risk youth on probation supervision.

Figure 19.



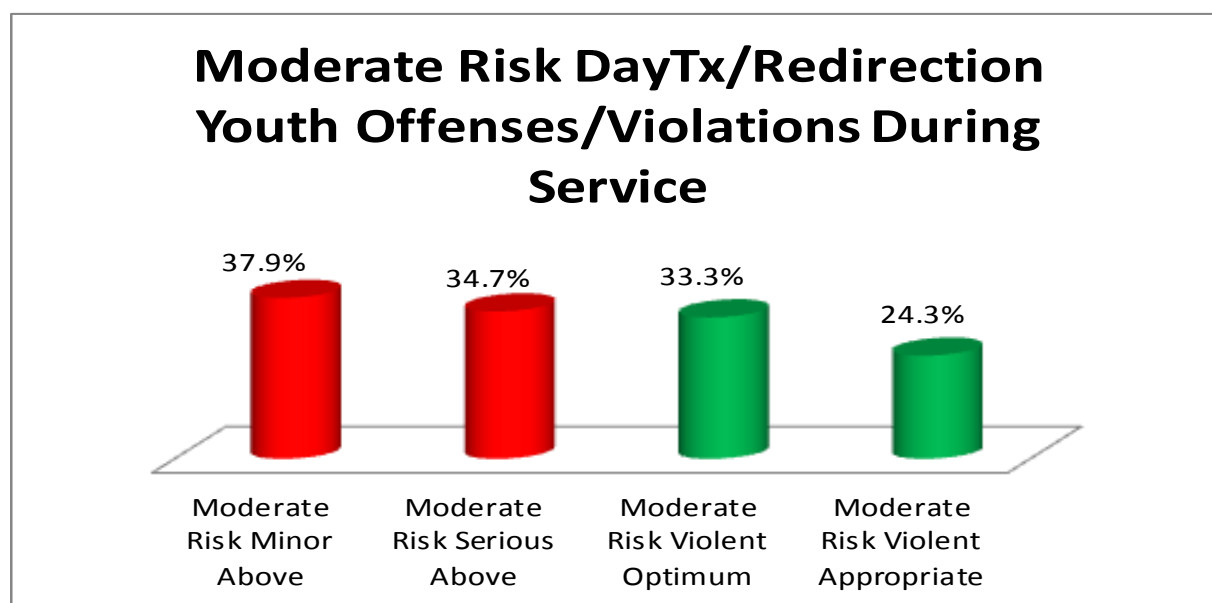
Next, we perform the same offense during service analyses by risk level, only this time for day treatment/redirection placements. These placements are an increase in restrictiveness level from probation supervision. Day treatment youth are required to attend the day treatment program several days per week. Redirection youth receive intensive family therapy (such as Multisystemic Therapy, MST, Functional Family Therapy, FFT, or Brief Strategic Family Therapy, BSFT) in addition to being on probation supervision. As these intervention strategies are combined into Level 3c of the Disposition Matrix (see Figure 1 above) we examine them together.

Figure 20.



For low risk youth, regardless of the presenting offense, day treatment/redirection is always above guidelines according to the Disposition Matrix. As shown in Figure 20, the offense during service rates for these youth ranges from 15.2% to 29.1% (again with violent offenses having the lowest rate). ***The average offense during service rate for this group of low risk youth receiving day treatment/redirection is higher than the average for low risk youth receiving probation supervision*** (24.4% for the day treatment/redirection youth compared to 19.1% for probation supervision youth, result not shown). That demonstrates, in congruence with the Risk Principle, that increasing restrictiveness for low risk youth increases offending.

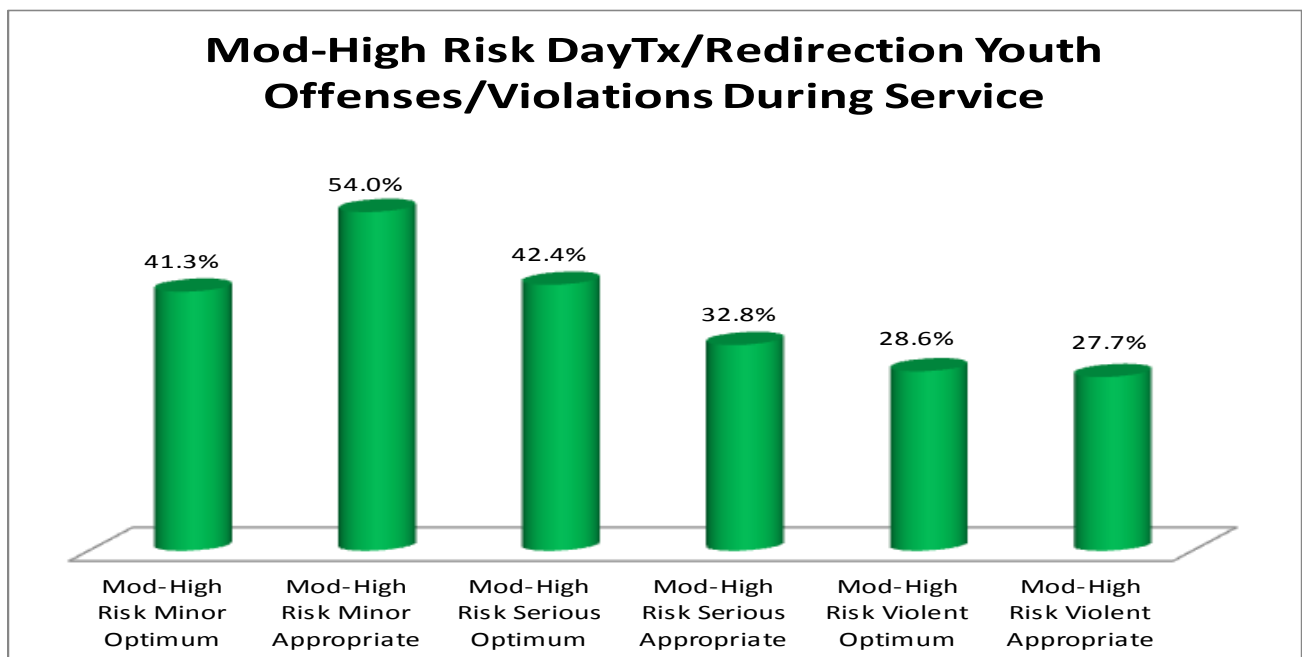
Figure 21.



For moderate risk youth presenting with minor or serious offenses, day treatment/redirection is above the guidelines according to the Disposition Matrix. For moderate risk youth presenting with a violent offense, day treatment/redirection is appropriate (within the guidelines), but can also be an optimum placement provided the youth has received probation supervision in the past. Figure 21 presents the offense during service rates for the categories of moderate risk youth receiving day treatment/redirection. As shown, those placements that are above guidelines perform worse than those within the guidelines even though the above guidelines youth had less serious presenting offenses. ***This shows day treatment/redirection is best for moderate risk youth when it is a disposition/placement that is congruent with the Disposition Matrix suggestions, lending further support to the effectiveness of the Disposition Matrix performance.***

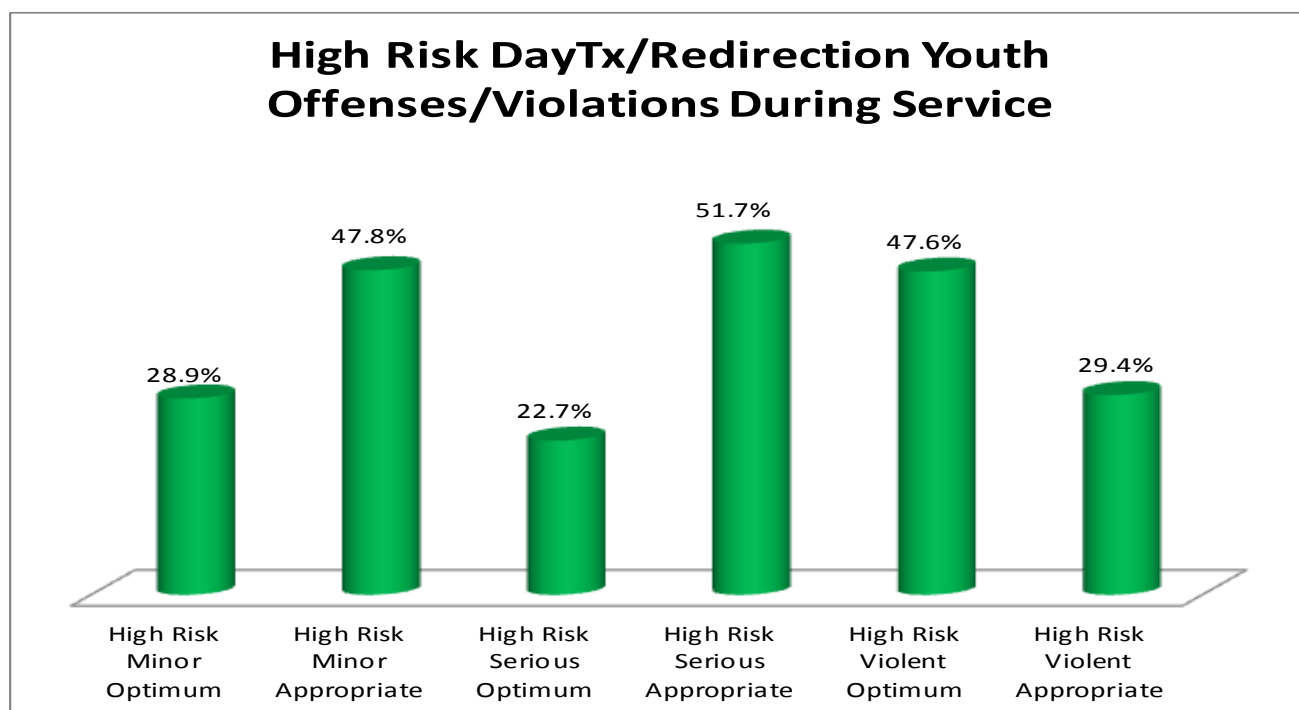
For moderate-high risk to re-offend youth, day treatment/redirection can be optimum or appropriate for those presenting with any offense. Day treatment/redirection is an optimum disposition/placement only if the youth has been on probation supervision previously. Figure 22 illustrates the offense during service rates for moderate-high risk to re-offend youth. For those presenting on minor offenses, the youth performs better if they had been served on probation supervision previously (minor optimum compared to minor appropriate). For those moderate-high youth presenting on serious or violent offenses, day treatment/redirection performs better if the youth had never been on probation previously (appropriate outperforms optimum, though not by much for violent offenses). ***These results indicate that moderate-high risk to re-offend youth that present with serious or violent offenses may be better served in this more restrictive placement, or placements with more stringent supervision, so long as those placements are still within the Disposition Matrix guidelines.***

Figure 22.



