



4050 Esplanade Way  
Tallahassee, FL 32399-0950  
850-488-2786

**Ron DeSantis, Governor**  
Jonathan R. Satter, Secretary

## LEGISLATIVE BUDGET REQUEST

Department of Management Services  
Tallahassee, Florida

September 16, 2019

Chris Spencer, Policy Director  
Office of Policy and Budget  
Executive Office of the Governor  
1701 Capitol  
Tallahassee, Florida 32399-0001

Eric Pridgeon, Staff Director  
House Appropriations Committee  
221 Capitol  
Tallahassee, Florida 32399-1300

Cindy Kynoch, Staff Director  
Senate Committee on Appropriations  
201 Capitol  
Tallahassee, Florida 32399-1300

Dear Directors,

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Management Services is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2020-21 Fiscal Year. This submission has been approved by Jonathan Satter, Secretary of Department of Management Services.

Sincerely,

Jonathan R. Satter  
Secretary

JS/mbh  
Enclosure

# Temporary Special Duty- General Pay Additives Implementation Plan

Not Applicable

Department Level

Exhibits  
And  
Schedules

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Department of Management Services (DMS)</b>		
<b>Contact Person:</b>	Brad McVay	<b>Phone Number:</b>	850-410-1698
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Northwood Associates, LLC, v. Ken Detzner, et. al.		
<b>Court with Jurisdiction:</b>	First District Court of Appeals		
<b>Case Number:</b>	1D:18-10		
<b>Summary of the Complaint:</b>	<p>Count I – Declaratory Judgment and Injunctive Relief, Impairment of Contract            Count II – Declaratory Judgment and Injunctive Relief, Single Subject            Count III – Breach of Contract (lease no. 720:0139) against all Defendants            Count IV – Breach of Contract (lease no. 720:0098) against DBPR</p> <p>Plaintiffs sought a judgment of the Court declaring proviso(s) in the 2016-17 GAA defunding leases at the Northwood Mall property unconstitutional. Plaintiffs also sought damages for unpaid rent.</p>		
<b>Amount of the Claim:</b>	<p>Unknown as to DMS, which did not occupy Northwood, and is under no obligation to pay rent under the terms of the lease, but is a signatory to Lease no. 720:0139 and may be subject to attorneys' fees;            &gt;\$500,000.00 for Agencies vacating Northwood (DBPR, AST, DCF)</p>		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	2016-17 General Appropriations Act, HB 5001, ch. 2016-66, Laws of Florida		
<b>Status of the Case:</b>	The trial court granted summary judgment on Counts I and II in favor of Defendants. Plaintiff filed voluntary dismissal of breach of contract counts (formally III and IV), and appealed the trial court's judgment on counts I and II to the 1 <sup>st</sup> DCA. Briefs have been filed by all parties and Motion for Oral Argument has been filed.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A
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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Harris Corporation, as successor in interest to Com-Net Ericsson Critical Radio Systems, Inc., vs. State of Florida, Department of Management Services, and the Agency for State Technology as successor of the Office of State Technology	
Court with Jurisdiction:	Second Judicial Circuit in and for Leon County, Florida	
Case Number:	2018 CA 1056	
Summary of the Complaint:	Count I – Declaratory Judgment (Prohibition of State’s Use of Conveyed Towers) Plaintiffs are seeking a judgment in its favor declaring that the State may not use, or authorize any third party to use, the Conveyed Towers in conjunction with any communications system other than the Communication System as defined in the Service Agreement (the EDACS-EA system) until June 30, 2051, or such earlier time as Harris elects to sell the Conveyed Towers to the State, and for such other relief the Court deems just and proper.	
Amount of the Claim:	Unknown at this time	
Specific Statutes or Laws (including GAA) Challenged:	Section 282.709, Florida Statutes; Chapter 86, Florida Statutes;	
Status of the Case:	Plaintiff has filed a Complaint. Co-defendant, Agency for State Technology (AST) filed a Motion to Dismiss Complaint and Strike Portions of the Complaint. DMS filed a Motion to Dismiss. Plaintiff filed a response to AST’s and DMS’s Motion to Dismiss.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input checked="" type="checkbox"/>	Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A
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Names of the Case:(If no case name, list the names of the plaintiff and defendant.)	Tallahassee Corporate Center, LLC. vs. Department of Management Services	
Court with Jurisdiction:	Second Judicial Circuit in and for Leon County, Florida	
Case Number:	2018 CA 1006	
Summary of the Complaint:	<p>Count I –Brought under F.S. §120.69 to enforce Agency action.  Count II – Common law taxpayer action to declare DMS turnkey lease approvals invalid.  Count III – Declaratory relief.  Count IV – Enforce the open meetings and Sunshine Laws  Count V – Enforce right under the Public Records Law  Count VI - Declaratory relief.</p> <p>Plaintiff is seeking an the court to declare DMS owes rent for the dark space during the lease term and determine the amount due and owing at lease end, and provide such further relief as may be just, equitable, or proper.</p>	
Amount of the Claim:	Unknown at this time.	
Specific Statutes or Laws (including GAA) Challenged:	F.S. § 120.69; F.S. § 120.52(2); F.S. § 255.25; Rule 60H-1.017; F.S. § 26.012, 86.011, and 120.73; F.S. § 255.249; F.S. § 286.011; F.S. § 286.0113; F.S. § 119.021; F.S. § 119.07; F.S. § 119.12	
Status of the Case:	<p>Plaintiff has filed a Complaint. Tallahassee Retail Venture, LLC (TRV) filed a Motion to Intervene. DMS filed a Motion to Dismiss. Plaintiff filed a response to AST’s and DMS’s Motion to Dismiss. A hearing was set on July 12, 2018, on DMS’s Motion to Dismiss and TRV’s Motion to Intervene but was later canceled. Plaintiff filed a Response to the Motion to Intervene. Plaintiff’s filed an Amended Complaint. A Stipulation for Entry of Order Granting TRV’s Motion to Intervene was entered. TRV filed a Motion to Dismiss Amended Complaint. DMS filed a Partial Motion to Dismiss the Amended Complaint. A hearing is scheduled for August 22, 2018, on to hear all pending motions.</p>	
Who is representing (of	X	Agency Counsel

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

*Office of Policy and Budget – June 2018*

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Department of Management Services (DMS)</b>		
<b>Contact Person:</b>	Chasity O’Steen/Sean Gellis	<b>Phone Number:</b>	850-922-6617
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Harris Corporation, as successor in interest to Com-Net Ericsson Critical Radio Systems, Inc., vs. State of Florida, Department of Management Services.		
<b>Court with Jurisdiction:</b>	Second Judicial Circuit in and for Leon County, Florida		
<b>Case Number:</b>	2018 CA 1056		
<b>Summary of the Complaint:</b>	<p>Amended Complaint</p> <p>Count I – Declaratory Judgment (Prohibition of State’s Use of Conveyed Towers)  Plaintiff is seeking a judgment in its favor declaring that the State may not use, or authorize any third party to use, the Conveyed Towers in conjunction with any communications system other than the Communication System as defined in the Service Agreement (the EDACS-EA system) until June 30, 2051, or such earlier time as Harris elects to sell the Conveyed Towers to the State, and for such other relief the Court deems just and proper.</p>		
<b>Amount of the Claim:</b>	Currently unknown.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Section 282.709, Florida Statutes; Chapter 86, Florida Statutes;		
<b>Status of the Case:</b>	Plaintiff has filed an Amended Complaint. DMS filed a Motion to Dismiss the Amended Complaint, and Plaintiff has responded. The Motion is now ripe for hearing.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>	N/A		



Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Harris Corporation v. State of Florida, Department of Management Services and Motorola Solutions, Inc.	
Court with Jurisdiction:	First District Court of Appeal	
Case Number:	1D18-4622	
Summary of the Complaint:	<p>This is an appeal of a Final Order entered in favor of the Department of Management Services following a bid protest of an Invitation to Negotiate (ITN) procurement for a ‘Statewide Law Enforcement Radio System’ (SLERS). Appellant Harris Corporation unsuccessfully argued at the Division of Administrative Hearings that the Department’s intended award to Motorola Solutions, Inc., was arbitrary, capricious and irrational because, among other things, it relied on an alternative site plan not contemplated in the ITN.</p> <p>The Administrative Law Judge recommended that the Department enter a Final Order dismissing the protest, which the Department did. This appeal followed.</p>	
Amount of the Claim:	\$	
Specific Statutes or Laws (including GAA) Challenged:		
Status of the Case:	The matter has been fully briefed and oral argument is scheduled for Tuesday September 17, 2019 at 2:00 P.M. at the First District Court of Appeal.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input checked="" type="checkbox"/>	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

Names of the Case:(If no case name, list the names of the plaintiff and defendant.)	State of Florida, on relation of Tallahassee Corporate Center, LLC and DRA CRT Tallahassee Center, LLC; and Tallahassee Corporate Center, LLC, DRA CRT Tallahassee Center, LLC, and Derrick Williams v. State of Florida, Department of Management Services and Tallahassee Retail Venture, LLC	
Court with Jurisdiction:	Second Judicial Circuit in and for Leon County, Florida; and First District Court of Appeal	
Case Number:	2018 CA 1006, 1D19-0598	
Summary of the Complaint:	<p>Count I –Brought under F.S. §120.69 to enforce Agency action.  Count II – Common law taxpayer action to declare DMS turnkey lease approvals invalid.  Count III – Declaratory relief.  Count IV – Enforce the Sunshine Laws  Count V – Enforce right under the Public Records Law  Count VI - Declaratory relief.</p> <p>Plaintiffs are seeking a declaration that the Department could not waive its own turnkey lease rule for agency leases, and that any lease approved in violation of the rule is void. Plaintiffs also ask the Court to declare DMS owes rent for the dark space during the lease term and determine the amount due and owing at lease end, and provide such further relief as may be just, equitable, or proper.</p>	
Amount of the Claim:	Currently unknown.	
Specific Statutes or Laws (including GAA) Challenged:	§ 120.69, Fla. Stat.; § 120.52(2), Fla. Stat.; § 255.25, Fla. Stat.; Rule 60H-1.017, F.A.C.; § 26.012, Fla. Stat.; § 86.011, Fla. Stat.; § 120.73, Fla. Stat.; § 255.249, Fla. Stat.; § 286.011, Fla. Stat.; § 286.0113, Fla. Stat.; § 119.021, Fla. Stat.; § 119.07, Fla. Stat.; and § 119.12, Fla. Stat.	
Status of the Case:	<p>The trial court granted summary judgment as to Counts I, II, and III. The Plaintiffs then voluntarily dismissed Counts IV, V, and VI without prejudice so that the summary judgment order could be immediately appealed.</p> <p>Plaintiffs have filed their initial brief.</p> <p>NOTE: The potential financial liability in this case stemmed from Count VI, relating to the “dark space” lease provisions. Although this count was voluntarily dismissed, if refiled it would potentially implicate requiring appropriations in excess of \$500,000.</p>	
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input checked="" type="checkbox"/>	Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A
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The following case qualifies as one “under which a current state law would not be enforced (Regardless of the fiscal impact).

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Michael Fewless v. State of Florida, Department of Management Services, Division of Retirement
Court with Jurisdiction:	Division of Administrative Hearings / DMS
Case Number:	DOAH Case No. 18-5787
Summary of the Complaint:	<p>Mr. Fewless filed a petition asserting estoppel and challenging the Department’s intended action to void his retirement and require repayment of benefits due to his failure to terminate employment within the meaning of section 121.021(39), Florida Statutes. Essentially, Mr. Fewless violated the reemployment provisions, which say that once a member retires, he or she must not enter into any employment relationship with a Florida Retirement System (FRS) participating employer for 6 calendar months following retirement. Mr. Fewless did not abstain from becoming employed by a FRS participating employer within the 6 calendar months after his retirement, having left the Orange County Sheriff’s Office and immediately taking a position as Chief of Police for the City of Fruitland Park (Fruitland Park).</p> <p>Mr. Fewless alleges that an employee of Fruitland Park and an employee of the Division of Retirement told him he could join Fruitland Park’s local pension plan without jeopardizing his retirement. He alleges that he relied on this representation and therefore did not read the DROP Termination Form he signed when he exited DROP, which contained information indicating Mr. Fewless could not become employed with any FRS participating employer for the prohibited timeframe.</p> <p>The Division did not discover this violation until three years later when an audit revealed that Mr. Fewless had been working for Fruitland Park.</p>
Amount of the Claim:	The Department is seeking to recover \$541,780.03.

Specific Statutes or Laws (including GAA) Challenged:	Petitioner is seeking to estop the Department from enforcing the termination provisions of § 121.091(9), Fla. Stat.; and § 121.091(13), Fla. Stat.	
Status of the Case:	<p>The Administrative Law Judge issued a Recommended Order recommending that the Department be estopped from voiding Mr. Fewless’s retirement because the Department made a material misrepresentation of fact upon which Mr. Fewless reasonably relied.</p> <p>The ALJ also found that Fruitland Park is jointly and severally liable for the termination violation under section 121.091(9)(c)3., Florida Statutes, because it improperly informed Mr. Fewless he could join the local city pension plan. The ALJ also found Mr. Fewless’s version of events more credible than the recollection of the government employee who spoke to Mr. Fewless on the phone when he called.</p> <p>The Department filed exceptions to the Recommended Order on August 2, 2019.</p>	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

# Independent Entities

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Public Employees Relations Commission</b>		
<b>Contact Person:</b>	Blaine Winship	<b>Phone Number:</b>	(850) 414-3657
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	FEA, et al v. Donna Maggert Poole, as Chair of the Florida Public Employees Relations Commission, James Bax, as Commissioner of the Florida Public Employees Relations Commission, and Curt Kiser as Commissioner of the Florida Public Employees Relations Commission.		
<b>Court with Jurisdiction:</b>	Circuit Court of the Second Judicial Circuit		
<b>Case Number:</b>	2018-CA-001446		
<b>Summary of the Complaint:</b>	Complaint for declaratory and injunctive relief. The Plaintiffs are asking the Court to declare unconstitutional and permanently enjoin implementation of certain newly enacted provisions of Florida Law. The Plaintiffs are alleging the Law was enacted in violation of the “single subject” rule, the Law violates equal protection requirements, the Law violates employees’ collective bargaining rights, and the Law abridges non-union members’ right to work.		
<b>Amount of the Claim:</b>	\$0		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Chapter 2018-6, Laws of Florida Chapter 2018-6, section 33		
<b>Status of the Case:</b>	Complaint filed, answer due August 14, 2018.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>			

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>Public Employees Relations Commission</b>		
<b>Contact Person:</b>	Blaine Winship	<b>Phone Number:</b>	(850) 414-3657
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	FEA, et al v. Donna Maggert Poole, as Chair of the Florida Public Employees Relations Commission, James Bax, as Commissioner of the Florida Public Employees Relations Commission, and Curt Kiser as Commissioner of the Florida Public Employees Relations Commission.		
<b>Court with Jurisdiction:</b>	Circuit Court of the Second Judicial Circuit		
<b>Case Number:</b>	2018-CA-001446		
<b>Summary of the Complaint:</b>	Complaint for declaratory and injunctive relief. The Plaintiffs are asking the Court to declare unconstitutional and permanently enjoin implementation of certain newly enacted provisions of Florida Law. The Plaintiffs are alleging the Law was enacted in violation of the “single subject” rule, the Law violates equal protection requirements, the Law violates employees’ collective bargaining rights, and the Law abridges non-union members’ right to work.		
<b>Amount of the Claim:</b>	\$0		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Chapter 2018-6, Laws of Florida Chapter 2018-6, section 33		
<b>Status of the Case:</b>	Complaint filed on July 2, 2018. Answer filed on September 4, 2018. Motion for Summary Judgement filed on March 21, 2019. Motion hearing scheduled for July 30, 2019, before Judge Dempsey.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>			

**DEPARTMENT OF MANAGEMENT SERVICES  
 ORGANIZATION CHARTS (2019-2020 FY LBR Submission/September 2019)  
 TABLE OF CONTENTS**

	<u>Page Number</u>
<b><u>Office of the Secretary/Administration</u></b>	
Department of Management Services – Agency Organizational Chart.....	1-0
Office of the Secretary.....	1-1
General Counsel’s Office, Inspector General’s Office.....	1-2
Division of Finance and Administration.....	1-3
Bureau of Financial Management Services.....	1-3.1
Office of Information Technology.....	1-4
 <b><u>Workforce Operations:</u></b>	
Division of Human Resource Management and People First Team.....	2-1
Division of State Group Insurance.....	2-2
Division of Retirement – Director’s Office.....	2-3
Director’s Office continued.....	2-4
Bureau of Local Retirement Systems.....	2-5
Bureau of Benefits Payments.....	2-6
Bureau of Enrollment and Contributions.....	2-7
Bureau of Retirement Calculations.....	2-8
Contact Center.....	2-9
 <b><u>Business Operations:</u></b>	
Division of State Purchasing.....	3-1
Division of Specialized Services.....	3-2
Division of Telecommunications .....	4-1
Bureau of Engineering.....	4-2
Bureau of Customer Service.....	4-3
Bureau of Public Safety.....	4-4
Bureau of Financial Operations.....	4-5
Division of Real Estate Development and Management – Director’s Office.....	5-1
Bureau of Building Construction and Bureau of Operations & Maintenance.....	5-2
Bureau of Business Support Services.....	5-3
Bureau of Leasing.....	5-4
Bureau of Building Systems.....	5-5
Grounds & Trades Sections.....	5-6
Governor’s Mansion.....	5-7
Bureau of Operations and Maintenance (Tallahassee & Regional Facilities Sections).....	5-8
Capital Circle Office Complex and First DCA.....	5-8.1
Fletcher Larson Collins Pepper Holland Carlton Gray Turlington & FDLE.....	5-8.2
Twin Towers Douglas Carr James Alachua RSC Jacksonville RSC .....	5-8.3
Capitol Building.....	5-8.4
Regional Facilities 1 .....	5-8.5
Regional Facilities 2.....	5-8.6
 <b><u>Independent Entities:</u></b>	
State Employee Leasing (Enterprise Florida).....	6-1
Public Employees Relations Commission (PERC).....	6-2
Florida Commission on Human Relations (FCHR).....	6-3

**\*\*\*Reorganization Budget Amendment EOG Log# O6016, addressing the type 2 transfer of the Agency for State Technology to the Department of Management Services has been submitted and is currently under review.**



**Independent Entities**

Public Employee's Relations Commission

Florida Commission on Human Relations

State Employee Leasing (Enterprise Florida, Inc)

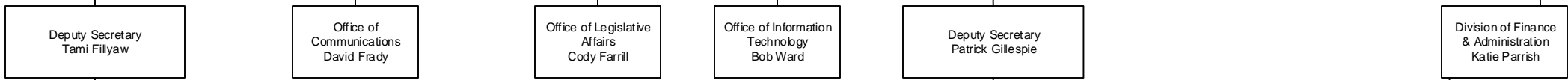
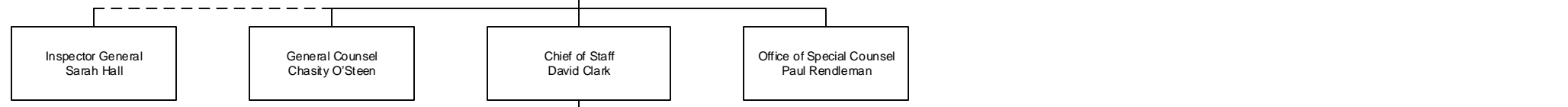
Division of Administrative Hearings

Agency for State Technology (Northwood and Southwood Shared Resource Center)

Ron DeSantis  
Governor  
State of Florida

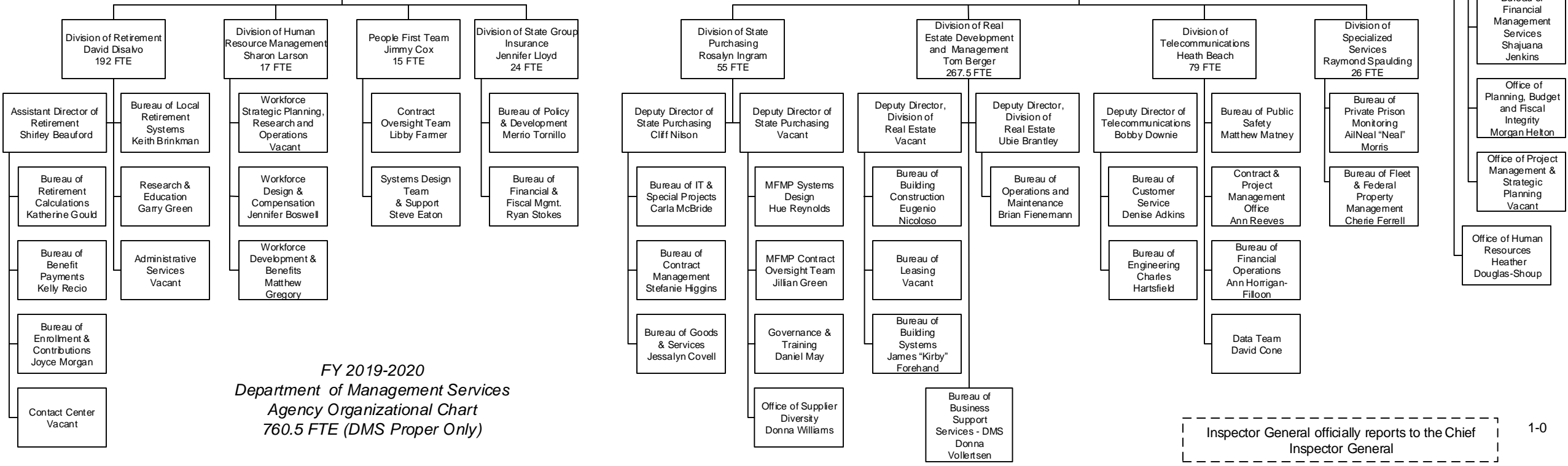
Secretary  
Jonathan Satter

Office of the Secretary and Division of Finance & Administration  
85 FTE



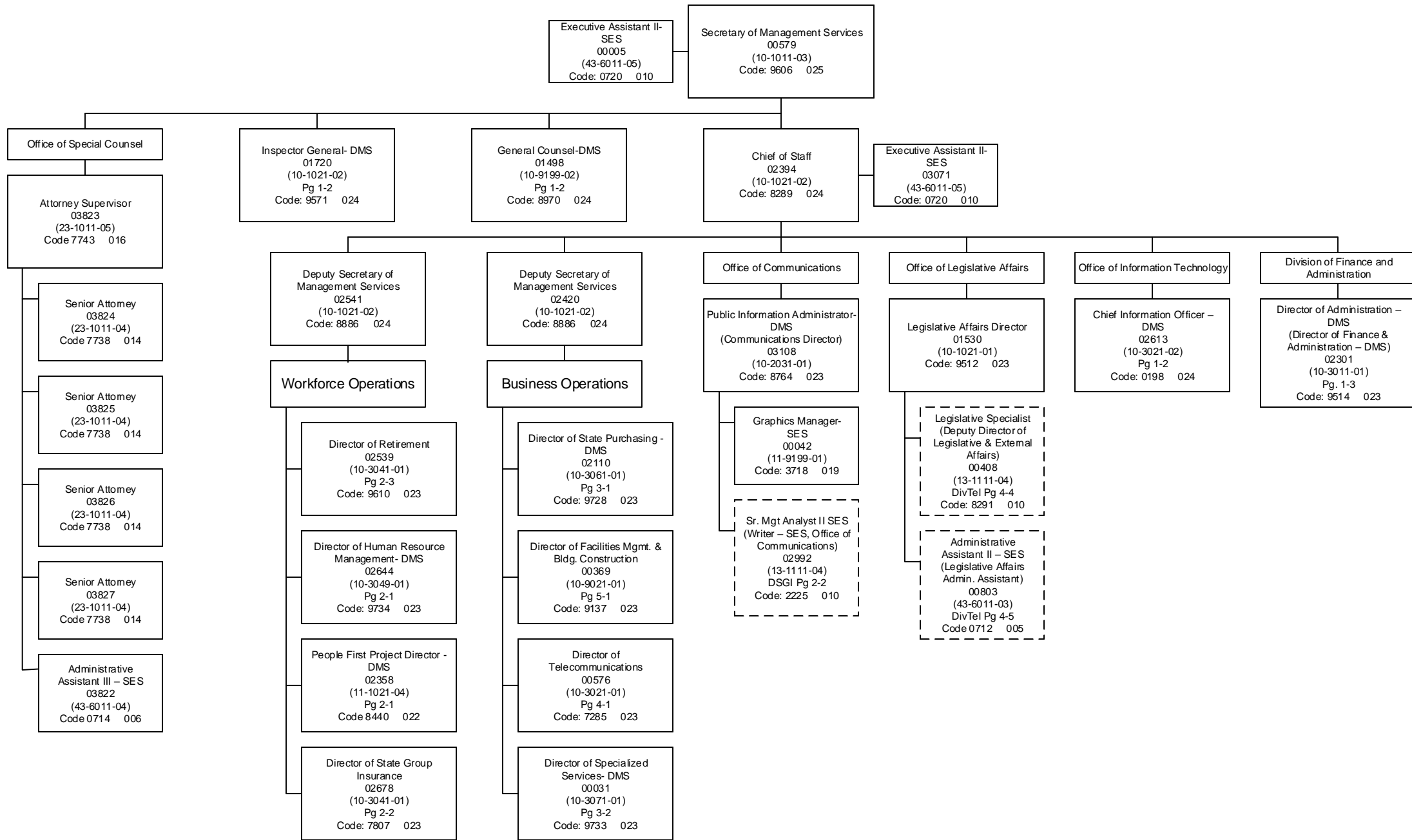
**Workforce Operations**

**Business Operations**



*FY 2019-2020  
Department of Management Services  
Agency Organizational Chart  
760.5 FTE (DMS Proper Only)*

Inspector General officially reports to the Chief Inspector General



Secretary of Management  
 Services  
 00579  
 (10-1011-03)  
 Code: 9606 025

Inspector General - DMS  
 01720  
 (10-1021-02)  
 Code: 9571 024

General Counsel - DMS  
 01498  
 (10-9199-02)  
 Code: 8970 024

Audit Director- SES  
 00931  
 (11-3031-02)  
 Code: 1665 020

Chief, Internal Investigations  
 Officer- DMS  
 (Chief of Investigations)  
 02371  
 (11-9199-02)  
 Code: 7546 020

Senior Attorney  
 01668  
 (23-1011-04)  
 Code: 7738 014

Sr. Mgmt. Analyst II - SES  
 (Audit Team Leader)  
 02637  
 (13-1111-04)  
 Code: 2225 010

Inspector Specialist- SES  
 00735  
 (13-1041-04)  
 Code: 2240 010

Senior Attorney  
 (Deputy General  
 Counsel)  
 03809  
 (23-1011-04)  
 St. Purchasing Pg 3-1  
 Code: 7738 014

Senior Attorney  
 (Deputy General  
 Counsel)  
 03173  
 (23-1011-04)  
 Code: 7738 014

Senior Management  
 Analyst I- SES  
 02377  
 (13-1111-03)  
 Code: 2224 007

Management Review  
 Spec. - SES (Staff Auditor)  
 00009  
 (13-1111-04)  
 Code: 2239 010

Administrative Assistant III  
 01496  
 (43-6011-04)  
 Code: 0714 006

Senior Attorney (2)  
 00025 01901  
 (23-1011-04)  
 Code: 7738 014

Senior Attorney  
 03084  
 (23-1011-04)  
 Code: 7738 014

Admin Asst II- SES (2)  
 01378 & 02405  
 (43-6011-03)  
 Code: 0712 005

Sr. Mgmt. Analyst II- SES  
 (Retirement Compliance  
 Audit Supervisor)  
 02627  
 (13-1111-04)  
 Retirement Pg. 2-4  
 Code: 2225 010

Senior Attorney  
 02590  
 (23-1011-04)  
 Retirement Pg 2-4  
 Code: 7738 014

Senior Attorney  
 00898  
 (23-1011-04)  
 Code: 7738 014

Admin Asst. II- SES  
 01377  
 (43-6011-03)  
 Code: 0712 005

Mgmt. Review Spec. -  
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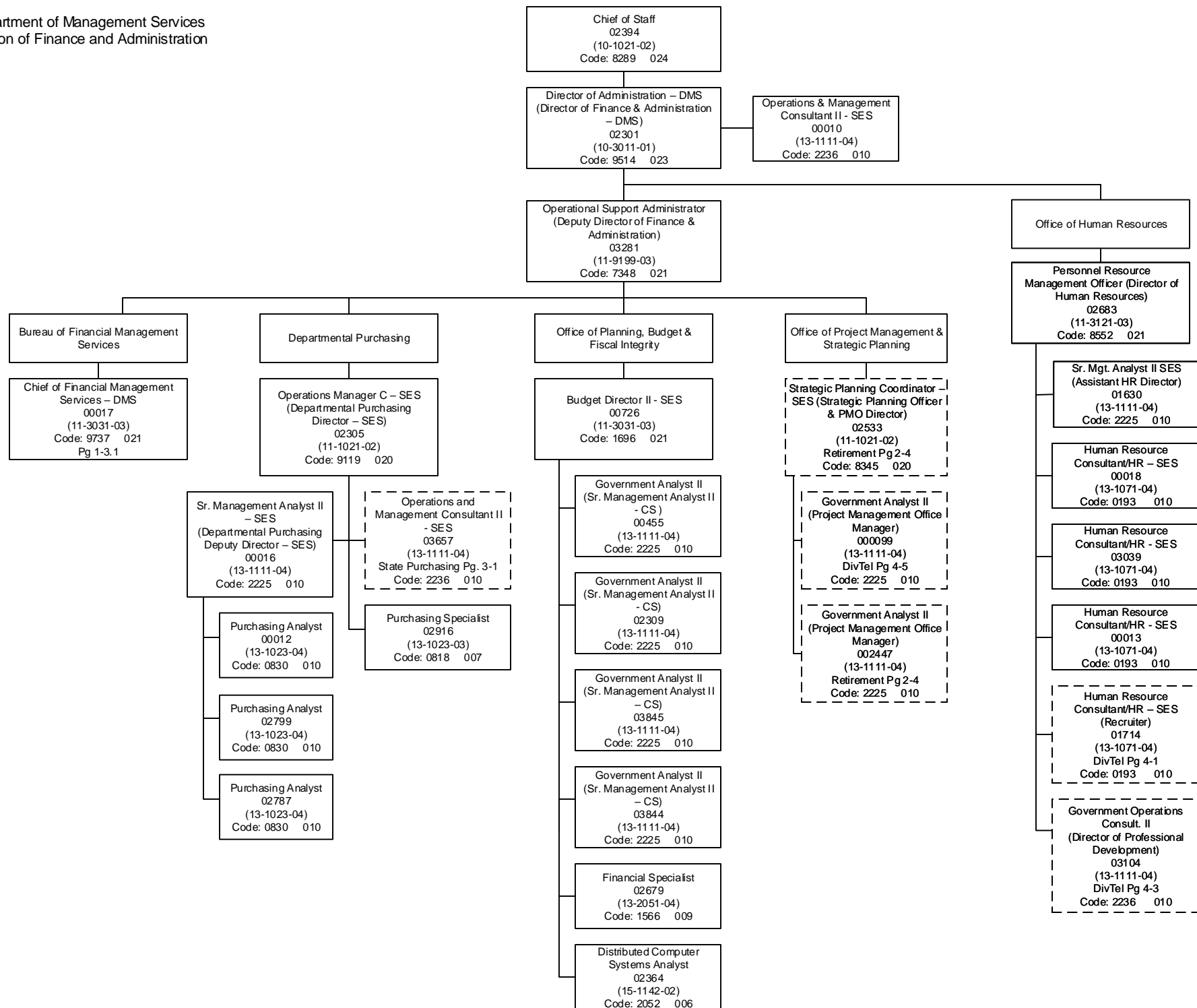
Senior Attorney  
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 (23-1011-04)  
 Code: 7738 014

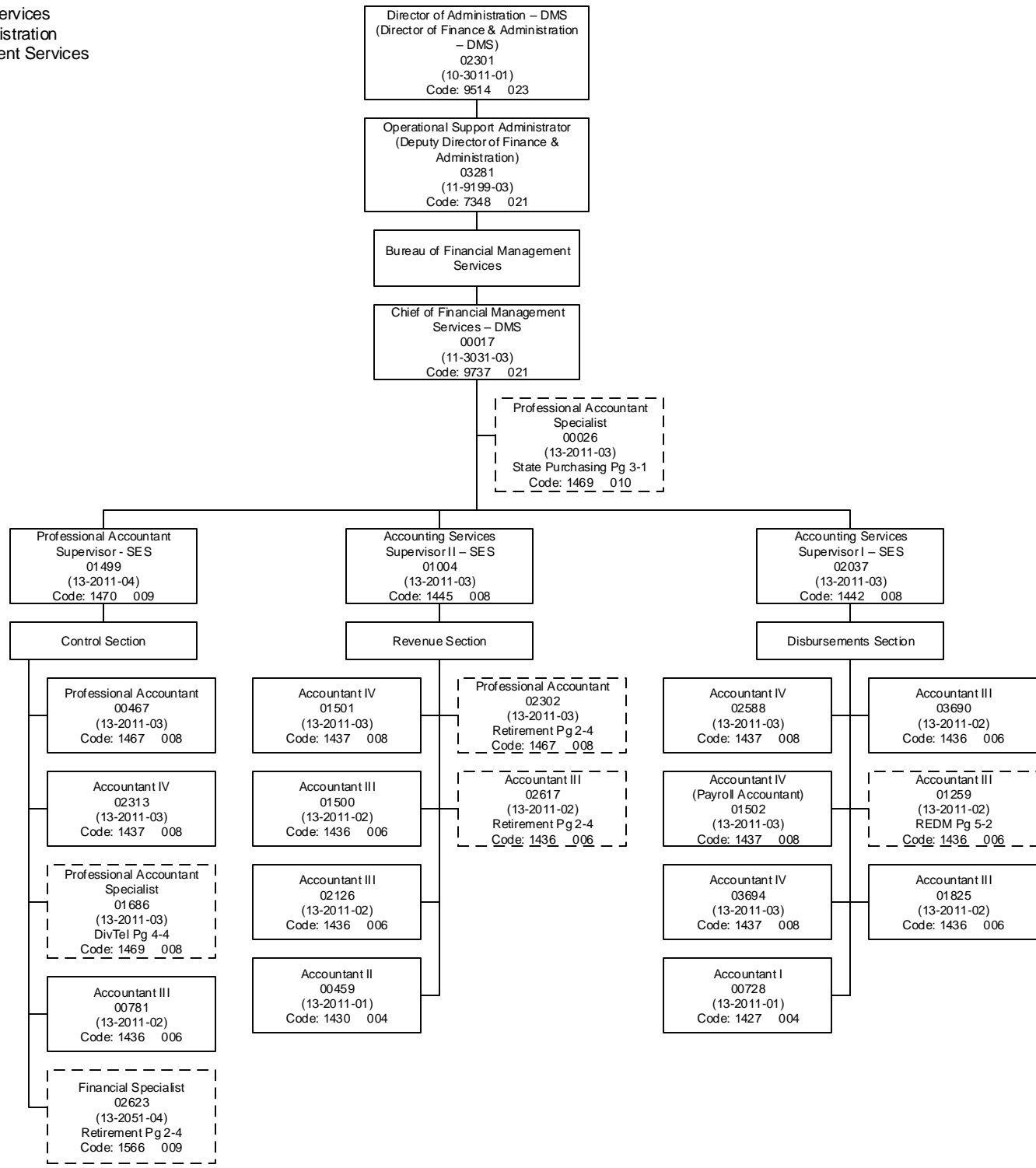
Senior Attorney (3)  
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 02544  
 (23-1011-04)  
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Admin Asst. I- SES  
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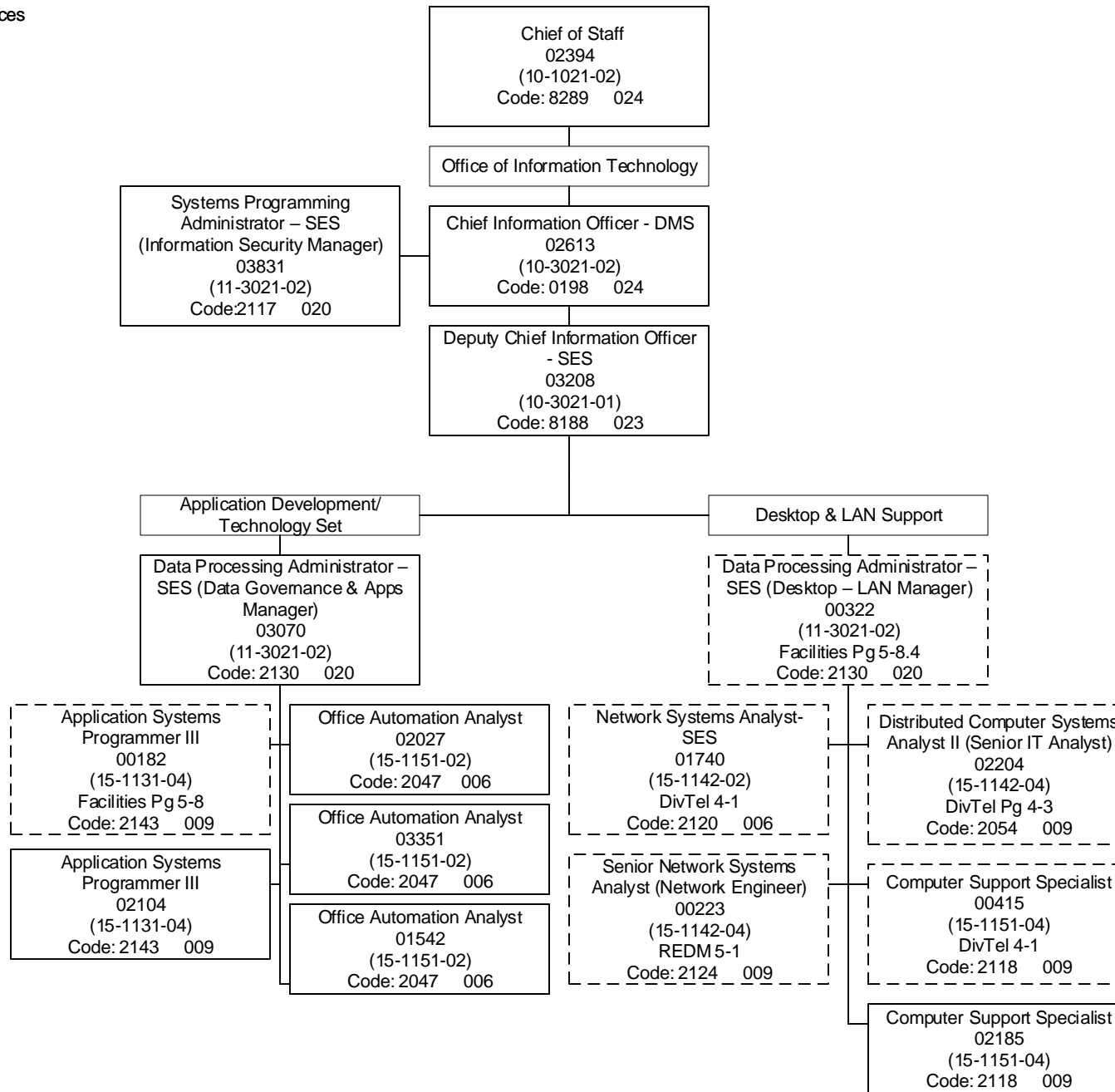
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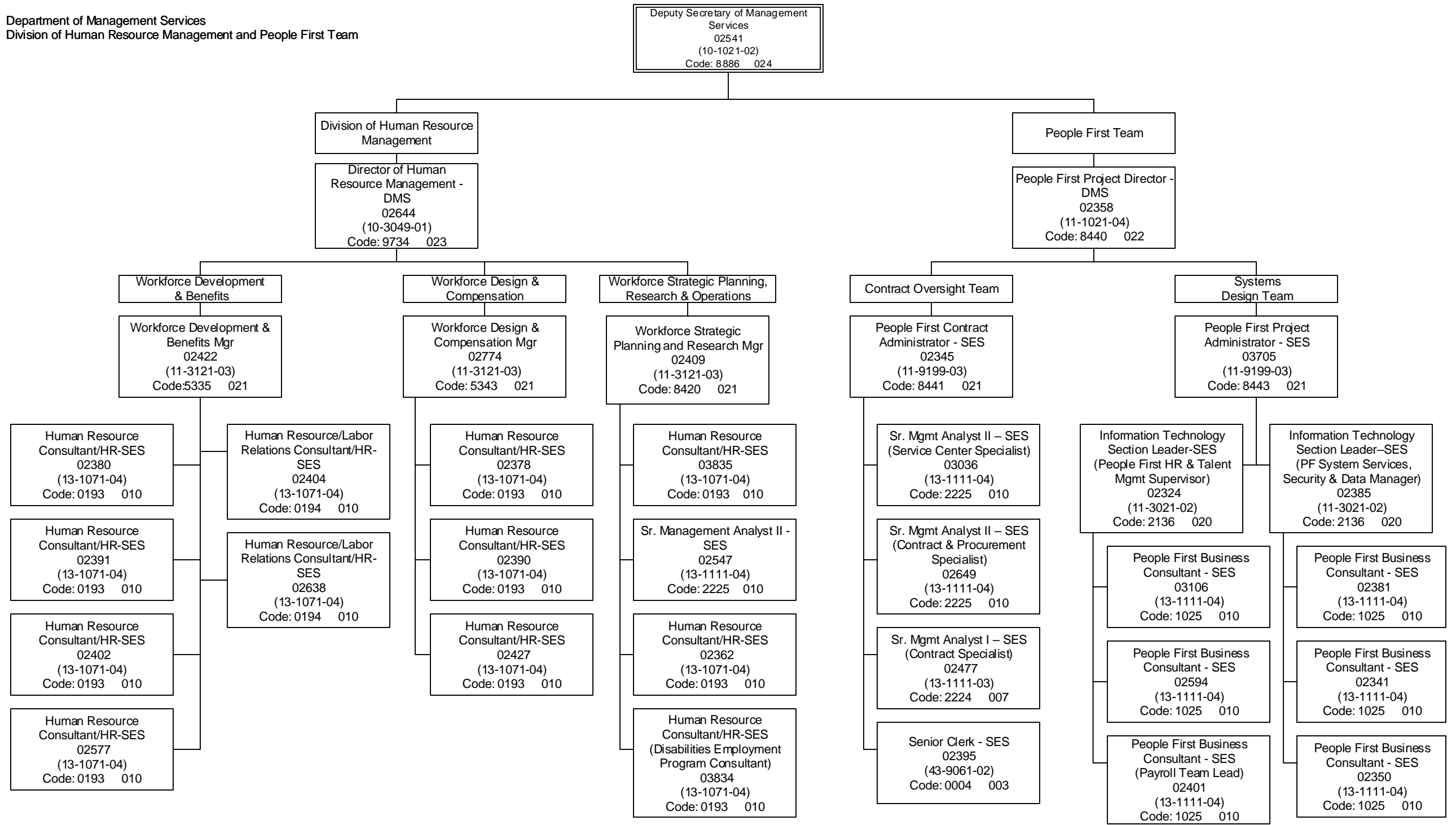
Paralegal Specialist-  
 SES  
 02685  
 (23-2011-01)  
 Retirement Pg 2-4  
 Code: 7703 005