The offense during service rates for high risk youth is presented in Figure 23. Similar to moderate-high risk youth, day treatment/redirection can always be either optimum or appropriate for high risk youth, depending on whether the youth has received probation supervision previously. For high risk youth with minor and serious presenting offenses day treatment/redirection of an optimum placement is better than as an appropriate placement (meaning it works better for youth that have been on probation supervision previously, as the Disposition Matrix guidelines would suggest). For high risk violent offenders, day treatment/redirection as an appropriate placement outperforms it as an optimum placement. This suggests that for high risk violent offenders, more restrictive placements, or placements with more stringent supervision, may be preferred, ***provided those placements are still within the Disposition Matrix guidelines.***

Figure 23.



Offenses Excluding Violations during Service Results:

The previous eight figures examined the outcome of any offense OR violation of supervision during placement/service. However, it may be useful to examine just new law violations during service. It can be argued that there is an additional layer of juvenile justice professional discretion involved in whether to file a violation of supervision, more so than the discretion involved in new law offenses. Therefore, we now examine just new law offenses during service for probation supervision and for day treatment/redirection (as we did above).

Table 1.

Adjudicated New Law Offenses During Service		
Risk Level/Presenting Offense/Matrix Level	Probataion Supervision	Day Tx/Redirection
Low Risk Minor Optimum	12.0%	N/A
Low Risk Minor Appropriate	11.6%	N/A
Low Risk Minor Above Guidelines	N/A	11.5%
Low Risk Serious Optimum	10.3%	N/A
Low Risk Serious Appropriate	11.4%	N/A
Low Risk Serious Above Guidelines	N/A	17.3%
Low Risk Violent Optimum	9.2%	N/A
Low Risk Violent Appropriate	8.3%	N/A
Low Risk Violent Above Guidelines	N/A	6.5%
Low Risk Youth Total	11.3%	13.1%
Moderate Risk Minor Optimum	25.1%	N/A
Moderate Risk Minor Appropriate	33.2%	N/A
Moderate Risk Minor Above Guidelines	N/A	22.0%
Moderate Risk Serious Optimum	29.4%	N/A
Moderate Risk Serious Appropriate	29.2%	N/A
Moderate Risk Serious Above Guidelines	N/A	26.3%
Moderate Risk Violent Optimum	20.1%	16.7%
Moderate Risk Violent Appropriate	29.5%	18.9%
Moderate Risk Youth Total	27.3%	23.2%
Mod-High Risk Minor Optimum	34.9%	34.8%
Mod-High Risk Minor Appropriate	42.6%	39.7%
Mod-High Risk Serious Optimum	41.9%	27.3%
Mod-High Risk Serious Appropriate	N/A	21.3%
Mod-High Violent Optimum	35.0%	28.6%
Mod-High Violent Appropriate	N/A	24.2%
Mod-High Risk Youth Total	38.2%	31.2%*
High Risk Minor Optimum	35.6%	10.5%
High Risk Minor Appropriate	N/A	43.5%
High Risk Serious Optimum	40.0%	22.7%
High Risk Serious Appropriate	N/A	31.0%
High Violent Optimum	31.5%	42.9%
High Violent Appropriate	N/A	23.5%
High Risk Youth Total	36.1%	27.3%*

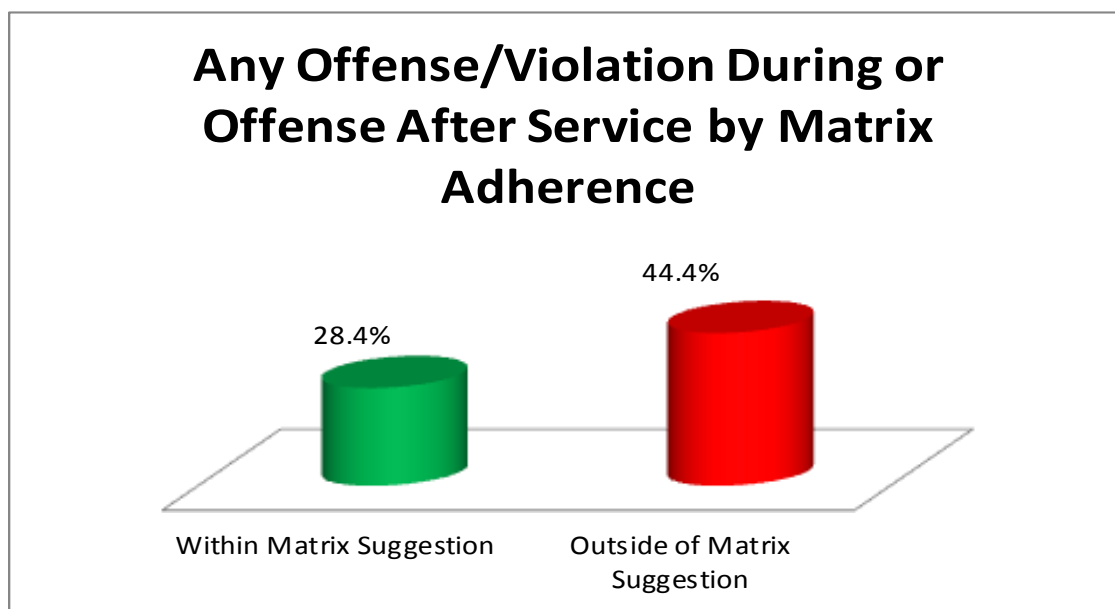
Note: *= difference in offense during service rate is significant at $p < .05$. Cohen's $d = .30$ for mod-high risk youth and $.31$ for high risk youth differences.

Rather than present eight figures, we combine the information into one table (see Table 1). As shown, the rates of new law offenses during service are lower than the offenses or violations presented above (simply because the violations of supervision have been removed). Probation supervision and day treatment/redirection had statistically equivalent new law offenses during service rates for both low and moderate risk youth (meaning the differences shown are not significant). ***With respect to the new law offenses during services rates for moderate-high and high risk youth, day treatment/redirection outperformed probation supervision*** (the differences are significant at $p < .05$, with small to moderate effect sizes of Cohen's $d = .30$ and $.31$, respectively). Interestingly, for probation supervision, every risk level of youth presenting with a violent offense had lower offense during service rates than youth of that risk level presenting with serious offenses.

Any Offense during Service or Subsequent Recidivism Results:

For the final analyses we combine the two outcomes previously explored. This means we examine adjudication for any offense or violation committed during service **or** any adjudication for an offense committed within 12 months of release from placement. A youth who was adjudicated either during service or after release is considered to have “failed”, while a youth must have remained free of such adjudications during service **and** after release to be considered “successful”. This method truly captures how a youth performed based on the disposition/placement received. Figure 24 illustrates how the 38,117 youth performed according to this comprehensive measure when placed within the suggested range of the Disposition Matrix and outside the suggested range.

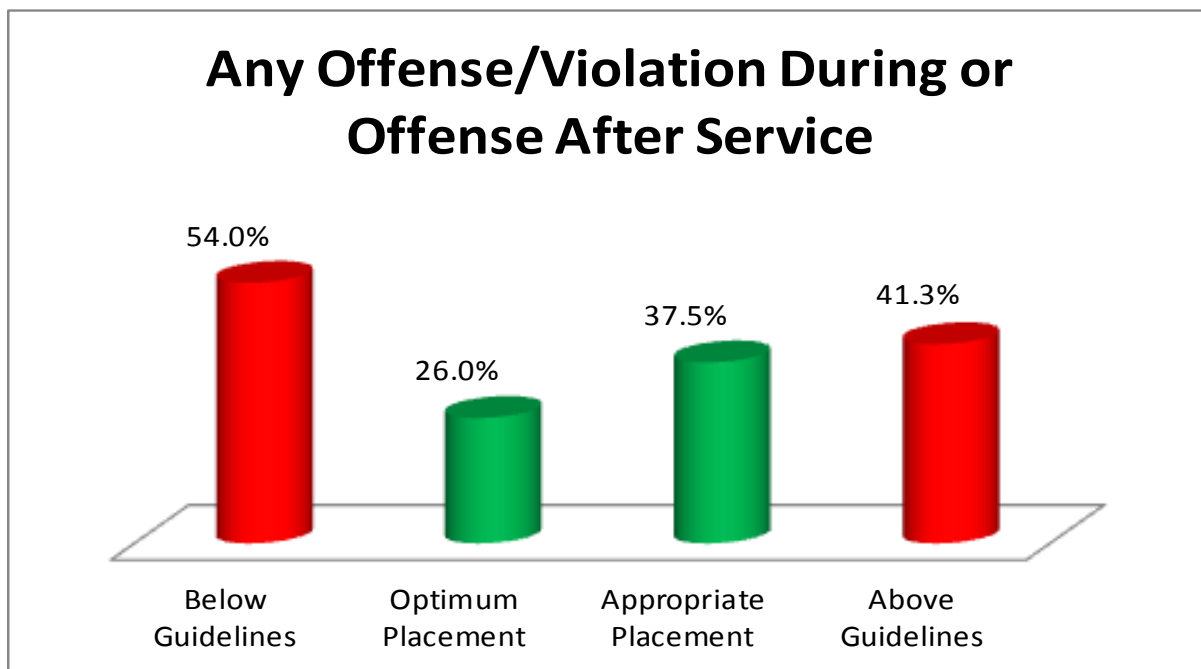
Figure 24.



As shown in Figure 24, and similar to examining each outcome individually, dispositions/placements made within the Disposition Matrix suggested range clearly outperform those made outside of the suggested range. ***Dispositions/placements made outside of the Disposition Matrix suggestions led to over 1.5 times more failures in terms of a comprehensive measure that includes both adjudications during placement and within 12 months of release.*** This difference is statistically significant ($p < .001$) with a moderate effect size (Cohen's $d = .58$).

We next examined the comprehensive outcome measure (which includes adjudications for offenses/violations during service or adjudications after release) with respect to each level of adherence to the Disposition Matrix (see Figure 25). As shown, and similar to the recidivism and the offense during service outcomes, the failure rate is lowest for optimum placements, followed by appropriate placements, then above guidelines placements, with below guidelines placements having the highest failure rates (all differences are statistically significant at $p < .01$). ***The failure rates on a comprehensive measure including both offenses and violations during service and 12 month recidivism for above guidelines placements was 59% higher than those of optimum placements (41.3% is 59% greater than 26%) and the failure rates for below guidelines placements was 108% higher than those of optimum placements (54% is 108% greater than 26%).***

Figure 25.



Implications:

These results may help assist the Department with resource allocation efforts by demonstrating the most effective placements based on the risk level and presenting offenses of youth served. Examining trends can indicate approximate numbers of “slots” that will be needed for each placement type. These results clearly show the importance of adhering to the Disposition Matrix guidelines, and the need to make optimum dispositions/placements in order to maximize effectiveness. ***Regardless of the outcome measure examined (recidivism, offenses during service, or a combined metric of both) dispositions/placements within the Disposition Matrix significantly performed better than those outside of the suggested range.*** Results indicate some fine-tuning or additional analysis of the Disposition Matrix suggested ranges is warranted. This is especially true with respect to diversion placements of moderate and moderate-high risk youth. The fact that below guidelines placements consistently performed the worst indicates the importance of revisiting policies allowing diversion placements for moderate-high and high risk to re-offend youth. Further examination of when day treatment/redirection is more desirable than probation supervision by itself is warranted (especially for moderate-high and high risk to re-offend youth presenting with more serious charges). ***Adherence to the Disposition Matrix is ideal if the goals are to maximize public safety, ensure accountability to taxpayers of providing the most effective service for their tax dollar, and enhance the likelihood of success for youth throughout the continuum of Florida Department of Juvenile Justice services.***

The results also highlight the importance of the services provided by the FDJJ. Youth receiving dispositions/placements below the Disposition Matrix suggested range had the worst outcomes. This indicates there is some level of service that different subgroups of youth should receive to ensure public safety. That level of service depends on the youth’s overall risk to re-offend level, presenting offense, and the services attempted with that youth previously. However, it clearly shows that FDJJ services are beneficial for many youth and certainly for the higher risk youth (as evidenced by the failure rates of moderate-high and high risk diversion placements). These findings confirm the Risk Principle that the intensity and duration of services provided should mimic the risk level of the youth served with higher risk youth receiving more intense services for longer periods of time. The implementation of the Disposition Matrix enables staff to readily identify and recommend dispositions/placements which will optimize youth success, thereby enhancing public safety.

**Appendix A:
Recidivism Rates by Risk Level, Presenting Offense, Placement, and Disposition Matrix
Adherence**

Risk Level/Presenting Offense	Diversion		Probation		Day Tx/Redirection		Non-Secure Commitment		Secure Commitment	
	Within Matrix	Outside of Matrix	Within Matrix	Outside of Matrix	Within Matrix	Outside of Matrix	Within Matrix	Outside of Matrix	Within Matrix	Outside of Matrix
Low Risk/Minor Offense	12.9%	N/A	14.7%	N/A	N/A	25.1%	N/A	34.7%	N/A	N/A
	N=14,016	N=0	N=4,734	N=0	N=0	N=295	N=0	N=98	N=0	N=0
Low Risk/Serious Offense	12.3%	N/A	14.9%	N/A	N/A	32.4%	N/A	42.4%	N/A	18.8%
	N=2,733	N=0	N=2,355	N=0	N=0	N=179	N=0	N=139	N=0	N=32
Low Risk/Violent Offense	10.4%	N/A	10.0%	N/A	N/A	26.1%	N/A	7.9%	N/A	3.9%
	N=701	N=0	N=699	N=0	N=0	N=46	N=0	N=38	N=0	N=51
Moderate Risk/Minor Offense	37.5%	N/A	25.4%	58.9%	N/A	32.6%	N/A	32.7%	N/A	33.3%
	N=1,058	N=0	N=1,121	N=326	N=0	N=132	N=0	N=162	N=0	N=3
Moderate Risk/Serious Offense	33.7%	N/A	25.8%	N/A	N/A	34.7%	N/A	38.1%	N/A	32.3%
	N=297	N=0	N=768	N=0	N=0	N=118	N=0	N=223	N=0	N=31
Moderate Risk/Violent Offense	22.6%	N/A	25.0%	N/A	30.2%	N/A	24.3%	N/A	N/A	17.1%
	N=155	N=0	N=316	N=0	N=43	N=0	N=74	N=0	N=0	N=41
Mod-High Risk/Minor Offense	55.2%	N/A	32.1%	N/A	38.5%	N/A	N/A	40.7%	N/A	33.3%
	N=706	N=0	N=989	N=0	N=109	N=0	N=0	N=268	N=0	N=12
Mod-High Risk/Serious Offense	N/A	48.7%	30.7%	N/A	47.9%	N/A	40.4%	N/A	N/A	36.8%
	N=0	N=158	N=664	N=0	N=94	N=0	N=182	N=0	N=0	N=117
Mod-High Risk/Violent Offense	N/A	41.7%	26.4%	N/A	42.6%	N/A	31.4%	N/A	34.4%	N/A
	N=0	N=96	N=337	N=0	N=47	N=0	N=185	N=0	N=93	N=0
High Risk/Minor Offense	N/A	58.9%	32.8%	N/A	34.4%	N/A	45.6%	N/A	N/A	39.1%
	N=0	N=326	N=497	N=0	N=61	N=0	N=375	N=0	N=0	N=23
High Risk/Serious Offense	N/A	57.1%	36.1%	N/A	45.1%	N/A	47.1%	N/A	N/A	51.1%
	N=0	N=63	N=280	N=0	N=51	N=0	N=560	N=0	N=0	N=180
High Risk/Violent Offense	N/A	52.1%	28.7%	N/A	23.7%	N/A	41.0%	N/A	41.8%	N/A
	N=0	N=48	N=178	N=0	N=38	N=0	N=300	N=0	N=153	N=0

All Youth By Risk Level

All Low Risk Offenders	12.7%	N/A	14.3%	N/A	N/A	27.7%	N/A	34.9%	N/A	9.6%
	N=17,450	N=0	N=7,788	N=0	N=0	N=520	N=0	N=275	N=0	N=83
All Moderate Risk Offenders	35.2%	N/A	25.5%	N/A	30.2%	33.6%	24.3%	35.8%	N/A	24.0%
	N=1,510	N=0	N=2,205	N=0	N=43	N=250	N=74	N=385	N=0	N=75
All Mod-High Risk Offenders	55.2%	46.1%	30.7%	N/A	42.8%	N/A	37.7%	40.7%	34.4%	36.4%
	N=706	N=254	N=1,990	N=0	N=250	N=0	N=636	N=268	N=93	N=129
All High Risk Offenders	N/A	57.9%	33.0%	N/A	35.3%	N/A	45.2%	N/A	41.8%	49.8%
	N=0	N=437	N=955	N=0	N=150	N=0	N=1,235	N=0	N=153	N=203
All Youth	16.0%	53.5%	20.1%	N/A	39.1%	29.6%	42.0%	37.0%	39.0%	35.5%
	N=19,666	N=691	N=12,938	N=0	N=443	N=770	N=1,945	N=928	N=246	N=490

Appendix B:
Diversion Recidivism Rates by Risk Level, Presenting Offense, and Disposition Matrix Level Adherence

Risk Level/Presenting Offense	Diversion			
	Below Guidelines	Optimum Placement	Appropriate Placement	Above Guidelines
Low Risk/Minor Offense	N/A	12.9%	N/A	N/A
	N=0	N=14,016	N=0	N=0
Low Risk/Serious Offense	N/A	12.3%	N/A	N/A
	N=0	N=2,733	N=0	N=0
Low Risk/Violent Offense	N/A	10.4%	N/A	N/A
	N=0	N=701	N=0	N=0
Moderate Risk/Minor Offense	N/A	37.5%	N/A	N/A
	N=0	N=1,058	N=0	N=0
Moderate Risk/Serious Offense	N/A	33.7%	N/A	N/A
	N=0	N=297	N=0	N=0
Moderate Risk/Violent Offense	N/A	22.6%	N/A	N/A
	N=0	N=155	N=0	N=0
Mod-High Risk/Minor Offense	N/A	55.2%	N/A	N/A
	N=0	N=706	N=0	N=0
Mod-High Risk/Serious Offense	48.7%	N/A	N/A	N/A
	N=158	N=0	N=0	N=0
Mod-High Risk/Violent Offense	41.7%	N/A	N/A	N/A
	N=96	N=0	N=0	N=0
High Risk/Minor Offense	58.9%	N/A	N/A	N/A
	N=326	N=0	N=0	N=0
High Risk/Serious Offense	57.1%	N/A	N/A	N/A
	N=63	N=0	N=0	N=0
High Risk/Violent Offense	52.1%	N/A	N/A	N/A
	N=48	N=0	N=0	N=0

All Youth By Risk Level

All Low Risk Offenders	N/A	12.7%	N/A	N/A
	N=0	N=17,450	N=0	N=0
All Moderate Risk Offenders	N/A	35.2%	N/A	N/A
	N=0	N=1,510	N=0	N=0
All Mod-High Risk Offenders	46.1%	55.2%	N/A	N/A
	N=254	N=706	N=0	N=0
All High Risk Offenders	57.9%	N/A	N/A	N/A
	N=437	N=0	N=0	N=0

Appendix C:
**Probation Supervision Recidivism Rates by Risk Level, Presenting Offense, and Disposition
 Matrix Level Adherence**

Risk Level/Presenting Offense	Probation Supervision			
	Below Guidelines	Optimum Placement	Appropriate Placement	Above Guidelines
Low Risk/Minor Offense	N/A	16.0%	13.3%	N/A
	N=0	N=2,475	N=2,259	N=0
Low Risk/Serious Offense	N/A	16.9%	14.1%	N/A
	N=0	N=668	N=1,687	N=0
Low Risk/Violent Offense	N/A	13.8%	9.3%	N/A
	N=0	N=109	N=590	N=0
Moderate Risk/Minor Offense	N/A	25.3%	25.7%	N/A
	N=0	N=802	N=319	N=0
Moderate Risk/Serious Offense	N/A	27.5%	23.6%	N/A
	N=0	N=429	N=339	N=0
Moderate Risk/Violent Offense	N/A	27.6%	23.1%	N/A
	N=0	N=134	N=182	N=0
Mod-High Risk/Minor Offense	N/A	34.0%	26.6%	N/A
	N=0	N=733	N=256	N=0
Mod-High Risk/Serious Offense	N/A	30.7%	N/A	N/A
	N=0	N=664	N=0	N=0
Mod-High Risk/Violent Offense	26.4%	N/A	N/A	N/A
	N=337	N=0	N=0	N=0
High Risk/Minor Offense	N/A	32.8%	N/A	N/A
	N=0	N=497	N=0	N=0
High Risk/Serious Offense	N/A	36.1%	N/A	N/A
	N=0	N=280	N=0	N=0
High Risk/Violent Offense	N/A	28.7%	N/A	N/A
	N=0	N=178	N=0	N=0