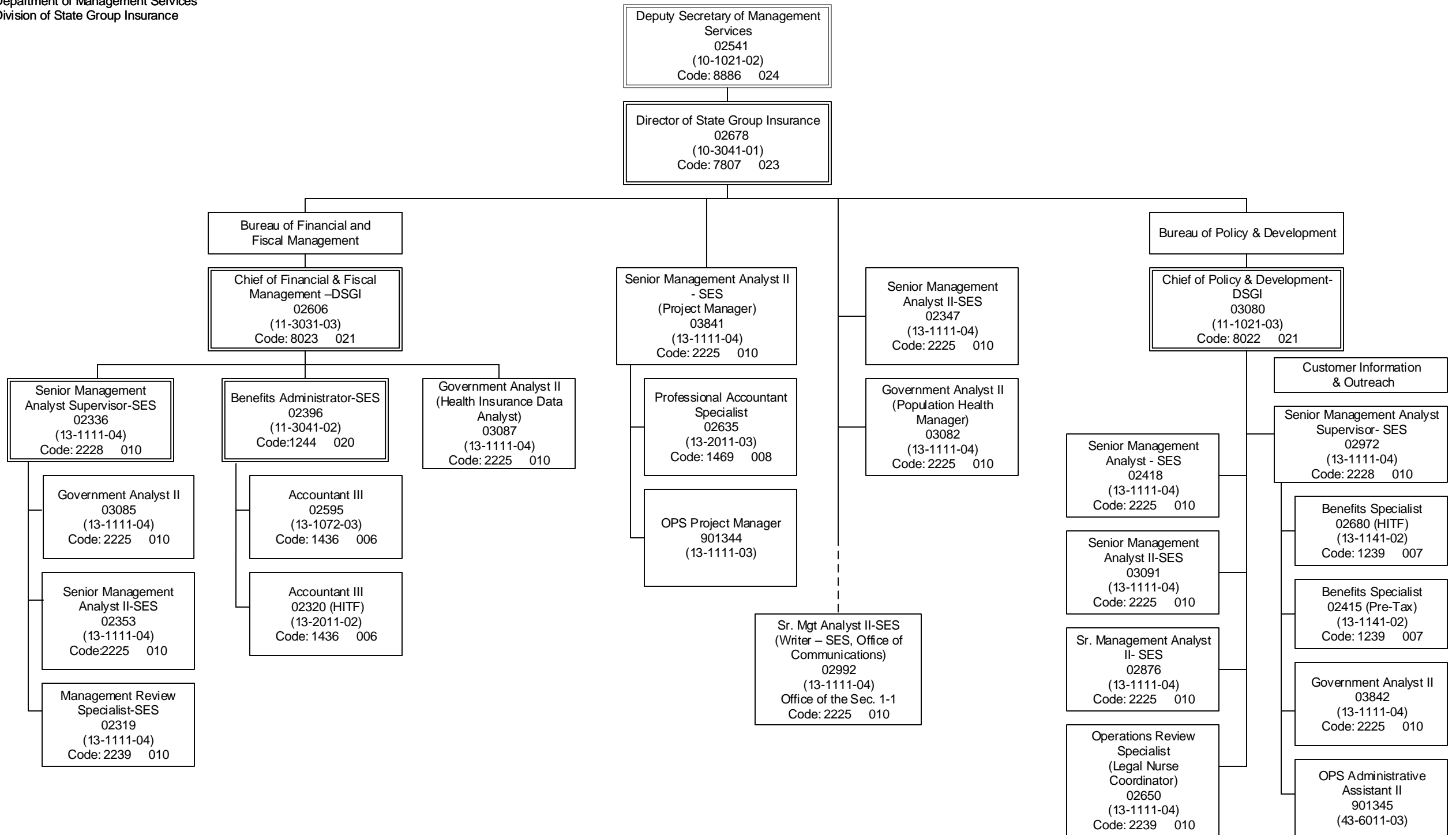




Dotted line boxes denote positions funded from other divisions/programs.





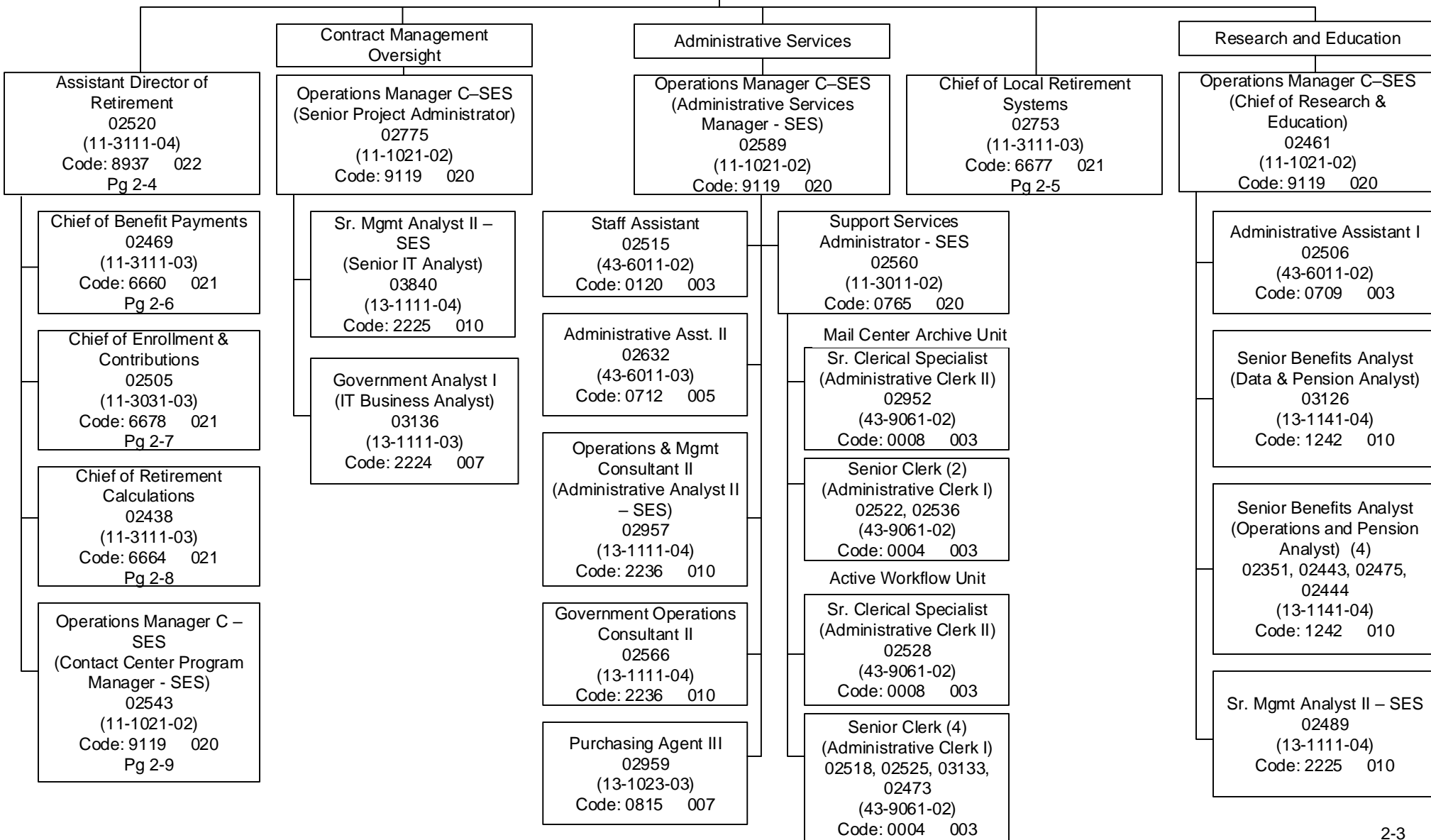




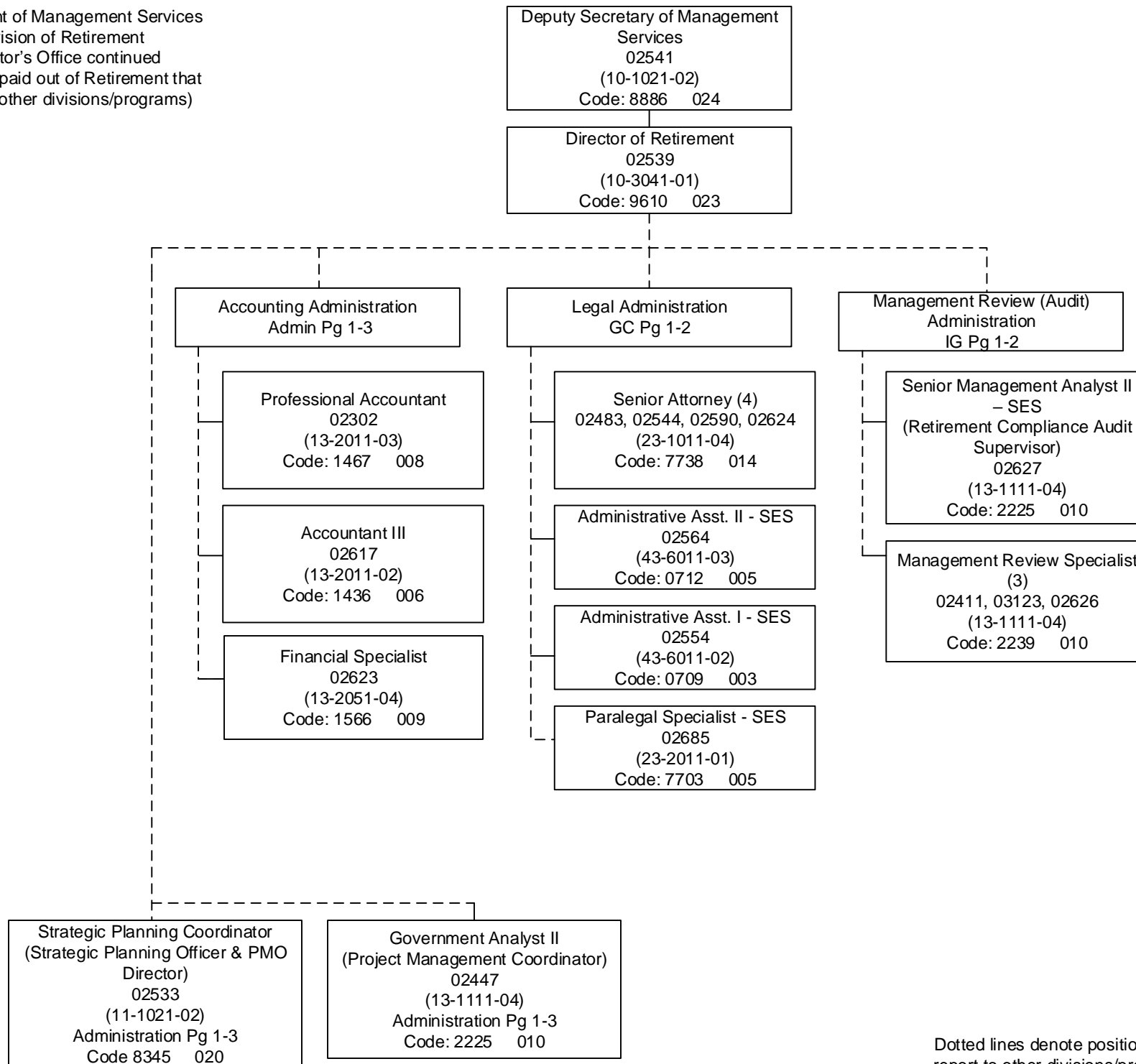
Deputy Secretary of Management Services  
 02541  
 (10-1021-02)  
 Code: 8886 024

Director of Retirement  
 02539  
 (10-3041-01)  
 Code: 9610 023

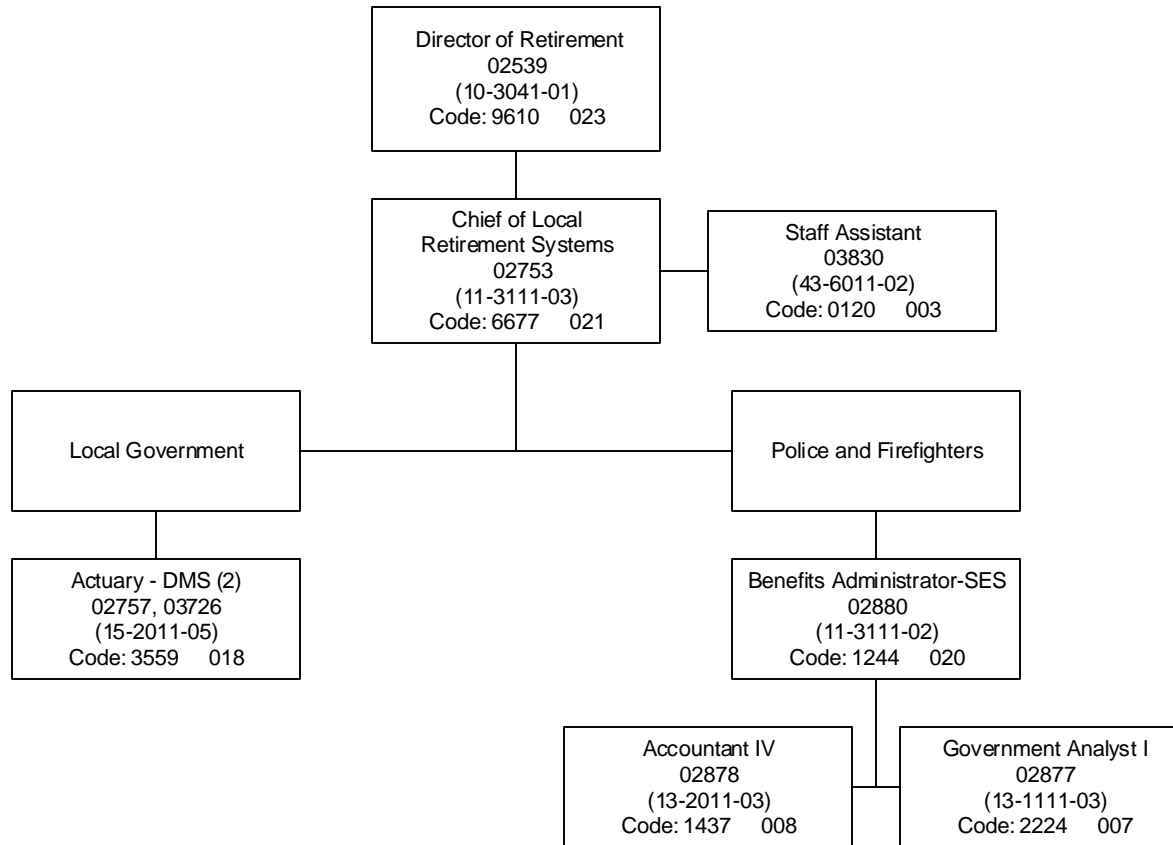
Administrative Asst. II  
 02437  
 (43-6011-03)  
 Code: 0712 005

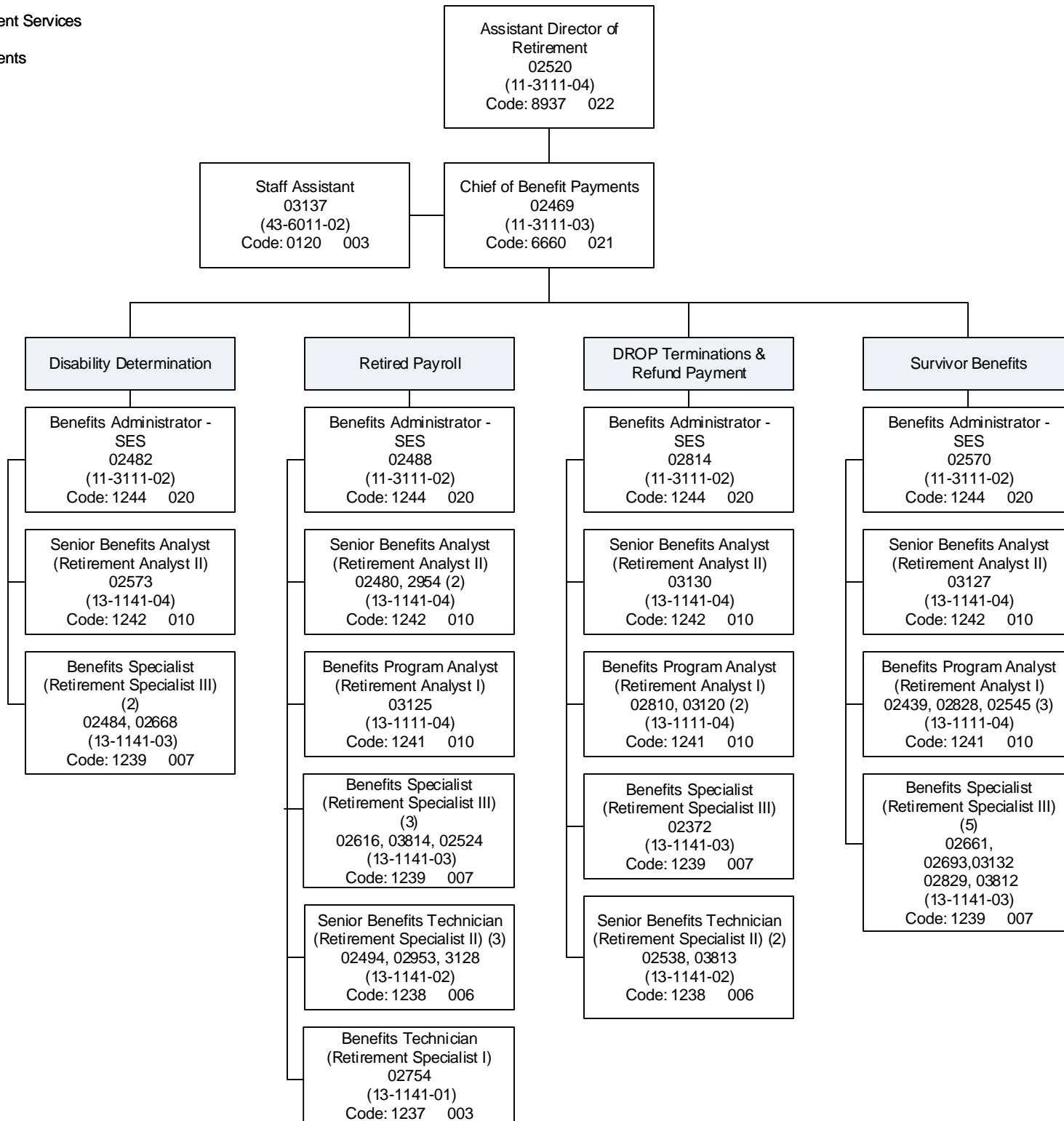


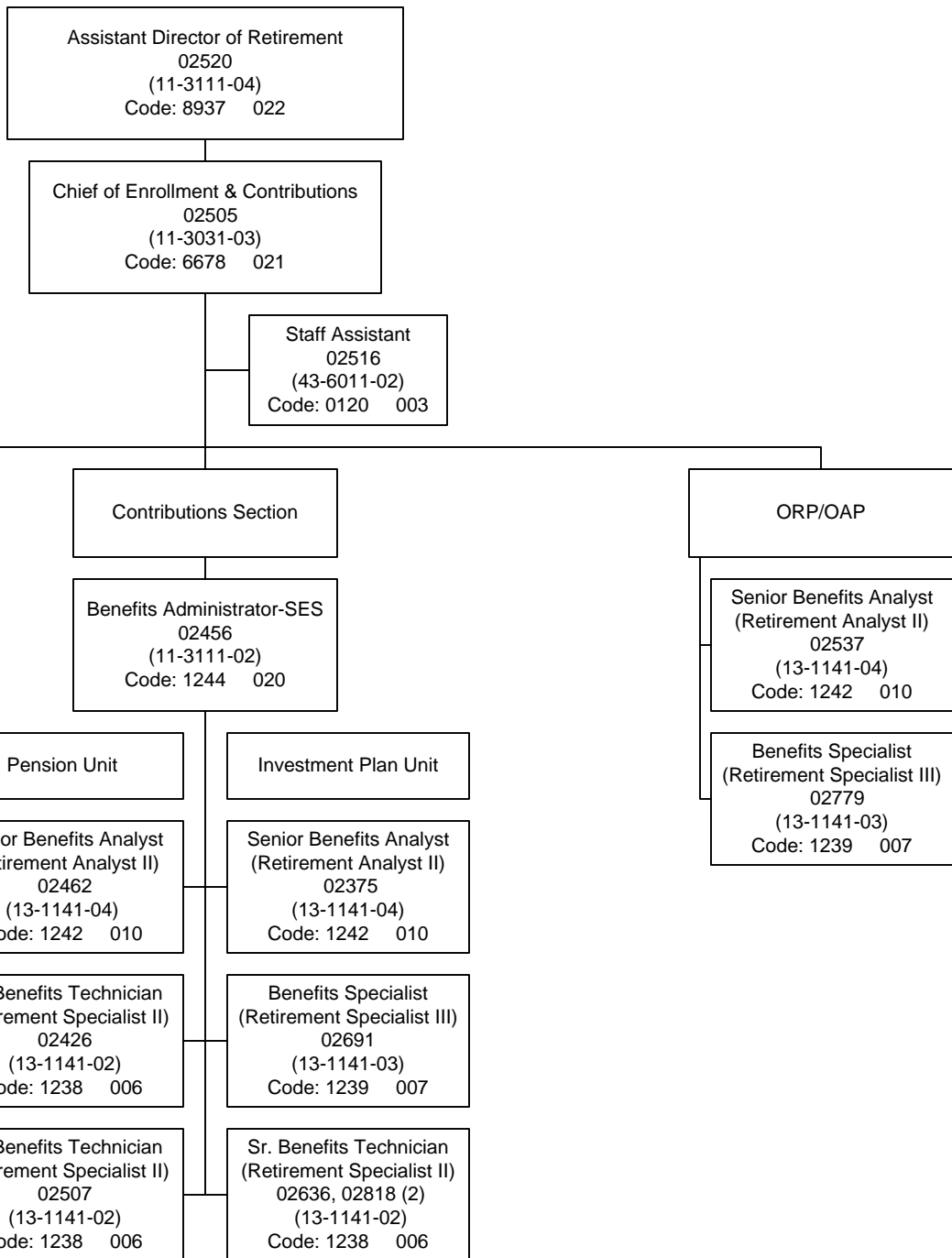
Department of Management Services  
 Division of Retirement  
 Director's Office continued  
 (Positions paid out of Retirement that  
 report to other divisions/programs)

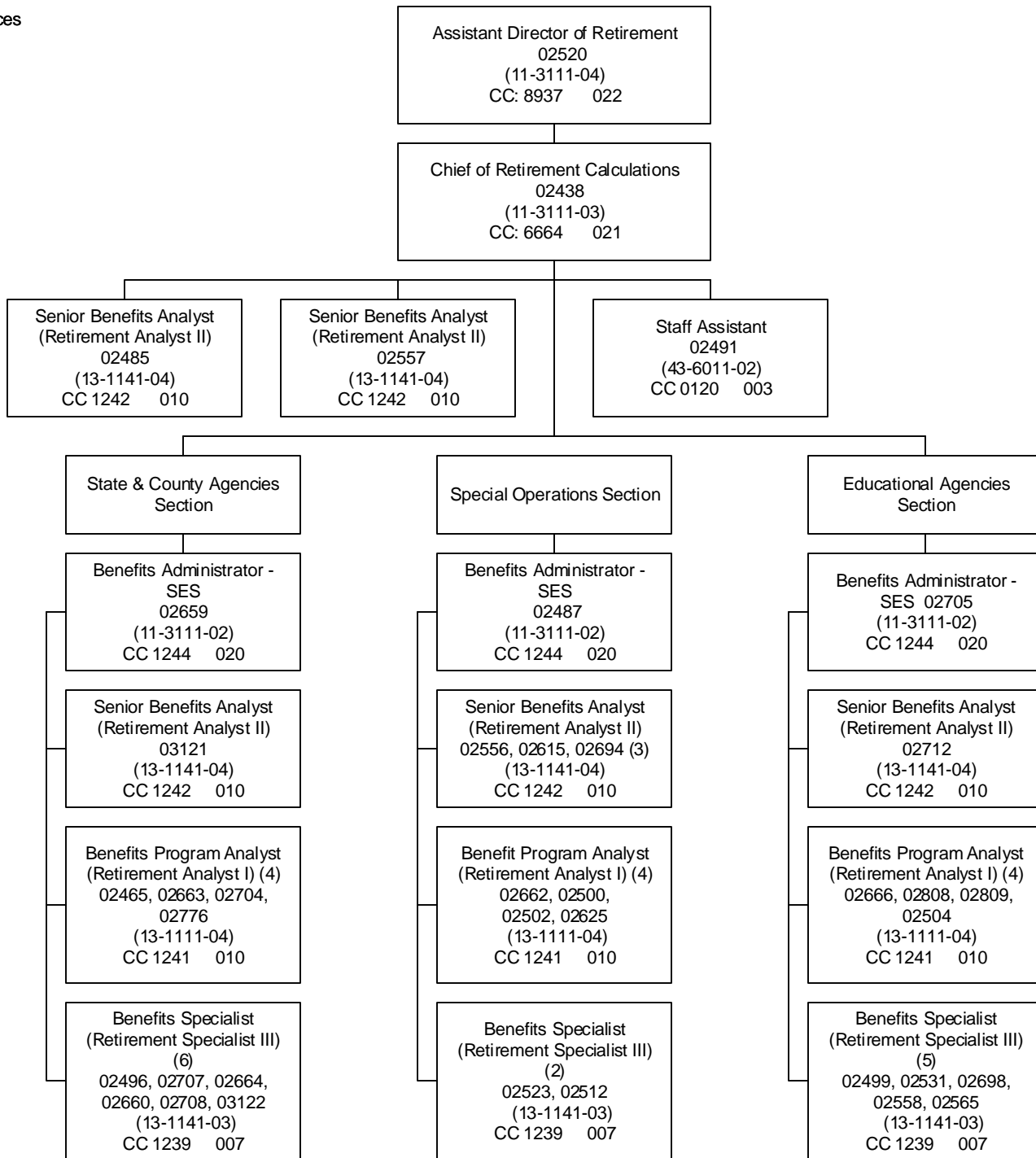


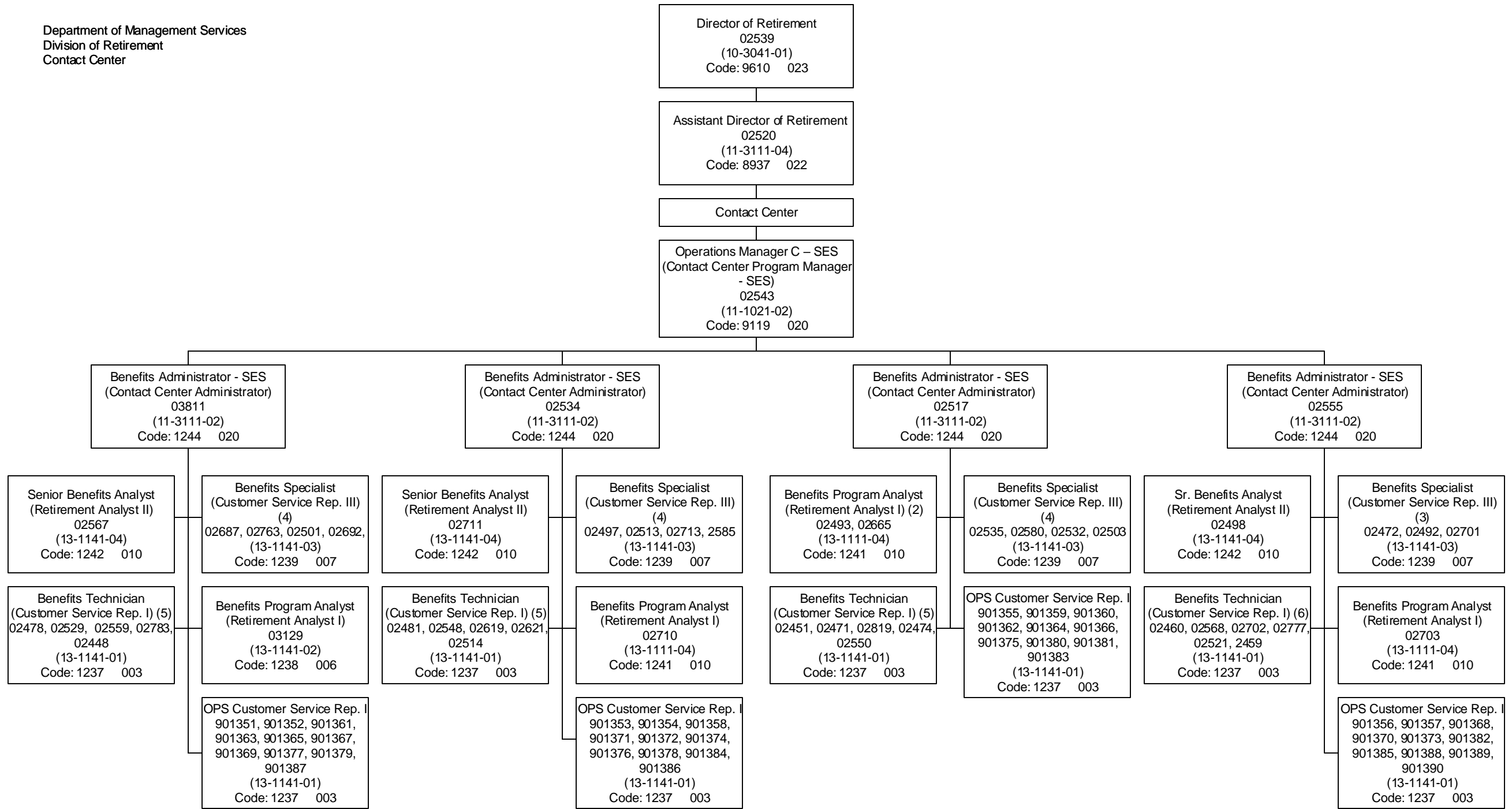
Dotted lines denote positions that  
 report to other divisions/programs



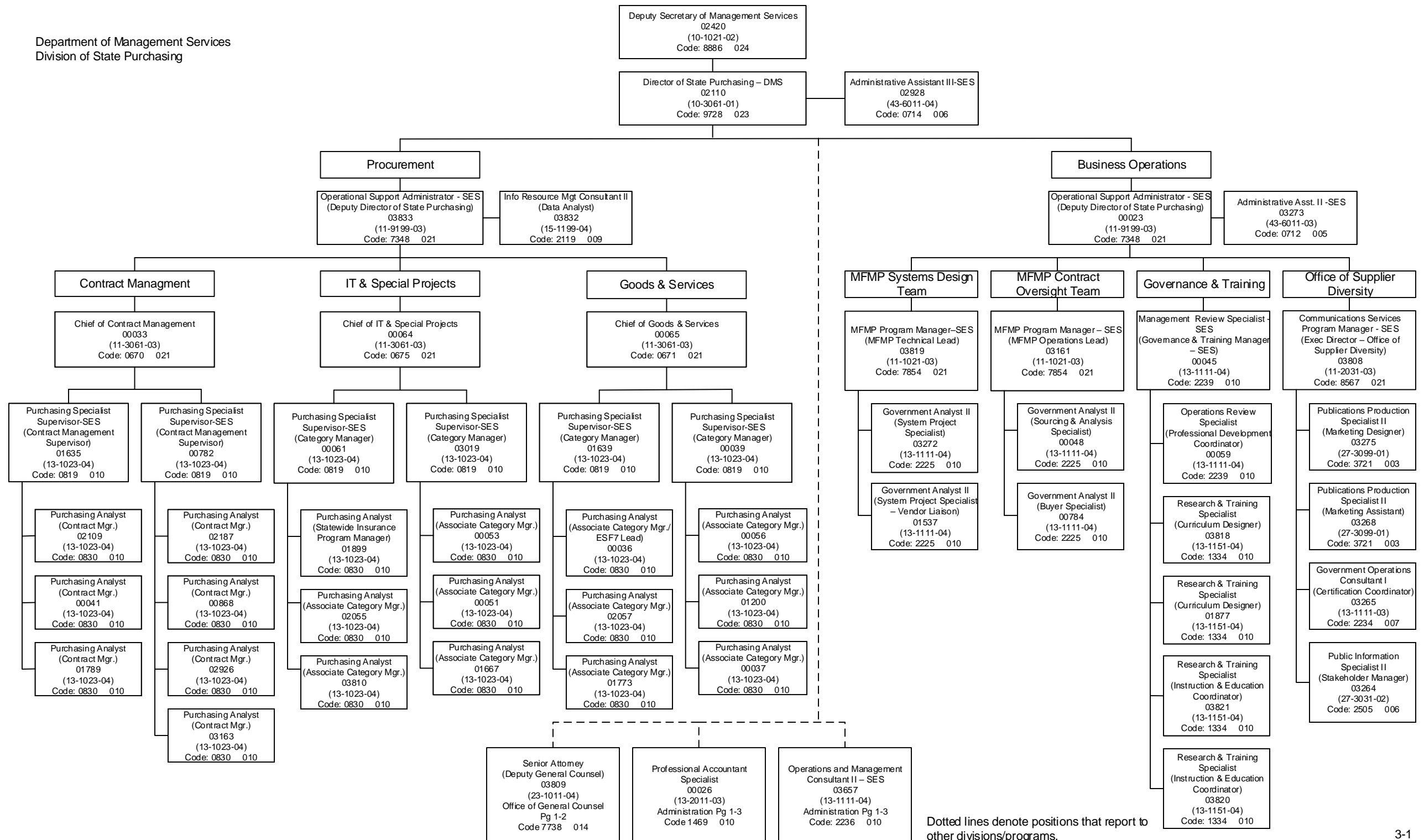






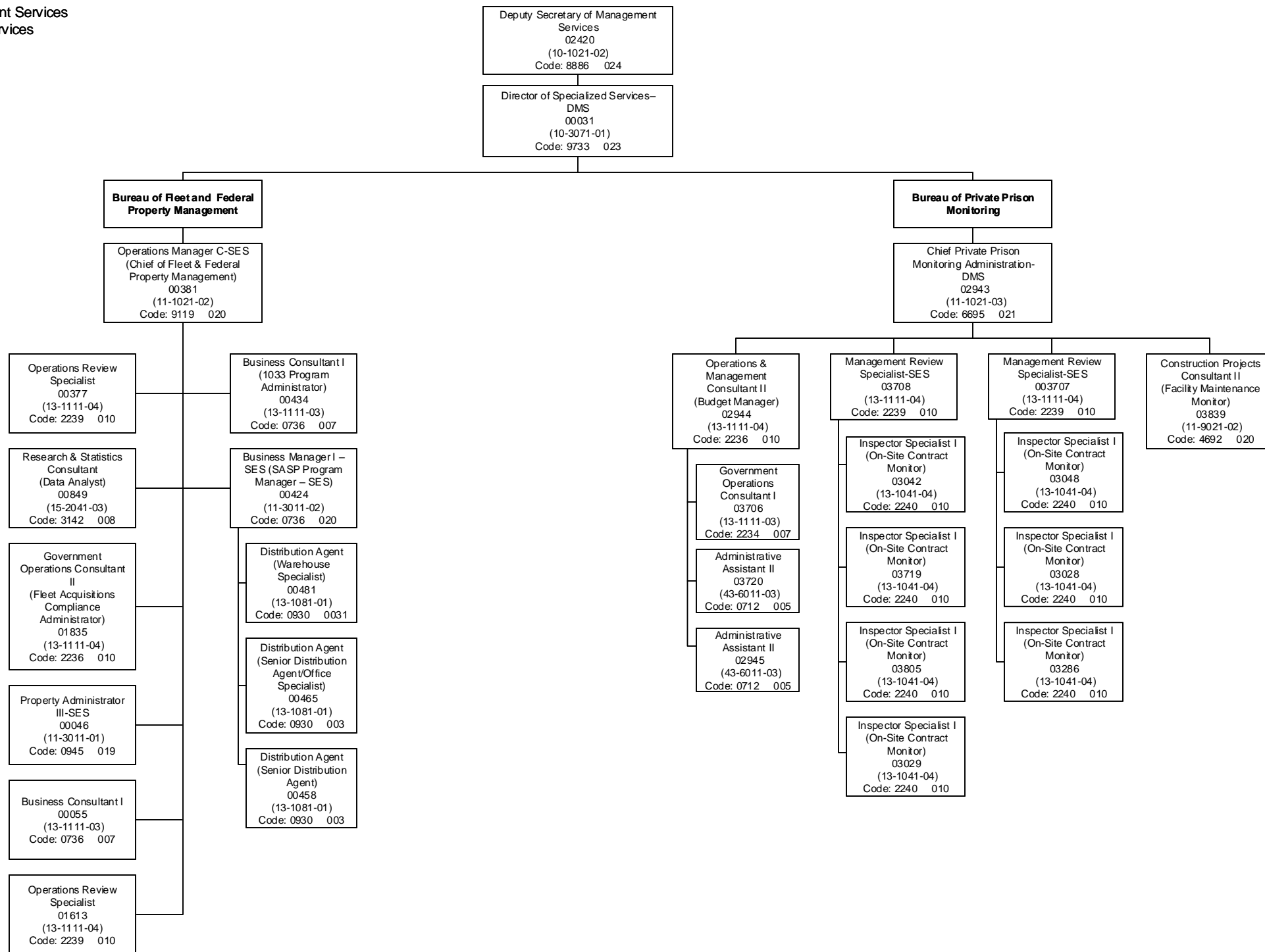


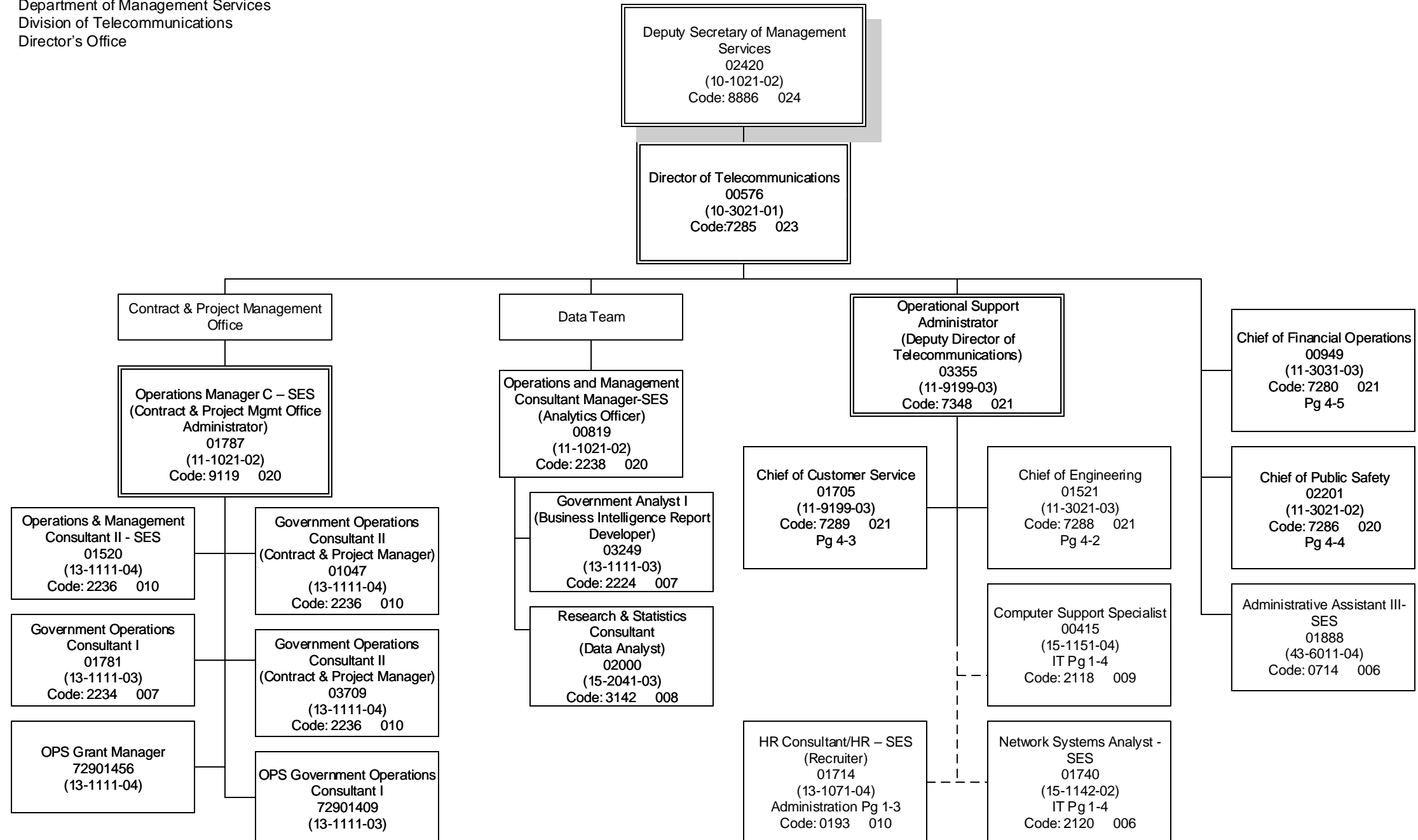
Department of Management Services  
Division of State Purchasing



Dotted lines denote positions that report to other divisions/programs.

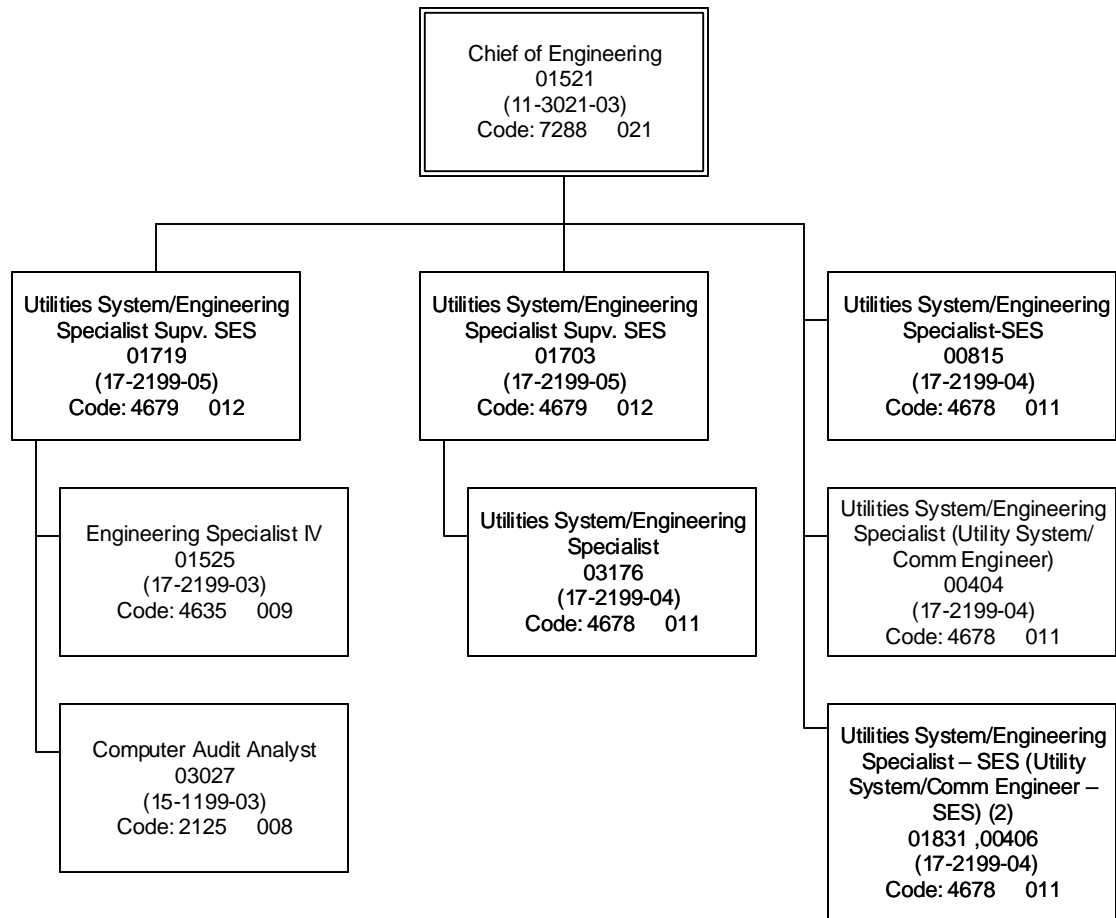


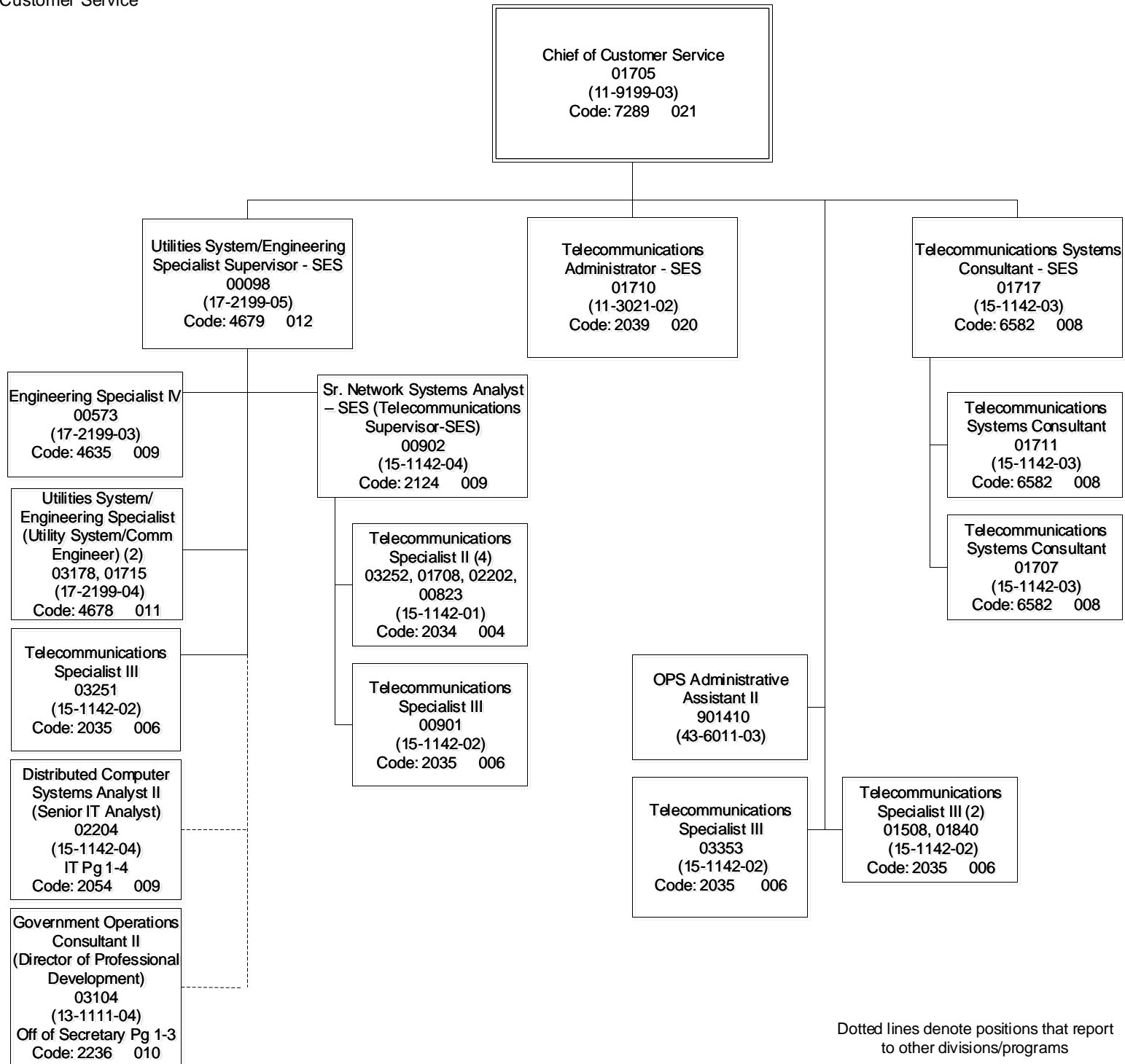




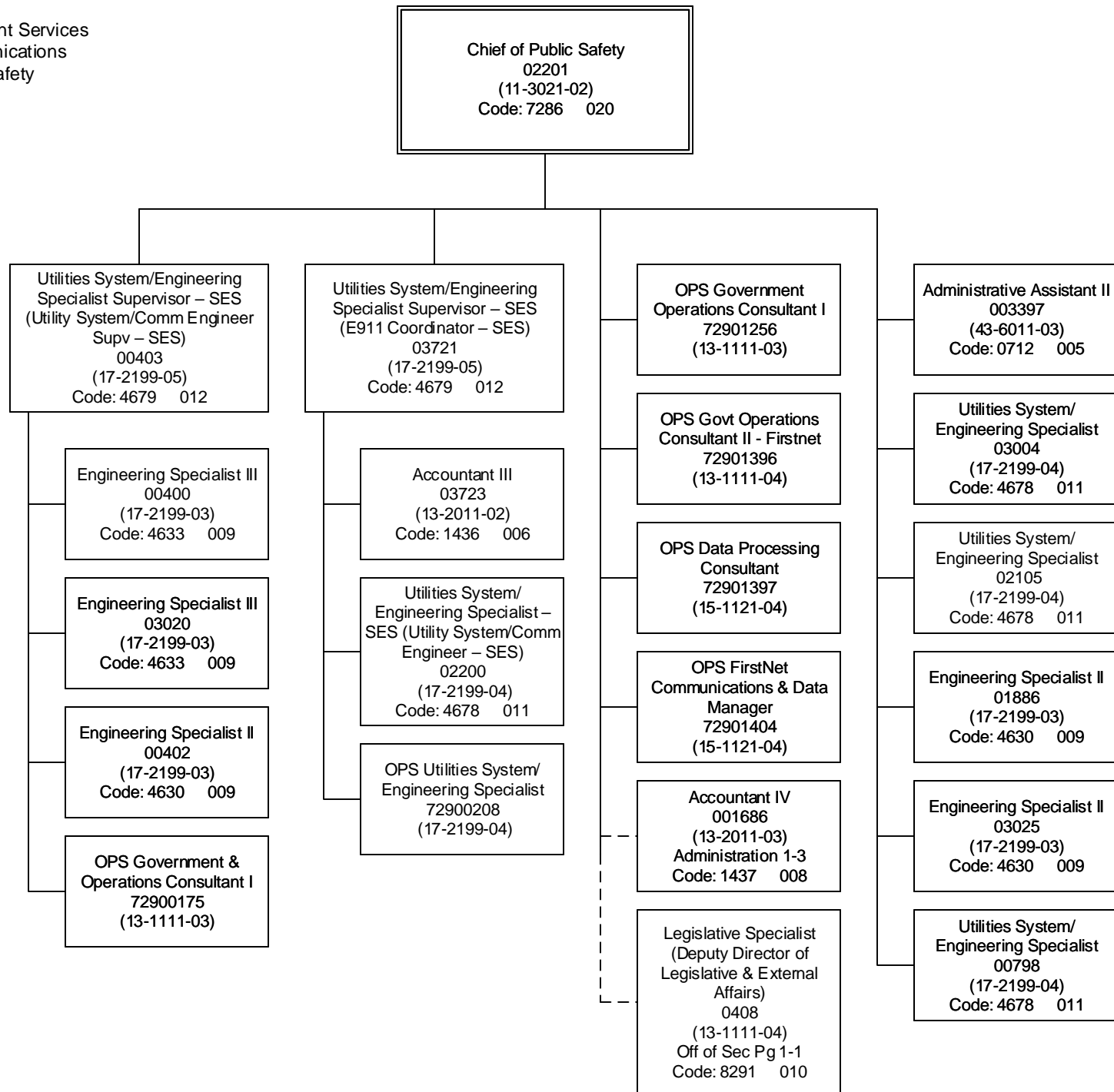
Dotted lines denote positions that report to other divisions/programs

Department of Management Services  
Division of Telecommunications  
Bureau of Engineering

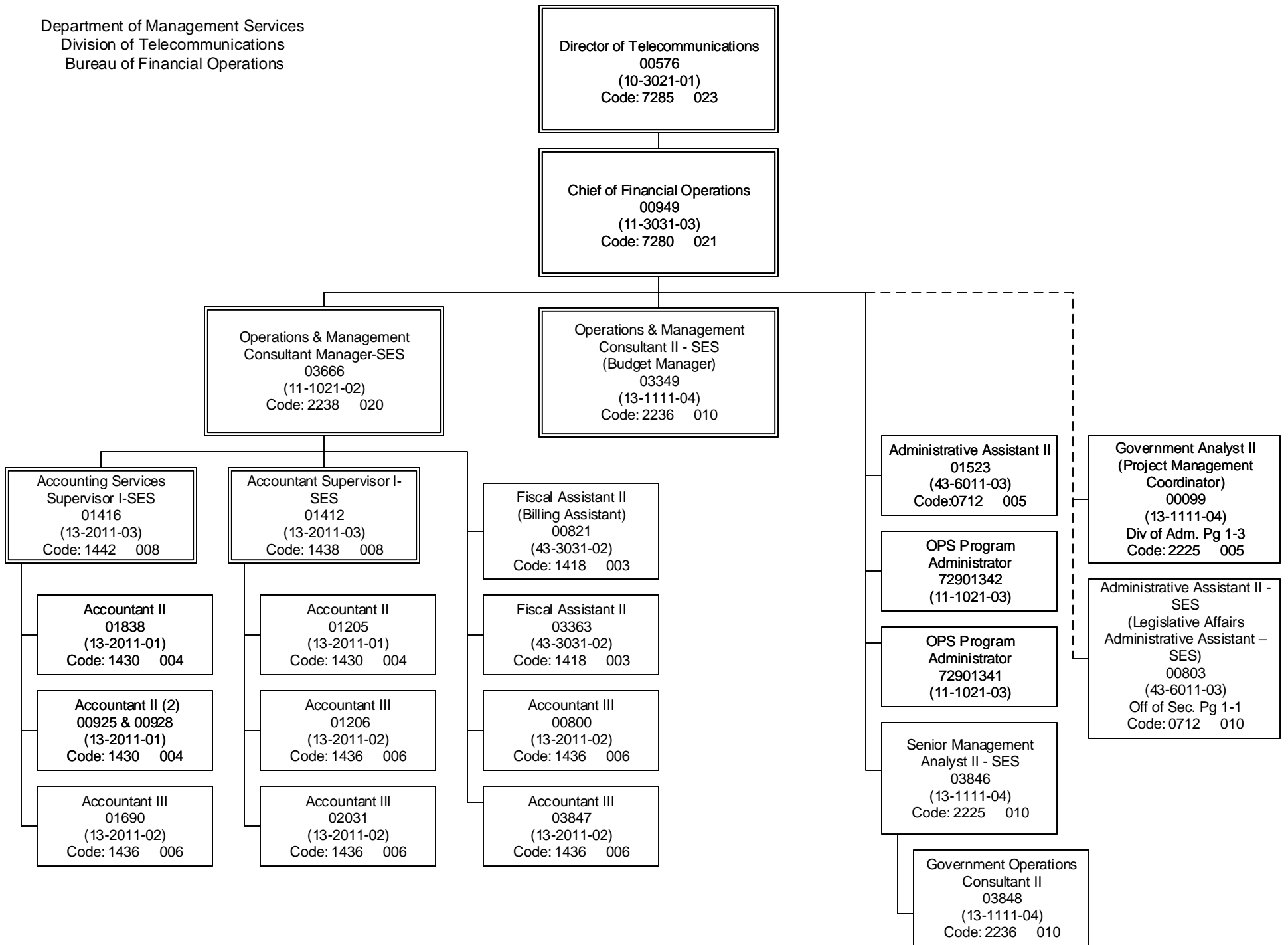




Dotted lines denote positions that report to other divisions/programs



Dotted lines denote positions that report to other divisions/programs



Dotted lines denote positions that report to other divisions/programs

Deputy Secretary of Management Services  
 02420  
 (10-1021-02)  
 Code: 8886 024

Director Facilities Mgmt & Bldg  
 Construction  
 00369  
 (10-9021-01)  
 Code: 9137 023

Administrative Assistant III  
 00134  
 (43-6011-04)  
 Code: 0714 006

Operational Support Administrator – SES  
 (Deputy Director, Division of Real Estate)  
 00188  
 (11-9199-03)  
 Code: 7348 021

Operational Support Administrator – SES  
 (Deputy Director, Division of Real Estate)  
 01603  
 (11-9199-03)  
 Code: 7348 021

Government Operations  
 Consultant II  
 00156  
 (13-1111-04)  
 Code: 2236 010

Chief of Building Construction  
 01612  
 (11-9021-03)  
 Code: 4694 021  
 Pg 5-2

Chief of Business Support Services  
 01663  
 (11-3011-03)  
 Code: 0752 021  
 Pg 5-3

Chief of Operations & Maintenance -  
 DMS  
 01291  
 (11-9021-03)  
 Code: 2394 021  
 Pg 5-2

Governor's Mansion  
 Manager  
 01765  
 (11-3011-02)  
 Code: 8563 020  
 Pg 5-7

Operations Analyst I  
 00265  
 (13-1111-02)  
 Code: 2209 006

Chief Real Property Administrator –  
 DMS  
 (Chief of Leasing)  
 01782  
 (11-9021-03)  
 Code: 7045 021  
 Pg 5-4

Senior Network Systems  
 Analyst  
 (Network Engineer)  
 00223  
 (15-1142-04)  
 Code: 2124 009  
 IT Pg 1-4

Trades Section Pg 5-6

Program Manager  
 (Chief of Building Systems)  
 01744  
 (11-1021-03)  
 Code: 8066 021  
 Pg 5-5

Grounds Section Pg 5-6

Dotted lines denote positions that report to other  
 divisions/programs

Director Facilities Mgmt & Building  
 Construction  
 00369  
 (10-921-01)  
 Code: 9137 023

Operational Support Administrator –  
 SES  
 (Deputy Director, Division of Real  
 Estate)  
 00188  
 (11-9199-03)  
 Code: 7348 021

Operational Support Administrator –  
 SES  
 (Deputy Director, Division of Real  
 Estate)  
 01603  
 (11-9199-03)  
 Code: 7348 021

Chief of Building Construction  
 01612  
 (11-9021-03)  
 Code: 4694 021

Chief of Operations & Maintenance -  
 DMS  
 01291  
 (11-9021-03)  
 Code: 2394 021

Operations Manager C - SES  
 (Deputy Chief of Building  
 Construction)  
 01276  
 (11-1021-02)  
 Code: 9119 020

Construction Project  
 Administrator II - SES  
 00211  
 (11-9041-02)  
 Code: 4692 020

**Tenant Improvement  
 Section**

**Design/Review Section**

**Regional Facilities  
 Section**

**Tallahassee Facilities  
 Section**

**Large Projects Section**

**Limited Scope Projects  
 Section**

Support Services  
 Administrator -SES  
 (Tenant Improvement  
 Administrator - SES  
 01688  
 (11-3011-02)  
 Code: 0765 020

Professional  
 Engineer III  
 01860  
 (17-2199-04)  
 Code: 4663 011

Deputy Chief of Regional  
 Facilities - DMS  
 01654  
 (11-3011-02)  
 Code: 8618 020  
 Pg 5-8

Deputy Chief of  
 Tallahassee Facilities -  
 DMS  
 00794  
 (11-3011-02)  
 Code: 8617 020  
 Pg 5-8

Construction Projects  
 Consultant II  
 03837  
 (11-9021-02)  
 Code: 4692 020

Construction Projects  
 Consultant II  
 01548  
 (11-9021-02)  
 Code: 4692 020

Construction  
 Projects  
 Consultant II  
 03197  
 (11-9021-02)  
 Code: 4692 020

Professional  
 Engineer III  
 00140  
 (17-2199-04)  
 Code: 4663 011

Construction Projects  
 Consultant II  
 03838  
 (11-9021-02)  
 Code: 4692 020

Construction Projects  
 Consultant II  
 01912  
 (11-9021-02)  
 Code: 4692 020

Construction  
 Projects  
 Consultant II  
 01242  
 (11-9021-02)  
 Code: 4692 020

Construction Projects  
 Consultant II  
 03836  
 (11-9021-02)  
 Code: 4692 020

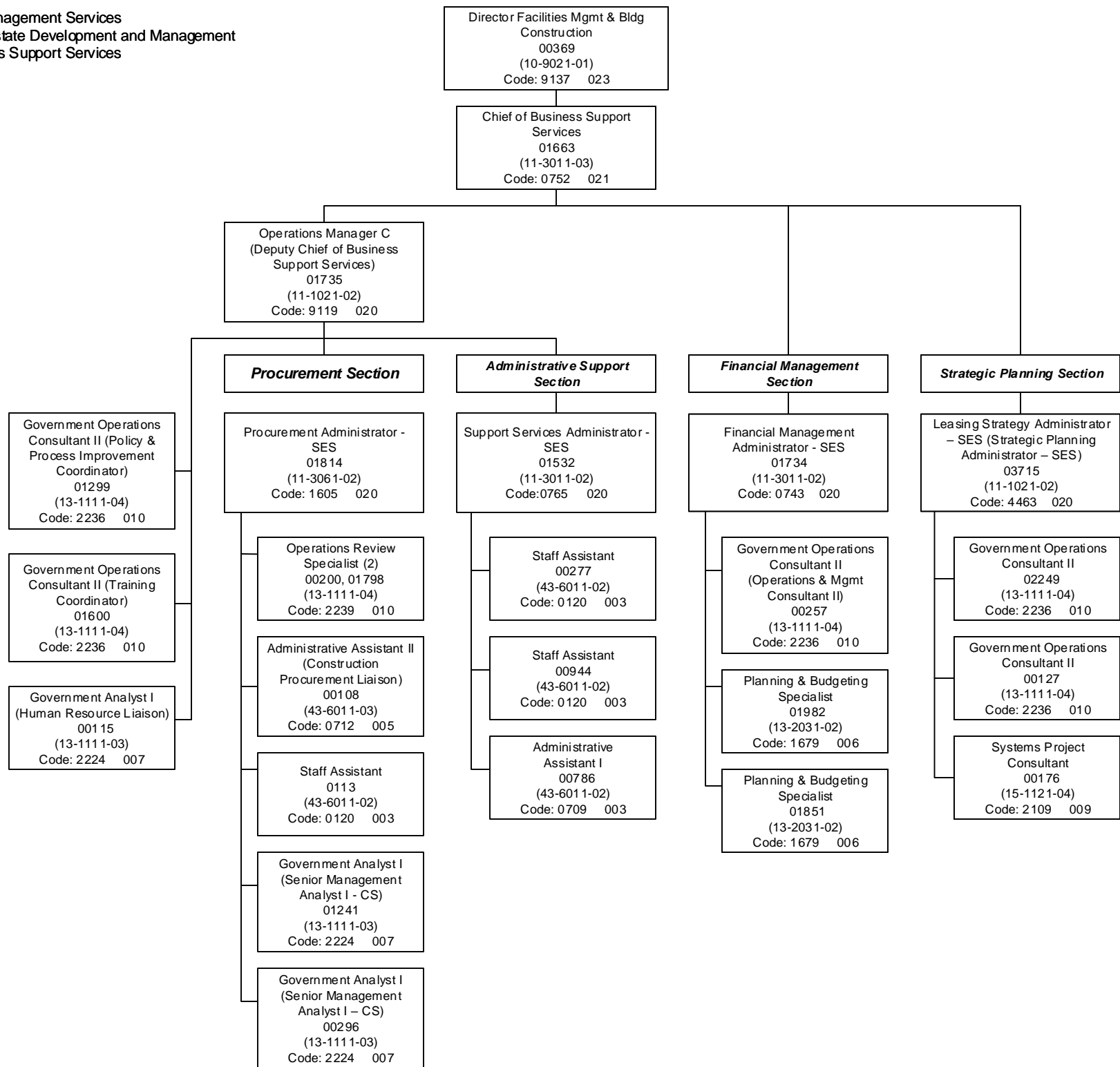
Senior Projects  
 Architect  
 00111  
 (17-1011-04)  
 Code: 4520 011

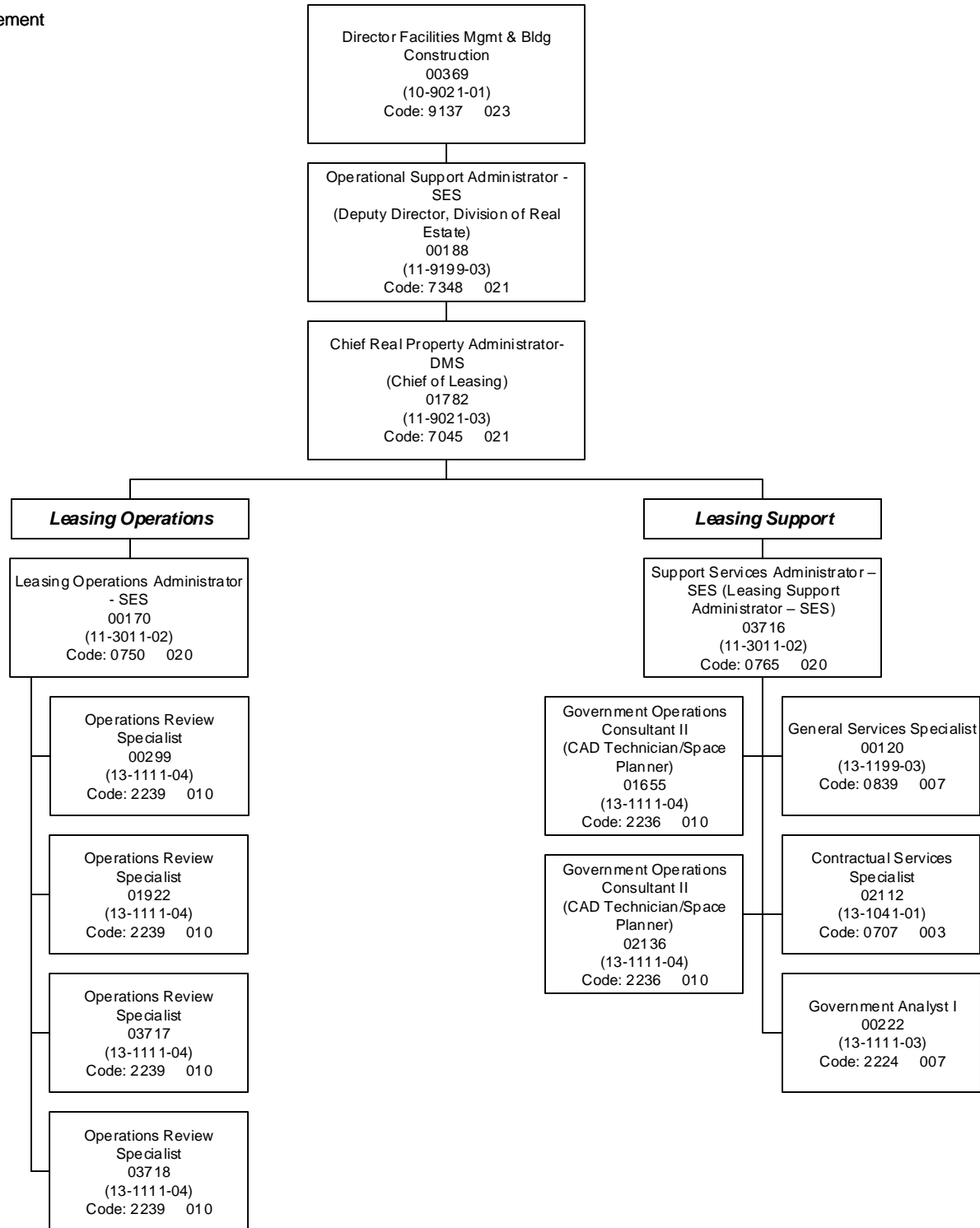
Construction Projects  
 Consultant II  
 01345  
 (11-9021-02)  
 Code: 4692 020

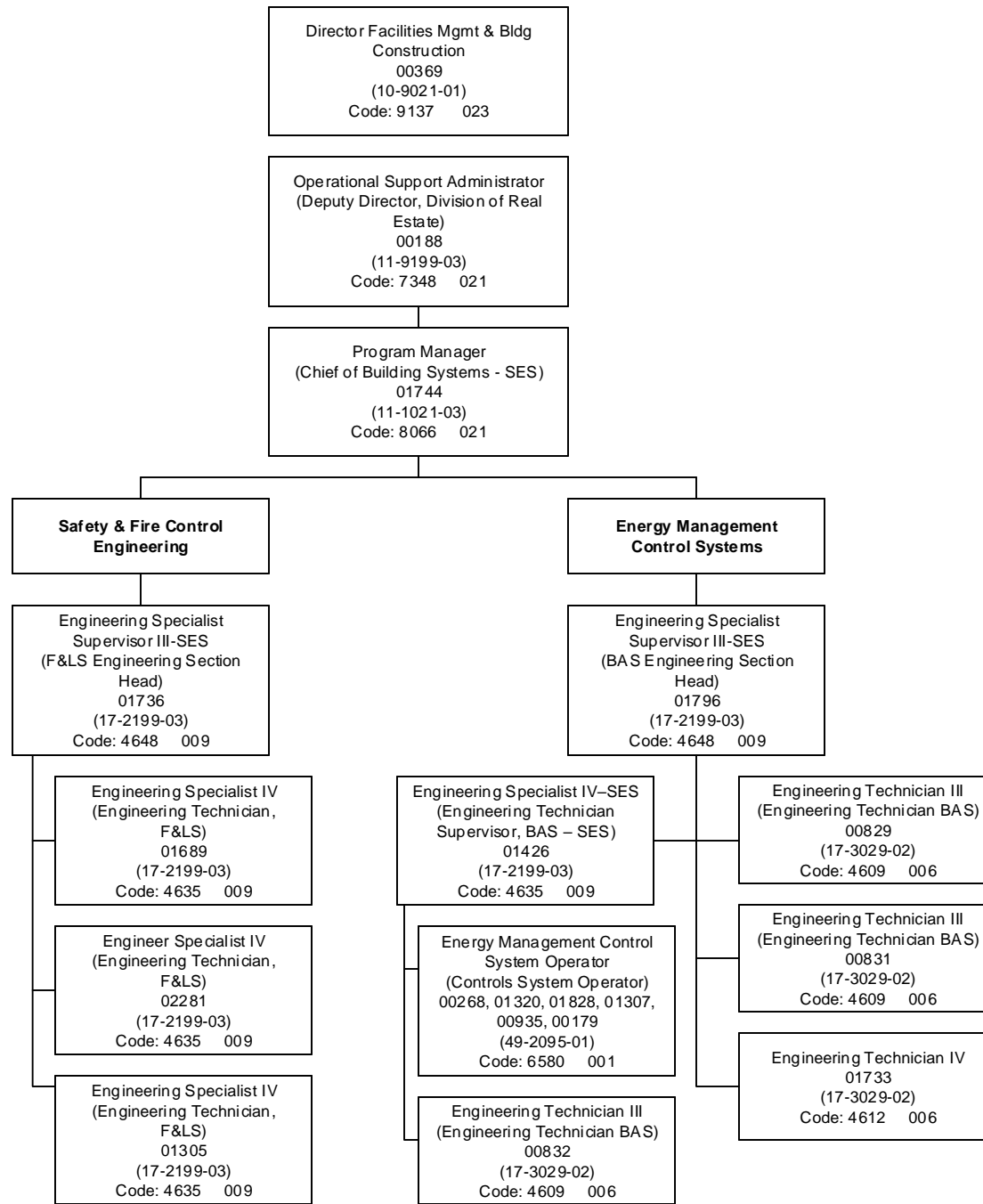
Accountant III  
 01259  
 (13-2011-02)  
 Administration Pg 1-3  
 Code: 1437 006

Dotted lines denote positions that report to other divisions/  
 programs.