All Youth By Risk Level

All Low Risk Offenders	N/A	16.1%	13.1%	N/A
	N=0	N=3,252	N=4,536	N=0
All Moderate Risk Offenders	N/A	26.2%	24.3%	N/A
	N=0	N=1,365	N=840	N=0
All Mod-High Risk Offenders	N/A	31.3%	26.6%	N/A
	N=0	N=1,734	N=256	N=0
All High Risk Offenders	N/A	33.0%	N/A	N/A
	N=0	N=955	N=0	N=0

Appendix D:
**Day Treatment/Redirection Recidivism Rates by Risk Level, Presenting Offense, and
Disposition Matrix Level Adherence**

Risk Level/Presenting Offense	Day Treatment/Redirection			
	Below Guidelines	Optimum Placement	Appropriate Placement	Above Guidelines
Low Risk/Minor Offense	N/A	N/A	N/A	25.1%
	N=0	N=0	N=0	N=295
Low Risk/Serious Offense	N/A	N/A	N/A	32.4%
	N=0	N=0	N=0	N=179
Low Risk/Violent Offense	N/A	N/A	N/A	26.1%
	N=0	N=0	N=0	N=46
Moderate Risk/Minor Offense	N/A	N/A	N/A	32.6%
	N=0	N=0	N=0	N=132
Moderate Risk/Serious Offense	N/A	N/A	N/A	34.7%
	N=0	N=0	N=0	N=118
Moderate Risk/Violent Offense	N/A	16.7%	32.4%	N/A
	N=0	N=6	N=37	N=0
Mod-High Risk/Minor Offense	N/A	39.1%	38.1%	N/A
	N=0	N=46	N=63	N=0
Mod-High Risk/Serious Offense	N/A	42.4%	50.8%	N/A
	N=0	N=33	N=61	N=0
Mod-High Risk/Violent Offense	N/A	35.7%	45.5%	N/A
	N=0	N=14	N=33	N=0
High Risk/Minor Offense	N/A	34.2%	34.8%	N/A
	N=0	N=38	N=23	N=0
High Risk/Serious Offense	N/A	50.0%	41.4%	N/A
	N=0	N=22	N=29	N=0
High Risk/Violent Offense	N/A	23.8%	23.5%	N/A
	N=0	N=21	N=17	N=0

All Youth By Risk Level

All Low Risk Offenders	N/A	N/A	N/A	27.7%
	N=0	N=0	N=0	N=520
All Moderate Risk Offenders	N/A	16.7%	32.4%	33.6%
	N=0	N=6	N=37	N=250
All Mod-High Risk Offenders	N/A	39.8%	44.6%	N/A
	N=0	N=93	N=157	N=0
All High Risk Offenders	N/A	35.8%	34.8%	N/A
	N=0	N=81	N=69	N=0

Appendix E:
**Non-Secure Commitment Recidivism Rates by Risk Level, Presenting Offense, and Disposition
 Matrix Level Adherence**

Risk Level/Presenting Offense	Non-Secure Commitment			
	Below Guidelines	Optimum Placement	Appropriate Placement	Above Guidelines
Low Risk/Minor Offense	N/A	N/A	N/A	34.7%
	N=0	N=0	N=0	N=98
Low Risk/Serious Offense	N/A	N/A	N/A	42.4%
	N=0	N=0	N=0	N=139
Low Risk/Violent Offense	N/A	N/A	N/A	7.9%
	N=0	N=0	N=0	N=38
Moderate Risk/Minor Offense	N/A	N/A	N/A	32.7%
	N=0	N=0	N=0	N=162
Moderate Risk/Serious Offense	N/A	N/A	N/A	38.1%
	N=0	N=0	N=0	N=223
Moderate Risk/Violent Offense	N/A	44.4%	21.5%	N/A
	N=0	N=93	N=65	N=0
Mod-High Risk/Minor Offense	N/A	N/A	N/A	40.7%
	N=0	N=0	N=0	N=268
Mod-High Risk/Serious Offense	N/A	40.3%	38.1%	N/A
	N=0	N=141	N=310	N=0
Mod-High Risk/Violent Offense	N/A	31.1%	31.5%	N/A
	N=0	N=61	N=124	N=0
High Risk/Minor Offense	N/A	42.1%	48.1%	N/A
	N=0	N=159	N=216	N=0
High Risk/Serious Offense	N/A	49.1%	45.7%	N/A
	N=0	N=234	N=326	N=0
High Risk/Violent Offense	N/A	40.9%	41.0%	N/A
	N=0	N=88	N=212	N=0

All Youth By Risk Level

All Low Risk Offenders	N/A	N/A	N/A	34.9%
	N=0	N=0	N=0	N=275
All Moderate Risk Offenders	N/A	44.4%	21.5%	35.8%
	N=0	N=93	N=65	N=385
All Mod-High Risk Offenders	N/A	37.6%	37.8%	40.7%
	N=0	N=202	N=434	N=268
All High Risk Offenders	N/A	45.3%	45.1%	N/A
	N=0	N=481	N=754	N=0

Appendix F:
**Secure Commitment Recidivism Rates by Risk Level, Presenting Offense, and Disposition
 Matrix Level Adherence**

Risk Level/Presenting Offense	Secure Commitment			
	Below Guidelines	Optimum Placement	Appropriate Placement	Above Guidelines
Low Risk/Minor Offense	N/A	N/A	N/A	No Youth
	N=0	N=0	N=0	N=0
Low Risk/Serious Offense	N/A	N/A	N/A	18.8%
	N=0	N=0	N=0	N=32
Low Risk/Violent Offense	N/A	N/A	N/A	3.9%
	N=0	N=0	N=0	N=51
Moderate Risk/Minor Offense	N/A	N/A	N/A	33.3%
	N=0	N=0	N=0	N=3
Moderate Risk/Serious Offense	N/A	N/A	N/A	32.3%
	N=0	N=0	N=0	N=31
Moderate Risk/Violent Offense	N/A	N/A	N/A	17.1%
	N=0	N=0	N=0	N=41
Mod-High Risk/Minor Offense	N/A	N/A	N/A	33.3%
	N=0	N=0	N=0	N=12
Mod-High Risk/Serious Offense	N/A	N/A	N/A	36.8%
	N=0	N=0	N=0	N=117
Mod-High Risk/Violent Offense	N/A	42.1%	32.4%	N/A
	N=0	N=19	N=74	N=0
High Risk/Minor Offense	N/A	N/A	N/A	39.1%
	N=0	N=0	N=0	N=23
High Risk/Serious Offense	N/A	N/A	N/A	51.1%
	N=0	N=0	N=0	N=180
High Risk/Violent Offense	N/A	39.6%	43.0%	N/A
	N=0	N=53	N=100	N=0

All Youth By Risk Level

All Low Risk Offenders	N/A	N/A	N/A	9.6%
	N=0	N=0	N=0	N=83
All Moderate Risk Offenders	N/A	N/A	N/A	24.0%
	N=0	N=0	N=0	N=75
All Mod-High Risk Offenders	N/A	42.1%	32.4%	36.4%
	N=0	N=19	N=74	N=129
All High Risk Offenders	N/A	39.6%	43.0%	49.8%
	N=0	N=53	N=100	N=203

PACT vs. machine learning/analytics

Risk Level	FL DJJ PACT MODEL			MACHINE LEARNING/ANALYTICS MODEL		
	# Cases	% Cases	Risk Prediction Accuracy	# Cases	% Cases	Risk Prediction Accuracy
Low	39,250	72%	84%	24,186	72%	86%
Moderate	6,077	11%	71%	6,380	19%	79%
Moderate High	5,477	10%	37%	1,741	5%	52%
High	3,665	7%	41%	1,104	3%	66%

Males by Race

Risk Level	FL DJJ PACT MODEL				MACHINE LEARNING/ANALYTICS MODEL			
	White Males		Males of Color		White Males		Males of Color	
	% Recidivate	% Cases	% Recidivate	% Cases	% Recidivate	% Cases	% Recidivate	% Cases
Low	16%	73% -16,017	22%	61% -10,134	12%	79% -10,659	18%	67% -6,808
Moderate	29%	12% -2,702	35%	13% -2,212	31%	13% -1,811	35%	18% -1,782
Moderate High	33%	9% -1,901	43%	16% -2,566	52%	5% -631	54%	9% -958
High	42%	6% -1,371	47%	10% -1,585	69%	3% -390	72%	6% -573

females by race

Risk Level	FL DJJ PACT MODEL				MACHINE LEARNNG/ANALYTICS MODEL			
	White Females		Females of Color		White Females		Females of Color	
	% Recidivate	% Cases	% Recidivate	% Cases	% Recidivate	% Cases	% Recidivate	% Cases
Low	9%	84%	9%	79%	5%	62%	10%	77%
		-7,526		-5,573		-3,405		-3,314
Moderate	16%	8%	16%	7%	15%	36%	17%	19%
		-705		-458		-1,968		-819
Moderate High	22%	4%	22%	9%	35%	1%	37%	2%
		-375		-635		-67		-85
High	26%	4%	26%	5%	51%	1%	51%	2%
		-364		-345		-55		-86

CBAForm 1 - Net Tangible Benefits

Agency	<u>Department of Juvenile Justice</u>	Project	<u>Replace PACT/RPACT</u>
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 2017-18			FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$4,000	\$0	\$4,000	\$4,000	\$0	\$4,000	\$4,000	\$0	\$4,000	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total Staff	0.02	0.00	0.02	0.02	0.00	0.02	0.02	0.00	0.02	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	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)	\$4,000	\$0	\$4,000	\$4,000	\$0	\$4,000	\$4,000	\$0	\$4,000	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contractors)	0.02	0.00	0.02	0.02	0.00	0.02	0.02	0.00	0.02	0.00	0.00	0.00	0.00	0.00	0.00
B. Application Maintenance Costs	\$76,895	\$0	\$76,895	\$76,895	\$0	\$76,895	\$76,895	\$0	\$76,895	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$76,895	\$0	\$76,895	\$76,895	\$0	\$76,895	\$76,895	\$0	\$76,895	\$0	\$0	\$0	\$0	\$0	\$0
B-4. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Disaster Recovery	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$80,895	\$0	\$80,895	\$80,895	\$0	\$80,895	\$80,895	\$0	\$80,895	\$0	\$0	\$0	\$0	\$0	\$0
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	