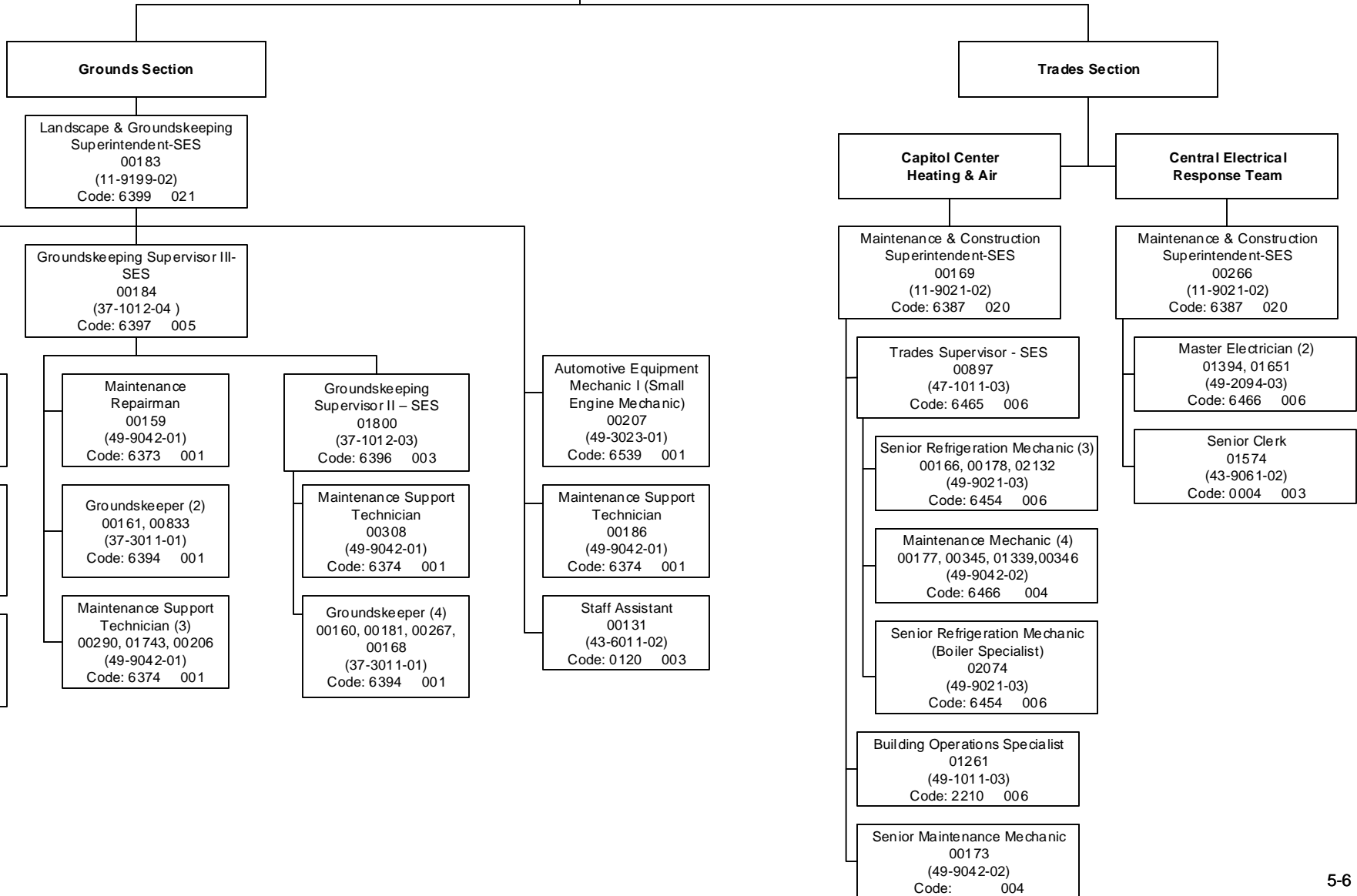


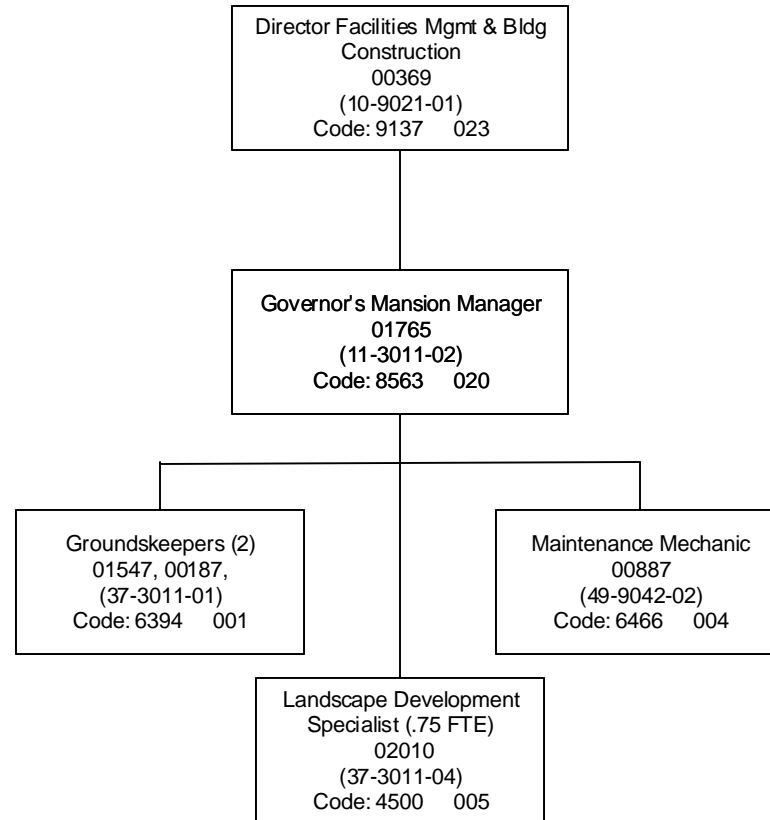




Director Facilities Mgmt & Bldg  
 Construction  
 00369  
 (10-9021-01)  
 Code: 9137 023

Operational Support Administrator  
 (Deputy Director, Division of Real  
 Estate)  
 00188  
 (11-9199-03)  
 Code: 7348 021





Department of Management Services  
 Division of Real Estate Development and Management  
 Bureau of Operations and Maintenance  
 Tallahassee Facilities Sections and Regional Facilities Sections

Director Facilities Mgmt & Bldg  
 Construction  
 00369  
 (10-9021-01)  
 Code: 9137 023

Operational Support Administrator  
 (Deputy Director, Division of Real Estate)  
 01603  
 (11-9199-03)  
 Code: 7348 021

Chief of Operations & Maintenance -DMS  
 001291  
 (11-9021-03)  
 Code: 2394 021

Deputy Chief of Tallahassee  
 Facilities-DMS  
 00794  
 (11-3011-02)  
 Code: 8617 020

Deputy Chief of Regional Facilities-  
 DMS  
 01654  
 (11-3011-02)  
 Code: 8618 020

Administrative Assistant I  
 02075  
 (43-6011-02)  
 Code: 0709 003

Facilities Manager  
 00501  
 (11-9021-02)  
 First DCA Building  
 Pg 5-8.1 Code: 6384 020

Facilities Manager  
 00297  
 (11-9021-02)  
 Capitol Circle Off Complex  
 Pg 5-8.1 Code: 6384 020

Facilities Manager  
 01409  
 (11-9021-02)  
 James Bldg-Pensacola  
 Pg 5-8.3 Code: 6384 020

Facilities Manager  
 02189  
 (11-9021-02)  
 Monroe Co Reg Ctr/Marathon  
 Pg 5-8.5 Code: 6384 020

Facilities Manager  
 00249  
 (11-9021-02)  
 Benton Building – Ft. Pierce  
 Pg 5-8.5 Code: 6384 020

Facilities Manager  
 01486  
 (11-9021-02)  
 Gore Bldg – Ft Lauderdale  
 Pg 5-8.6 Code: 6384 020

Facilities Manager  
 01918  
 (11-9021-02)  
 Pepper Group  
 Pg 5-8.2 Code: 6384 020

Facilities Manager  
 02100  
 (11-9021-02)  
 FDLE Bldg  
 Pg 5-8.2 Code: 6384 020

Facilities Manager  
 01611  
 (11-9021-02)  
 Alachua Reg Svc Ctr  
 Pg 5-8.5 Code: 6384 020

Facilities Manager  
 01559  
 (11-9021-02)  
 Hurston Building – Orlando  
 Pg 5-8.6 Code: 6384 020

Facilities Manager  
 01487  
 (11-9021-02)  
 Dimick Building – WPB  
 Pg 5-8.5 Code: 6384 020

Facilities Manager  
 02238  
 (11-9021-02)  
 Grizzle/Sebring/Trammel/  
 Hargrett - Largo/St. Pete/  
 Tampa  
 Pg 5-8.6 Code: 6384 020

Facilities Manager  
 01230  
 (11-9021-02)  
 Turlington/Gray  
 Pg 5-8.2 Code: 6384 020

Facilities Manager  
 00152  
 (11-9021-02)  
 Fletcher/Larson  
 Pg 5-8.2 Code: 6384 020

Facilities Manager  
 01395  
 (11-9021-02)  
 Jacksonville Reg Svc Ctr  
 Pg 5-8.6 Code: 6384 020

Facilities Manager  
 01746  
 (11-9021-02)  
 Peterson Bldg – Lakeland  
 Pg 5-8.5 Code: 6384 020

Facilities Manager  
 01464  
 (11-9021-02)  
 Rhode/Opa Locka – Miami  
 Pg 5-8.5 Code: 6384 020

Facilities Manager  
 01303  
 (11-9021-02)  
 The Capitol  
 Pg 5-8.4 Code: 6384 020

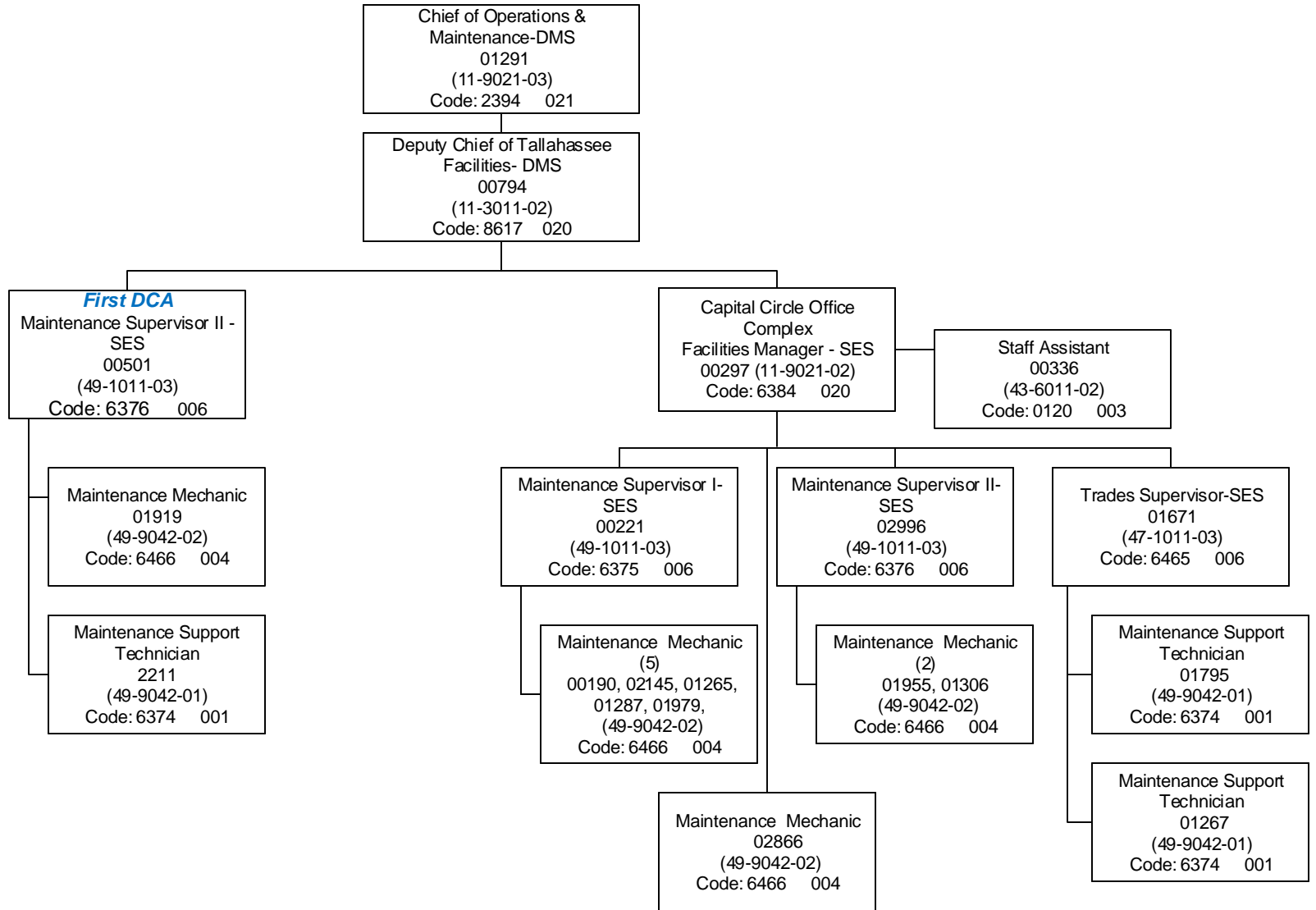
Facilities Manager  
 01650  
 (11-9021-02)  
 Twin Towers/Douglas  
 Pg 5-8.3 Code: 6384 020

Facilities Manager  
 02209  
 (11-9021-02)  
 Ft Myers Reg Svc Ctr  
 Pg 5-8.5 Code: 6384 020

Facilities Manager  
 02006  
 (11-9021-02)  
 Daytona Bch Reg Svc Ctr  
 Pg 5-8.5 Code: 6384 020

Applications Systems Programmer III  
 00182  
 (15-1131-04)  
 IT Pg 1-4  
 Code: 2143 009

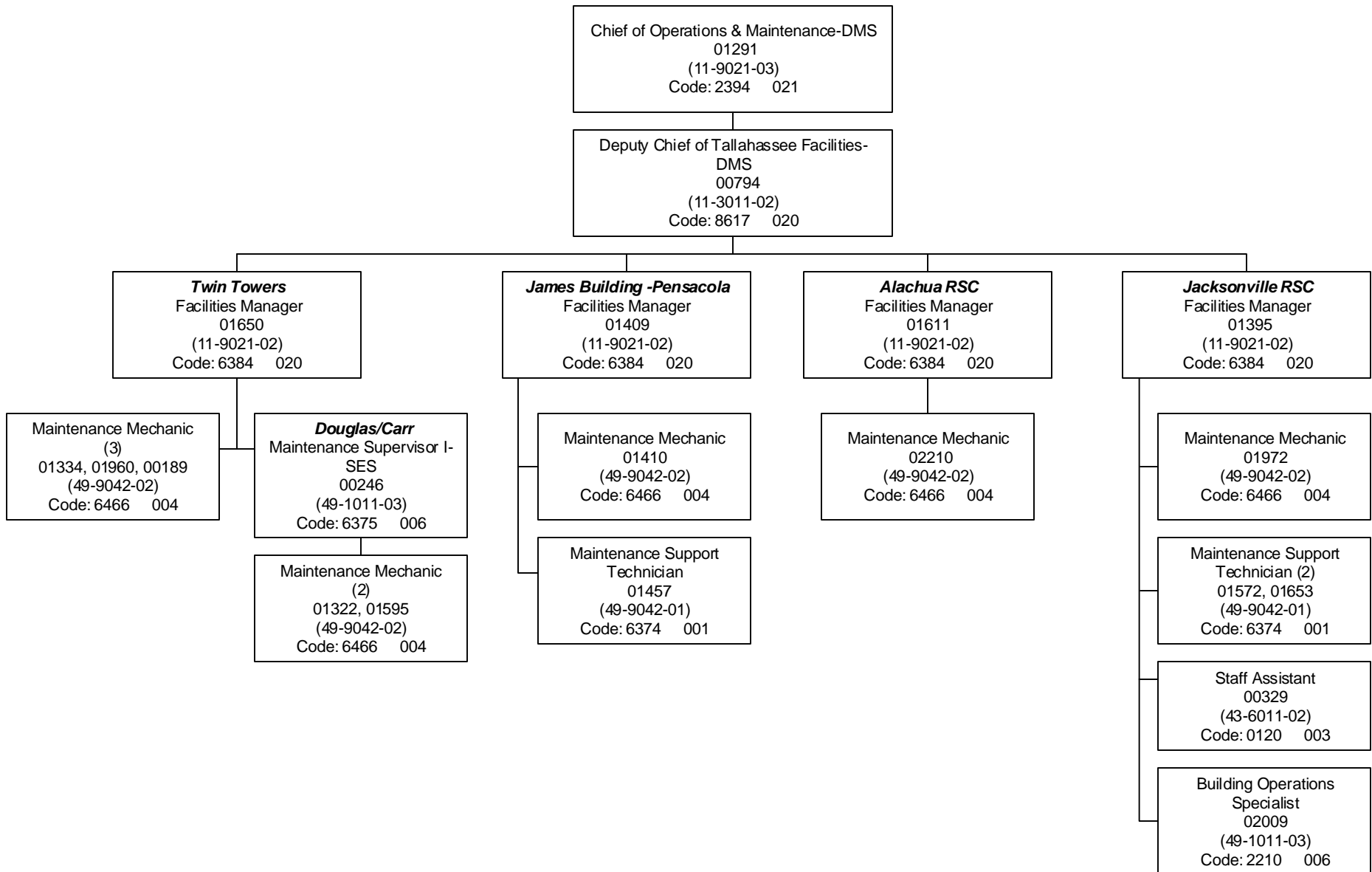
Dotted lines denote that positions report to other divisions/  
 programs.







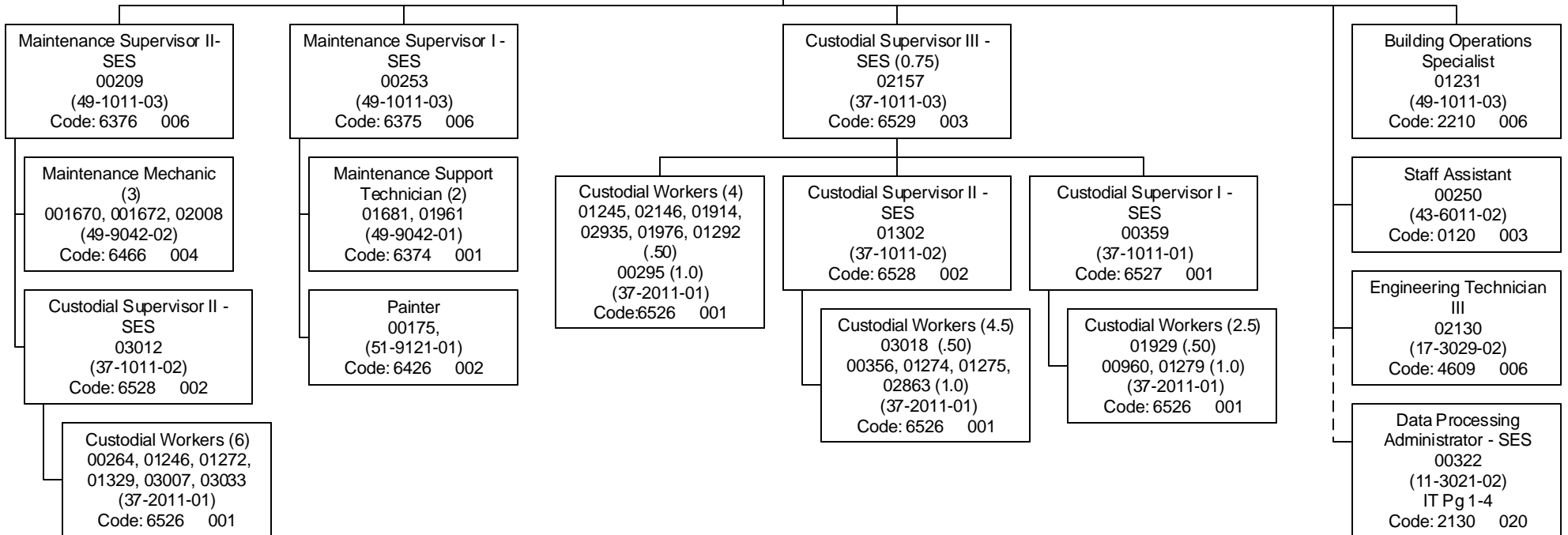
Department of Management Services  
 Division of Real Estate Development and Management  
 Bureau of Operations & Maintenance  
 Tallahassee Facilities  
 Twin Towers; Douglas/Carr; James (Pensacola);  
 Alachua RSC; and Jacksonville RSC Buildings



Chief of Operations & Maintenance-DMS  
 01291  
 (11-9021-03)  
 Code: 2394 021

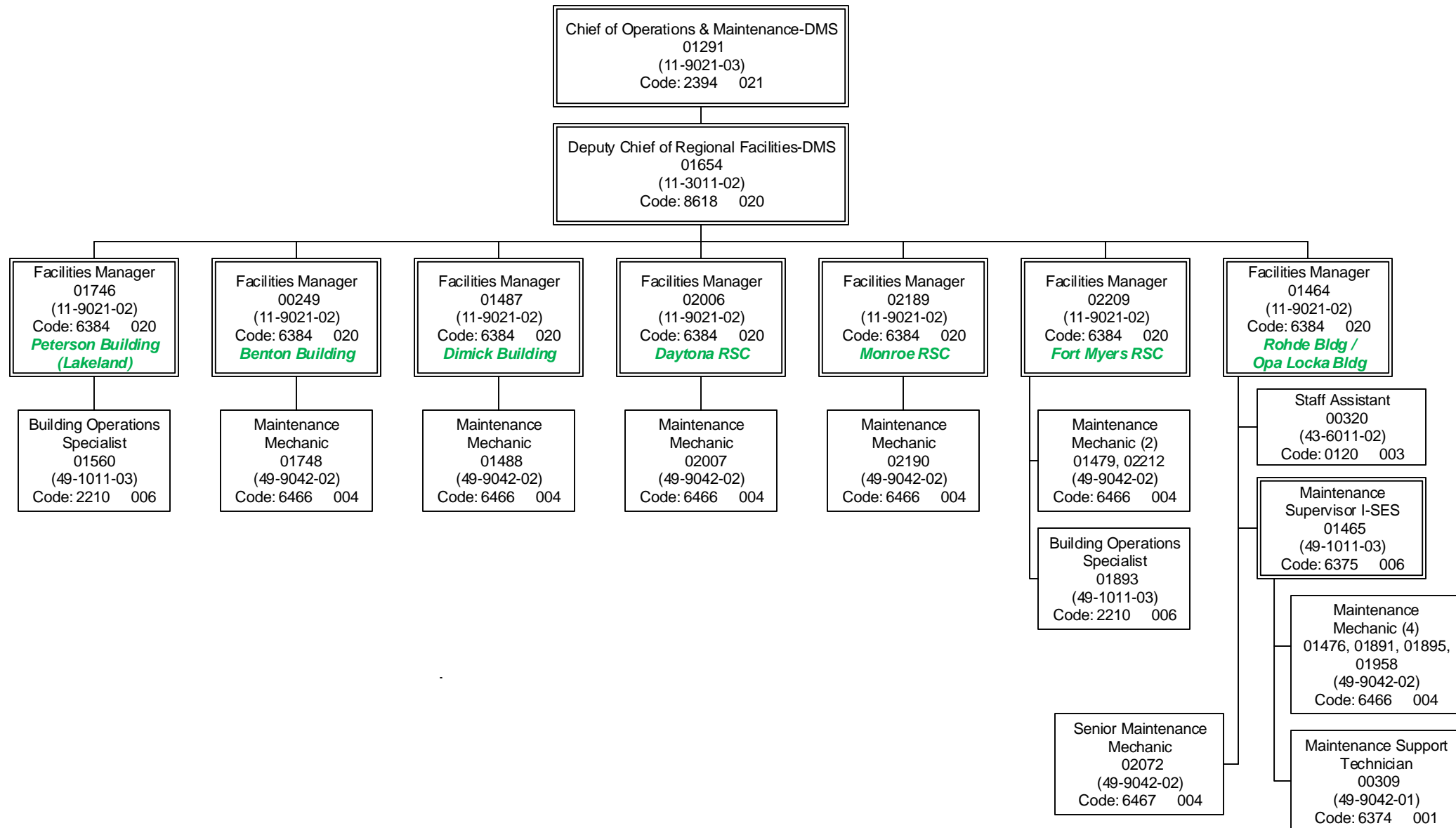
Deputy Chief of Tallahassee Facilities-  
 DMS  
 00794  
 (11-3011-02)  
 Code: 8617 020

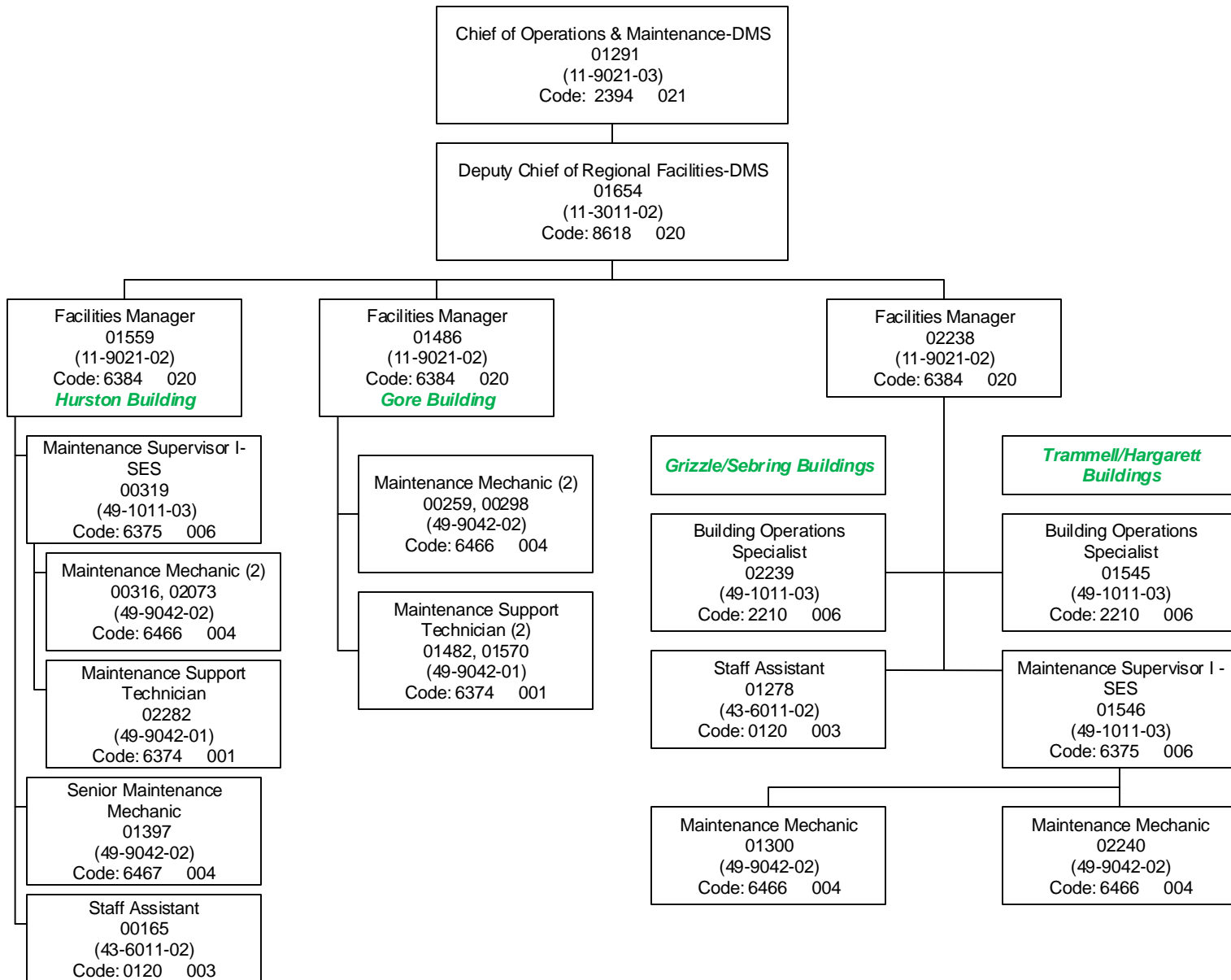
Facilities Manager  
 01303  
 (11-9021-02)  
 Code: 6384 020

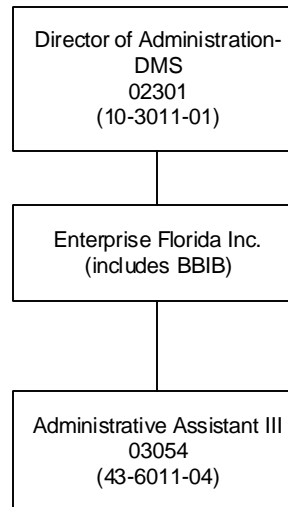


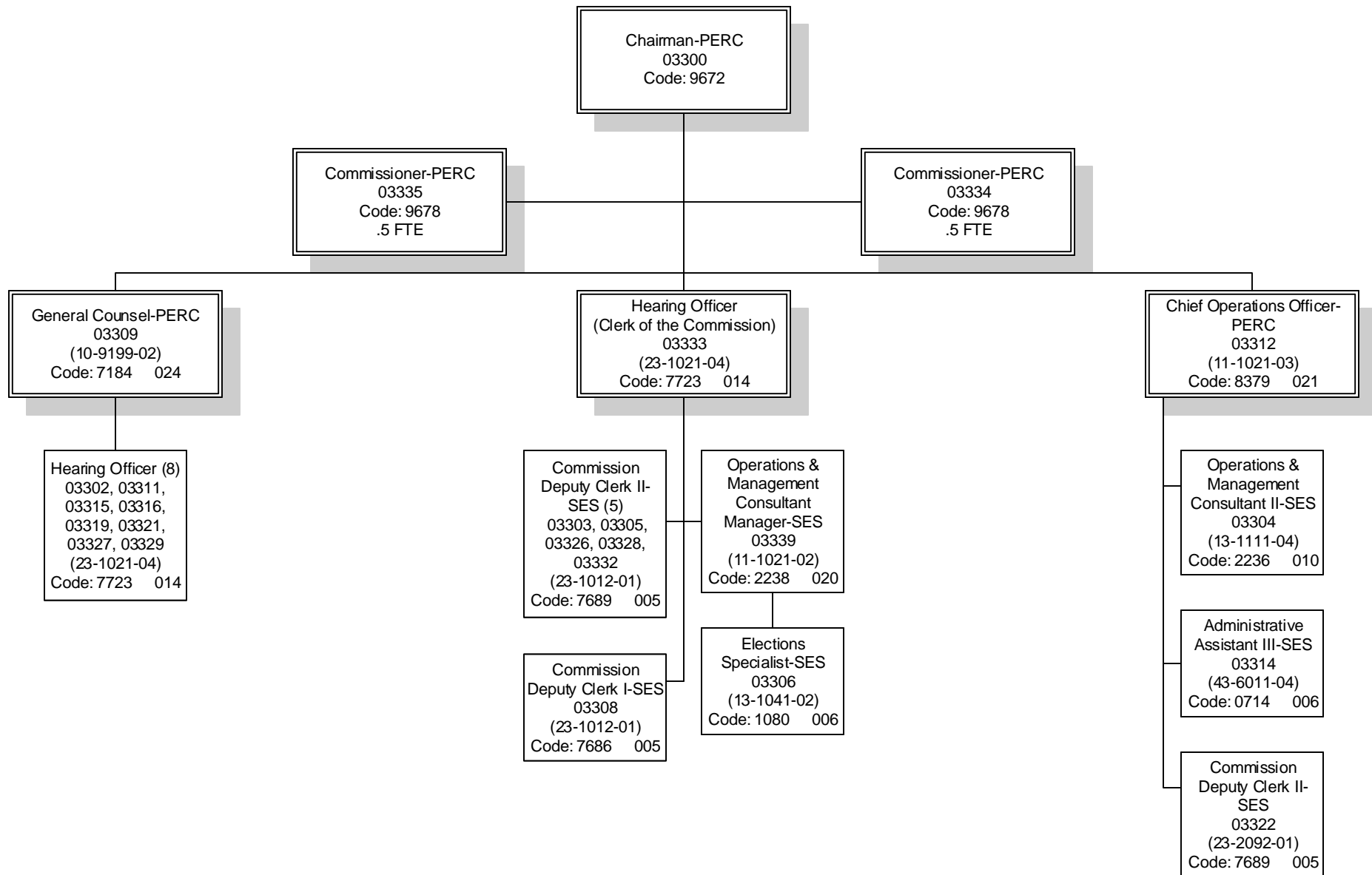
Dotted lines denote positions that report to other divisions/programs.