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

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	
1	Department of Juvenile Justice	Replace PACT/RPACT																		
Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.					FY2017-18			FY2018-19			FY2019-20			FY2020-21			FY2021-22			TOTAL
				\$ -	\$ 622,204			\$ 1,027,985			\$ -			\$ -			\$ -			\$ 1,650,189
4	Item Description (remove guidelines and annotate entries here)	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 # YR 1 LBR YR 1 Base Budget		YR 2 # YR 2 LBR YR 2 Base Budget		YR 3 # YR 3 LBR YR 3 Base Budget		YR 4 # YR 4 LBR YR 4 Base Budget		YR 5 # YR 5 LBR YR 5 Base Budget		TOTAL					
5	Costs for all state employees working on the project.	FTE	S&B	\$ -	82204.00 \$ - \$ 82,204		223985.00 \$ - \$ 223,985		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		\$ 306,189					
6	Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		\$ -					
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	540000.00 \$ 540,000 \$ -		804000.00 \$ 804,000 \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		\$ 1,344,000					
8	Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		\$ -					
9	Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		\$ -					
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		\$ -					
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -	\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ -					
12	Hardware purchases not included in data center services.	Hardware	OCO	\$ -	\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ -					
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ -					
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -	\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ -					
15	All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ -					
16	Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ -					
17	Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -	\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ -					
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -	\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ -					
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ -					
20	Other project expenses not included in other categories.	Other Expenses	Expense	\$ -	\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ - \$ -		\$ -					
21	Total			\$ -	622204.00 \$ 540,000 \$ 82,204		1027985.00 \$ 804,000 \$ 223,985		0.00 \$ - \$ -		0.00 \$ - \$ -		0.00 \$ - \$ -		\$ 1,650,189					

CBAForm 2 - Project Cost Analysis

Agency <u>Department of Juvenile Justice</u>	Project <u>Replace PACT/RPACT</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	
TOTAL PROJECT COSTS (*)	\$622,204	\$1,027,985	\$0	\$0	\$0	\$1,650,189
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i>	\$622,204	\$1,650,189	\$1,650,189	\$1,650,189	\$1,650,189	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	
General Revenue	\$540,000	\$804,000	\$0	\$0	\$0	\$1,344,000
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$540,000	\$804,000	\$0	\$0	\$0	\$1,344,000
CUMULATIVE INVESTMENT	\$540,000	\$1,344,000	\$1,344,000	\$1,344,000	\$1,344,000	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	Confidence Level		
Order of Magnitude	Confidence Level	Order of Magnitude	10%
Placeholder	Confidence Level		

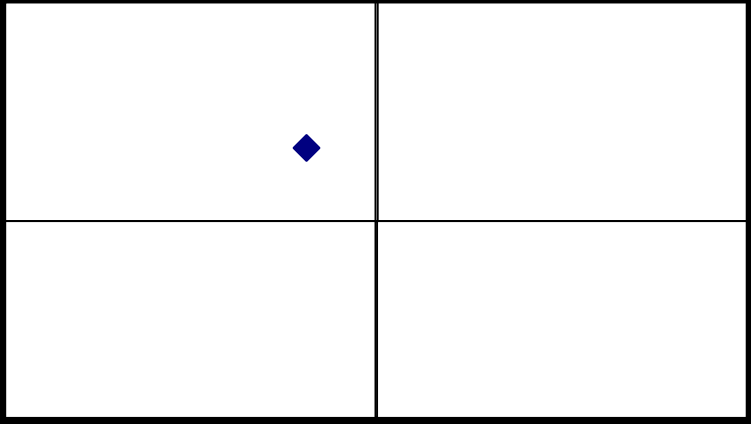
CBAForm 3 - Project Investment Summary

Agency	<u>Department of Juvenile Justice</u>	Project	<u>Replace PACT/RPACT</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	TOTAL FOR ALL YEARS
Project Cost	\$622,204	\$1,027,985	\$0	\$0	\$0	\$1,650,189
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Return on Investment	(\$622,204)	(\$1,027,985)	\$0	\$0	\$0	(\$1,650,189)
Year to Year Change in Program Staffing	0	0	0	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
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)	(\$1,597,075)	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.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

	B	C	D	E	F	G	H
3	Project		<i>REPLACE (PACT)/RPACT</i>				
4							
5	Agency		<i>Department of Juvenile Justice</i>				
6	FY 2018-19 LBR Issue Code:			FY 2018-19 LBR Issue Title:			
7	<i>Issue Code</i>			<i>Issue Title</i>			
8	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):						
9	<i>Lee Hartsfield-(850)717-2330 - lee.hartsfield@djj.state.fl.us</i>						
10	Executive Sponsor		<i>Mark Greenwald</i>				
11	Project Manager		<i>Lee Hartsfield</i>				
12	Prepared By		<i>Lee Hartsfield</i>			<i>8/10/2017</i>	
14	Risk Assessment Summary						
15							
16	Business Strategy						
17							
18							
19							
20							
21							
22							
23							
24							
25							
26							
27							
28							
29							
30	Level of Project Risk						
31							
32							
34	Project Risk Area Breakdown						
35	Risk Assessment Areas						<i>Risk Exposure</i>
36	Strategic Assessment						LOW
37							
38	Technology Exposure Assessment						LOW
39							
40	Organizational Change Management Assessment						MEDIUM
41							
42	Communication Assessment						MEDIUM
43							
44	Fiscal Assessment						MEDIUM
45							
46	Project Organization Assessment						MEDIUM
47							
48	Project Management Assessment						MEDIUM
49							
50	Project Complexity Assessment						MEDIUM
51							
52							
53	Overall Project Risk						MEDIUM

	B	C	D	E
1	Agency: Department of Juvenile Justice		Project: REPLACE (PACT)/RPACT	
3	Section 1 -- Strategic Area			
4	#	Criteria	Values	Answer
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
21			Changes unknown	
22			Changes are identified in concept only	
23			Changes are identified and documented	
24			Legislation or proposed rule change is drafted	
25	1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
26			Some	
27			All or nearly all	
28	1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
29			Moderate external use or visibility	
30			Extensive external use or visibility	
31	1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Single agency-wide use or visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 1 and 3 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: Department of Juvenile Justice		Project: REPLACE (PACT)/RPACT	
3	Section 2 -- Technology Area			
4	#	Criteria	Values	Answer
5	2.01	Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: Department of Juvenile Justice		Project: REPLACE (PACT)/RPACT	
3	Section 3 -- Organizational Change Management Area			
4	#	Criteria	Values	Answer
5	3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Minimal changes to organization structure, staff or business processes structure
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	Yes
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	41% to 80% -- Some process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	1 to 10% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Moderate changes
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with similar change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E
1	Agency: Agency Name		Project: Project Name	
3	Section 4 -- Communication Area			
4	#	Criteria	Value Options	Answer
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
6			No	
7	4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Routine feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Department of Juvenile Justice		Project: REPLACE (PACT)/RPACT	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$500K and \$1,999,999
11			Greater than \$10 M	
12			Between \$2 M and \$10 M	
13			Between \$500K and \$1,999,999	
14			Less than \$500 K	
15	5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
16			No	
17	5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Detailed and rigorous (accurate within ±10%)
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Neither requested nor received
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	More than 5 years
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
39			Stakeholders have not been consulted re: procurement strategy	
40			Stakeholders have reviewed and approved the proposed procurement strategy	
41	5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
42			Firm Fixed Price (FFP)	
43			Combination FFP and T&E	
44	5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Timing of major hardware

	B	C	D	E
1	Agency: Department of Juvenile Justice		Project: REPLACE (PACT)/RPACT	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	and software purchases has not yet been determined
46			Just-in-time purchasing of hardware and software is documented in the project schedule	
47	5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
48			Contract manager is the procurement manager	
49			Contract manager is the project manager	
50			Contract manager assigned is not the procurement manager or the project manager	
51	5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation not planned/used for procurement
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	
63				
64				
65				
66				

	B	C	D	E
1	Agency: Department of Juvenile Justice		Project: REPLACE (PACT)/RPACT	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	1
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	No, project manager is assigned 50% or less to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated 50% or less to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Few or no staff from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
32			Moderate impact	
33			Extensive impact	
34	6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
35			No	
36	6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Department of Juvenile Justice		Project: REPLACE (PACT)/RPACT	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
9			1-3	
10			More than 3	
11	7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	Some
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
15			41 to 80% -- Some have been defined and documented	
16			81% to 100% -- All or nearly all have been defined and documented	
17	7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	41 to 80% -- Some have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints),	Yes	No

	B	C	D	E
1	Agency: Department of Juvenile Justice		Project: REPLACE (PACT)/RPACT	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
35		critical milestones, and resources?	No	No
36	7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
50			No	

	B	C	D	E
1	Agency: Department of Juvenile Justice		Project: REPLACE (PACT)/RPACT	
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
16			1 to 3 external organizations	
17			More than 3 external organizations	
18	8.05	What is the expected project team size?	Greater than 15	5 to 8
19			9 to 15	
20			5 to 8	
21			Less than 5	
22	8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	None
23			2 to 4	
24			1	
25			None	
26	8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Agency-wide business process change
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Greater size and complexity
36			Lesser size and complexity	
37			Similar size and complexity	
38			Greater size and complexity	
39	8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Greater size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

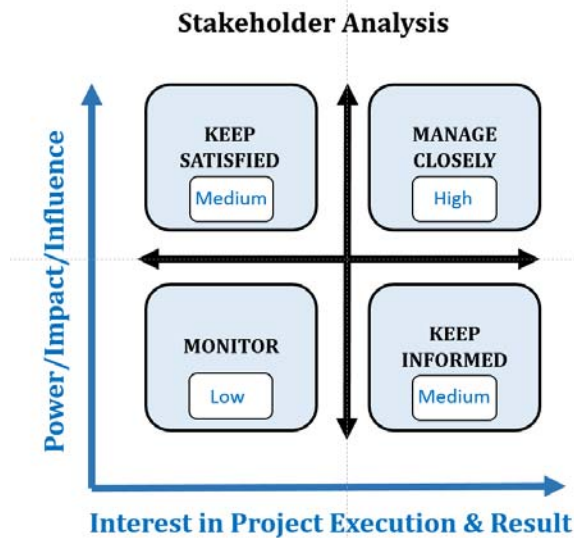
Communication Management Plan

The purpose of the Communications Management Plan is to facilitate effective communications with all the identified stakeholders. It will include factors such as; frequency, format and distribution method. Although each project is unique in some aspect, the Department of DJJ has established a standard communication model.