Department of Management Services  
 Division of Real Estate Development and Management  
 Bureau of Operations & Maintenance  
 Regional Facilities  
 Peterson Bldg; Dimick Bldg;  
 Benton Bldg; Daytona RSC; Monroe RSC;  
 Fort Myers RSC; Rohde and Opa Locka Bldgs





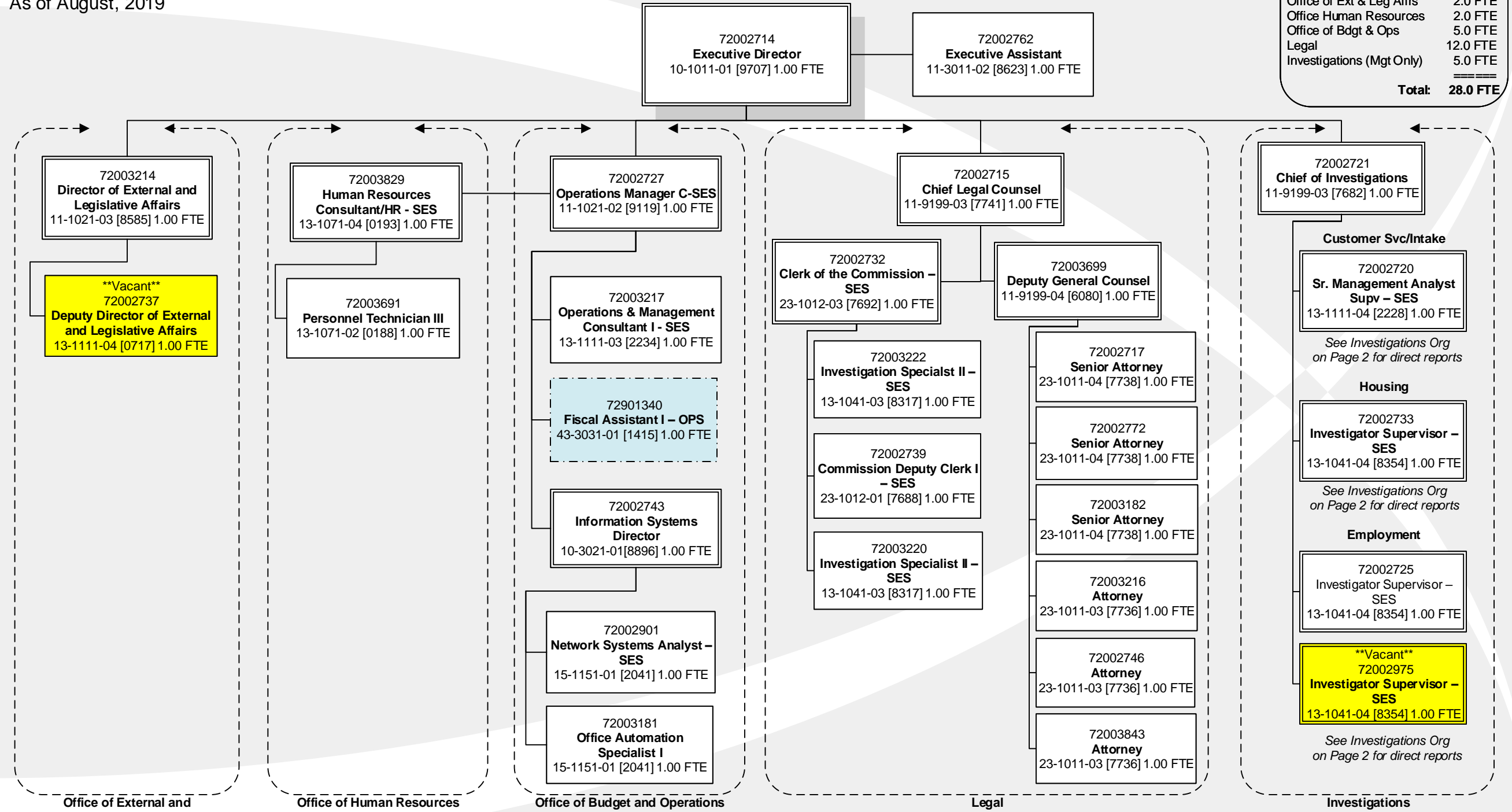




# Florida Commission on Human Relations Organizational Structure

As of August, 2019

Org Structure/Head Count	
Office of Executive Director	2.0 FTE
Office of Ext & Leg Affrs	2.0 FTE
Office Human Resources	2.0 FTE
Office of Bdgt & Ops	5.0 FTE
Legal	12.0 FTE
Investigations (Mgt Only)	5.0 FTE
<b>Total:</b>	<b>28.0 FTE</b>

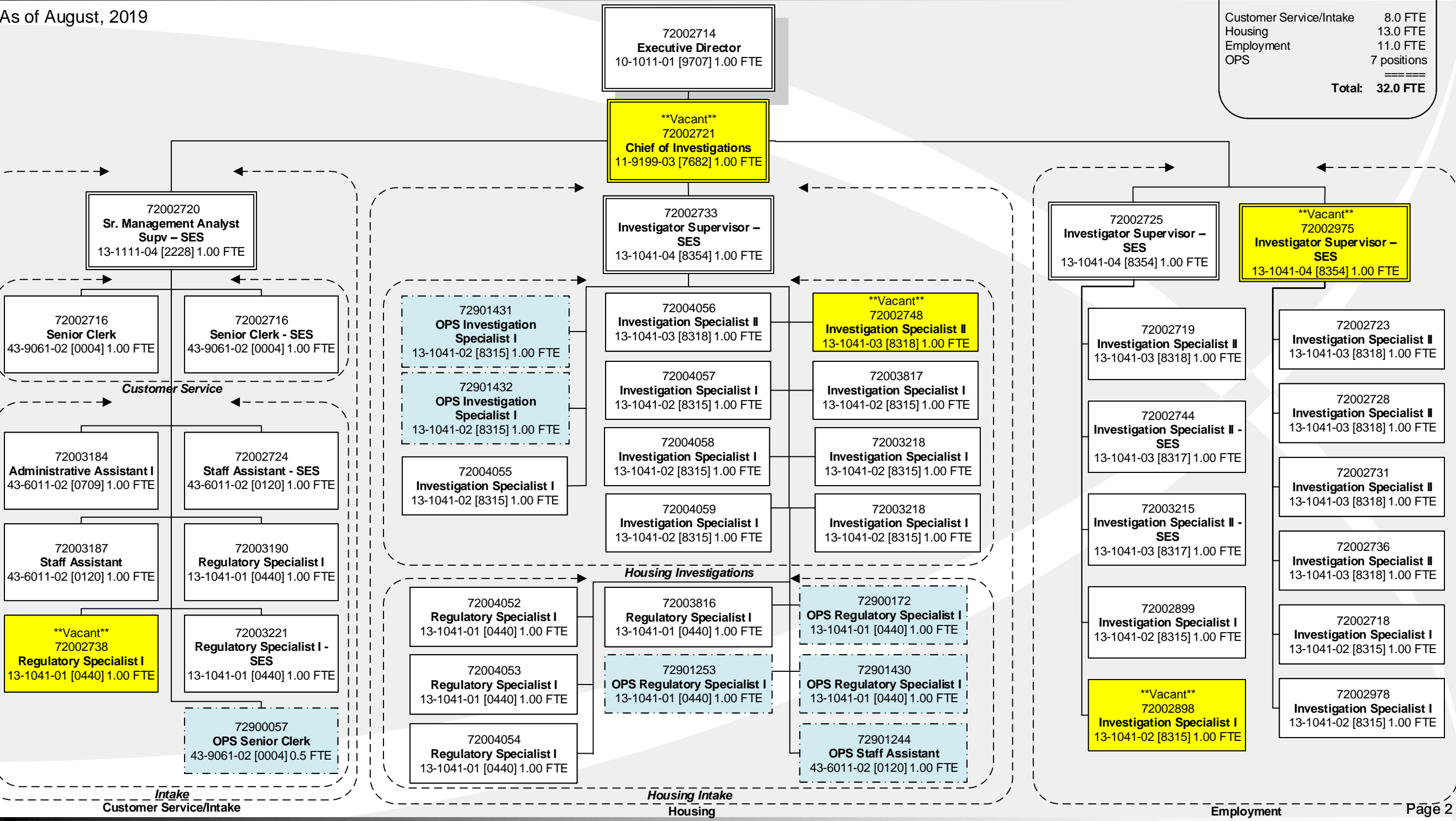


\*\*Please note: Positions are Career Service unless otherwise indicated.\*\*

# Florida Commission on Human Relations - Investigations

As of August, 2019

Org Structure/Head Count	
Customer Service/Intake	8.0 FTE
Housing	13.0 FTE
Employment	11.0 FTE
OPS	7 positions
<b>Total:</b>	<b>32.0 FTE</b>





MANAGEMENT SERVICES, DEPARTMENT OF		FISCAL YEAR 2018-19				
		OPERATING		FIXED CAPITAL OUTLAY		
SECTION I: BUDGET						
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		605,179,318		84,268,955		
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		4,984,275		931,808		
FINAL BUDGET FOR AGENCY		610,163,593		85,200,763		
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO	
Executive Direction, Administrative Support and Information Technology (2)					85,200,763	
Process Payroll And Benefits For Leased State Employees * Number of employees in state leasing services		1	268,883.00	268,883		
Operate And Maintain Department Of Management Services' Pool Facilities * Number of employees in state leasing services		7,872,892	8.78	69,149,858		
Administer Bonding Program And Plan For State Office Space Requirements * Number of net square feet of pool facilities		6,201,397	0.63	3,913,731		
Manage Private Sector And State Leases For State Agencies * Number of leases managed		1,573	2,560.23	4,027,234		
Manage Pool Facility Parking Lots * Number of parking spaces		22,989	55.60	1,278,185		
Special Category: Utility Payments * Utility cost per gross square foot		8,532,194	1.63	13,872,714		
Provide Facilities Security * Number of facilities secured		18	62,539.00	1,125,702		
Manage Construction Projects * Dollar volume of Fixed Capital Outlay project starts		78,119,358	0.04	2,813,570		
Adjudicate And Facilitate Mediation Of Labor And Employment Disputes Through The Public Employees Relations Commission * Number of labor and employment dispositions		833	7,752.68	6,457,985		
Acquire And Redistribute Federal Surplus Property * Dollar value of donated property		11,314,473	0.09	996,932		
Acquire And Redistribute Military Excess Property * Dollar value of donated property		11,314,473	0.02	248,123		
Provide New Vehicle And Watercraft Acquisition Support * Number of vehicles and watercraft acquired		1,322	192.13	253,992		
Operate And Maintain The Florida Equipment Electronic Tracking (fleet) System * Number of state vehicles tracked		25,759	41.72	1,074,583		
Manage State Vehicle And Watercraft Disposal * Number of vehicles and watercraft disposed of		1,212	469.92	569,546		
Establish And Administer State Term (master) Contracts And Negotiated Agreements * Dollars expended by State Agencies using the State Term Contracts and Negotiated Agreements		935,167,027	0.03	25,214,646		
Provide Minority Access To Contracting Opportunities * Number of businesses certified and registered		920	674.08	620,155		
Manage And Oversee Minority Business Compliance * Number of businesses reviewed and audited		204	3,039.98	620,155		
Provide Human Resource Management Expertise/Consulting * Number of authorized FTE and OPS employees in the State Personnel System.		107,230	39.80	4,267,882		
People First Contract Management * N/A		232,000	152.53	35,386,511		
Administer The Health Insurance Program * Number of enrollees		177,331	342.25	60,691,488		
Administer The Life Insurance Program * Number of enrollees		187,551	0.04	8,404		
Administer The Flexible Spending Account Program * Number of enrollees		21,797	2.96	64,596		
Administer The Supplemental Insurance Program * Number of enrollees		223,623	6.67	1,491,221		
Provide Local Government Pension Plan Oversight * Number of Local Pension Plans Reviewed		167	15,301.64	2,555,374		
Administer The Florida Retirement System * Number of FRS members		1,105,507	44.01	48,651,845		
Administer The Retiree Health Insurance Subsidy Program * Number of Recipients of the Health Insurance Subsidy		385,181	0.51	195,303		
Administer The State University System Optional Retirement Program * Number of participants in the State University System Optional Retirement Program		22,682	25.40	576,081		
Contract For The Construction, Operation And Oversight Of Private Prisons * Number of beds occupied		9,408	427.54	4,022,310		
Investigate Complaints Of Civil Rights Violations * Number of inquiries/investigations		10,717	1,269.19	13,601,939		
TOTAL				304,018,948	85,200,763	
SECTION III: RECONCILIATION TO BUDGET						
PASS THROUGHS						
TRANSFER - STATE AGENCIES					136,619,477	
AID TO LOCAL GOVERNMENTS					116,715,149	
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS						
OTHER						
REVERSIONS					52,810,074	4,890
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)					610,163,648	85,205,653

### 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.

NUCSSP03 LAS/PBS SYSTEM  
BUDGET PERIOD: 2008-2021  
STATE OF FLORIDA

SP 09/14/2019 14:43  
SCHED XI: AGENCY-LEVEL UNIT COST SUMMARY  
AUDIT REPORT MANAGEMENT SRVCS, DEPT OF

-----  
SECTION III - PASS THROUGH ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8: ACT0700 ACT1640 ACT8020 ACT8040

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8: ACT8030

-----  
AUDIT #1: THE FOLLOWING STATEWIDE ACTIVITIES (ACT0010 THROUGH ACT0490) HAVE AN OUTPUT STANDARD  
(RECORD TYPE 5) AND SHOULD NOT:

\*\*\* NO ACTIVITIES FOUND \*\*\*

-----  
AUDIT #2: THE FCO ACTIVITY (ACT0210) CONTAINS EXPENDITURES IN AN OPERATING CATEGORY AND SHOULD NOT:  
(NOTE: THIS ACTIVITY IS ROLLED INTO EXECUTIVE DIRECTION, ADMINISTRATIVE SUPPORT AND INFORMATION  
TECHNOLOGY)

\*\*\* NO OPERATING CATEGORIES FOUND \*\*\*

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AUDIT #3: THE ACTIVITIES LISTED IN AUDIT #3 DO NOT HAVE AN ASSOCIATED OUTPUT STANDARD. IN ADDITION, THE  
ACTIVITIES WERE NOT IDENTIFIED AS A TRANSFER-STATE AGENCIES, AS AID TO LOCAL GOVERNMENTS, OR A PAYMENT OF  
PENSIONS, BENEFITS AND CLAIMS (ACT0430). ACTIVITIES LISTED HERE SHOULD REPRESENT TRANSFERS/PASS THROUGH  
THAT ARE NOT REPRESENTED BY THOSE ABOVE OR ADMINISTRATIVE COSTS THAT ARE UNIQUE TO THE AGENCY AND  
ARE NOT APPROPRIATE TO BE ALLOCATED TO ALL OTHER ACTIVITIES.

\*\*\* NO ACTIVITIES FOUND \*\*\*

-----  
AUDIT #4: TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 72	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	610,163,593	85,200,763
TOTAL BUDGET FOR AGENCY (SECTIONS II + III):	610,163,648	85,205,653
	-----	-----
DIFFERENCE:	55-	4,890-
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

# Schedule XII

Outsourcing or  
Privatization of State  
Service or Activity Plan

Not Applicable

**SCHEDULE XIII  
 PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT  
 COMMODITY CONTRACTS  
 This Form is Not Applicable**

<b>Contact Information</b>
Agency: Department of Management Services
Name: Morgan Helton
Phone: 850-487-0364
E-mail address: Morgan.Helton@DMS.MyFlorida.com

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

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

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

**Agency:** Department of Management Services      **Contact:** Morgan Helton, 850-487-0364

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2019 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 2020-2021 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 2020-2021 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Non-Florida Retirement System Pensions and Benefits - GR	B	0.1	0.1
b	Florida Interoperability Network (FIN) - GR	B	1.3	1.3
c	Mutual Aid (MA) - GR	B	0.4	0.4
d	State Building Pool - General Repairs and Maintenance - GR	B	26.6	0.0
e	State Building Pool - General Repairs and Maintenance - TF	B	14.1	5.7
f	State Building Pool - Waller Park - GR	B	34.7	0.0
g	Life Safety and Americans with Disabilities Act - TF	B	0.0	2.5
h	Life Safety and Americans with Disabilities Act - GR	B	4.2	0.0

- 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.

General Repairs and Maintenance in the Legislative Budget Request is based on \$5,741,348 (Supervision Trust Fund) for the Florida Facilities Pool buildings. Life Safety and Americans with Disabilities Act (ADA) in the Legislative Budget Request is based on \$2,520,000 (Supervision Trust Fund) for Life Saefy upgrades such as fire systems and to address ADA upgrades. Note, the Long Range Financial Outlook estimates \$34.7 million from nonrecurring General Revenue for the replacement of Waller Park (Capitol Complex) for Fiscal Year 2020-21.

\* R/B = Revenue or Budget Driver



Schedule XV

Contract Reporting

Not Applicable

Executive Direction

Exhibits or Schedules



Executive Direction

Schedule I Series

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

**Department:** 72 Management Services **Budget Period:** **2020 - 2021**  
**Program:** 72010100 Executive Direction & Administration  
**Fund:** 2021 Administrative Trust  
**Specific Authority:** Section 215.32, Florida Statutes  
**Purpose of Fees Collected:** Assessment fees are charged to operating divisions/programs within the Department to recover costs for departmental administrative services.

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

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

(1)	(2)	(3)	(4)
<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018-19</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>
<b><u>Receipts:</u></b>			
SEE ATTACHED LISTING	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Total Fee Collection to Line (1) - Section III</b>	<b>8,983,438</b>	<b>9,689,422</b>	<b>9,423,665</b>
<b><u>SECTION II - FULL COSTS</u></b>			
<b><u>Direct Costs:</u></b>			
Salaries and Benefits	7,178,872	7,734,586	7,507,478
Other Personal Services	82,812	342,926	343,220
Expenses	625,461	746,608	736,608
Operating Capital Outlay	9,008	9,688	9,688
Sp.Cat.: TR to Administrative Hearings	<input type="text"/>	76,480	76,480
Sp.Cat.: Contracted Services	205,526	329,612	208,112
Sp.Cat.: Mail Services	24,058	50,004	50,004
Sp.Cat.: Risk Mgmt Insurance	28,237	58,679	58,679
Sp.Cat.: Contracted Legal Services	420,333	891,000	891,000
Sp.Cat.: Lease Purchase Equipment	22,428	22,427	22,427
HR Statewide Contract	31,462	31,554	30,567
DP Services Assessment-DMS	236,231	192,564	192,719

Indirect Costs Charged to Trust Fund:	6,892	(687,004)	(687,476)
TR to GR-8% Svc Chrg	4,489	2,667	2,415
Assessment for Investments 890000 - 310403	3,323	2,333	2,113
Transfer to Admin TF - 720103-2021			
Tsfr for Admin. Assessment from 720103-2021	(920)	(1,004)	(1,004)
Contracted Legal Services to be allocated		(691,000)	(691,000)
Adjustment to Prior Year CF	(3,810)		
Compensated Leave Liability			
CY TR10 to 7xxx	1,260		
PY Certified Forward B's	222,211		
Cert Forward Reversions @ 9/30/2019			
Cert Forward Reversions @ 9/30/2018	(497,373)		
Rounding	(4)		
<b>Total Full Costs to Line (B) - Section III</b>	<b>8,871,320</b>	<b>9,799,124</b>	<b>9,439,506</b>

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	8,983,438	9,689,422	9,423,665
TOTAL SECTION II	(B)	8,871,320	9,799,124	9,439,506
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>112,118</b>	<b>(109,702)</b>	<b>(15,841)</b>

**EXPLANATION of LINE C:**

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

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

**Department:** Management Services **Budget Period:** 2020 - 2021  
**Program:** Executive Direction & Administration (72010100)  
**Fund:** Administrative Trust (2021)

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL FY 2018-19	ESTIMATED FY 2019-20	REQUEST FY 2020-21
<b>Receipts:</b>			
Admin. Assessment - 724001-2696	2,519,286	2,795,997	2,823,957
Admin. Assessment - 724002-2033	70,122	67,962	68,642
Admin. Assessment - 726002-2699	44,803	38,599	38,985
Admin. Assessment - 726003-2510	106,482	94,993	95,943
Admin. Assessment - 726004-2510	561,047	450,639	455,145
Admin. Assessment - 726005-2510	48,039	58,714	59,301
Admin. Assessment - 726008-1000	112,222	104,433	105,477
Admin. Assessment - 727504-2678	322,552	416,654	420,821
Admin. Assessment - 727505-2678	96,712	104,831	105,879
Admin. Assessment - 727502-2570	171,796	170,320	172,023
Admin. Assessment - 727502-2667	3,622	2,855	2,884
Admin. Assessment - 727502-2668	823,582	858,129	866,710
Admin. Assessment - 727502-2671	1,566	2,954	2,984
Admin. Assessment - 727503-2309	953,389	1,263,832	1,276,470
Admin. Assessment - 729001-2105	1,409,725	1,288,576	1,301,462
Admin. Assessment - 729001-2344	37,212	40,405	40,809
Admin. Assessment - 729002-2432	262,880	237,674	240,051
Admin. Assessment - 729201-1000	26,427	34,314	34,657
Admin. Assessment - 729201-2558	26,427	34,314	34,657
Admin. Assessment - 729501-2510	117,690	120,051	120,051
Reimbursement from Enterprise of Florida			
Admin. Assessment - 729801-2792	527,992		
Admin. Assessment - 729007-2792		539,243	195,970
Transfer in from Purch TF for Contract Procurement - 72600400-2510	663,870	730,600	730,600
Transfer in Contracted Legal Services 727502-2668			
Transfer in Contracted Legal Services 727504-2678			
Transfer in Contracted Legal Services 727505-2678			
Transfer in Contracted Legal Services 729001-2105		200,000	200,000
Refunds Non-State Revenues			
Refunds & Reimbursements	16,363		
Investment Income	59,432	33,333	30,187
Misc Revenue	200		
<b>Total Fee Collection to Line (A) - Section III</b>	<b>8,983,438</b>	<b>9,689,422</b>	<b>9,423,665</b>

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2020 - 2021</b>
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	ADMINISTRATIVE TRUST
<b>LAS/PBS Fund Number:</b>	ADMINISTRATION (72010100)
	2021

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	40,578 (A)		40,578
ADD: Other Cash (See Instructions)			0
ADD: Investments	2,877,203 (C)		2,877,203
ADD: Outstanding Accounts Receivable	9,132 (D)	279	9,411
ADD: <b>Due from Leased Employees in July</b>			0
<b>Total Cash plus Accounts Receivable</b>	<b>2,926,912 (F)</b>	<b>279</b>	<b>2,927,192</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	702,628 (H)		702,628
Approved "B" Certified Forwards	772 (H)		772
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)	1,609 (I)		1,609
LESS: Other Accounts Payable			0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>2,221,903 (K)</b>	<b>279</b>	<b>2,222,182 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020 - 2021**

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**  (A)  
Total all GLC's 5XXXX for governmental funds;  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment - Increase A/R (B7200016)  (C)

SWFS Adjustment # and Description  (C)

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

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

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

Compensated Absences  (D)

CF Payable Adjustment  (D)

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

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)**  (F)

**DIFFERENCE:**  (G)\*

**\*SHOULD EQUAL ZERO.**

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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72010100 Executive Direction/Support Services  
**Fund:** 2510 Operating Trust Fund

**Specific Authority:** Section 215.32, Florida Statutes  
**Purpose of Fees Collected:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

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

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

	(1)	(2)	(3)	(4)
<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>	
	<b>FY 2018-19</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>	
<b><u>Receipts:</u></b>				
<b>Total Fee Collection to Line (A) - Section III</b>	-	-	-	-

**SECTION II - FULL COSTS**

**Direct Costs:**

Salaries and Benefits				
Expenses				
SC: Contracted Services	50,000	50,000	50,000	50,000
SC: Risk Management				
SC: HR Services				
DP Svcs-SSRC				
Indirect Costs Charged to Trust Fund:	(50,000)	(50,000)	(50,000)	(50,000)
<b>Total Full Costs to Line (B) - Section III</b>	-	-	-	-

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	-	-	-
TOTAL SECTION II	(B)	-	-	-
<b>TOTAL - Surplus/Deficit</b>	(C)	-	-	-

**EXPLANATION of LINE C:**

\_\_\_\_\_  
 \_\_\_\_\_

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2020-21</b>
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	OPERATING TRUST
<b>LAS/PBS Fund Number:</b>	ADMINISTRATION (72010100)
	2510

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	(50,000) (A)		(50,000)
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable			0
ADD: _____			0
<b>Total Cash plus Accounts Receivable</b>	(50,000) (F)		(50,000)
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)			0
LESS: Other Accounts Payable			0
<b>Unreserved Fund Balance, 07/01/19</b>	(50,000) (K)		(50,000)**

**Notes:**

\*SWFS = Statewide Financial Statement

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



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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Office of the Secretary -Administration

**Phone Number:** (850) 487-9476

(1) NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
IA 2017-25  Audit of the Management of Third Party Service Providers  Issued: December 2017	6/30/2018	Departmental Purchasing	<p><b>Finding No. 1:</b> During the audit, we noted that the risk assessment element of the monitoring process, as outlined in CFO Memo # 6 (11-12), had not been included in the department's policies and procedures. Also, the department's divisions did not always perform risk assessments or did not perform them consistently when developing contract monitoring plans.</p> <p><b>Recommendation:</b> We recommend that management update the department's policies and procedures regarding monitoring service providers to include specific procedures for performing risk assessments as a part of developing a monitoring plan. In addition, we recommend that these procedures include the criteria and evaluation method for conducting risk assessments as well as requirements regarding the frequency of risk assessments. Including this information in the department's policies and procedures will help ensure consistency and more effective monitoring of service providers' performance. Also, it will help ensure compliance with the FCCM Participant Guide.</p>	<p>The Department will ensure that policies are in place to direct the inclusion of a contract risk assessment, as required by CFO memo No. 06 (2011-2012). As the Department strives to work to the highest standard of project management, the Department will review the appropriate standard and guidance for contract risk assessments that works in coordination with project risk assessments.</p> <p><b>12-Month Follow-up Status Summary:</b> Departmental Purchasing is in the process of updating the current policy and procedures to ensure compliance with audit findings and mandatory requirements.</p> <p><b>August 2, 2019 Status Update:</b> Departmental Purchasing (DP) has established a new purchasing analyst position that we anticipate filling in August 2019. This position's primary focus will be to update DPs policies and procedures to ensure compliance with statutes, rules, DFS memo's, and recent audit findings.</p> <p>DP will also be updating performance expectations for key staff within the section to ensure successful implementation of the DP Business Plan that was established last FY. The performance expectations will focus on updating policies, procedures, creating reference materials and job aids and providing guidance and training on procurement, contract management and purchasing rules. DP anticipates all policies and procedures to be updated this FY.</p>	

NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA 2017-25  Audit of the Management of Third Party Service Providers  Issued: December 2017	6/30/2018	Departmental Purchasing	<p><b>Finding No. 2:</b> A review and evaluation of the use of a monitoring plan, specific monitoring procedures and criteria, and documentation or evidence to support monitoring results and conclusions revealed the following:</p> <ul style="list-style-type: none"> <li>• Not all contracts had a formal monitoring plan.</li> <li>• Many of the plans remained static throughout the life of the contract for those contracts with formal monitoring plans.</li> <li>• Documentation and evidence maintained to support monitoring results and conclusions were inconsistent.</li> <li>• The implementation of procedures to independently validate and verify the service providers' deliverables (i.e., reports and data) and performance did not demonstrate a consistent level of effort within the divisions.</li> </ul> <p>The review also noted that some divisions utilized many different types of monitoring tools to document these activities while other divisions had very little documentation of their monitoring efforts. Further, a review of the department's policies and procedures noted that while contract monitoring is listed as a contract manager's responsibility, the policies and procedures do not outline all of the items listed above, although they are a part of the requirements of the contract monitoring process as outlined in CFO Memo #6 (11-12). Also, the department's policies and procedures referenced an overall performance evaluation. However, there was no record of these evaluations.</p> <p><b>Recommendation:</b> We recommend that management update the department's policies and procedures related to contract monitoring to include specific guidance and requirements for the following:</p> <ul style="list-style-type: none"> <li>• Preparing a monitoring plan,</li> <li>• Frequency of plan update,</li> <li>• Documentation and evidence of monitoring activities to be obtained and maintained, and</li> <li>• Procedures for validating and verifying service providers' deliverables (i.e., reports and data) and performance independently.</li> </ul> <p>Management should take steps to ensure that the updated policies and procedures include the department's minimum expectations as well as all requirements outlined in CFO Memo #6 (11-12). Also, we recommend that management provide internal training to division staff to ensure that expectations and requirements are clear.</p>	<p>The Department currently has in place policies to direct the inclusion of a contract monitoring plan, as required by CFO memo No. 06 (2011-2012). The Department will review the appropriate standard and guidance for contract monitoring that works in coordination with project monitoring.</p> <p><b>12-Month Follow-up Status Summary:</b>            Departmental Purchasing is in the process of updating the current policy and procedures to ensure compliance with audit findings and mandatory requirements.</p> <p><b>August 2, 2019 Status Update:</b>            Departmental Purchasing (DP) has established a new purchasing analyst position that we anticipate filling in August 2019. This position's primary focus will be to update DPs policies and procedures to ensure compliance with statutes, rules, DFS memo's, and recent audit findings.</p> <p>DP will also be updating performance expectations for key staff within the section to ensure successful implementation of the DP Business Plan that was established last FY. The performance expectations will focus on updating policies, procedures, creating reference materials and job aids and providing guidance and training on procurement, contract management and purchasing rules. DP anticipates all policies and procedures to be updated this FY.</p>	

NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA 2017-25  Third Party Service Provider Management Audit  Issued: December 2017	6/30/2018	Departmental Purchasing	<p><b>Finding No. 3:</b> We noted that sometimes the invoice payments were not timely and that one invoice was paid outside of the state's 40-day prompt payment requirement, resulting in an interest penalty payment. As a result, we expanded our review of invoices to identify any other interest payments during the fiscal year and noted the following from the review:</p> <ul style="list-style-type: none"> <li>• Seven of 44 (15.9%) invoices were submitted to FMS outside of the 10-day requirement outlined in department policies and procedures,</li> <li>• Six of 44 (13.6%) invoices were submitted to DFS outside of the statutory 20-day requirement,</li> <li>• And four invoices (9.1%) were paid outside of the 40-day prompt payment requirement, resulting in interest penalties totaling \$18,832.87.</li> </ul> <p>We noted that the contract manager certification statements provided for 13 of 41 (31.7%) invoices sampled were documented by someone other than the contract managers or were not documented at all. In these cases, only two divisions were able to provide delegation of authority documentation where the contract manager was unable to complete the certification statement.</p> <p><b>Recommendation:</b> We recommend that management update the department's policies and procedures related to payment processing to include specific requirements for timely invoice processing, compliance with related statute regarding contract manager certification, and compliance with rule regarding contract manager delegation. Also, we recommend that management provide internal training to division staff to ensure that expectations and requirements are clear regarding prompt payment, interest penalties, contract manager certification, and delegation of responsibilities.</p>	<p>The Department currently has in place policies to direct the inclusion of timely invoice process, as required by section 215.22, Florida Statutes, and contract manager certification, as required by 287.017(14)(a), Florida Statutes. The Department will review the appropriate standards and guidance for Department contract managers for disputed invoices and delegations of authority. In addition to training supplied by the FCCM certification course, the Department will provide guidance through updated policies, bulletins, and during annual file reviews.</p> <p><b>12-Month Follow-up Status Summary:</b> Departmental Purchasing is in the process of updating the current policy and procedures to ensure compliance with audit findings and mandatory requirements.</p> <p><b>August 2 Status Update:</b> Departmental Purchasing (DP) has established a new purchasing analyst position that we anticipate filling in August 2019. This position's primary focus will be to update DP's policies and procedures to ensure compliance with statutes, rules, DFS memo's, and recent audit findings.</p> <p>DP will also be updating performance expectations for key staff within the section to ensure successful implementation of the DP Business Plan that was established last FY. The performance expectations will focus on updating policies, procedures, creating reference materials and job aids and providing guidance and training on procurement, contract management and purchasing rules. DP anticipates all policies and procedures to be updated this FY.</p>	

NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA 2017-25  Audit of the Management of Third Party Service Providers  Issued: December 2017	6/30/2018	Departmental Purchasing	<p><b>Finding No. 4:</b> During the audit, we noted that the corrective action plan and follow-up procedures used were not consistent across divisions. Although most of the divisions in the audit had procedures in place to identify and address issues noted during the monitoring activities, one division did not have a formal or informal monitoring plans for any of the contracts sampled; therefore, we were unable to review the division's documentation related to the corrective action plans. Also, we noted that the department's policies and procedures do not address the corrective action plan and follow-up processes.</p> <p><b>Recommendation:</b> We recommend that management update the department's policies and procedures related to contract monitoring to include specific requirements for developing corrective action plans and performing follow-up to such plans. Management should take steps to ensure that the update includes the department's minimum expectations. Also, we recommend that management provide internal training to division staff to ensure that expectations and requirements are clear. Finally, we recommend that management consider updating the contract templates to include procedures for ensuring corrective action and follow-up to any required corrective actions.</p>	<p>The Department will ensure that policies are in place to provide guidance should a corrective action plan be required, as required by CFO memo No. 06 (2011-2012). As the Department strives to work to the highest standard of project management, the Department will review the appropriate standard and guidance for contract monitoring that works in coordination with project monitoring.</p> <p><b>12-Month Follow-up Status Summary:</b>            Departmental Purchasing is in the process of updating the current policy and procedures to ensure compliance with audit findings and mandatory requirements.</p> <p><b>August 2, 2019 Status Update:</b>            Departmental Purchasing (DP) has established a new purchasing analyst position that we anticipate filling in August 2019. This position's primary focus will be to update DPs policies and procedures to ensure compliance with statutes, rules, DFS memo's, and recent audit findings.</p> <p>DP will also be updating performance expectations for key staff within the section to ensure successful implementation of the DP Business Plan that was established last FY.</p> <p>The performance expectations will focus on updating policies, procedures, creating reference materials and job aids and providing guidance and training on procurement, contract management and purchasing rules. DP anticipates all policies and procedures to be updated this FY.</p>	

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IA 2017-25  Third Party Service Provider Management Audit  Issued: December 2017	6/30/2018	Departmental Purchasing	<p><b>Finding No. 5:</b> Procedures and processes to closeout contracts were not consistent among the divisions. None of the divisions had implemented procedures that included all of the closeout process items noted in the FCCM Participant Guide. Additionally, we noted that a final payment was processed before management performed procedures to ensure there were no outstanding issues and receipt of all services in one of the contracts. Also, we reviewed the department's policies and procedures and noted that although it outlined closeout procedures, it did not include all of the components recommended in the FCCM Participant Guide.</p> <p><b>Recommendation:</b> We recommend that management update the department's policies and procedures related to contract management and monitoring to include all of the components for closing out a contract as documented in the FCCM Participant Guide. Management should take steps to ensure that this update includes the department's minimum expectations for closing out contracts. The policies and procedures should ensure that all contract terms and conditions are met and all outstanding issues have been resolved prior to final payment to the service providers. Also, the procedures should ensure the official contract files contain all necessary closeout documentation. Finally, we recommend that management provide internal training to division staff to ensure that expectations and requirements are clear.</p>	<p>The Department has in place policies for contract administrator close out procedures, as recommended by the FCCM Participant Guide. As the Department strives to work to the highest standard of project management, the Department will review the appropriate standard and guidance for contract closeout that works in coordination with project closeout.</p> <p><b>12-Month Follow-up Status Summary:</b>            Departmental Purchasing is in the process of updating the current policy and procedures to ensure compliance with audit findings and mandatory requirements.</p> <p><b>August 2, 2019 Status Update:</b>            Departmental Purchasing (DP) has established a new purchasing analyst position that we anticipate filling in August 2019. This position's primary focus will be to update DP's policies and procedures to ensure compliance with statutes, rules, DFS memo's, and recent audit findings.</p> <p>DP will also be updating performance expectations for key staff within the section to ensure successful implementation of the DP Business Plan that was established last FY.</p> <p>The performance expectations will focus on updating policies, procedures, creating reference materials and job aids and providing guidance and training on procurement, contract management and purchasing rules. DP anticipates all policies and procedures to be updated this FY.</p>	

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IA 2017-25  Audit of the Management of Third Party Service Providers  Issued: December 2017	6/30/2018	Departmental Purchasing	<p><b>Finding No. 6:</b> During the audit, we noted that the same employee is able to perform many of the contract management and monitoring tasks. In all divisions sampled, the contract manager is able to authorize, process, record, and review transactions. In addition, the contract managers may receive checks in the mail from service providers. Further, contract managers work very closely with the service providers as the department liaison, often for long periods or the entire life of the contract with the department. This could have the effect of impairing the objectivity of a contract manager.</p> <p><b>Recommendation:</b> We recommend that management consider implementing procedures to separate some of the duties performed by the contract manager or implementing additional control procedures to compensate for areas with limited segregation of duties.</p>	<p>The Department will look at maximizing our ability to add the appropriate controls and segregation of duties within teams within existing resources.</p> <p><b>12-Month Follow-up Status Summary:</b> Departmental Purchasing is in the process of updating the current policy and procedures to ensure compliance with audit findings and mandatory requirements.</p> <p><b>August 2, 2019 Status Update:</b> Departmental Purchasing (DP) has established a new purchasing analyst position that we anticipate filling in August 2019. This position's primary focus will be to update DPs policies and procedures to ensure compliance with statutes, rules, DFS memo's, and recent audit findings.</p> <p>DP will also be updating performance expectations for key staff within the section to ensure successful implementation of the DP Business Plan that was established last FY. The performance expectations will focus on updating policies, procedures, creating reference materials and job aids and providing guidance and training on procurement, contract management and purchasing rules. DP anticipates all policies and procedures to be updated this FY.</p>	
IA 2017-25  Audit of the Management of Third Party Service Providers  Issued: December 2017	6/30/2018	Office of Human Resources	<p><b>Finding No. 7:</b> We noted none of the position descriptions in the sample included a statement that the requirements of section 215.422, F.S., are mandatory. Additionally, we noted that the position descriptions did not always use consistent language related to contract management and monitoring responsibilities.</p> <p><b>Recommendation:</b> We recommend that division management continue to work with Human Resources staff to ensure that all employees who process payments, warrants, and invoices have position descriptions that are compliant with the statute. Also, we recommend management review position descriptions to ensure that they contain appropriate language for persons involved in the contract management and monitoring processes.</p>	<p>The Office of Human Resources (OHR) will coordinate with each division to identify all employees who hold contract management and monitoring responsibilities. Once identified, the corresponding position descriptions will be updated to reflect the mandated language found in section 215.422, Florida Statutes.</p> <p><b>12-Month Follow-up Status Summary:</b> The Office of Human Resources (OHR) has coordinated with each division to identify all employees who hold contract management and monitoring responsibilities or are involved in the invoice payment process. The corresponding position descriptions were updated to reflect the mandated language found in section 215.422, Florida Statutes. Policies and procedures pertaining to maintaining position descriptions are documented in DMS policy #HR-102.</p> <p><b>July 31, 2019 Status Update:</b> Complete pending verification by OIG.</p>	

NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF		ISSUE CODE
			FINDINGS AND RECOMMENDATIONS	CORRECTIVE ACTION TAKEN	
IA 2017-25  Audit of the Management of Third Party Service Providers  Issued: December 2017	6/30/2018	Departmental Purchasing	<p><b>Finding No. 8:</b> We reviewed the 13 contract files selected in the audit sample and found that Department Purchasing staff could not provide documentation of the review for one (8%) of the files. Also, we found that two (15%) items that were noted as outstanding during the review had not been followed up on and corrected within two weeks as required by the department's policies and procedures. The correction of the discrepancies was more than five months after the initial review.</p> <p><b>Recommendation:</b> We recommend that Departmental Purchasing management implement procedures to ensure that the contract file review is completed and to ensure the timely correction of any discrepancies.</p>	<p>The Department will increase the language within the Departmental Purchasing Policy 101 to create escalating notifications to supervisors during the follow-up period of the annual file review if the contract managers do not respond timely.</p> <p><b>12-Month Follow-up Status Summary:</b> Departmental Purchasing is in the process of updating the current policy and procedures to ensure compliance with audit findings and mandatory requirements.</p> <p><b>August 2, 2019 Status Update:</b> Departmental Purchasing (DP) has established a new purchasing analyst position that we anticipate filling in August 2019. This position's primary focus will be to update DP's policies and procedures to ensure compliance with statutes, rules, DFS memo's, and recent audit findings.</p> <p>DP will also be updating performance expectations for key staff within the section to ensure successful implementation of the DP Business Plan that was established last FY. The performance expectations will focus on updating policies, procedures, creating reference materials and job aids and providing guidance and training on procurement, contract management and purchasing rules. DP anticipates all policies and procedures to be updated this FY.</p>	
AG 2019-98  Statewide Law Enforcement Radio System (SLERS) Prior Audit Follow-Up and Selected Administrative Activities  Issued: January 2019	6/30/2019	Departmental Purchasing	<p><b>Finding No. 3:</b> Department controls need enhancement to ensure that contract managers document that they are independent of, and have no conflicts of interest related to, the contracts they are responsible for managing.</p> <p><b>Recommendation:</b> We recommend that Department management ensure that all personnel responsible for managing contracts are subject to Department conflict of interest policies and procedures and that all contract managers complete conflict of interest statements evidencing that they are independent of, and have no conflicts of interest related to, the contracts they are responsible for managing.</p>	<p>By February 1, 2019, Department management will ensure all personnel responsible for managing contracts for professional services and building construction within the Division of Real Estate Development and Management will complete conflict of interest statements evidencing that they are independent of, and have no conflicts of interest related to, the contracts they are responsible for managing.</p> <p><b>Six-Month Follow-up Status Summary:</b> As of February 1, 2019, the Division completed and filed no conflict of interest forms for all existing professional services and building construction contracts and implemented a procedure to route a no conflict of interest form along with all new contracts being routed for initial execution.</p>	

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AG 2019-98  Statewide Law Enforcement Radio System (SLERS) Prior Audit Follow-Up and Selected Administrative Activities  Issued: January 2019	6/30/2019	Financial Management Services	<b>Finding No. 4:</b> The Department did not comply with the requirements of State law regarding public deposits.  <b>Recommendation:</b> We recommend that Department management take steps to ensure compliance with the public deposits requirements established in State law.	Upon discovery of outstanding accounts, Financial Management Services (FMS) immediately filed appropriate documentation with the Department of Financial Services. The public deposit procedure will be added to the FMS year-end training to educate the department. FMS will also create and send out an annual memo to the department to ensure all outside accounts are identified and reviewed.  <b>Six-Month Follow-up Status Summary:</b> A group training will be provided to the key financial contacts for the department to ensure education of the public deposit accounts during the first quarter of the year. An annual memorandum will include the process and procedure for the department to ensure all outside accounts are identified and reviewed. An internal procedure will include FMS responsibilities to ensure all deadlines are met.	
AG 2019-98  Statewide Law Enforcement Radio System (SLERS) Prior Audit Follow-Up and Selected Administrative Activities  Issued: January 2019	6/30/2019	Financial Management Services	<b>Finding No. 5:</b> The Department did not always obtain all required authorizations prior to disposing of property items.  <b>Recommendation:</b> We recommend that Department management enhance property controls to ensure, and Department records evidence, that property is only disposed of after Committee authorization.	Financial Management Services (FMS) met with the responsible program area and are working to update the procedure in writing. FMS is in the process of reviewing and updating all property procedures to ensure proper controls are in place. Workflows are being adjusted to increase monitoring of the department's assets. All property forms are being reviewed to ensure processes and proper approvals are being followed. Furthermore, an annual training will be provided to ensure staff are trained and aware of policies and procedures.  <b>Six-Month Follow-up Status Summary:</b> FMS has streamlined many procedures to increase internal control of property through a new online training and purchase of additional scanners for inventory. FMS is continuing to review and update policies and procedures. Training will be held in September for property acquisition, inventory, and disposals. New processes will be implemented beginning July 1 to ensure proper disposal requirements. A newly developed online training is required for all property delegates beginning July 1.	