Generic Stakeholder Register

Stakeholder	Position	Rating	Method	Medium	Frequency
IT Steering Committee	Management	Keep Informed	Self-access	SharePoint Site/Email Reminders	Quarterly
DJJ Senior Management	Management	Keep Informed	Self-access	SharePoint Site/Email Reminders	Monthly
AST	Oversight	Keep Informed	Standardized Reports	Pre-set reports from SharePoint	Per AST Rule 74-1
Stakeholders	Varies	Manage Closely	Self-access	SharePoint Site/Email Reminders	Monthly
Subject Matter Experts	Varies	Keep Informed	Self-access	SharePoint Site/Email Reminders	On Demand

Note: A pre-charter meeting will be held with the key program areas and identified participants to further refine the objectives, risks, constraints and potential issues into a project charter. Current Detention, Residential, and Probation Program Areas, MIS and Research and Data Integrity will assign staff to be on the Project Team as stakeholders. Staff augmentation resources will participate as subject Matter Experts. Each individual will be listed in the project charter relative to specific stakeholder participation. Once completed the project charter will be presented to the DJJ IT Steering Committee at their next regularly scheduled meeting.



The DJJ IT Project Manager is responsible for providing timely updates of meeting agendas and minutes to the DJJ IT Project SharePoint Site. The SharePoint Site will be maintained on a weekly basis. Specific information relative to project risks, issues, constraints and any significant changes to scope, schedule or budget shall be documented and posted to the DJJ IT Project SharePoint Site. Otherwise, the project progress will be maintained on at least a bi-weekly basis. The Project Manager will also provide email reminders for upcoming meeting and when critical issues, risks or constraints which need to be addressed.

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 80 Juvenile Justice
Budget Entity: 80800200 Secure Residential Commitment

Budget Period 2018-19

(1) <u>SECTION I</u>	(2) ACTUAL FY 2016-17	(3) ESTIMATED FY 2017-18	(4) REQUEST FY 2018-19
Interest on Debt (A)	234,554	153,016	67,183
Principal (B)	1,547,919	1,629,457	1,715,291
Repayment of Loans (C)			
Fiscal Agent or Other Fees (D)			
Other Debt Service (E)	4,936	4,277	4,277
Total Debt Service (F)	1,787,409	1,786,750	1,786,751

Explanation: The Department of Juvenile Justice is contractually obligated to pay lease payments for Hastings Comprehensive Mental Health Treatment/Substance Abuse Programs (64-Bed Juvenile Facility) located in St. Johns County. This facility is operated by TrueCore Behavioral Solutions, LLC.

SECTION II

ISSUE:

(1) INTEREST RATE	(2) MATURITY DATE	(3) ISSUE AMOUNT	(4) JUNE 30, 2017	(5) JUNE 30, 2018
(6)	(7) ACTUAL FY 2016-17	(8) ESTIMATED FY 2017-18	(9) REQUEST FY 2018-19	
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)				
Total Debt Service (K)				

ISSUE:

(1) INTEREST RATE	(2) MATURITY DATE	(3) ISSUE AMOUNT	(4) JUNE 30, 2018	(5) JUNE 30, 2019
(6)	(7) ACTUAL FY 2016-17	(8) ESTIMATED FY 2017-18	(9) REQUEST FY 2018-19	
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fees (I)				
Other (J)				
Total Debt Service (K)				

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2018-2019

Department: FL Department of Juvenile Justice

Chief Internal Auditor: Michael Yu

Budget Entity: Executive Direction/Support Services

Phone Number: 850-717-2468

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTIONS TAKEN	(6) ISSUE CODE
A-1617DJJ-001	FY 2016-17	Audit of Residential Living and Treatment Environment	This is a clean audit. We recommend that this audit report should not be used to relieve the department from future monitoring of the living and treatment environment in residential facilities.	N/A	
A-1617DJJ-003	FY 2016-17	Audit of Secure Detention Supervision	<p>Finding 1. The Visitor Logbook notations were not always complete; logbook reviews were not always performed by superintendents or their designee; and logbook reviews were not always highlighted. Recommendation: We recommend that the department ensure superintendents, assistant superintendents, or their designees follow F.A.C. 63G-2.018(3) and F.O.P. 1.13 and complete logbook reviews in a timely manner. Finding 2. Facility key control was not always demonstrated. Recommendation: We recommend the department ensure key control management in accordance with established policies and procedures. Finding 3. Behavior Management Systems (BMS) were not always understood by staff or youth; youth point-tracking documents were not always current; justification for youth level drops were not always documented in the living area logbook; and youth in the highest BMS level (Level 3) were not always provided with three additional privileges. Recommendation: We recommend all facilities update their individualized BMS plans and re-train youth and staff on the approved BMS plan; ensure BMS point tracking is consistently updated; and remind staff to document justification for a youth's level drop in the living area logbooks. Finding 4. Youth telephone logs were not always current. It did not always reflect the number dialed; and in</p>	<p>For Finding 1. The department will revise FOP 1.13, Logbooks, to state that superintendents do not need to review the visitor's logbooks. In addition, the department will clarify in FOP 1.13 that the superintendent's review of all of the other logbooks must be highlighted in yellow marker. For Finding 2. The department will ensure, through re-training supervisors, that each facility complies with the standard. For Finding 3. The department will modify FOP 3.02, Behavior Management System, to change the language to read that Level 3 youth will receive more additional privileges than Level 2 instead of mandating three additional privileges. The department will ensure that staff are re-trained on the Behavior Management System at each facility and on documentation of level drops. The department will also ensure that all Behavior Management information at each facility is current. For Finding 4. The department will ensure, through re-training the supervisors, that staff complete the log for each youth and ensure that only the persons listed on the log are contacted by the youth. For Finding 5. The department will ensure that all medical and mental health care providers have their PREA training documented. The department will further ensure, through re-training the superintendents, that each facility maintains a copy of all PREA incidents in a labeled folder. For Finding 6. The department will revise FOP 5.05, Drills, to include Suicide Mock Drill quarterly on each shift and modify the Emergency</p>	

		<p>some instances, it could not be located for review. Recommendation: We recommend management implement a weekly review of youth telephone log sheets. Finding 5. Prison Rape Elimination Act (PREA) training certificates for medical and mental health care providers were not always maintained by the facility; and superintendents did not always maintain a copy of all PREA-related incidents reported to the Central Communications Center (CCC). Recommendation: We recommend that management ensure all medical and mental health care providers complete PREA training within 30 days of the date of hire in compliance with department policy FDJJ-1520. We further recommend that management ensure superintendents are compliant with F.O.P. 3.09 in requesting and maintaining copies of all PREA-related incidents reported to the CCC. Finding 6. Facility Operating Procedure (F.O.P.) 5.05 and the F.O.P. Emergency Drill Reporting Form concerning suicide prevention drills were not consistent with Florida Administrative Code (F.A.C.) 63G-2.017(5)(b). Required fire drills, medical drills, and suicide prevention drills were not always documented and completed drill forms were not always signed by the shift supervisor and facility administrator; and local fire official's approval of the facility's fire drill procedures could not always be located. Recommendation: We recommend detention management: update Detention F.O.P. 5.05 and the Emergency Drill Reporting Form to reflect quarterly mock suicide prevention drills on each shift, in accordance with F.A.C. 63G-2.017; ensure that all drills are conducted in accordance with F.A.C. 63G-2.017, documented appropriately on the Emergency Drill Reporting Form, and maintained in an approved manner; and ensure that facilities obtain and maintain the required annual letter of approval from local fire officials in accordance with Detention F.O.P. 5.03. Finding 7. A perpetual inventory of all tools</p>	<p>Drill Reporting form. The department will also ensure, through re-training the superintendents, that each facility acquires the annual letter of approval from the local fire official and/or documents their attempts to get it. For Finding 7. The department will ensure, through re-training of the maintenance staff, that an inventory of chemicals and a chemical inventory list is maintained at each facility. In addition, the department will ensure, through re-training, that the monthly tool inspection logs are signed by the superintendent or designee. For Finding 8. The department will ensure, through re-training of the food services manager and support from other facility's food service managers, that the daily account sheet for all culinary equipment is completed. For Finding 9. The department is currently formulating plans to address a more expeditious hiring process as well as developing strategies to effectively retain staff that may relieve the number of hold-overs needed.</p>	
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			<p>maintained by the facility was not always reviewed and signed monthly by the superintendent or designee; and inventories for all poisonous, flammable and toxic materials were not always available. Recommendation: We recommend the department ensure superintendents or their designees follow F.O.P. 5.14 and 5.15 regarding tool and chemical inventories. Finding 8. An itemized inventory of all culinary equipment including kitchen knives and other hazardous kitchen sharps were not always maintained. Recommendation: We recommend the department ensure superintendents or their designees follow F.A.C. 63G-2.016 and F.O.P. 5.15 by daily maintaining the appropriate account sheets for kitchen knives and other hazardous kitchen sharps. Finding 9. Facility hold-over schedules were not always followed, resulting in staff working 16 hour days for two or more consecutive work days. Recommendation: We recommend that management conduct a research or study to develop a better strategy for handling hold-over shifts.</p>		
A-1617DJJ-002	FY 2016-17	Audit of Prevention Afterschool Program	<p>Finding 1. Support documentation did not meet contract criteria to justify payment for services delivered (Contract 10244). Recommendation: We recommend that program staff exercise due diligence when reviewing invoices for payment from providers. Finding 2. The Provider is not in compliance with OMB Circular A-133 Audit Requirements (Contract 10265). Recommendation: We recommend that the department follow-up with the provider to ensure completion of the independent audit report.</p>	<p>For Finding 1. The department has reemphasized with all contract managers that complete documentation validating services are received as outlined in the contract must be submitted with invoices. The department will continue to work with providers to ensure they understand the requirements as well. For Finding 2. The contract manager has followed up with the provider regarding the completion and submission of an independent audit as required by OMB Circular A-133 Audit Requirements. Subsequent to this audit, the provider had an audit completed and a copy of the audit has been submitted to the contract manager.</p>	
A-1617DJJ-004	FY 2016-17	Audit of Human Resources Operations	<p>Finding 1. Employment advertisements did not include the statement, “We hire only U.S. citizens and lawfully authorized alien workers.” as required by department policy and procedures. Recommendation: We recommend the department review and update the policies</p>	<p>For Finding 1. The department is currently reviewing FDJJ – 1003P, Recruitment and Selection Procedures and will make any necessary changes. For Finding 2. The department has incorporated the E-VERIFY into the agency’s automated hiring system, the Human Resources</p>	