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AG 2019-98  Statewide Law Enforcement Radio System (SLERS) Prior Audit Follow-Up and Selected Administrative Activities  Issued: January 2019	6/30/2019	IT	<p><b>Finding No. 6:</b> Security controls over mobile device utilization need improvement to ensure the confidentiality, integrity, and availability of Department data and information technology resources.</p> <p><b>Recommendation:</b> We recommend that Department management enhance certain security controls related to employee use of mobile devices to ensure the confidentiality, integrity, and availability of Department data and IT resources.</p>	<p>The department will enhance certain security controls related to employee use of mobile devices to ensure the confidentiality, integrity and availability of Department data and IT resources.</p> <p><b>Six-Month Follow-up Status Summary:</b> In January of 2019, the Department implemented several security tools for agency owned and personal mobile devices which enhanced security controls to ensure the confidentiality, integrity and availability of Department data and IT resources.</p>	
AG 2019-98  Statewide Law Enforcement Radio System (SLERS) Prior Audit Follow-Up and Selected Administrative Activities  Issued: January 2019	6/30/2019	IT	One confidential finding not included.	The corrective action for the confidential finding is not included.	

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AG 2019-220  IT Operational Audit of DMS IT General Controls and Integrated Retirement Information System (IRIS)  Issued: June 2019	6/30/2019	IT	<p><b>Finding No. 4:</b> Our audit procedures disclosed that the Department had not established procedures for comprehensive periodic reviews of privileged accounts used to manage the Department's network domain and the Division's network domain and high-risk network devices. Although comprehensive periodic review procedures had not been established, Department management, or Division management where applicable, indicated that periodic reviews of privileged accounts:</p> <ul style="list-style-type: none"> <li>•Within the Department's network domain were performed quarterly.</li> <li>•Within the Division's network domain were performed every other month.</li> <li>•Used to manage the Division's high-risk network devices were periodically performed.</li> </ul> <p>However, a defined process to conduct and document the reviews did not exist and Department or Division records evidencing the reviews conducted during the period July 1, 2018, through November 5, 2018, were not maintained.</p> <p><b>Recommendation:</b> We recommend that Department management establish and implement procedures for conducting comprehensive periodic reviews of privileged accounts used to manage the Department's network domain and retain documentation of the reviews conducted. We also recommend that Division management establish and implement procedures for conducting comprehensive periodic reviews of privileged accounts used to manage the Division's network domain and high-risk network devices and retain documentation of the reviews conducted.</p>	<p>The Department will develop a procedure to audit and document privileged account access as outlined in the recommendation. The Department expects to have the procedure complete and implemented by September 30, 2019. The Division will implement the Department's developed procedures of auditing and documenting privileged account access at that time.</p>	
AG 2019-220  IT Operational Audit of DMS IT General Controls and Integrated Retirement Information System (IRIS)  Issued: June 2019	6/30/2019	IT	<p><b>Finding No. 5:</b> Our audit procedures disclosed that policies and procedures had not been established for the assignment of privileged accounts for the Division's high-risk network devices, the Department's network domain, and the Division's network domain.</p> <p><b>Recommendation:</b> We recommend that Department management establish, implement, and maintain IT security policies and procedures to manage the protection of Department data and IT resources.</p>	<p>The Department has remediated the finding by implementing a manual process to request and approve elevated access. Additionally, the Department will develop a plan of action to evaluate implementation of an approval processing system for account elevation access requests to include policies and procedures as outlined in the recommendation. The Department expects to have the plan completed by September 30, 2019.</p>	

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AG 2019-220  IT Operational Audit of DMS IT General Controls and Integrated Retirement Information System (IRIS)  Issued: June 2019	6/30/2019	IT	<p><b>Finding No. 7:</b> Our audit procedures disclosed that Division backup controls for IRIS resources need improvement. Specifically, the Department had not established policies and procedures to define the frequency of recoverability testing of Division-managed backups. Additionally, while Division management stated that Division-managed backups were periodically tested to ensure recoverability, the Division was unable to provide documentation to evidence such testing.</p> <p><b>Recommendation:</b> We recommend that Department management establish policies and procedures and related controls that define the frequency of recoverability testing of Division-managed backups and retain evidence of the testing conducted.</p>	The Department concurs with the finding and recommendation. The Department will develop a procedure that defines the frequency of recoverability testing for Division of Retirement managed backups and develop a process for retaining documentation of the recoverability tests. The Department expects to have the procedure finalized and implemented by September 30, 2019.	
AG 2019-220  IT Operational Audit of DMS IT General Controls and Integrated Retirement Information System (IRIS)  Issued: June 2019	6/30/2019	IT	<p><b>Finding No. 8:</b> Our audit procedures disclosed that certain security controls related to logical access, user authentication, configuration management, and logging and monitoring need improvement.</p> <p><b>Recommendation:</b> We recommend that Department management improve certain security controls related to logical access, user authentication, configuration management, and logging and monitoring to ensure the confidentiality, integrity, and availability of Department data and related IT resources.</p>	The Department concurs with the finding and recommendation. The estimated completion date for corrective actions is September 30, 2019.	
AG 2019-220  IT Operational Audit of DMS IT General Controls and Integrated Retirement Information System (IRIS)  Issued: June 2019	6/30/2019	IT	Three of four confidential findings related to the Office of Information Technology and are not included.  <b>See also: Division of Retirement</b>	The corrective action for the confidential findings are not included.	

NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA 2018-017  Audit of Employee Termination and Transfer Processes  Issued: September 2018	6/30/2019	Human Resources	<p><b>Finding No. 1:</b> During the audit, we reviewed the Employee Separation from Employment Policy (No. HR 08-103) and noted that the policy does not address adequately the tasks below. Interviews with OHR and HR liaisons noted that some of the procedures have been communicated orally to the HR liaisons.</p> <ul style="list-style-type: none"> <li>• Specific procedures for notifying OHR and providing written documentation of employee separation;</li> <li>• Procedures to ensure more timely notification to the building access administrator;</li> <li>• Procedures requiring supervisors to determine the assets and access required by employees during their last days at work; and</li> <li>• Timeline for submission of the completed Employee Exit Checklist.</li> </ul> <p>Additionally, the policy states that supervisors should notify the Office of Information Technology (IT) and the business application owners one week prior to an employee's separation date. However, many employees' separation dates are much later than their last day of work or the last day that they require use of assets and access granted them to perform their jobs. The Society for Human Resource Management outlines that a policy should include specific details regarding requirements. Without specific procedures related to these tasks, supervisors' actions may be inconsistent, incomplete and not performed timely.</p> <p><b>Recommendation:</b> We recommend that management update the policies and procedures to include specific procedures for the following.</p> <ul style="list-style-type: none"> <li>• Notifying OHR and providing written documentation of employee separation;</li> <li>• Ensuring more timely notification to the building access administrator;</li> <li>• Requiring supervisors to determine and communicate the assets and access required by employees during their last days at work; and</li> <li>• Timeline for submission of the completed Employee Exit Checklist.</li> </ul>	<p>DMS concurs with the above recommendations and is updating its policies and procedures to incorporate tighter internal controls and more specific guidelines to implement said recommendations. Dissemination of updated policies and procedures will occur through email communications, as well as, training of personnel with assigned responsibility pursuant to said policies and procedures will be provided. Additionally, DMS has already implemented a security badge electronic building access form which is electronically routed with required signatures and submitted electronically directly to the building access administrator ensuring timely notification and tighter controls.</p> <p><b>July 31, 2019 Status Update:</b> Complete pending verification by OIG.</p>	

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IA 2018-017  Audit of Employee Termination and Transfer Processes  Issued: September 2018	6/30/2019	Human Resources	<p><b>Finding No. 2</b> During the audit, OHR provided the following documents and forms used in the employee termination and transfer processes electronically:</p> <ul style="list-style-type: none"> <li>• Employee Separation from Employment Policy (No. HR 08-103),</li> <li>• Service Request Form for a Separating Employee (HR 103-F3), and</li> <li>• Employee Exit Checklist (HR 103-F2).</li> </ul> <p>Our review of the form and checklist noted that the version embedded within the policy did not agree with those provided by OHR. Our review noted the following exceptions:</p> <ul style="list-style-type: none"> <li>• The embedded HR 103-F3 form stated the request did not facilitate removing the employee’s access to business systems such as FLAIR, MFMP, etc., and that the systems administrator should be contacted for access removal to business systems, while the form OHR provided stated that the routing does facilitate removal.</li> <li>• The embedded HR 103-F2 checklist listed two former employees as the administrator for wireless devices even though the checklist OHR provided noted the correct employee.</li> <li>• Also, we noted that the checklist referenced an assigned property repository in People First that had been disabled.</li> <li>• In addition, both checklists contained outdated information regarding OHR employees and department applications.</li> </ul> <p>Ensuring that policies, procedures, and forms related to processes include accurate information helps prevent confusion for parties involved. During the audit, OHR updated the HR103-F2 checklist to include current OHR employees.</p> <p><b>Recommendation:</b> We recommend that OHR management implement monitoring procedures to help ensure that policies, procedures, and forms are kept current.</p>	<p>DMS concurs with the above recommendations and has updated its procedures to implement said recommendations.</p> <p><b>July 31, 2019 Status Update:</b> Complete pending verification by OIG.</p>	

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IA 2018-017  Audit of Employee Termination and Transfer Processes  Issued: September 2018	6/30/2019	Human Resources	<p><b>Finding No. 3:</b> During the audit, we compared the ENF used by the Division of Retirement in the employee termination and transfer processes with the form and checklist referenced by Policy No. HR 08-103 and noted the following exceptions with the department policy.</p> <ul style="list-style-type: none"> <li>• The ENF did not include a task documenting the notification to the DMS.TerminatingEmployeeList@dms.myflorida.com for terminating employees.</li> <li>• The ENF did not document the last day an employee needs the resources and access that have been assigned to them.</li> </ul> <p>However, we noted that the ENF records some information that the department policy does not require. Our comparison noted that the ENF documents:</p> <ul style="list-style-type: none"> <li>• The destruction of purchasing cards and identification badges, repossession of any other department assets, and the removal of access to key applications.</li> <li>• The certification of the completion of the assigned tasks by the bureau chiefs, IT administrators, and the HR liaison.</li> </ul> <p>Ensuring consistency of the information documented helps ensure compliance with department policy and that the change in assets and access, required as a result of an employee's termination or transfer, is timely and accurately completed.</p> <p><b>Recommendation:</b> We recommend that management review and update the ENF to ensure consistency with the department policy. Also, we recommend that management consider adding the following requirements to the department policy:</p> <ul style="list-style-type: none"> <li>• Supervisors and the division access administrators to document the destruction of purchasing cards and department ID badges, the return of assets and the appropriate update of access privileges; and</li> <li>• HR liaisons to certify the receipt and completion of the checklist.</li> </ul>	<p>DMS concurs with the above recommendation and is updating its policies and procedures to implement said recommendations. Dissemination of updated policies and procedures will occur through email communications, as well as, training of personnel with assigned responsibility pursuant to said policies and procedures will be provided.</p> <p><b>July 31, 2019 Status Update:</b> Complete pending verification by OIG.</p>	

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IA 2018-017  Audit of Employee Termination and Transfer Processes  Issued: September 2018	6/30/2019	Human Resources	<p><b>Finding No. 4:</b> During the audit, we reviewed policies and procedures as well as interviewed OHR personnel and HR liaisons and noted that the department does not maintain an inventory of property, authorizations, and department resources that are assigned to employees during their employment. For example, the issuance of the office and cabinet keys, purchasing cards, laptops, and cell phones are not documented in a central place. Also, building, MFMP, FLAIR, IRIS, and FRS Online access information is maintained separately by each system administrator.</p> <p>However, we noted that the Division of Retirement uses the ENF to document the property, authorizations, and other department resources that are assigned to the employees. Without an inventory of property, authorizations, and department resources assigned to employees during their employment, the department risks the loss of these items when employees terminate or transfer. Also, the department could risk unauthorized access to data and resources as a result of changes not made when employees terminate or transfer.</p> <p><b>Recommendation:</b> We recommend that management implement procedures to maintain a centralized inventory of property, authorizations, and other department resources assigned to employees. Also, procedures should be implemented to track all access granted to employees so that it can be removed or changed, as appropriate, when employees terminate or transfer.</p>	<p>DMS concurs with the above recommendations and is updating its policies and procedures to incorporate tighter internal controls and more specific guidelines to implement said recommendations. Dissemination of updated policies and procedures will occur through email communications, as well as, training of personnel with assigned responsibility pursuant to said policies and procedures will be provided. Additionally, DMS has already implemented a security badge electronic building access form which is electronically routed with required signatures and submitted electronically directly to the building access administrator ensuring timely notification and tighter controls for removal or completion of changes, as appropriate, when employees terminate or transfer.</p> <p><b>July 31, 2019 Status Update:</b> Complete pending verification by OIG.</p>	

NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA 2018-017  Audit of Employee Termination and Transfer Processes  Issued: September 2018	6/30/2019	Human Resources	<p><b>Finding No. 5:</b> As a part of the audit, we reviewed documentation for a sample of 15 terminated employees to verify that the documentation was submitted in compliance with the department's policy and procedures. Policy No. HR 08-103 states its purpose is to:</p> <ul style="list-style-type: none"> <li>• Enable and support an effective, timely termination process;</li> <li>• Notify all pertinent parties of the employee's departure; and</li> <li>• Ensure proper close-out of access to information technology, phones, bank accounts, purchasing cards, and equipment.</li> </ul> <p>According to the policy, the HR 103-F2 checklist helps ensure all aspects of the termination process are addressed, and it is a tracking mechanism for the activities listed in policy that must be performed. Additionally, the policy requires the supervisors to submit the HR 103-F3 form and the checklist to OHR for inclusion in the employee's personnel file.</p> <p>We noted the following:</p> <ul style="list-style-type: none"> <li>• The HR 103-F3 form was not available for one (7%) employee. In addition, for the remaining 14 employees, we noted for seven (50%) employees the forms submitted to DMS.TerminatingEmployeeList@dms.myflorida.com exceeded the required timeline; and</li> <li>• The HR 103-F2 checklist was not available for six employees (40%). In addition, for the remaining nine employees, we noted for four (44%) employees the checklists were incomplete. Therefore, we were unable to determine if all the assets were obtained and access was canceled.</li> </ul> <p>Discussion with the HR liaisons noted that not all of the department's supervisors and HR liaisons were clear as to when the checklist should be completed. Additionally, management has not established any monitoring procedures to ensure compliance with policies and procedures, including sufficient documentation. Noncompliance with the policy and procedures places the department at risk for the loss of property and equipment. In addition, inappropriate access could exist.</p> <p><b>Recommendation:</b> We recommend that OHR develop and implement monitoring procedures to ensure timely compliance with the policies and procedures. At a minimum the monitoring procedures should include:</p> <ul style="list-style-type: none"> <li>• Verifying completeness of the HR 103-F2 checklist, and</li> <li>• Notifying the directors of the divisions and offices when their units are noncompliant.</li> </ul> <p>Also, we recommend that OHR ensure during the quarterly meetings with the HR liaisons that the HR liaisons, as well as the supervisors, understand the policies and procedures.</p>	<p>DMS concurs with the above recommendation and is updating its policies and procedures to implement said recommendations. Dissemination of updated policies and procedures will occur through email communications, as well as, training of personnel with assigned responsibility pursuant to said policies and procedures will be provided.</p> <p><b>July 31, 2019 Status Update:</b> Continuing to monitor.</p>	



NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA 2018-017  Audit of Employee Termination and Transfer Processes  Issued: September 2018	6/30/2019	Human Resources	<p><b>Finding No. 6:</b> The department does not have a written policy to specifically address the processing of employees transferring from one position to another. We interviewed the Director of Human Resources, and she explained that she considers a transfer to represent an internal termination of an employee from one area and a new hire in another area.</p> <p>During the audit, we selected a sample of 14 transferred employees to assist in our evaluation of the internal termination practices. We noted that the documentation completed for these employees was not consistent. In particular, our sample of 14 transferred employees noted the following:</p> <ul style="list-style-type: none"> <li>• The HR 103-F3 form was not provided for eight of the 14 (57%) employees, and</li> <li>• The HR 103-F2 checklist was not provided for 11 of the 14 (79%) employees.</li> </ul> <p>Additionally, since the department does not have a written policy, there is no guidance regarding the necessary changes to the property, equipment, authorization, and access of a transferring employee. Therefore, the department's property, equipment, authorization, and access previously granted to the employee may be inappropriate for the employee in the new position.</p> <p><b>Recommendation:</b> We recommend that management develop and implement policies and procedures for processing transferring employees which ensure that property, equipment, authorization, and access remain appropriate after an employee has transferred to a new position.</p>	<p>DMS concurs with the above recommendations and is updating its policies and procedures to implement said recommendations. Dissemination of updated policies and procedures will occur through email communications, as well as, training of personnel with assigned responsibility pursuant to said policies and procedures will be provided. Additionally, DMS has already implemented a security badge electronic building access form which is electronically routed with required signatures and submitted electronically directly to the building access administrator ensuring timely notification and tighter controls for removal or completion of changes, as appropriate, when employees transfer.</p>	

NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA Report No. A-1819-26  Audit of the Agency for State Technology Purchasing Card Program  Issued: June 2019	6/30/2019	Purchasing Card Program	<p><b>Finding No. 1:</b> Updates Needed to Agency Documentation The Agency's Purchasing Card (PCard) Plan, policies, procedures, and training have not been updated to reflect the Agency's change from the FLAIR PCard module to the Works system. Additionally, these documents did not always include the updated guidance issued by DFS in Agency Addressed Memorandums.</p> <p><b>Recommendation:</b> We recommend that F&amp;A update the Agency's Purchasing Card Plan, policies, procedures, and internal training to include the new DFS requirements and Agency Addressed Memorandums that are applicable to the program.</p>	<p><b>Planned Corrective Action:</b> The Agency will be merging with DMS effective July 1, 2019. The DMS Chief of Finance and Accounting has agreed that it would not be practical to update Agency policies at this point since we will be under DMS rules effective July 1, 2019.</p>	
IA Report No. A-1819-26  Audit of the Agency for State Technology Purchasing Card Program  Issued: June 2019	6/30/2019	Purchasing Card Program	<p><b>Finding No. 2:</b> Timeliness of PCard Approvals Not all sampled transactions had the required Agency preapprovals or met the DFS recommended ten calendar days transaction approval timeframe.</p> <p><b>Recommendation:</b> We recommended that Finance and Accounting determine the necessity of the Agency's preapproval with the implementation of the Works system. Additionally, based on that determination additional training may be needed to ensure all transactions receive the appropriate timely approvals.</p>	<p><b>Planned Corrective Action:</b> We concur with the recommendation and the need to review the necessity of the PCard preapproval process. We will make the recommendations to the new Division of State Technology at DMS and look for opportunities as we adopt, and merge associated processes.</p>	

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

<b>Department Title:</b>	<b>Budget Period: 2020-21</b>
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>LAS/PBS Fund Number:</b>	OPERATING TRUST
	2510 - ADMINISTRATION (72010100)

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

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

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

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

SWFS Adjustment # and Description  (C)

SWFS Adjustment # and Description  (C)

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

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

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

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

(D)

(D)

(D)

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

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)**  (F)

**DIFFERENCE:**  (G)\*

**\*SHOULD EQUAL ZERO.**

# State Employee Leasing Program

## Exhibits or Schedules

# State Employee Leasing Program

## Schedule I Series

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

**Department:** 72 Management Services **Budget Period:** 2020-21  
**Program:** 72010300 State Employee Leasing Program  
**Fund:** 2021 Administrative Trust

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

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

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

(1) <b>SECTION I - FEE COLLECTION</b>	(2) <b>ACTUAL FY 2018-19</b>	(3) <b>ESTIMATED FY 2019-20</b>	(4) <b>REQUEST FY 2020-21</b>
<b>Receipts:</b>			
Reimbursement from Enterprise	91,970	91,235	91,566
Reimbursement from BBIB			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>91,970</b>	<b>91,235</b>	<b>91,566</b>

(1) <b>SECTION II - FULL COSTS</b>	(2) <b>ACTUAL FY 2018-19</b>	(3) <b>ESTIMATED FY 2019-20</b>	(4) <b>REQUEST FY 2020-21</b>
<b>Direct Costs:</b>			
Salaries and Benefits	88,197	89,483	89,814
HR Statewide Contract	756	748	748
Indirect Costs Charged to Trust Fund:	920	1,004	1,004
<b>Total Full Costs to Line (B) - Section III</b>	<b>89,873</b>	<b>91,235</b>	<b>91,566</b>

Basis Used: Accrual

<b>SECTION III - SUMMARY</b>				
TOTAL SECTION I	(A)	91,970	91,235	91,566
TOTAL SECTION II	(B)	89,873	91,235	91,566
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>2,097</b>	<b>-</b>	<b>-</b>

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020 - 2021
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	ADMINISTRATIVE TRUST
<b>LAS/PBS Fund Number:</b>	ADMINISTRATION (72010300)
	2021

	Balance as of 6/30/2019		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	28,478	(A)		28,478
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)	0	0
ADD: Due from Leased Employees in July		(E)		0
<b>Total Cash plus Accounts Receivable</b>	28,478	(F)	0	28,478
LESS: Allowances for Uncollectibles		(G)		0
LESS: Approved "A" Certified Forwards	4,888	(H)		4,888
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: Other Accounts Payable		(J)		0
<b>Unreserved Fund Balance, 07/01/17</b>	23,589	(K)	0	23,589**

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020 - 2021**

**Department Title:** MANAGEMENT SERVICES

**Trust Fund Title:** ADMINISTRATIVE TRUST

**LAS/PBS Fund Number:** STATE EMPLOYEE LEASING (72010300)

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/2019**

Total all GLC's 5XXXX for governmental funds; 23,459 (A)  
 GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment #C7200032 - reduce A/R   (C)

SWFS Adjustment # and Description   (C)

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

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

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

A/P not C/F-Operating Categories 130 (D)

Anticipanted Receivable   (D)

  (D)

  (D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 23,589 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** 23,589 (F)

**DIFFERENCE:** (0) (G)\*

**\*SHOULD EQUAL ZERO.**



Facilities Management

Exhibits or Schedules

# Facilities Management

## Schedule I Series

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period: 2021-22**  
**Program:** 72400100 Facilities Management  
**Fund:** 2313 Florida Facilities Pool Clearing Trust

**Specific Authority:** Section 255.503, Florida Statutes  
**Purpose of Fees Collected:** Used to satisfy debt service requirements, capital depreciation, and to transfer to the Div.of Fac.Mgmt. to cover cost of operations and maintenance

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018-19</b>	<b>FY 2019 -20</b>	<b>FY 2020 -21</b>
<u>Receipts:</u>			
<u>Office Space-State</u>	99,616,057	99,550,872	99,606,784
<u>Interest Earnings</u>	808,513		
<u></u>			
<u></u>			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>100,424,570</b>	<b>99,550,872</b>	<b>99,606,784</b>

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>			
Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
<u>Fixed Capital Outlay (Debt Service)</u>	23,042,269	22,939,269	19,967,233
<u></u>			
Indirect Costs Charged to Trust Fund	50,646,621	76,484,443	76,518,441
<b>Total Full Costs to Line (B) - Section III</b>	<b>50,646,621</b>	<b>76,484,443</b>	<b>76,518,441</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	100,424,570	99,550,872	99,606,784
TOTAL SECTION II	(B)	50,646,621	76,484,443	76,518,441
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>49,777,949</b>	<b>23,066,429</b>	<b>23,088,343</b>

**EXPLANATION of LINE C:**

\_\_\_\_\_  
 \_\_\_\_\_

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2020 - 2021**

<b>Department Title:</b>	MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	FL FAC POOL CLEARING TRUST
<b>Budget Entity:</b>	FACILITIES MANAGEMENT (72400100)
<b>LAS/PBS Fund Number:</b>	2313

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	500,694 (A)		500,694
ADD: Other Cash (See Instructions)			0
ADD: Investments	49,180,394 (C)		49,180,394
ADD: Outstanding Accounts Receivable	154,986 (D)		154,986
ADD: Deferred Outflows			0
<b>Total Cash plus Accounts Receivable</b>	<b>49,836,074 (F)</b>	<b>0</b>	<b>49,836,074</b>
LESS Allowances for Uncollectibles	0 (G)		0
LESS Approved "A" Certified Forwards			0
Approved "B" Certified Forwards			0
FCO June 30 Reversion			0
LESS: Other Accounts Payable (Debt Service in TB)			0
LESS: Other AP (Non Op - Cap Depr.)	3,951,381 (I)		3,951,381
Other AP (Non Op - Interest Payable)	2,660,768 (I)		2,660,768
Bond-Related obligations			0
LESS: Unearned Revenue	2,213,439 (J)		2,213,439
LESS: Unearned Revenue	41,010,486 (J)		41,010,486
<b>Unreserved Fund Balance, 07/01/19</b>	<b>(0) (K)</b>	<b>0</b>	<b>(0)**</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020-21**

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

**BEGINNING TRIAL BALANCE:**

Total all GLC's 5XXXX for governmental funds; 8,016,925 (A)  
GLC 539XX for proprietary and fiduciary funds

**Add/Subtract:**

Adjustment for restricted assets in GL 539xx  (B)  
The Florida Facilities Pool Trust Fund

unencumbered cash balance will not  
equal the retained earnings unreserved  
in FLAIR because bond liabilities are  
recorded in this fund but the assets  
are recorded in the Supervision Trust Fund  
The Florida Facilities Pool Trust Funds  
are consolidated for Statewide Financial Purposes.

**All assets in this fund are considered  
restricted per the Bond Covenants.**

**Other Adjustment(s):**

SWFS Adjustment - Fund Balance (8,016,925) (C)

FCO June 30 Reversion  (C)

(C)

**ADJUSTED BEGINNING TRIAL BALANCE:** 0 (D)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** (0) (E)

**DIFFERENCE:** 0 (F)\*

**\*SHOULD EQUAL ZERO.**

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services                      **Budget Period:** 2020-21  
**Program:** 72400100 Facilities Management  
**Fund:** 2495 Public Facilities Fin TF

**Specific Authority:** Section 255.518, Florida Statutes  
**Purpose of Fees Collected:** Receives bond proceeds from sale of bond issues. Used for construction of DMS facilities.

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018-19</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>

Receipts:

Rent-State _____	45,760,330		
Sale of Goods and Services _____	642,572		
_____			
_____			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>46,402,902</b>	<b>-</b>	<b>-</b>

**SECTION II - FULL COSTS**

Direct Costs:

Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
_____			
_____			
Indirect Costs Charged to Trust Fund	\$51,468,954		
<b>Total Full Costs to Line (B) - Section III</b>	<b>51,468,954</b>	<b>-</b>	<b>-</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	46,402,902	-	-
TOTAL SECTION II	(B)	51,468,954	-	-
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(5,066,052)</b>	<b>-</b>	<b>-</b>

**EXPLANATION of LINE C:**

\_\_\_\_\_

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2020 - 2021**

<b>Department Title:</b>	MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	PUBLIC FACILITIES FINANCING TRUST - Private Prison Bonds
<b>Budget Entity:</b>	FACILITIES MANAGEMENT (72400000, 495001)
<b>LAS/PBS Fund Number:</b>	2495

	Balance as of 6/30/2019		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	(A)		(A)	0
ADD: Other Cash (See Instructions)	57,338,547	(B)	(45,493,234.59)	11,845,313
ADD: Investments	(C)		(C)	0
ADD: Outstanding Accounts Receivable	(D)		(D)	0
ADD: _____	(E)		(E)	0
<b>Total Cash plus Accounts Receivable</b>	57,338,547	(F)	(45,493,235)	11,845,313
LESS Allowances for Uncollectibles	(G)		(G)	0
LESS Approved "A" Certified Forwards	(H)		(H)	0
Approved "B" Certified Forwards	(H)		(H)	0
Approved "FCO" Certified Forwards	(H)		(H)	0
LESS: Other Accounts Payable (Non Operating)	9,733,342	(I)	(6,321,821.18)	3,411,521
LESS: Other - Assets restricted by bond covenants	47,605,176	(J)	(39,171,413.41)	8,433,763
<b>Unreserved Fund Balance, 07/01/19</b>	29	(K)	0	29**

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020 - 2021**

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/18**  
Total all GLC's 5XXXX for governmental funds; (495019)  (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment # and Description  (C)

SWFS Adjustment # and Description  (C)

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

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

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

Amounts restricted by bond covenants  (D)

(D)

(D)

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

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)**  (F)

**DIFFERENCE:**  (G)\*

**\*SHOULD EQUAL ZERO.**



**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period:** 2020-21  
**Program:** 72400100 Facilities Management  
**Fund:** 2510 Operating Trust Fund  
**Specific Authority:** Section 215.32, Florida Statutes  
**Purpose of Fees Collected:** Various

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018-19</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>

**Receipts:**

Transfer In for Tenant Improvements	<input type="text"/>	<input type="text"/>	<input type="text"/>
Interest Earnings	<input type="text"/>	<input type="text"/>	<input type="text"/>
Transfer in from SCS 2nd DCA Study	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tenant Improvements Revenues	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Total Fee Collection to Line (A) - Section III</b>	<b><input type="text" value="-"/></b>	<b><input type="text" value="-"/></b>	<b><input type="text" value="-"/></b>

**SECTION II - FULL COSTS**

**Direct Costs:**

Salaries and Benefits	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other Personal Services	<input type="text"/>	<input type="text"/>	<input type="text"/>
Expenses	<input type="text"/>	<input type="text"/>	<input type="text"/>
FCO 2nd DCA Study - 080035	<input type="text"/>	<input type="text"/>	<input type="text"/>
S.C.:Master Lease Space Tenant Imprv.	<input type="text"/>	<input type="text"/>	<input type="text" value="-"/>
S.C.:Tenant Broker Commissions	<input type="text"/>	<input type="text"/>	<input type="text"/>
Indirect Costs Charged to Trust Fund:	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Total Full Costs to Line (B) - Section III</b>	<b><input type="text" value="-"/></b>	<b><input type="text" value="-"/></b>	<b><input type="text" value="-"/></b>

Basis Used: Accrual

**SECTION III - SUMMARY**

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

**EXPLANATION of LINE C:**

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

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020-21 MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	OPERATING TRUST
<b>Budget Entity:</b>	FACILITIES MANAGEMENT (72400100)
<b>LAS/PBS Fund Number:</b>	2510

	Balance as of 6/30/2018	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	1,721		1,721
ADD: Other Cash (See Instructions)		(B)	0
ADD: Investments		(C)	0
ADD: Outstanding Accounts Receivable		(D)	0
ADD: Anticipated Receivables		(E)	0
<b>Total Cash plus Accounts Receivable</b>	1,721	(F)	1,721
LESS Allowances for Uncollectibles		(G)	0
LESS Approved "A" Certified Forwards		(H)	0
Approved "B" Certified Forwards		(H)	0
Approved "FCO" Certified Forwards		(H)	0
LESS: Other Accounts Payable (Non Operating)		(I)	0
LESS: <u>Other Accounts Payable</u>		(J)	0
<b>Unreserved Fund Balance, 07/01/19</b>	1,721	(K)	1,721 **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020-21**

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

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

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

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

SWFS Adjustment # and Description  (C)

SWFS Adjustment # and Description  (C)

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

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

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

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

Anticipated Receivable (FCO)  (D)

(D)

(D)

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

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

**DIFFERENCE:**  (G)\*

**\*SHOULD EQUAL ZERO.**

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** Management Services                      **Budget Period:** **FY 2020 -21**  
**Program:** Facilities Management (72400100)  
**Fund:** Supervision Trust Fund (2696)

**Specific Authority:** Section 255.503, Florida Statutes  
**Purpose of Fees Collected:** To provide funds for the operation, maintenance, parking, security, and administration of state-owned facilities controlled by the Department of Management Services.