			<p>related to Human Resources. Finding 2. Employment Eligibility Verification forms were not always completed in a timely manner. Recommendation: We recommend the department ensure BOHR staff comply with FDJJ-1003P and timely submit E-Verification.</p> <p>Finding 3. Recruitment files could not be located for all selected new hires; and the DJJ Interview Rating Form was not included in every recruitment file. Recommendation: We recommend the department ensure BOHR staff comply with FDJJ-1003P. Finding 4. Employees had inappropriate access to People First. Recommendation: We recommend the department implement an annual review of the DJJ Security Role Code Report to ensure assigned security role codes are accurate for each employee. Finding 5. Procedures for employee separations were not always followed. Recommendation: We recommend the department update FDJJ-1003.11 to reflect current BOHR practices. Finding 6. Workers' Compensation Procedures were not always followed. Recommendation: We recommend the department ensure BOHR staff follow the procedures relating to Workers' Compensation claims.</p>	<p>Employment System (HRES). The system requires the user to complete E-VERIFY within three (3) days of each new hire processed by the agency. HRES has E-EVERIFY reporting and HR will monitor actions to ensure compliance. The HRES is scheduled for release during FY 2017-18. For Finding 3. The recruitment process, files and related documents have been incorporated into the department's automated hiring system, the HRES. HR will monitor actions to ensure compliance. For Finding 4. HR will conduct an annual review of the Security Role Code Report to ensure role codes are accurate pursuant to the duties and responsibilities assigned to the position. For Finding 5. The department updated FDJJ – 1003.11, Employee Separation Procedures. The Employee Separation Questionnaire practice was deemed inefficient and was removed. For Finding 6. The department will update FDJJ – 1004.04P, Work-Related Injuries/Workers' Compensation/Alternate Duty Procedures, to allow the First Report of Injury or Illness form received from the employee, supervisor, HR Liaison and or AmeriSys serve as sufficient documentation for the employee's Workers' Compensation file, and forwarding to the senior safety specialist for review. All documentation shall be maintained in the employee's Worker's Compensation file.</p>	
A-1617DJJ-005	FY 2016-17	Audit of the Bureau of Monitoring and Quality Improvement	<p>Finding: Language pertaining to programmatic monitoring should be excluded from contracts that are not required to be programmatic monitored. Recommendation: We recommend the department modify contract language to address contracts not required to be programmatically monitored.</p>	<p>The department stated that management "has taken appropriate steps to ensure corrective actions will be, or have already been, put in place." The department will modify the contract language to address contracts to be programmatically monitored.</p>	

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Juvenile Justice / Detention Centers
 Agency Budget Officer/OPB Analyst Name: Monti Brown / Chris Stranburg

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
Action	80400100				

1. GENERAL

1.1 Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)	Y				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA)	Y				

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 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. **A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.**

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y				

3. EXHIBIT B (EXBR, EXB)

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

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					

		Program or Service (Budget Entity Codes)				
Action		80400100				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				
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 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	N/A				

		Program or Service (Budget Entity Codes)				
Action		80400100				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	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				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	Y				
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	N/A				
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y				
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A				
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A				
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A				
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y				

		Program or Service (Budget Entity Codes)				
Action		80400100				
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 67 through 72 of the IRR 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 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	N/A				
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	N/A				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	N/A				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	N/A				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A				
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A				
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	N/A				
8.10	Are the statutory authority references correct?	N/A				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A				

		Program or Service (Budget Entity Codes)				
Action		80400100				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	N/A				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A				
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?	N/A				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	N/A				
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	N/A				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A				
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.)	N/A				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A				
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	N/A				
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A				
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?	N/A				
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A				
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	N/A				
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A				
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A				
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	N/A				
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	N/A				
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	N/A				
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	N/A				
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.					

		Program or Service (Budget Entity Codes)				
Action		80400100				
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.)	Y				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	N/A				
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR					
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y				
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A				
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A				
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A				
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A				
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A				
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	N/A				

		Program or Service (Budget Entity Codes)				
Action		80400100				
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")	N/A				
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")	N/A				
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 <u>Schedule XI submitted again</u> .)	N/A				
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y				
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y				
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	N/A				
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	N/A				
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y				
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				
18.5	Are the appropriate counties identified in the narrative?	Y				
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y				
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
19. FLORIDA FISCAL PORTAL						
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Juvenile Justice / Community Supervisor
 Agency Budget Officer/OPB Analyst Name: Monti Brown / Chris Stranburg

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
	80700700				

1. GENERAL

1.1 Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)	Y				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA)	Y				
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 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. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y				

3. EXHIBIT B (EXBR, EXB)

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

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					

		Program or Service (Budget Entity Codes)			
Action		80700700			
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.				
4. EXHIBIT D (EADR, EXD)					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y			
4.2	Is the program component code and title used correct?	Y			
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				
5. EXHIBIT D-1 (ED1R, EXD1)					
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y			
AUDITS:					
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y			
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y			
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y			
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 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.				
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.				
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)					
6.1	Are issues appropriately aligned with appropriation categories?	Y			
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y			
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	N/A			

		Program or Service (Budget Entity Codes)			
Action		80700700			
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	Y			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	Y			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Y			
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y			
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	Y			
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480, or 55C01C0)?	N/A			
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A			
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y			
AUDIT:					
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y			
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A			
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A			
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A			

		Program or Service (Budget Entity Codes)			
Action		80700700			
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 67 through 72 of the I BR 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.				
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8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	N/A			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	N/A			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	N/A			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A			
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	N/A			
8.10	Are the statutory authority references correct?	N/A			
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A			

Action		Program or Service (Budget Entity Codes)			
		80700700			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	N/A			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A			
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?	N/A			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	N/A			
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	N/A			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A			
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.)	N/A			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A			
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	N/A			
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A			
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?	N/A			
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A			
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	N/A			
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A			
AUDITS:					
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A			
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	N/A			
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	N/A			
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	N/A			
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	N/A			
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.				

		Program or Service (Budget Entity Codes)			
Action		80700700			
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.)	Y			
10. SCHEDULE III (PSCR, SC3)					
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y			
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	N/A			
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	N/A			
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	NOT REQUIRED FOR THIS YEAR				
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)					
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y			
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)					
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A			
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A			
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A			
AUDIT:					
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A			
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)					
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	N/A			

		Program or Service (Budget Entity Codes)			
Action		80700700			
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")	N/A			
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")	N/A			
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 <u>Schedule VI submitted</u> .)	N/A			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	N/A			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	N/A			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	N/A			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)					
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A			
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A			
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A			
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A			
18.5	Are the appropriate counties identified in the narrative?	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			
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 <u>utilize a CIP-B form as justification</u> .				
19. FLORIDA FISCAL PORTAL					
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Juvenile Justice / Community Interventions and Services
Agency Budget Officer/OPB Analyst Name: Monti Brown / Chris Stranburg

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
80700800					

1. GENERAL

1.1 Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)	Y				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA)	Y				

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 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. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.					
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2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y				

3. EXHIBIT B (EXBR, EXB)

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

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					

		Program or Service (Budget Entity Codes)			
Action		80700800			
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.				
4. EXHIBIT D (EADR, EXD)					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y			
4.2	Is the program component code and title used correct?	Y			
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				
5. EXHIBIT D-1 (ED1R, EXD1)					
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y			
AUDITS:					
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y			
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y			
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y			
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 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.				
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.				
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)					
6.1	Are issues appropriately aligned with appropriation categories?	Y			
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y			
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	N/A			

		Program or Service (Budget Entity Codes)			
Action		80700800			
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	Y			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	Y			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Y			
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y			
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	Y			
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480, or 55C01C0)?	N/A			
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A			
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y			
AUDIT:					
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y			
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A			
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y			
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y			

		Program or Service (Budget Entity Codes)			
Action		80700800			
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 67 through 72 of the I BR 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 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto				
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	N/A			
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	N/A			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	N/A			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	N/A			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A			
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	N/A			
8.10	Are the statutory authority references correct?	N/A			
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A			

		Program or Service (Budget Entity Codes)			
Action		80700800			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	N/A			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A			
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?	N/A			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	N/A			
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	N/A			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A			
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.)	N/A			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A			
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	N/A			
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A			
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?	N/A			
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A			
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	N/A			
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A			
AUDITS:					
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A			
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	N/A			
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	N/A			
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	N/A			
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	N/A			
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.				

		Program or Service (Budget Entity Codes)			
Action		80700800			
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.)	Y			
10. SCHEDULE III (PSCR, SC3)					
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y			
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	N/A			
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	N/A			
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	NOT REQUIRED FOR THIS YEAR				
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)					
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y			
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)					
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A			
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A			
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A			
AUDIT:					
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A			
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)					
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	N/A			

		Program or Service (Budget Entity Codes)			
Action		80700800			
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")	N/A			
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")	N/A			
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 VI submitted.)	N/A			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	N/A			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	N/A			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)					
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y			
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y			
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y			
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y			
18.5	Are the appropriate counties identified in the narrative?	Y			
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y			
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.				
19. FLORIDA FISCAL PORTAL					
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Juvenile Justice / Executive Direction/Support Services
 Agency Budget Officer/OPB Analyst Name: Monti Brown / Chris Stranburg

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
Action	80750100				

1. GENERAL

1.1 Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)	Y				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA)	Y				
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 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. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
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	Program or Service (Budget Entity Codes)			
Action	80750100			

AUDITS:

3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
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. <u>Records selected should net to zero.</u>					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					

4. EXHIBIT D (EADR, EXD)

4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					

5. EXHIBIT D-1 (ED1R, EXD1)

5.1	Are all object of expenditures positive amounts? (This is a manual check.)					
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AUDITS:

5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				
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 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					

		Program or Service (Budget Entity Codes)			
Action		80750100			
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.				
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)					
6.1	Are issues appropriately aligned with appropriation categories?	Y			
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y			
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	N/A			
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	N/A			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	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			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Y			
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y			

		Program or Service (Budget Entity Codes)			
Action		80750100			
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	N/A			
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160F470, 160F480, or 55C01C0)?	N/A			
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A			
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y			
AUDIT:					
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A			
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A			
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y			
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.				
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 67 through 72 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 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	N/A			
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	N/A			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	N/A			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A			

		Program or Service (Budget Entity Codes)				
Action		80750100				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	N/A				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A				
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A				
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	N/A				
8.10	Are the statutory authority references correct?	N/A				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	N/A				

		Program or Service (Budget Entity Codes)			
Action		80750100			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A			
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?	N/A			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	N/A			
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	N/A			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A			
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.)	N/A			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A			
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	N/A			
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A			
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?	N/A			
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A			
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	N/A			
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A			
AUDITS:					
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A			
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	N/A			
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	N/A			
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	N/A			
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	N/A			
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!				