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018 -19</b>	<b>FY 2019 -20</b>	<b>FY 2020 -21</b>
<b>Receipts:</b>			
<u>Paid Parking Fees-State Agencies</u>	207,229	198,000	198,000
<u>Paid Parking Fees-Employees</u>	609,505	568,000	568,000
<u>Paid Parking Fees-Non-State Agencies</u>		54,000	54,000
<u>Investment Income</u>	627,559	500,000	500000
<u>Refunds</u>	239,888		
<u>Insurance Recoveries due to Hurricanes</u>	398,272	54,121	
<u>Transfers from w/in the Agency- Auction Proceeds</u>	2,403		
<u>Transfer from SBA-O&amp;M</u>	62,153,120	61,611,603	71378206
<u>Transfer from SBA-Capital Depreciation</u>	7,971,312	15,000,000	8,261,345
<u>22nd Floor Rental Receipts</u>	16,500	19,000	19,000
<u>Federal Funds</u>	72,558		
<u>Tower Lease</u>		13,400	13400
<b>Total Fee Collection to Line (A) - Section III</b>	<b>72,298,346</b>	<b>78,018,124</b>	<b>80,991,951</b>

**SECTION II - FULL COSTS**

<b>Direct Costs:</b>			
<u>Salaries and Benefits</u>	13,250,858	14,916,206	14,974,187
<u>Other Personal Services</u>	213,382	268,586	268,917
<u>Expenses</u>	5,175,780	5,176,035	5,716,035
<u>Operating Capital Outlay</u>	73,438	73,727	73,727
<u>Acquisition/Motor Vehicles</u>	240,010	150,000	150,000
<u>TR/FDLE-Capitol Police</u>	7,292,781	7,377,869	7,398,114
<u>Contracted Services</u>	10,559,852	10,800,370	13,619,738
<u>DMS/Facilities Security</u>	1,125,702	1,148,387	1,248,387

Interior Refurbish/Lease	1,951,757	1,942,689	1,942,689
Risk Mgmt Insurance	257,416	231,093	231,093
State Utility Payments	13,872,714	14,502,406	14,502,406
Deferred-Pay Com Contracts	1,627,007	1,657,550	1,627,007
Public Assistance/ST OPS	123,422	-	-
Lease/Purchase/Equipment	97,223	97,570	97,570
TR/DMS/HR SVC/STW Contract	78,520	77,691	77,691
Capitol Repairs	50,000	50,000	50,000
DP Assessment	310,257	252,908	193,112
Indirect Costs Charged to Trust Fund	2,668,131	3,301,750	3,598,431
<b>Total Full Costs to Line (B) - Section III</b>	<b>58,968,250</b>	<b>62,024,837</b>	<b>65,769,104</b>

Basis Used:

\_\_\_\_\_

\_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	72,298,346	78,018,124	80,991,951
TOTAL SECTION II	(B)	58,968,250	62,024,837	65,769,104
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>13,330,096</b>	<b>15,993,287</b>	<b>15,222,847</b>

**EXPLANATION of LINE C:**

\_\_\_\_\_

\_\_\_\_\_

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020-21
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	SUPERVISION TRUST
<b>LAS/PBS Fund Number:</b>	FACILITIES MANAGEMENT (72400100)
	2696

	Balance as of 6/30/2019		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	5,106,326	(A)		5,106,326
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments	20,514,867	(C)		20,514,867
ADD: Outstanding Accounts Receivable	4,161,255	(D)	72,558	4,233,813
ADD: <u>Anticipated reimbursement on FCO from S</u>	26,575,090	(E)		26,575,090
ADD: <u>Prior Year FCO Certified Forward</u>		(E)		0
<b>Total Cash plus Accounts Receivable</b>	56,357,539	(F)	72,558	56,430,097
LESS Allowances for Uncollectibles	0	(G)		0
LESS Approved "A" Certified Forwards	3,568,928	(H)	-	3,568,928
Approved "B" Certified Forwards	98,306	(H)		98,306
Approved "FCO" Certified Forwards	26,575,090	(H)		26,575,090
LESS: Other Accounts Payable (Non Operating)	25,927	(I)		25,927
LESS: Other Accounts Payable				-
LESS: Unearned Revenue		(J)		0
<b>Unreserved Fund Balance, 07/01/19</b>	26,089,287	(K)	72,558	26,161,845 **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020-21**

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

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/19</b>	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	17,856,469 (A)
<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	
<b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments:</b>	
SWFS Adjustment - Increase A/R (B700005)	72,558 (C)
SWFS Adjustment - Increase A/R (B700029)	
SWFS Adjustment - Decrease Installment Purchase Contracts (B7200039)	1,390,266 (C)
<b>Add/Subtract Other Adjustment(s):</b>	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(98,306) (D)
A/P not certified forward - operating	97,243 (D)
Installment Purchase contracts (GL 38500, 48500) - s/b in GL 53	5,531,283 (D)
Compensated Absences not CF (GL 38600, 48600)	1,314,755 (D)
Certified Payable Adjustment	(2,421) (D)
<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<b>26,161,845 (E)</b>
<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)</b>	<b>26,161,845 (F)</b>
<b>DIFFERENCE:</b>	<b>0 (G)*</b>

**\*SHOULD EQUAL ZERO.**

# SCHEDULE IV-B FOR TRIRIGA ASSET MANAGEMENT

For Fiscal Year 2020-21



September 16, 2019

DEPARTMENT OF MANAGEMENT SERVICES



## Contents

I.	Schedule IV-B Cover Sheet .....	2
II.	Schedule IV-B Business Case – Strategic Needs Assessment .....	3
A.	Background and Strategic Needs Assessment .....	3
B.	Baseline Analysis.....	5
1.	Current Business Process(es) .....	5
2.	Assumptions and Constraints .....	7
C.	Proposed Business Process Requirements .....	7
1.	Proposed Business Process Requirements.....	7
2.	Business Solution Alternatives.....	11
3.	Rationale for Selection .....	11
4.	Recommended Business Solution .....	12
D.	Functional and Technical Requirements.....	12
III.	Success Criteria .....	16
IV.	Schedule IV-B Benefits Realization and Cost Benefit Analysis.....	17
A.	Benefits Realization Table.....	17
B.	Cost Benefit Analysis (CBA).....	19
V.	Schedule IV-B Major Project Risk Assessment.....	20
VI.	Schedule IV-B Technology Planning .....	21
A.	Current Information Technology Environment .....	21
1.	Current System.....	21
2.	Information Technology Standards .....	24
B.	Current Hardware and/or Software Inventory.....	24
C.	Proposed Technical Solution .....	25
D.	Proposed Solution Description .....	26
1.	Summary Description of Proposed System .....	26
2.	Resource and Summary Level Funding Requirements for Proposed Solution (if known) .....	27
VII.	Schedule IV-B Project Management Planning .....	27
VIII.	Appendices .....	27

### I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Management Services	Schedule IV-B Submission Date:
Project Name: TRIRIGA – Asset Management Enhancements	Is this project included in the Agency’s LRPP?  _____ Yes    _____ No
FY 2020-21 LBR Issue Code:	FY 2020-21 LBR Issue Title:
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:  _____	Date:  _____
Printed Name:	
Agency Chief Information Officer (or equivalent):  _____	Date:  _____
Printed Name:	
Budget Officer:  _____	Date:  _____
Printed Name:	
Planning Officer:  _____	Date:  _____
Printed Name:	
Project Sponsor:  _____	Date:  _____
Printed Name:	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

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

### A. Background and Strategic Needs Assessment

#### 1. Business Need

*Explain how the program or service is critical to the agency's core mission and how it is aligned with the state's policy and budget priorities.*

Building Equipment Assets are an integral and necessary component in assisting the agency with optimizing costs and efficiencies associated with procurement and maintenance of long-term (life cycle) Real Estate. Information about key equipment is important as it affects pro forma and life cycle decisions for determining holding period, renovation, and disposal. Portfolio level considerations incorporate age of assets, condition of buildings, cost of occupancy, structural limitations, usage, and location.

As part of the building blocks identified to implement a scalable and predictive services model platform, the facilities management team frequently uses building equipment data to execute corrective activities and perform preventative maintenance. However, this information can be short-lived as its association and use of planning activities for capital projects and leasing require greater emphasis with data organization and data quality improvements. Current challenges include consistent and broadly applied naming conventions, data relationships to coordinate end-to-end life cycle of capital planning workflow, improved visibility for corrective work order tasks, advanced reports for creating profit and loss statements, and common size expense analysis across buildings having comparable square footage, floors, age, and usage.

Client Agency's also have an important consideration as their needs for building equipment assets can be affected by location, adjacency requirements, mission, and services needed (e.g. transportation, skilled labor pool, security).

As mandated by Chapter 255, Florida Statutes, the department has statutory oversight for the construction, operation, custodial care, preventative maintenance, repair, alteration, modification and allocation of space for all buildings in the Florida Facilities Pool (FFP) and for administering the state's lease procurement process.

*Provide a clear statement of need that describes the conditions that created, or significantly contributed to, the problem or opportunity being addressed by the project. Problems and opportunities should be analyzed in terms of their impact on the agency's mission and programs.*

In 2015, the Division of Real Estate and Development Management (REDM) purchased an Integrated Workplace Management System (IWMS) called TRIRIGA to support a collection of REDM operations and management objectives, including those performed by the facility managers, skilled technicians and tradesman, and service providers to assist with conducting facility assessments, maintaining building equipment in need of repair or replacement, and performing good customer service.

The scope of work for TRIRIGA implementation was to deploy the new IWMS to replace a legacy and custom developed client-server application called FACT. This included a large and diverse group of data that spanned several business functions, including Capital Projects, Real Estate Leasing Agreements, Paid Parking, and Operations and Maintenance (O & M). Common to many Information Technology (IT) projects, REDM was constrained by the amount and quality of data available that could be transformed and loaded into the new system to support the 'Out of the Box' (OOTB) or prebuilt workflow functionality and improve business processes for a successful deployment.

As designed and deployed, TRIRIGA performs service requests for corrections or demand maintenance needs that are submitted by the facility managers or tenant agency contacts, and routed to a designated TRIRIGA manager, technician or tradesman for service. The requests follow the standard review and approval process using system rules and additional logic about the type of request and location of the requester. Requests are then routed into

individual or workgroup task assignments and scheduled for work through completion during normal Business Hours or After Hours for emergencies.

As resources were limited, and to achieve a successful deployment, key aspects of the system remain under a limited deployment. This includes the development and deployment of a modern asset management process to improve REDM maintenance activities.

REDM manages building equipment components proactively and reactively, with the data largely maintained in TRIRIGA as a collection of standardized business objects and workflow related activities used by REDM. This is important as the system leverages these constructs to facilitate the movement of data and creation of information between multiple user workgroups.

The system functions today to support a variety of business activities using data extracted, transformed and loaded inside the system application and database components. However, in some cases, to fully leverage the TRIRIGA IWMS, there is data and work being performed that is not yet being captured or processed inside the system business objects and workflows. This includes building equipment data such as inventory, technical specifications, current utilization, and service level agreements and plans.

Some of this work is being captured, tracked, and processed outside of the TRIRIGA application. In some cases, work products are performed using a paper-based workflow process. In other cases, work products may reside in different formats and systems. This creates several opportunities for improving both the use of TRIRIGA and the efficiencies created by the IWMS. Areas of improvement include:

- a. Much of the information used to operate and maintain the building equipment resides in paper format, which does not enable the Department to manage this equipment efficiently.
- b. The paper-based information does not create an electronic inventory of building equipment to support the life cycle of asset management from cradle to grave. For example, the paper method does not promote a convenient method to manage or automatically track vender information needed to maintain and replace at the end of life (i.e. service manuals, manufactory warranty periods, etc.).
- c. The paper-based information is not stored in a central repository, nor does it allow for security using industry best standards.
- d. Some components of the TRIRIGA environment are not fully utilized as access to data from the heating, ventilation and air conditioning Building Automation Systems (BAS) is inaccessible and prohibited, in some cases, as the technology was developed using proprietary methods and implemented before the open systems standards were adopted by the industry.

Ability to efficiently integrate to building equipment components over the managed facilities network is challenging as ~45% of networking equipment resources have been identified as a high security risk using the Florida Cybersecurity Standards, Rule Chapter 60GG-2, Florida Administrative Code.

## **2. Business Objectives**

Clearly state the business objectives for this project - the results that must be achieved from the proposed solution that will prove the project was successful. Objectives measure the responsiveness of the recommended solution in addressing the problem or opportunity. It is essential that each objective relate to a problem or opportunity specified in the problem/opportunity statement and be realistically achievable.

These objectives may directly relate to the performance measures in the agency's Long-Range Program Plan (LRPP), strategic plans, or internal measures currently being tracked by the agency. Describe the measures that will be used to measure the effectiveness of the proposed project.

Business Objective 1: Improve Use and Performance

Develop asset management program by collecting equipment data and providing system functionality to:

- a) Generate asset reports that are reliable with valid results by increasing the use and frequency of new data;
- b) Improve workflow efficiency through increased use of OOTB functionality; and
- c) Create new types of information used to answer complex questions.

Deploy mobile data entry software to replace a paper-based process that has insufficient and incomplete data and is difficult to access and organize. The benefits would:

- a) Provide real-time access;
- b) 2) Increase data for history analysis and trending; and
- c) 3) Create efficiencies by decreasing the amount of time and effort required to capture data regarding work tasks and activities while improving the completion of customer service requests.

#### Business Objective 2: Increase Cyber Security

Participate in the FedRAMP, which provides an opportunity to leverage a first-class security model based on recently updated federal standards, relocating current operating environment to the new environment managed by staff following industry practices, and providing infrastructure that operates in compliance with additional security controls as developed by federal standards.

Leverage Active Directory, which provides an opportunity to improve user account management and agency security posture by integrating with the consolidated active directory system, reducing the number of users requiring password resets, and improving visibility of auditing security controls.

#### Business Objective 3: Integration with smart building systems

Install energy measurement devices for the FFP, which provides an opportunity to reduce energy consumption and improve how the State of Florida manages the use of space by:

- a) Physically installing energy sensors for the collection of data specific to each building;
- b) Developing a data organization model; and
- c) Integrating to capture and store data samples.

Develop Predictive Analytics, which provides an opportunity to improve operational and maintenance decisions using data collected internally locally and through service providers, such as [www.weather.com](http://www.weather.com) by developing and installing software program configurations that both access and model data to perform forecasts and promote fact-based decisions.

Receive training to enhance staff skills and experience with rapidly configuring intuitive user interfaces, use of touch screens, and collection of data without impact to the underlying TRIRIGA application. Additionally, conduct training activities to improve knowledge and skillsets needed to create and modify business objects, workflows, and notifications.

## 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.*

#### Current Business Process(es)

*Describe the current business process(es) involved with supporting or providing the program or service that will be affected by the proposed project. Emphasis should be given to any known problems or challenges that will be addressed by the project. Identify any problems or recommended improvements in the existing process(es) that should be based on feedback from staff currently executing the process and/or other process mapping and analysis methods. Include the following in the description:*

- a. Specific performance, operational and/or fiscal issues that need to be addressed to achieve the improvements to the program or service.*
- b. Explain why the current process(es) is not desirable and note the drivers of change.*
- c. Describe the current performance metrics and performance data requirements.*

*NOTE: If the agency has completed a workflow analysis with sufficient detail and narrative explanation, this analysis may be submitted in lieu of completing this documentation requirement.*

---

## **Service Management Process**

### **Existing Business Process: Manage Service Requests**

Requests for work can be submitted by one of several functions, including Request Central, Contact Center, Facility Assessment and PM/Scheduled Inspections. Request Central is a self-service portal and was deployed to provide a simplified collection of request forms for use by Agency Liaisons to submit maintenance requests. The request forms are part of the OOTB software and are preconfigured for different types of requests. They were not substantially modified to support the initial deployment. Only authorized users having an Agency Liaison security group can submit service requests. Access to the portal and forms is controlled by navigation configuration.

Facility managers, supervisors, and other authorized users can manually create Work Tasks without submitting a service request. As these tasks do not participate with the service plan and Work Tasks template, the form will require additional data entry.

### **Business Process: Manage Work Tasks**

Tasks created on-demand are known as Corrective Maintenance and refer to maintenance performed after detection to return equipment to proper working order. Depending on the context of its use, it may refer to maintenance due to a breakdown or identified through observation monitoring. Correctives may be planned but are typically unplanned events and organized in the system by the type of service request.

Work Tasks may be created automatically by service requests submitted by Agency Liaisons or manually by facility managers and supervisors. As part of the service management process, service requests are initiated by Agency Liaisons using the Request Central Self-Service Portal and create Work Tasks based on a select list of request types. Assignments are made to a designated technician, tradesman, or other service providers.

Service providers execute work as they receive email notification when Work Tasks are assigned to them. To review specific details about their Work Tasks, providers having convenient access to TRIRIGA can quickly review and work the task record inside of the system. Resources who do not have access must have the information retrieved for them. As access to desktops are not available for many technicians, these services providers may want to print a paper copy of the current tasks to work so they may have them available for reference and to capture relevant notes as work is performed.

Work Tasks are completed by inputting remaining updates of all required information and performing final review to ensure accuracy and completeness and advance the system status to “Complete.”

The system sends an email notification to the designated “Requested By” person and communicates the “Complete” status items inside the system portlet queries and reports. Additionally, the system sends a customer satisfaction survey and a corresponding action item to the “Requested By” person to solicit feedback regarding the work.

### **Business Process: Manage Preventative Maintenance**

Preventative Maintenance (PM) is scheduled by creating job plans, adding assets and locations, and defining the desired PM schedule, complete with recurrence and procedures. When the job plan and PM schedules are activated, the system will generate and pre-populate Work Tasks based on their parameters. The execution and completion of Work Tasks for correctives and preventatives are very similar.

Current challenges include:

- i. Use of paper and ad-hoc spreadsheets that use inconsistent and broadly applied naming conventions;
- ii. Redundant data makes it difficult to coordinate the end-to-end life cycle of capital planning workflow;
- iii. Difficulties with accessing related corrective work orders performed on given equipment;
- iv. Advanced reports for creating profit and loss statements; and
- v. Common size expense analysis across buildings having comparable square footage, floors, age, and usage.

Client Agency needs also have an important consideration as their needs for building equipment assets can be affected by location and adjacency requirements, mission, and services needed (e.g. transportation, skilled labor pool, security).

### **New Business Process: Manage Assets**

The processes for managing assets include a continuing review of building equipment inventories, business user cases, technical specifications, data load and cataloging and warranty periods.

An inventory of building equipment was established many years ago and covers a variety of equipment. However, the data is of limited use by managers, especially for forecasting and proactive tasks, so it requires continuous review and refresh. To streamline workload to improve its use, the priority set by REDM management is to start with heating, ventilation and air conditioners (HVAC), followed by electrical, interior finishes, fire and life safety components and devices, and roofing shell structures.

Information about each equipment record should be complete and well-formed including system assigned identifiers, standardized asset naming conventions that are usable by facility managers, technicians as well as department managers and support staff responsible for creating long range reports.

Use of the data will be more flexible as it is centrally maintained, and easily copied for short-term use outside of the database using spreadsheet tools.

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

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## **1. Assumptions and Constraints**

*Identify unique business requirements including any departmental, state, federal, or industry standards that might limit the range of reasonable technical alternatives.*

*Identify any assumptions and constraints associated with the problem or opportunity being addressed that might impact the outcome of the proposed solution.*

None documented at this time.

## **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**

#### **New Business Process: Manage Assets**

Requirement 1: Inventory Building Equipment

An inventory of building equipment was established many years ago and covers a variety of equipment. However, the data is of limited use by managers, especially for forecasting and proactive tasks, so it requires continuous review and refresh. To streamline workload to improve its use, the priority set by management team is to start with HVAC, followed by electrical, interior finishes, fire and safety components and devices and roofing shell structures.

**SCHEDULE IV-B FOR TRIRIGA ASSET MANAGEMENT**

Information about each equipment record should be complete and well-formed including a system assigned identifier, a standardized asset name usable by supervisors, technicians, department managers, and support staff responsible for creating long range reports.

Use of the data is flexible as it is centrally maintained and easily copied for short-term use outside of the database using spreadsheet tools.

**Requirement 2: Support Multiple Business Use Cases**

Information for Manage Assets is driven by a variety of inputs provided by manufacturers, decision makers, agency subject matter experts, and client needs. Based on feedback determined by REDM managers, the following asset types and informational criteria are prioritized for tracking and reporting.

Priority Assets	Informational Needs
Cooling Systems Groups, Facility HVAC Distribution Systems, Heating Systems and Subcomponents	Asset Name, Building Name and Floor Brand, Type and Capacity (i.e. Voltage, CFM, Tons, BTUH) In-Service date used to calculate age for repair or replacement criteria. This will be used to support the facility condition assessment, service provider selection and warranty claims. Indicate type for all pumps (Primary, Secondary, Tertiary, Condenser, Condensate, Hot Water and Hot Water Circulating Pumps). In addition to make and model, also include motor and its Variable Frequency Drive or Starter assigned Procedures and Schedules
Switchgear, Transformers, Transfer Switches, Switchboard and Generators	Asset Name, Building Name and Floor Brand, Type, and Capacity (i.e. Voltage) In-Service date that is used to calculate age for repair or replacement criteria. This will be used to support facility condition assessment, service provider selection and warranty claims. Generator Maintenance Log where applicable. Procedures and Schedules
Sprinkler Systems, Fire Panels and Security Systems	Descriptions of Fire Protection systems deployed inside every building. The systems are usually custom built and consist of many components, configurations and types. For each building, we are seeking: Type of sprinkler system installed which include: Wet, Dry, Preaction, and Deluge. Need a record for each system installed for each building. Need types of Fire Alarm Panel installed. There are two types: Audio Evacuation Sytem and Voice Controlled. Is the Fire Alarm Panel integrated with Building Automation System? Types are minimal, partial, and fully. Need Backflow Prevention Pumps. They include a Fire or Jockey pump and related motor.



**SCHEDULE IV-B FOR TRIRIGA ASSET MANAGEMENT**

	<p>All records should have an In-Service date that is used to calculate age for repair or replacement criteria. This will be used to support warranty claims and facility condition assessment.</p> <p>Considerations for future expansion:</p> <p>Fire Extinguishers organized into three classes: A-Trash-Wood-Paper, B-Liquids and C-Electrical equipment. These devices are inspected and maintained by outside service providers periodically.</p> <p>Electronic Safety and Security devices such as Access Control and Intrusion Detection, Electronic Surveillance.</p> <p>Special Function Doors and types of locks such as Electric safe, Electric secure and Magentic strips</p>
<p>Roof system, lighting rods, gutters, external stairs, satelite dishes</p>	<p>Type of Roof: Low Slope or Steep Slope.</p> <p>Vendor and Brand</p> <p>In-Service date is used to calculate age for repair or replacement criteria. This will be used to support warranty claims and facility condition assessment.</p> <p>Square Footage Covered</p> <p>For future consideration:</p> <p>Roof's structural frame including material type, columns, beams, joists and all associated items should also be included inside the description. For example, frames are made with concrete or steel and include columns, griders, and beams.</p> <p>Components added to roofs are also need including lighting rods, gutters, external stairs, and satelite dishes.</p> <p>Accessories that can be inventoried for system reporting including smoke vents, gravity exhaust and supply ventilators, and insulation.</p> <p>Data about openings including windows, skylights, vents, and hatches</p> <p>Exterior facing components including vertical exterior enclosures such as exterior walls, exterior windows, exterior doors, and all exterior finishes such as paint, stucco, and other projects.</p> <p>The data should be used to help track Painting (external stairways) and other maintenance related projects.</p>
<p>Carpet squares, tiles, and bases</p>	<p>Key data interior flooring is to track age of asset age as a factor for replacement. Also used as criteria for repairs and renovations.</p> <p>Need to collect supporting information to assist with procurement and vendor selection. For example, can we use this data to determine to choose a local vendor over a regional manufacturer for repairs.</p> <p>Information to submit warranty claims for product or installation failure is also needed.</p> <p>Must have ability to determine whether the renovations were completed on entire facility or specific room / suite / floor.</p> <p>Inventory for interiors starting with Floor finishes. The three main asset groups are</p>

	<p>Carpet Tiles, Vinyl Tiles, and Carpet Base.</p> <p>For future passes, system should be able to collect and track information about Painting activities.</p>
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**Requirement 3: Create Technical Specifications**

Specification records represent the metadata used to describe asset items as they more closely resemble data found inside of a Catalog. Specification data represents a wide variety of items such as equipment, consumable items, services, software licenses, and space standards. The specifications are also used to develop data entry forms and work flow process to help track and manage the various specifications used within an organization. Key attributes include:

- a) Specification Type: Depends on the Building Equipment selected.
- b) Specification Class: This field provides a way to sub-class the specification type. For example: Sprinkler systems are known as life safety and security.
- c) Specification Group: This classification can be used to group like specifications. For example, all building equipment comes under equipment.
- d) Construction Class: Master format/construction class is a specification-writing standard for design and construction projects.
- e) Building System Class: The building system classification is a classification intended to hold standard building system designations to ensure consistency throughout the portfolio. The system includes the UNIFORMAT II standard by default.
- f) Service Assignment Class: The service class allows to link a specification and a building equipment record to the group that normally services that system.

**Requirement 4: Catalog Asset Records**

Asset records are entered into TRIRIGA and used to organize the building equipment data in accordance with Uniformat and Master format classification systems. The benefit of using the American Institute of Architects (AIA) and other industry standards is to improve the agency’s use of data and reporting requirements.

**Requirement 5: Record Asset Readings**

Asset Readings are used to assess the performance and condition of building equipment. Readings are captured through audit and survey observations using physical meter counters and electronic sensors and provide a historical record of an asset use or asset condition at user-defined intervals. To help assess the operating condition, information types for continuous or gauge metering must be captured and recorded frequently over time. Examples include the number of operating hours, cycles, revolutions, temperature, etc.

**Requirement 6: Monitor Security Controls**

REDM is responsible for monitoring their information systems, ensuring that the system authorization remains current, and updating critical security documents as changes to the system or operating environment occur. According to NIST, the assessment and continuous monitoring of information system security controls is needed to determine if the security controls continue to be effective over time. This is inevitable, as changes frequently occur in the system as well as in the environment in which it operates. To promote best practices in respect to State of Florida Cybersecurity activities, an improved level of security, as defined by the U.S. GSA FedRAMP Certification program is available as a service, through existing software licensing options.

**Requirement 7: Perform Predictive Analytics**

Historical and current performance data is analyzed to make predictions about future use of building equipment assets through use of data mining, statistics, modeling, machine learning, and artificial intelligence. Other informational insights can be gained to identify utilization trends in a building and acted on to improve efficiencies on energy consumption.

## 2. Business Solution Alternatives

*Identify and briefly describe the different business alternatives considered that met the business objectives identified in Section II.A*

Business Objective 1: Improve Use and Performance

Develop Manage Assets Process

Alternatives: There is no alternative solution to collecting and organizing data for managing assets.

Deploy Mobile software for data entry

Alternatives: Use of mobile devices can greatly reduce, if not eliminate, the use of paper-based notepads and forms. Given technological advances, there are several ways information can be gathered using mobile devices. These include stateful devices that only work when having a live connection to the network, as opposed to stateless devices, that work without a live connection.

Business Objective 2: Increase Cyber Security

Participate in the TRIRIGA FedRAMP service

Alternatives: Develop a locally managed security control program.

Active Directory Integration

Alternatives: There are many user authentication technology solutions, including commercial off the shelf (COTS), as well as custom software development. However, the State of Florida has deployed many operational instances of Active Directory, which has established an operational standard, in the sense that it has streamlined and simplified the executive branch's ability to continue leveraging its current systems and investment. Active Directory is the primary identity management platform at the Department and should be leveraged in alignment with the Florida Cybersecurity Standards, Rule Chapter 60GG-2, Florida Administrative Code.

Business Objective 3: Integration with Smart Building Systems

Install energy measurement devices for the FFP

Alternatives: The alternative solution to gather energy data directly from the energy service providers.

Develop Predictive Analytics

Alternatives: Predictive Analytics represent a collection of software programs and technology components and is a sub-field to machine learning. Currently it is the industry-preferred approach to processing and evaluating large volumes of data. In addition to developing an in-house implementation to perform these activities, the service provider community is currently working to develop software services in the cloud to either complement or substitute the level and type of processing required.

Training

Alternatives: Training is a fundamental and necessary component to implementing new technology advancements. There are multiple venues and mediums available to pursue.

## 3. Rationale for Selection

*Describe the criteria that the agency used to compare alternatives and select a solution that best meets the need for the proposed project as described in this section. This description should identify the priorities, benefits, assumptions, and constraints that impacted or may impact the selection of the proposed solution. The rationale should identify any specific criteria that address characteristics and requirements of the customers, users, and stakeholders. If appropriate, identify any best practices from other public or private sector entities that support the selection of the proposed solution.*

The proposed solutions are based on the implementation of the IBM TRIRIGA application and are intended to advance the agency's use of the system and its prior investment. As the TRIRIGA application contains the collection of business objects and workflows, they are extended by applying additional configurations and implements using open system frameworks. As a result, additional benefits are gained by participating in the TRIRIGA IoT (Internet of Things) community as good practices are being developed, performed and evaluated. As technology

advancements mature and demonstrate practical use cases, the TRIRIGA IoT community shares their experiences and work with the service providers to enable practical and cost-effective deployments. For example, the Manage Assets process is modeled through extensive review and discussions with staff and implementation team members associated with the University of California at Davis. The integration activities with building equipment sensors was demonstrated and deployed by the State of Utah National Guard. Availability and participation to deploy FedRAMP certified systems was made available in the past year through references provided by IBM including U.S. National Archive, U.S. Administrative Office of Courts, U.S. Department of Agriculture and U.S. Environmental and Protection agency implementations. See also <https://www.ibm.com/analytics/client-stories/> for use cases using Predictive Analytics.

Assumptions - Many of the solutions use pre-packaged components and are deployed without large volumes of custom software development.

Constraints – In some respect, many of the solutions are natural extensions of the IBM TRIRIGA system as they leverage a large volume of predefined and tested business objects and workflows by the AIA industry standards. This is a benefit as the agency can leverage and reuse prior work.

**4. Recommended Business Solution**

*Describe which of the business alternatives was selected as the recommended business solution. Provide clear and concise reasons explaining why the selected solution best meets the business needs of the agency and is in the best interest of the State.*

The agency continues to support and extend its TRIRIGA implementation. The investment continues to serve the user community as it provides the foundation to use industry standards, provides a large volume of business objects and workflows that must be pre-defined and tested by a global community, and allows the agency to reuse prior work.

*NOTE: For IT projects with total cost in excess of \$10 million, the project scope described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4) (a) 10, F.S.*

**D. Functional and Technical Requirements**

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

Include through file insertion or attachment the functional and technical requirements analyses documentation developed and completed by the agency.

PROCESS	REQUIREMENT
Manage Assets	System centrally maintains all associated asset manuals, vendor contracts and performance details.
	System links asset warranty information to the building equipment asset.
	System tracks building systems and equipment as assets.
	System tracks asset component data including brands, specifications, maintenance.
	Job and safety procedures.

SCHEDULE IV-B FOR TRIRIGA ASSET MANAGEMENT

	<p>System tracks document attachments including O&amp;M manuals, warranty information, and Material Safety Data Sheets (MSDS).</p> <p>System tracks work performed history for each asset.</p> <p>System tracks warranty status of each asset.</p> <p>System provides warranty status from associated Work Tasks.</p>
Manage Preventative Maintenance	<p>System centrally manages several thousand assets using Preventative Maintenance (PM) schedules.</p> <p>System generates and prints electronic work orders for equipment maintained monthly, quarterly, or annual basis.</p> <p>System distributes and prints PM work orders with tasks need to be performed and assigned to responsible technicians for completion on a monthly basis.</p> <p>System consolidates and reports historic preventative maintenance information of maintenance history of assets managed by DMS.</p> <p>System automates the scheduling and generation of PM work to reduce backlog of PM work orders.</p> <p>System generates preventative work orders based on scheduling parameters.</p> <p>System schedules planned Work Tasks on a recurring calendar schedule for specific equipment assets and locations.</p> <p>System creates scheduled, recurring tasks based on equipment maintenance schedules.</p> <p>System leverages existing asset information and maintenance procedures.</p> <p>System tracks work types completed by workgroups for specific equipment in specific locations, at set frequencies.</p> <p>System assigns tasks based on asset, location or work type.</p>
Manage Service Requests	<p>System tracks service provider performance maintaining assets.</p> <p>System creates new corrective service requests.</p> <p>System delivers work tickets to the facility manager and/or technician for attention.</p> <p>System allows technician to receive, review and complete work activities request.</p>

SCHEDULE IV-B FOR TRIRIGA ASSET MANAGEMENT

	System allows technician to enter notes and complete the work request or forward back to facility manager that made the assignment (with enough characters to capture sufficient notes or comments).
	System sends notification to the original requester when work order is assigned or changed.
	System tracks response times, required completion times, and other expectations.
	System tracks and reports requests at a specific space/room level.
	System tracks and report on other equipment related to work request and residing in a specific room.
	System tracks all work assigned specific technicians and perform workload estimates and balancing.
	System allows facility manager to review and approve request and resulting Work Task.
	System allows facility manager to create a task from scratch.
	System allows technician to execute multiple tasks from a single request.
	System allows facility manager to assign tasks to one or more technicians performing work.
Manage Work Tasks	System collects comments, notes on parts and other details about the work performed on the work order.
	System forwards work order updates to supervisor on completion.
	System automates the work order close-out process.
	System allows facility manager to assign tasks to workgroup.
	System allows workgroup members self-assign tasks.
	System allows approved user to complete and close tasks.
	System captures work details including resolution, costs, parts, assets and time.
	System records technicians labor time for each task including start time, end time, work duration, with the ability to distinguish between straight time, overtime, and other time categories.
	System records materials used, and cost details of materials purchased.

SCHEDULE IV-B FOR TRIRIGA ASSET MANAGEMENT

Work Distribution Processes	System has task process lifecycle that tracks work generated, assigned, completed, and detail updates before task is closed.
	System provides paper and mobile work distribution options.
	System provides support Apple iOS, Android, and common desktop web browsers including Chrome, Edge, Firefox and Safari web browsers.
	System allows tasks and details to be entered from paper after work performed.
	System provides material tracking functionality.
	System tracks demand and preventative tasks using a uniform status system.
	System classifies, routes and reports categories of demand tasks across multiple locations.
Manage Opportunities	System (facility assessment functionality) tracks and evaluates building and asset deficiencies through their normal daily maintenance processes.
	System provides a Facility Condition Assessment (FCA) module to provide information for long term strategic planning.
	System tracks opportunities (deficiencies) throughout the maintenance process.
	System calculates Facility Condition Index (FCO and System Condition Index (SCI)).
Other	System provides alerts and notifications to promote work assigned and completed statuses and Work Task lifecycle awareness.
	System allows managers to optimize the distribution of work based on utilization and availability of technicians.
	System can assign tasks to vendors (resources).
	System provides satisfaction surveys upon completion of a task.
	System can assign work to vendors and other non-DMS support services (as TRIRIGA users).

### 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.*

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Mobile Software: Reduced use of paper for capturing notes.  Promote real-time access and increased data counts for historical analysis and trending.	80% rate of adoption using mobile software	Administrative staff won't have to spend time comprehending hard to discern messy or other illegible hand writing or re-keying data.	12 months after deployment.
2	Asset Management: Increase collection and organization of building equipment data that is reliable, valid and up to date.	Exception reports indicating problematic record counts less than 5%	Service providers having timely access to accurate and quality data. Managers able to perform near-real time information about the quality and well-being of all system-maintained assets throughout the State.	12 months after deployment
3	Participation with FedRAMP Certification Program	Migration of data and users to new environments.	All Stakeholders benefit from reduction of security vulnerabilities and improved sense of safety.	Immediately after deployment
4	Integration with State Active Directory	Eliminate need to manager user password resets for all participating agencies.	Active users of TRIRIGA application having directory-based user authentication credentials will benefit by reducing number of systems passwords they are responsible for maintaining.	Immediately after deployment
5	Deployment of Energy Management Devices	Installation, integration, and collection of sensor data readings.	Staff and decision makers will benefit by improving data collection and reporting methods.	6 months after deployment



SUCCESS CRITERIA TABLE				
6	Development of a Predictive Analytics Tool	Creation of a Predictive Analytics Data Model that is capable of forecasting energy utilization trends.	Staff and decision makers will benefit by improving data collection and reporting methods.	12 – 24 months after deployment

## 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.*

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

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	<p>Asset Management Process:</p> <p>Timely access to accurate and quality data.</p> <p>Answer complex questions about Building Equipment.</p> <p>Perform data analysis and trending.</p>	State of Florida stakeholders	<p>Complete and accurate building equipment inventory.</p> <p>Managers can develop current and future views of information about the health of all assets throughout the State.</p>	Deployment of inventory lists that can be organized by type, location, current health and remaining utilization.	12 months after deployment
2	<p>Mobile data entry:</p> <p>Reduce number of steps performed to capture data</p> <p>Reduce use of paper</p> <p>Eliminate mislabeling</p> <p>Improve Safety</p> <p>Retaining Employees</p>	State of Florida stakeholders	<p>Reduced time required to enter data by not having to go back and forth to a static computer, printer, or scanner for each observation.</p> <p>Improved performance.</p> <p>Electronic data entry reduces the “small headaches”</p>	Employees no longer need to print instructions or walk back and forth to a static computer to access or input important data.	12 months after deployment

BENEFITS REALIZATION TABLE					
			<p>extra work of tracking info on paper.</p> <p>Use of paper records in shops are often misplaced, discarded or damaged.</p> <p>Increased quality of reports as data errors are disruptive.</p>		
3	<p><b>FedRAMP</b></p> <p>Increases re-use of existing security assessments across agencies.</p> <p>Saves significant cost, time and resources – “do once, use many times.”</p> <p>Improves real-time security visibility.</p> <p>Provides a uniform approach to risk-based management.</p> <p>Enhances transparency between government and cloud service providers (CSPs).</p>	State of Florida stakeholders	Implementation of FedRAMP certification will jumpstart agency participation with State Cybersecurity and Cloud Computing initiatives.	Completion of FedRamp conversion	Immediately after deployment
4	<p>Active Directory increases agency network security position:</p> <ul style="list-style-type: none"> <li>a) Makes logins easier.</li> <li>b) Centralizes resources and security. Administration</li> <li>c) Reduces password resets.</li> </ul>	State of Florida stakeholders	<p>Reduces, if not eliminates, user downtime due to lost password or system lockout due to entering bad password.</p> <p>Reduces need for technical support team to reset passwords</p>	Completion of Active Directory implementation	Immediately after deployment
5	Installation and Integration energy measurement devices generate sensory data.	State of Florida stakeholders	Data generated by energy sensors enable staff to measure, analyze, and trend actual utilization over	Data collection of energy use	12 months after deployment

BENEFITS REALIZATION TABLE					
			time. Valid and reliable data will allow the State to reduce energy consumption, improve building efficiency, perform predictive maintenance, increase productivity. And improve use of resources.		
6	Predictive analytics will: <ul style="list-style-type: none"> <li>a) Extend asset life and optimize repair and replacement.</li> <li>b) Improve efficiency and reduce human intervention.</li> <li>c) Promote more effective and strategic cost tracking methodology.</li> </ul>	State of Florida stakeholders	Performance data can stop problems before they start.  Reduces time otherwise spent to inspect or react to service requests.  Better understand root cause of maintenance activities can help prevent expenses and re-direct resources to higher priority or more strategic activities.	Develop and install a software program that accesses and models data. Generate performance reports for operators and managers.	12 – 24 months after deployment
7	Training	State of Florida stakeholders, REDM TRIRIGA support staff.	Training course(s)	Completion of training	6 months after funding is made available

### 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.*

The chart below summarizes the required CBA Forms which are included as Appendix A on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The

Cost Benefit Analysis	
Form	Description of Data Captured
	<p>agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> <li>• Return on Investment</li> <li>• Payback Period</li> <li>• Breakeven Fiscal Year</li> <li>• Net Present Value</li> <li>• Internal Rate of Return</li> </ul>

## V. Schedule IV-B Major Project Risk Assessment

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

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

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency’s Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

## VI. Schedule IV-B Technology Planning

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

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

*The minimum information to be included in the technology plan includes:*

### A. Current Information Technology Environment

#### 1. Current System

*Briefly describe the agency’s existing information technology infrastructure and technical architecture that support the current business processes that will be affected by the proposed project.*

The TRIRIGA platform is a four-tier system that includes a web application, process servers, tools, and database. Each physical tier describes an actual hardware configuration using virtual machines and database services. The platform is a run-time environment designed for rapid transaction processing. The platform provides the underlying technology for the application and provides a set of browser-based tools used to create and modify the application.