		Program or Service (Budget Entity Codes)				
Action		80750100				
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.)	N/A				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	N/A				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	N/A				
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR					
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y				
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A				
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A				
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A				

		Program or Service (Budget Entity Codes)			
Action		80750100			
AUDIT:					
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A			
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)					
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	N/A			
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")	N/A			
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")	N/A			
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.)	N/A			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	N/A			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	N/A			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	N/A			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)					
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A			
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A			
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A			
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A			

		Program or Service (Budget Entity Codes)			
Action		80750100			
18.5	Are the appropriate counties identified in the narrative?	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			
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification				
19. FLORIDA FISCAL PORTAL					
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Juvenile Justice / Information Technology
 Agency Budget Officer/OPB Analyst Name: Monti Brown / Chris Stranburg

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
Action	80750200				

1. GENERAL

1.1 Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)	Y				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA)	Y				
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 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. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
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	Program or Service (Budget Entity Codes)			
Action	80750200			

AUDITS:

3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
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. <u>Records selected should net to zero.</u>					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					

4. EXHIBIT D (EADR, EXD)

4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					

5. EXHIBIT D-1 (ED1R, EXD1)

5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
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AUDITS:

5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				
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 <u>adjustment made to the object data.</u>					
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		80750200				
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 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	Y				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD/A/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	N/A				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	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				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				

		Program or Service (Budget Entity Codes)			
Action		80750200			
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	N/A			
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480, or 55C01C0)?	Y			
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A			
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y			
AUDIT:					
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A			
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A			
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A			
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A			
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 67 through 72 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 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	N/A			
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	N/A			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	N/A			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A			

		Program or Service (Budget Entity Codes)			
Action		80750200			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	N/A			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A			
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	N/A			
8.10	Are the statutory authority references correct?	N/A			
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	N/A			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A			
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?	N/A			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	N/A			
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	N/A			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A			
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.)	N/A			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A			
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	N/A			
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A			

		Program or Service (Budget Entity Codes)			
Action		80750200			
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?	N/A			
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A			
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	N/A			
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A			
AUDITS:					
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A			
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	N/A			
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	N/A			
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	N/A			
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	N/A			
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.)	N/A			
10. SCHEDULE III (PSCR, SC3)					
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	N/A			
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	Y			
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.				
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIIIA-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	N/A			
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	NOT REQUIRED FOR THIS YEAR				

		Program or Service (Budget Entity Codes)			
Action		80750200			
14. SCHEDULE VIII B-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)					
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	N/A			
15. SCHEDULE VIII C (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)					
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A			
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A			
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A			
AUDIT:					
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A			
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)					
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	N/A			
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")	N/A			
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")	N/A			
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.)	N/A			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
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17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	N/A			

		Program or Service (Budget Entity Codes)			
Action		80750200			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	Y			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	N/A			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) 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.				
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18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A			
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A			
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A			
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A			
18.5	Are the appropriate counties identified in the narrative?	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			
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.				
19. FLORIDA FISCAL PORTAL					
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Juvenile Justice / Non-Secure Residential Commitment
Agency Budget Officer/OPB Analyst Name: Monti Brown / Chris Stranburg

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
80800100					

1. GENERAL

1.1	Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)	Y				
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y				

AUDITS:

1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4	Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA)	Y				

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 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. **A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.**

2. EXHIBIT A (EADR, EXA)

2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y				

3. EXHIBIT B (EXBR, EXB)

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

3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					

		Program or Service (Budget Entity Codes)				
Action		80800100				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				
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 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	N/A				

Action		Program or Service (Budget Entity Codes)				
		80800100				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	N/A				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	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				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	N/A				
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	N/A				
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y				
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A				
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A				
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A				

Action		Program or Service (Budget Entity Codes)				
		80800100				
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y				
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 67 through 72 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 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	N/A				
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	N/A				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	N/A				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	N/A				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A				
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A				
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	N/A				
8.10	Are the statutory authority references correct?	N/A				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A				

		Program or Service (Budget Entity Codes)				
Action		80800100				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	N/A				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A				
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?	N/A				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	N/A				
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	N/A				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A				
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.)	N/A				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A				
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	N/A				
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A				
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?	N/A				
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A				
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	N/A				
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A				
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A				
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	N/A				
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	N/A				
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	N/A				
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	N/A				
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!					

		Program or Service (Budget Entity Codes)				
Action		80800100				
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.)	N/A				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	N/A				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	N/A				
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR					
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y				
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A				
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A				
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A				
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A				
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)						

		Program or Service (Budget Entity Codes)			
Action		80800100			
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	N/A			
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")	N/A			
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")	N/A			
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.)	N/A			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	N/A			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	N/A			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)					
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y			
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y			
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y			
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y			
18.5	Are the appropriate counties identified in the narrative?	Y			
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y			

		Program or Service (Budget Entity Codes)			
Action		80800100			
<p>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.</p>					
19. FLORIDA FISCAL PORTAL					
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Juvenile Justice / Secure Residential Commitment
Agency Budget Officer/OPB Analyst Name: Monti Brown / Chris Stranburg

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
80800200					

1. GENERAL

1.1	Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)	Y				
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y				

AUDITS:

1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4	Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA)	Y				

TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 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. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.					
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2. EXHIBIT A (EADR, EXA)

2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y				

3. EXHIBIT B (EXBR, EXB)

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

3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					

		Program or Service (Budget Entity Codes)				
Action		80800200				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				
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 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	N/A				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				

		Program or Service (Budget Entity Codes)				
Action		80800200				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	N/A				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	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				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	N/A				
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, 30010C0, 33011C0, 160E470, 160E480, or 55C01C0)?	N/A				
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y				
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A				
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A				
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A				
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y				

		Program or Service (Budget Entity Codes)			
Action		80800200			
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 67 through 72 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 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto				
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	N/A			
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	N/A			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	N/A			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	N/A			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A			
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	N/A			
8.10	Are the statutory authority references correct?	N/A			
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A			

		Program or Service (Budget Entity Codes)				
Action		80800200				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	N/A				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A				
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?	N/A				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	N/A				
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	N/A				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A				
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.)	N/A				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A				
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	N/A				
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A				
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?	N/A				
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A				
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	N/A				
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A				
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A				
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	N/A				
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	N/A				
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	N/A				
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	N/A				
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.					

		Program or Service (Budget Entity Codes)			
Action		80800200			
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.)	N/A			
10. SCHEDULE III (PSCR, SC3)					
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	N/A			
11. SCHEDULE IV (EADR, SC4)					
11.1	Are the correct Information Technology (IT) issue codes used?	N/A			
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	N/A			
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1	NOT REQUIRED FOR THIS YEAR				
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)					
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y			
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)					
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A			
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A			
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A			
AUDIT:					
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A			
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)					
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	N/A			

		Program or Service (Budget Entity Codes)			
Action		80800200			
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")	N/A			
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")	N/A			
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 <u>Schedule XI submitted again</u> .)	N/A			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	N/A			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	N/A			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)					
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y			
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y			
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y			
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y			
18.5	Are the appropriate counties identified in the narrative?	Y			
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y			
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.				
19. FLORIDA FISCAL PORTAL					
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Juvenile Justice / Delinquency Prevention and Diversion
 Agency Budget Officer/OPB Analyst Name: Monti Brown / Chris Stranburg

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
80900100					

1. GENERAL

1.1 Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)	Y				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA)	Y				

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 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. **A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.**

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with Section 3 of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y				

3. EXHIBIT B (EXBR, EXB)

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

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					

		Program or Service (Budget Entity Codes)				
Action		80900100				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y				
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 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	N/A				

Action		Program or Service (Budget Entity Codes)				
		80900100				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	N/A				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	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				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	N/A				
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	N/A				
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y				
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A				
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A				
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y				
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A				

		Program or Service (Budget Entity Codes)				
Action		80900100				
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 67 through 72 of the IRR 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 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	N/A				
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	N/A				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	N/A				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	N/A				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A				
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A				
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	N/A				
8.10	Are the statutory authority references correct?	N/A				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A				

Action		Program or Service (Budget Entity Codes)				
		80900100				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	N/A				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A				
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?	N/A				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	N/A				
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	N/A				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A				
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.)	N/A				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A				
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	N/A				
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A				
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?	N/A				
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A				
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	N/A				
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A				
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A				
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	N/A				
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	N/A				
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	N/A				
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	N/A				
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.					

		Program or Service (Budget Entity Codes)				
Action		80900100				
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 Base Rate Audit on page 158 of the LBR Instructions.)	N/A				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	N/A				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	N/A				
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR					
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y				
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A				
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A				
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A				
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A				
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A				

		Program or Service (Budget Entity Codes)			
Action		80900100			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	N/A			
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")	N/A			
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")	N/A			
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.)	N/A			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)					
17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	N/A			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US ?	N/A			
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	N/A			
AUDITS - GENERAL INFORMATION					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)					
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A			
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A			
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A			
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A			
18.5	Are the appropriate counties identified in the narrative?	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			
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					

	Program or Service (Budget Entity Codes)				
Action	80900100				
19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Juvenile Justice
 Agency Budget Officer/OPB Analyst Name: Monti Brown / Chris Stranburg

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
	Dept				

1. GENERAL

1.1 Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)					
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)					

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)					
1.4 Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA)					
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 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. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.					

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?					
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?					

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.					
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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")					
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")					
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					

Action		Program or Service (Budget Entity Codes)				
		Dept				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?					
4.2	Is the program component code and title used correct?					
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)					
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")					
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)					
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)					
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 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?					
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)					
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)					
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?					

Action		Program or Service (Budget Entity Codes)				
		Dept				
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?					
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)					
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.					
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)					
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?					
7.9	Does the issue narrative reference the specific county(ies) where applicable?					
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 #18-005?					
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)					
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?					
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?					
7.14	Do the amounts reflect appropriate FSI assignments?					
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.					
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)					
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXC) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?					
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?					
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?					
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)					
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)					
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)					
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))					

Action		Program or Service (Budget Entity Codes)				
		Dept				
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 67 through 72 of the IRR 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 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y				
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Y				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A				
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A				
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				

Action		Program or Service (Budget Entity Codes)				
		Dept				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Y				
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/J	The department will update the Schedule I after the certified forward process concludes due to early submission.			
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A				
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y				
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Y				
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					

Action		Program or Service (Budget Entity Codes)				
		Dept				
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.)					
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)					
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.					
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?					
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y				
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR					
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y				
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?					
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?					
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?					
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)					
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				

Action		Program or Service (Budget Entity Codes)				
		Dept				
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y				
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")	Y				
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.)	Y				
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y				
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y				
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	Y				
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	N/A				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?					
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?					
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?					
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?					
18.5	Are the appropriate counties identified in the narrative?					
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?					
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						

	Program or Service (Budget Entity Codes)				
Action	Dept				
19.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?					