- a. Description of current system

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

- 1) Total number of users and user types (e.g., power, casual, data entry).

Functional Area	Count	Work Types
Facility Management	193	Service Requests, Work Tasks, Reporting
Capital Projects	76	Data Entry, Budget Transactions, Reporting
Real Estate Leasing	73	Service Requests, Leasing Abstracting, Reporting
Paid Parking	217	Service Requests, Tag Assignments, Reporting
Agency Contacts	450	Service Requests
Total	1,009	

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

Business Object	Count*
Asset Tags	30,000
Budget Line Items	50,000
Building Equipment	5,000
Capital Projects	9,000
Leases	2,000
Locations	20,000
People	120,000
Work Task Requests	165,000

\*Record counts are rounded up for capacity evaluation purposes.

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

TRIRIGA requires a named user account for access by individuals and is not accessible by the general public. All users must apply for access, with the approval of their supervisor, to specific function(s) using standard user access form. Security is enforced in the system through user login, user roles, and native encryption of the system.

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

The virtual machine hosts, database servers, networking, and backup fabrics are owned and managed by the department’s Division of State Technology (DST). From these fabrics, TRIRIGA environments are provisioned through eight virtual machines and three virtual database schemas. A site-to-site and client virtual private network (VPN) services are also being performed using equipment owned and managed by the department’s Division of Telecommunications (DivTel).

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

TRIRIGA is an n-tier, web based and object-oriented Java application that runs on WebSphere J2EE. There are three environments named, Development, Testing and Production to support Software Development Lifecycle, Change and Configuration Management practices. The web and application servers are hosted on Red Hat Linux virtual machine service. The database schemas are provided by an Oracle 12 service. Both services are owned and managed by DST. The OOTB system is configured to support business requirements using GUI based applications and object components developed by the manufacturer and contains little to no custom Java programming.

- 6) Existing system or process documentation.

Several documented artifacts exist. The Technical Environment document describes the technical specifications and configuration used. The Functional Design documents describe business objects and workflows deployed. Business process documents describe major processes implemented including tasks and steps performed for each function.

7) Internal and external interfaces.

Access to the web application is published on the internet using the URL <https://flfacmgt.myflorida.com> and routes into the secure environment through a web traffic load balancer. All interconnections between the web and application VMs and databases are managed through multiple firewalls and discrete access control lists. All user traffic is maintained through a collection of http requests and web service application programming interfaces (API), both encrypted using SSL server certificates. General administration is performed using operating system console and secure shell accounts. All database traffic is performed through Java Database Connectivity (JDBC) application programming interface (API).

8) Consistency with the agency’s software standards and hardware platforms.

TRIRIGA was designed and deployed using agency standards and hardware platforms.

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

The system architecture can quickly scale capacity (horizontally) and services (vertically) to support additional performance needs and requirements by adding additional virtual machines. Little to no additional configuration is required.

**2. Current System Resource Requirements**

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

Virtual machines are provisioned using up to four 2.1 GHz processor cores and up to 12 GBs of RAM. Databases have up to four 2.5 GHz processor cores and up to 48 GBs of RAM.

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

All server systems are maintained by DST. All application software is maintained by the manufacturer.

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

Tier 1 Technical Support, (FTE)  
 Tiers 2 & 3 Technical Support (Contracted)  
 Business Analyst (OPS)  
 Project Manager (Contracted)

4) Summary of the cost to operate the existing system (detailed costs will be documented on the Cost-Benefit Analysis Worksheets).

Personnel	\$582,762
Application Maintenance Costs	\$546,267
Data Center Provider Costs	\$216,913
Total	\$1,345,942

**3. Current System Performance**

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

System utilization reports indicated the current configuration can sustain nominal and peak user activity well beyond current user. However, some data processing and report requests can require a high use of processing resources and constrain on-premise system resources. System upgrades and migration to cloud servers are expected to provide additional processing capabilities and remedy constraint.

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

Reports provided by user feedback indicate system performance is acceptable. Some report displeasure with data entry forms as configurations to user interface were constrained by direction of legislative decision makers requirement to deploy the system as-is, out of the box. New UX user interface technology included in the recent software upgrade is expected to assist with improving human factor considerations.

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

No failures reported or anticipated.

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

No capacity or reliability problems have been recorded about the technical infrastructure or application software.

#### 4. Information Technology Standards

*Identify any agency, statewide, or industry standards and policies that specify service levels and/or performance requirements that have or may affect the project. For example, a service level agreement for an agency mission critical application may specify maximum response time requirements that will require additional capacity of technology resources to maintain documented performance standards.*

Services Level Agreement provided by DST includes: Open Systems Managed, Open Systems Net based Service, Storage and Backup. Disaster Recovery option also provided.

## B. Current Hardware and/or Software Inventory

*If applicable, provide a complete inventory of the current hardware and/or software that will be replaced by the proposed IT project. The components of the inventory should include:*

- 1) Purchase and warranty expiration dates  
None.
- 2) Current performance issues or limitations  
None.
- 3) Business purpose of the items to be replaced  
None.
- 4) Annual maintenance costs  
None.

*NOTE: Current customers of the state data center would obtain this information from the data center.*

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### C. Proposed Technical Solution

*A technical requirement (also referred to as a non-functional requirement) describes and documents the quality of the system needed to support the business requirements, in terms of availability, performance, capacity, recovery, and other expectations.*

*Provide a complete list of the technical requirements the proposed solution must meet to satisfy the business objectives identified in Section VI-A. Identify any anticipated changes or improvements to the current technical environment described in Section VI-A.*

*Identify any known changes to performance measures identified in Section VI-A1c and include any known changes in performance measures for the agency program(s), service, and activity(ies), and other performance measures used to determine the effectiveness of the proposed change.*

#### Recommended Operating Systems

- Desktop: Windows: 10 or newer
- Mobile: Apple iOS and Android

#### Hardware Requirements

- Must operate on computer and mobile devices less than 5 years old.

#### Processor:

- Minimum 1 GHz; recommended 2GHz or more.

#### Networking

- Ethernet connection (LAN) OR a wireless adapter (Wi-Fi) OR 4G LTE (mobile).

#### Hard Drive:

- Minimum 32 GB; recommended 64 GB or more.

#### Memory (RAM):

- Minimum 2 GB; recommended 4 GB or more.

#### Sound card w/speakers

- Mobile devices must be equipped with camera and microphone.

#### 1. Technical Solution Alternatives

*Identify and briefly describe the different technical alternatives considered that met the technical requirements identified in Section VI-C. Such documentation should include a summary of the agency’s analysis and evaluation of the various alternatives. For analyzing the technical solution alternatives, if data center services are a required component, agencies must compare and clearly document the fiscal and operational benefits of such services being hosted on-premise or externally through a third party providers as authorized in section 282.206, Florida Statutes.*

No additional technical solutions required at this time.

#### 2. Rationale for Selection

*Describe the criteria that the agency used to compare alternatives and select a technical solution that best meets the need for the proposed business solution as described in Section II-C. This description should identify the priorities, benefits, assumptions, and constraints that impacted or may impact the selection of the proposed solution. The rationale should identify any specific criteria that address characteristics and technical requirements of the customers, users, and stakeholders. If appropriate, identify any best practices from other public or private sector entities that support the selection of the proposed solution.*

No additional technical solutions have been identified at this time.

### 3. Recommended Technical Solution

*Describe which of the technical alternatives was selected as the recommended technical solution. Provide clear and concise reasons explaining why the selected solution best meets the business needs of the agency and is in the best interest of the State.*

No additional technical solutions have been identified at this time.

## D. Proposed Solution Description

*Provide an overview of the technical requirements and features that relate directly to the business requirements. By tracing or mapping the technical requirements to the business process requirements identified in Section II.C., agencies improve the likelihood that the proposed solution will meet the business need without over or under provisioning the service from a cost, capacity, or functional standpoint. Graphic representations may be included, if applicable. Where appropriate, address the following topics relating to the proposed solution:*

### 1. Summary Description of Proposed System

- a. System type (e.g., OLTP, data warehouse, document management system, web application, database).

All software for client workstations and mobile devices specifications can be found at [IBM TRIRIGA Support and Compatibility Matrix](#).

- b. Connectivity requirements (e.g., wired vs. wireless)

All client and mobile software must support wired and wireless ethernet and 4G LTE (or better) connections using TCP/IP.

- c. Requirements for security, privacy, confidentiality, and public access to comply with applicable federal/state laws, including sections 282.601-282.606, F.S.

Florida Cybersecurity Rule:

<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-2>

Florida Project Management and Oversight:

<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-1>

Florida Cloud-first statute 282.206:

[http://www.leg.state.fl.us/statutes/index.cfm?App\\_mode=Display\\_Statute&URL=0200-0299/0282/0282.html](http://www.leg.state.fl.us/statutes/index.cfm?App_mode=Display_Statute&URL=0200-0299/0282/0282.html)

- d. Development and procurement approach

All software configurations and development must follow division change management, configuration management, and release management practices.

- e. Internal and external interfaces

W3C http request, web services, and JDBC.

- f. Maturity and life expectancy of the technology

No response.

- g. Other system(s) proposed solution must integrate with

Energy sensors and OpCon BAS fabric currently being updated. Requirements to be determined.

## 2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)

- a. Anticipated technical platform and hardware requirements
- b. Required data center services to be provided by the state data center or other service provider
- c. Anticipated software requirements
- d. Anticipated staffing requirements
- e. Anticipated ongoing operating costs

No requirements identified at this time.

## E. Capacity Planning

*(historical and current trends versus projected requirements)*

Capacity plan to be developed during design phase.

## 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.*

Include through file insertion or attachment the agency's project management plan and any associated planning tools/documents.

*NOTE: For IT projects with total cost in excess of \$10 million, the project scope, business objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.*

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## 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.

CBAForm 1 - Net Tangible Benefits

Agency	DMS	Project	TRIRIGA
--------	-----	---------	---------

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 2020-21			FY 2021-22			FY 2022-23			FY 2023-24			FY 2024-25		
	(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
<b>A. Personnel Costs -- Agency-Managed Staff</b>	\$582,762	\$125,000	\$707,762	\$707,762	\$0	\$707,762	\$707,762	\$0	\$707,762	\$707,762	\$0	\$707,762	\$707,762	\$0	\$707,762
<b>A.b Total Staff</b>	6.00	1.00	7.00	7.00	0.00	7.00	7.00	0.00	7.00	7.00	0.00	7.00	7.00	0.00	7.00
<b>A-1.a. State FTEs (Salaries &amp; Benefits)</b>	\$334,821	\$0	\$334,821	\$334,821	\$0	\$334,821	\$334,821	\$0	\$334,821	\$334,821	\$0	\$334,821	\$334,821	\$0	\$334,821
<b>A-1.b. State FTEs (#)</b>	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00
<b>A-2.a. OPS Staff (Salaries)</b>	\$60,741	\$0	\$60,741	\$60,741	\$0	\$60,741	\$60,741	\$0	\$60,741	\$60,741	\$0	\$60,741	\$60,741	\$0	\$60,741
<b>A-2.b. OPS (#)</b>	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	1.00
<b>A-3.a. Staff Augmentation (Contract Cost)</b>	\$187,200	\$125,000	\$312,200	\$312,200	\$0	\$312,200	\$312,200	\$0	\$312,200	\$312,200	\$0	\$312,200	\$312,200	\$0	\$312,200
<b>A-3.b. Staff Augmentation (# of Contractors)</b>	1.00	1.00	2.00	2.00	0.00	2.00	2.00	0.00	2.00	2.00	0.00	2.00	2.00	0.00	2.00
<b>B. Application Maintenance Costs</b>	\$546,267	\$244,400	\$790,667	\$790,667	\$0	\$790,667	\$790,667	\$0	\$790,667	\$790,667	\$0	\$790,667	\$790,667	\$0	\$790,667
<b>B-1. Managed Services (Staffing)</b>	\$285,000	\$54,400	\$339,400	\$339,400	\$0	\$339,400	\$339,400	\$0	\$339,400	\$339,400	\$0	\$339,400	\$339,400	\$0	\$339,400
<b>B-2. Hardware</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>B-3. Software</b>	\$261,267	\$190,000	\$451,267	\$451,267	\$0	\$451,267	\$451,267	\$0	\$451,267	\$451,267	\$0	\$451,267	\$451,267	\$0	\$451,267
<b>B-4. Other</b> Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>C. Data Center Provider Costs</b>	\$216,913	\$0	\$216,913	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>C-1. Managed Services (Staffing)</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>C-2. Infrastructure</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>C-3. Network / Hosting Services</b>	\$216,913	\$0	\$216,913	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>C-4. Disaster Recovery</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>C-5. Other</b> Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>D. Plant &amp; Facility Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>E. Other Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>E-1. Training</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>E-2. Travel</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>E-3. Other</b> Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Total of Recurring Operational Costs</b>	\$1,345,942	\$369,400	\$1,715,342	\$1,498,429	\$0	\$1,498,429	\$1,498,429	\$0	\$1,498,429	\$1,498,429	\$0	\$1,498,429	\$1,498,429	\$0	\$1,498,429
<b>F. Additional Tangible Benefits:</b>		\$0			\$0			\$0			\$0			\$0	
<b>F-1.</b> Specify		\$0			\$0			\$0			\$0			\$0	
<b>F-2.</b> Specify		\$0			\$0			\$0			\$0			\$0	
<b>F-3.</b> Specify		\$0			\$0			\$0			\$0			\$0	
<b>Total Net Tangible Benefits:</b>		(\$369,400)			\$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	DMS		TRIRIGA		CBAForm 2A Baseline Project Budget																	
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.					FY2020-21			FY2021-22			FY2022-23			FY2023-24			FY2024-25			TOTAL		
2					\$ 807,000			\$ -			\$ -			\$ -			\$ -			\$ 807,000		
3					\$ -			\$ -			\$ -			\$ -			\$ -			\$ -		
4	Item Description <i>(remove guidelines and annotate entries here)</i>	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	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -	
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	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -	
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	\$ 507,000	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 507,000	
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	\$ -		\$ 258,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 258,000	
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	\$ -		\$ 42,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 42,000	
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	<b>Total</b>				\$ -	<b>0.00</b>	<b>\$ 807,000</b>	\$ -	<b>0.00</b>	<b>\$ -</b>	<b>\$ -</b>	<b>0.00</b>	<b>\$ -</b>	<b>\$ -</b>	<b>0.00</b>	<b>\$ -</b>	<b>\$ -</b>	<b>0.00</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 807,000</b>	

CBAForm 2 - Project Cost Analysis

Agency	<u>DMS</u>	Project	<u>TRIRIGA</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	
TOTAL PROJECT COSTS (*)	\$807,000	\$0	\$0	\$0	\$0	\$807,000
CUMULATIVE PROJECT COSTS <small>(includes Current &amp; Previous Years' Project-Related Costs)</small>	\$807,000	\$807,000	\$807,000	\$807,000	\$807,000	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$807,000	\$0	\$0	\$0	\$0	\$807,000
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	\$807,000	\$0	\$0	\$0	\$0	\$807,000
CUMULATIVE INVESTMENT	\$807,000	\$807,000	\$807,000	\$807,000	\$807,000	

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

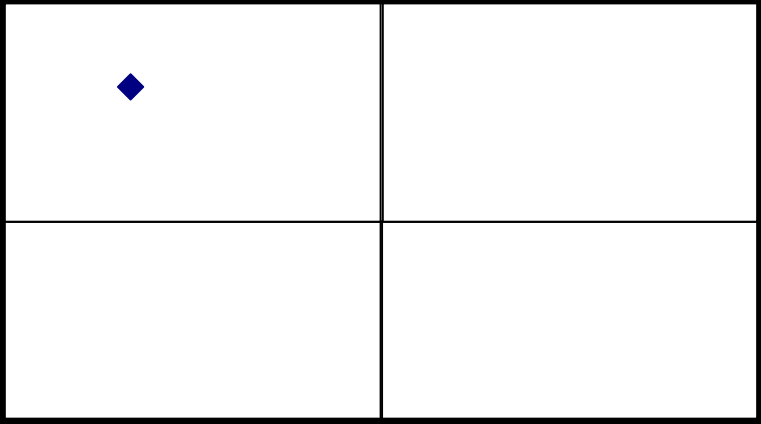
CBAForm 3 - Project Investment Summary

Agency	<u>DMS</u>	Project	<u>TRIRIGA</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	TOTAL FOR ALL YEARS
Project Cost	\$807,000	\$0	\$0	\$0	\$0	\$807,000
Net Tangible Benefits	(\$369,400)	\$0	\$0	\$0	\$0	(\$369,400)
Return on Investment	(\$1,176,400)	\$0	\$0	\$0	\$0	(\$1,176,400)
Year to Year Change in Program Staffing	1	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$1,154,012)	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.

Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

	B	C	D	E	F	G	H	
3	<b>Project</b>		<i>TRIRIGA Enhancements</i>					
4								
5	<b>Agency</b>		<i>Management Services</i>					
6	<b>FY 2020-21 LBR Issue Code:</b>			<b>FY 2020-21 LBR Issue Title:</b>				
7	<i>Issue Code</i>			<i>Issue Title</i>				
8	<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>							
9	<i>Name ----- Phone # ----- E-mail address</i>							
10	<b>Executive Sponsor</b>		<i>Sponsor Name</i>					
11	<b>Project Manager</b>		<i>Project Manager Name</i>					
12	<b>Prepared By</b>		<i>Robert Notman</i>			<i>9/5/2019</i>		
14	<b>Risk Assessment Summary</b>							
15								
16	<b>Business Strategy</b>			<b>Level of Project Risk</b>				
17								
18								
19								
20								
21								
22								
23								
24								
25								
26								
27								
28								
29								
30	<b>Project Risk Area Breakdown</b>							
34	<b>Risk Assessment Areas</b>						<i>Risk Exposure</i>	
35								
36	<b>Strategic Assessment</b>						LOW	
37								
38	<b>Technology Exposure Assessment</b>						LOW	
39								
40	<b>Organizational Change Management Assessment</b>						LOW	
41								
42	<b>Communication Assessment</b>						LOW	
43								
44	<b>Fiscal Assessment</b>						MEDIUM	
45								
46	<b>Project Organization Assessment</b>						LOW	
47								
48	<b>Project Management Assessment</b>						LOW	
49								
50	<b>Project Complexity Assessment</b>						MEDIUM	
51								
52								
53	<b>Overall Project Risk</b>						LOW	



	B	C	D	E
1	<b>Agency: Management Services</b>		<b>Project: TRIRIGA Enhancements</b>	
3	<b>Section 1 -- Strategic Area</b>			
4	<b>#</b>	<b>Criteria</b>	<b>Values</b>	<b>Answer</b>
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	Most regularly attend executive 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	Use or visibility at division and/or bureau level only
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: Management Services		Project: TRIRIGA Enhancements	
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	External technical resources will be needed through implementation only
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	<b>Agency: Management Services</b>		<b>Project: TRIRIGA Enhancements</b>	
3	<b>Section 3 -- Organizational Change Management Area</b>			
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	81% to 100% -- All or nearly all processes 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	Less than 1% 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	Minor or no 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 greater 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	<b>Agency: Agency Name</b>		<b>Project: Project Name</b>	
3	<b>Section 4 -- Communication Area</b>			
4	<b>#</b>	<b>Criteria</b>	<b>Value Options</b>	<b>Answer</b>
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	Proactive use of 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	All or nearly all messages have 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: Management Services		Project: TRIRIGA Enhancements	
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 \$2 M and \$10 M
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%)	Order of magnitude – estimate could vary between 10-100%
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	Not applicable
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	No payback
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	Just-in-time purchasing of hardware and software is documented in the project schedule
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	
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	

	B	C	D	E
1	<b>Agency: Management Services</b>		<b>Project: TRIRIGA Enhancements</b>	
3	<b>Section 6 -- Project Organization Area</b>			
4	<b>#</b>	<b>Criteria</b>	<b>Values</b>	<b>Answer</b>
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6	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	8		Some have been defined and documented	
9	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	11		Agency	
12	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	14		2	
15	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	17		Some or most staff roles and responsibilities and needed skills have been identified	
18	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	Yes, experienced project manager dedicated full-time, 100% to project
20	20		No, project manager is assigned 50% or less to project	
21	21		No, project manager assigned more than half-time, but less than full-time to project	
22	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	Yes, business, functional or technical experts dedicated full-time, 100% to project
24	24		No, business, functional or technical experts dedicated 50% or less to project	
25	25		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26	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	Completely staffed from in-house resources
28	28		Half of staff from in-house resources	
29	29		Mostly staffed from in-house resources	
30	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	32		Moderate impact	
33	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	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	37		No, only IT staff are on change review and control board	
38	38		No, all stakeholders are not represented on the board	
39	39		Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Management Services		Project: TRIRIGA Enhancements	
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	81% to 100% -- All or nearly all 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	81% to 100% -- All or nearly all 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), critical milestones, and resources?	Yes	Yes
35			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	Yes
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: Management Services		Project: TRIRIGA Enhancements	
2				
3	<b>Section 8 -- Project Complexity Area</b>			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Less complex
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	Single location
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	Business process change in single division or bureau
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	



**SCHEDULE VI: DETAIL OF DEBT SERVICE**

**Department:** MANAGEMENT SERVICES  
**Budget Entity:** 72400100

**Budget Period 2020 -2021**  
**SERIES 2017A**

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018 - 2019</b>	<b>FY 2019 - 2020</b>	<b>FY 2020 - 2021</b>
Interest on Debt	(A) 7,982,269	7,229,269	6,443,769
Principal	(B) 15,060,000	15,710,000	13,510,000
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D)		
Other Debt Service	(E)		
<b>Total Debt Service</b>	<b>(F) 23,042,269</b>	<b>22,939,269</b>	<b>19,953,769</b>

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

**SECTION II**

ISSUE:

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

ISSUE:

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

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Facilities Management

**Phone Number:** (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
IA 2018-45  Limited Review of Physical Security - Non-badge Access  Issued: April 2018	6/30/2018	Real Estate Development and Management - Facilities Management	One confidential finding not included.	The corrective action for the confidential finding is not included.	

Building Construction

Exhibits or Schedules

Building Construction

Schedule I Series

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period:** 2020-2021  
**Program:** 72400200 Building Construction  
**Fund:** 2033 Architects' Incidental Trust

**Specific Authority:** Section 215.196, Florida Statutes  
**Purpose of Fees Collected:** To provide funds for the administration and supervision of planning, design and construction of state-owned facilities.

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018-19</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>
<u>Receipts:</u>			
Construction Services	716,820	1,043,363	733,248
Interest Earnings	98,876	19,557	16,241
_____			
_____			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>815,696</b>	<b>1,062,920</b>	<b>749,489</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	797,625	895,002	897,997
Other Personal Services			
Expenses	63,144	122,002	122,002
Operating Capital Outlay			
Contracted Services	12,746	46,341	46,341
Risk Management Insurance	5,834	4,398	4,398
Lease/Purchase		1,613	1,613
DP Services Assessment - DST 210004	7,291	5,944	5,949
HR Statewide Contract	3,502	3,465	3,465
Indirect Costs Charged to Trust Fund	98,023	209,851	119,711
<b>Total Full Costs to Line (B) - Section III</b>	<b>988,165</b>	<b>1,288,616</b>	<b>1,201,476</b>

Basis Used: \_\_\_\_\_  
 \_\_\_\_\_

<b><u>SECTION III - SUMMARY</u></b>				
TOTAL SECTION I	(A)	815,696	1,062,920	749,489
TOTAL SECTION II	(B)	988,165	1,288,616	1,201,476
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(172,469)</b>	<b>(225,696)</b>	<b>(451,987)</b>

**EXPLANATION of LINE C:**  
 \_\_\_\_\_  
 \_\_\_\_\_

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	ARCHITECT'S INCIDENTAL TRUST
<b>Budget Entity:</b>	BUILDING CONSTRUCTION (72400200)
<b>LAS/PBS Fund Number:</b>	2033

	Balance as of 6/30/2019		SWFS* Adjustments		Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	68,945	(A)			68,945
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	4,147,875	(C)			4,147,875
ADD: Outstanding Accounts Receivable	100,317	(D)	416.12		100,733
ADD:	0	(E)			0
<b>Total Cash plus Accounts Receivable</b>	<b>4,317,137</b>	(F)	<b>416</b>		<b>4,317,553</b>
LESS Allowances for Uncollectibles	0	(G)			0
LESS Approved "A" Certified Forwards	36,125	(H)			36,125
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards	0	(H)			0
LESS: Other Accounts Payable (Non Operating)	2,437	(I)			2,437
LESS: Unearned Revenues	2,924,431	(J)			2,924,431
<b>Unreserved Fund Balance, 07/01/19</b>	<b>1,354,145</b>	(K)	<b>416</b>		<b>1,354,561</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2020-21

Department Title: 72000 MANAGEMENT SERVICES  
Trust Fund Title: Architects Incidental Trust Fund  
LAS/PBS Fund Number: 2033

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

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

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

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

SWFS Adjustment # -Increase A/R (B7200026)  (C)

SWFS Adjustment # and Description  (C)

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

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

Compensated Absences Liability  (D)

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

(D)

(D)

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

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)**  (F)

**DIFFERENCE:**  (G)\*

\*SHOULD EQUAL ZERO.

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Building Construction

**Phone Number:** (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			There are no findings to report for Building Construction.		



# Federal Property Assistance

## Exhibits or Schedules

# Federal Property Assistance

## Schedule I Series

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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72600200 Federal Property Assistance  
**Fund:** 2699 Surplus Property Revolving Trust  
**Specific Authority:** Section 217.07, Florida Statutes  
**Purpose of Fees Collected:** The agency administers the Federal Surplus Property Utilization Program for the State of Florida. Service charges are placed on federal property and are passed on to certified donees whereby funds are generated.

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

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

	(1)	(2)	(3)	(4)
<b>SECTION I - FEE COLLECTION</b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>	
	<b>FY 2018-19</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>	
<b>Receipts:</b>				
Service Charges - Fed. Surp. Property	352,485	296,489	310,000	
U.S.Govt.Public Sale Reimbursements	14,742	132,523	135,000	
Motor Vehicle Sales				
Interest Earnings	30,396	19,879	20,320	
Refunds and Reimbursements				
<b>Total Fee Collection to Line (A) - Section III</b>	<b>397,623</b>	<b>448,891</b>	<b>465,320</b>	

**SECTION II - FULL COSTS**

**Direct Costs:**

Salaries and Benefits	258,034	270,403	271,634
Other Personal Services			
Expenses	80,229	89,938	89,938
Operating Capital Outlay			49,550
S.C.:Contracted Services	3,536	16,379	16,379
Acquisition of Motor Vehicles 100021			61,820
S.C.:Risk Management Insurance	790	1,991	1,991
Lease/Purchase/Equipment			
HR Statewide Contract	1,438	1,423	1,423
DP Services Assessment - DMS 210004	1,379	1,124	1,125
FCO - HVAC - 080184			22,148
Indirect Costs Charged to Trust Fund:	46,526	39,991	40,407
<b>Total Full Costs to Line (B) - Section III</b>	<b>391,932</b>	<b>421,249</b>	<b>556,415</b>

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	397,623	448,891	465,320
TOTAL SECTION II	(B)	391,932	421,249	556,415
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>5,691</b>	<b>27,642</b>	<b>(91,095)</b>

**EXPLANATION of LINE C:**

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2020-21</b>
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	SURPLUS PROPERTY REVOLVING TRUST
<b>LAS/PBS Fund Number:</b>	FEDERAL PROPERTY ASSISTANCE (72600200)
	2699

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	36,786 (A)		36,786
ADD: Other Cash (See Instructions)	3,000 (B)		3,000
ADD: Investments	1,248,061 (C)		1,248,061
ADD: Outstanding Accounts Receivable	87,767 (D)	125	87,892
ADD: <u>Interest Receivable</u>			-
<b>Total Cash plus Accounts Receivable</b>	<b>1,375,614 (F)</b>	<b>125</b>	<b>1,375,739</b>
LESS Allowances for Uncollectibles	16,407 (G)		16,407
LESS Approved "A" Certified Forwards	16,520 (H)		16,520
Approved "B" Certified Forwards	17,521 (H)		17,521
Approved "FCO" Certified Forwards			-
LESS: Other Accounts Payable (Non Operating)			-
LESS: <u>Other Accounts Payable</u>			-
<b>Unreserved Fund Balance, 07/01/18</b>	<b>1,325,165 (K)</b>	<b>125</b>	<b>1,325,290 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020-21**

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**  
Total all GLC's 5XXXX for governmental funds; 1,331,839 (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment - Increase to A/R (B7200025) 125 (C)

SWFS Adjustment # and Description  (C)

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

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (17,521) (D)

Compensated Absences Liability 10,876 (D)

A/P not C/F-Operating Categories (CAT 210021)  (D)

A/P - CF Adjust - Approved CF - Requested but reduced (29.30) (D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 1,325,290 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)** 1,325,290 (F)

**DIFFERENCE:** 0 (G)\*

**\*SHOULD EQUAL ZERO.**

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Federal Property Assistance

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings to report for Federal Property Assistance.		

# Motor Vehicle and Watercraft Management

Exhibits or Schedules

# Motor Vehicle and Watercraft Management

## Schedule I Series



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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72600300 Motor Vehicle/Watercraft Management  
**Fund:** 2510 Operating Trust Fund  
**Specific Authority:** Section 287.16, Florida Statutes  
**Purpose of Fees Collected:** For maintenance of EMIS

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

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

	(1)	(2)	(3)	(4)
<b>SECTION I - FEE COLLECTION</b>		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 2018-19</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>
<b>Receipts:</b>				
Equipment Mgmt.Report Fees		381,785	511,077	511,077
Security/Escrow Deposits (Auct Proceed)		3,168,321	3,776,315	3,776,315
Interest Earnings		37,384	13,645	7,083
Transfers from w/in the Agency				
Refunds		3,820		
<b>Total Fee Collection to Line (A) - Section III</b>		<b>3,591,310</b>	<b>4,301,037</b>	<b>4,294,475</b>

**SECTION II - FULL COSTS**

**Direct Costs:**

Salaries and Benefits		375,066	518,759	519,935
Other Personal Services				
Expenses		35,190	58,708	58,708
Operating Capital Outlay				
S.C.:Pay/Exp/Sale Agency Vehicles		313,396	695,000	695,000
S.C.:Contracted Services		567,025	279,332	248,784
S.C.:Risk Management Insurance		5,067	7,650	7,650
Lease/Purchase/Equipment		571	1,247	1,247
HR Statewide Contract		2,591	2,564	2,564
Fleet Mgmt Information System			462,603	462,603
Data Processing Svcs Assess		26,827	21,869	21,887
Indirect Costs Charged to Trust Fund:		2,518,023	2,690,065	2,748,941

**Total Full Costs to Line (B) - Section III** **3,843,756** **4,737,797** **4,767,319**

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	3,591,310	4,301,037	4,294,475
TOTAL SECTION II	(B)	3,843,756	4,737,797	4,767,319
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(252,446)</b>	<b>(436,760)</b>	<b>(472,844)</b>

**EXPLANATION of LINE C:**

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2020-21</b>
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	OPERATING TRUST FUND
<b>LAS/PBS Fund Number:</b>	MOTOR VEHICLE & WATERCRAFT MANAGEMENT (72600300)
	2510

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	41,900 (A)		41,900
ADD: Other Cash (See Instructions)			0
ADD: Investments	907,071 (C)		907,071
ADD: Outstanding Accounts Receivable	56,484 (D)		56,484
ADD: <u>Interest Receivable</u>			0
<b>Total Cash plus Accounts Receivable</b>	<b>1,005,455 (F)</b>	<b>0</b>	1,005,455
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	65,848 (H)		65,848
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Non Operating)	15,421 (I)	14,591	30,012
LESS: Other Accounts Payable			0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>924,186 (K)</b>	<b>(14,591)</b>	909,595 **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020-21**

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

Total all GLC's 5XXXX for governmental funds; 868,290 (A)  
GLC 539XX for proprietary and fiduciary funds

**Subtract Nonspendable Fund Balance (GLC 56XXX)** 0 (B)

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

SWFS Adjustment - Increase NonOp A/P (B7200012) (14,510) (C)

SWFS Adjustment - Increase NonOp A/P (B7200014) (81) (C)

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

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

Compensated Absences Liability 55,896 (D)

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

A/P adjusted after CF request submitted (Duplicate A/P was deleted)  (D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 909,595 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** 909,595 (F)

**DIFFERENCE:** 0 (G)\*

**\*SHOULD EQUAL ZERO.**

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Motor Vehicle & Watercraft Management

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings to report for Motor Vehicle & Watercraft Management.		

Purchasing Oversight

Exhibits or Schedules

Purchasing Oversight

Schedule I Series

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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72600400 Purchasing Oversight  
**Fund:** 2510 Operating Trust

**Specific Authority:** Section 287.042, Florida Statutes  
**Purpose of Fees Collected:** To cover the projected administrative and project service costs of the on-line procurement systems.

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

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

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL FY 2018 - 19	ESTIMATED FY 2019 - 20	REQUEST FY 2020 - 21
<b>Receipts:</b>			
State Term Contract Vendor User Fees	17,877,268	18,000,000	18,000,000
Pride Recycling	40,000	40,000	40,000
Refunds	2,234		
State Purchasing Card Transaction Fee	3,025,497	3,007,873	3,000,000
Interest Earnings - Purchasing	378,741	356,500	356,500
Interest Earnings - PPM			
Restitution - PPM			
TR From DOC for Major Repairs - PPM			
<b>Total Fee Collection to Line (A) - Section III</b>	21,323,740	21,404,373	21,396,500

**SECTION II - FULL COSTS**

<b><u>Direct Costs:</u></b>			
Salaries and Benefits	4,070,704	4,236,702	4,248,740
Other Personal Services	10,000	10,000	10,000
Expenses	307,691	390,418	390,418
Operating Capital Outlay	12,136	15,859	15,859
Sp.Cat.:Risk Management Insurance	6,711	12,083	12,083
Sp. Cat.: Web-Based E-Proc System	10,509,600	10,509,600	10,509,600
Public Assistance - ST OPS	219,148		
Lease/Purchase/Equipment	5,001	5,000	5,000
HR Statewide Contract	14,921	14,764	14,764
Contracted Services	156,395	365,847	448,847
Contracted Legal Services		30,000	30,000
Project Mgmt Prof Training	178,550	180,000	180,000
TR/Dept. Financial Services	1,500,000	1,500,000	1,500,000
DP Services - DMS 210004	144,007	117,388	117,482

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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72600400 Purchasing Oversight  
**Fund:** 2510 Operating Trust

**Specific Authority:** Section 287.042, Florida Statutes  
**Purpose of Fees Collected:** To cover the projected administrative and project service costs of the on-line procurement systems.

	(2) ACTUAL FY 2018 - 19	(3) ESTIMATED FY 2019 - 20	(4) REQUEST FY 2020 - 21
Indirect Costs Charged to Trust Fund	7,006,499	7,806,675	5,179,920
<b><u>Total Full Costs to Line (B) - Section III</u></b>	24,141,363	25,194,336	22,662,713

**Basis Used: Accrual**

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	21,323,740	21,404,373	21,396,500
TOTAL SECTION II	(B)	24,141,363	25,194,336	22,662,713
TOTAL - Surplus/Deficit	(C)	(2,817,623)	(3,789,963)	(1,266,213)

**EXPLANATION of LINE C:**

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

Negative balances are offset by cash brought forward (see Schedule I).



# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020-21 MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	OPERATING TRUST FUND
<b>Budget Entity:</b>	PURCHASING OVERSIGHT (72600400)
<b>LAS/PBS Fund Number:</b>	2510

	Balance as of 6/30/2019		SWFS* Adjustments		Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	780,709	(A)			780,709
ADD: Other Cash (See Instructions)	9,578	(B)			9,578
ADD: Investments	15,076,128	(C)			15,076,128
ADD: Outstanding Accounts Receivable	5,215,727	(D)	1,517		5,217,244
ADD:		(E)			
<b>Total Cash plus Accounts Receivable</b>	<b>21,082,142</b>	(F)	<b>1,517</b>		<b>21,083,659</b>
LESS Allowances for Uncollectibles	3,599,456	(G)			3,599,456
LESS Approved "A" Certified Forwards	1,168,769	(H)			1,168,769
Approved "B" Certified Forwards	1,576	(H)			1,576
Approved "FCO" Certified Forwards		(H)			
LESS: Other Accounts Payable (Non Operating)	449,018	(I)			449,018
LESS: <u>Other Accounts Payable</u>		(J)			0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>15,863,322</b>	(K)	<b>1,517</b>		<b>15,864,840</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020-21**

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

Total all GLC's 5XXXX for governmental funds: 15,862,714 (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment Increase A/R (B7200020) 1,517 (C)

SWFS Adjustment #B72000XX - decrease A/R  - (C)

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

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (1,576) (D)

Compensated Absences Liability 2,112 (D)

A/P not C/F-Operating Categories 73 (D)

A/P adjusted after CF closed - duplicate payable  (D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 15,864,840 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)** 15,864,840 (F)\*

**DIFFERENCE:** 0 (G)\*

**\*SHOULD EQUAL ZERO.**

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Purchasing Oversight

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings to report for Purchasing Oversight.		

# Office of Supplier Diversity

## Exhibits or Schedules

# Office of Supplier Diversity

## Schedule I Series

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 MANAGEMENT SERVICE      **Budget Period:** 2020 - 21  
**Program:** 72600500 OFFICE OF SUPPLIER DIVERSITY  
**Fund:** 2510 Operating Trust Fund  
**Specific Authority:** Section 287.042, Florida Statutes  
**Purpose of Fees Collected:** To cover the projected administrative and project service costs of the on-line procurement systems. Provides for entering into contracts with contractors for the designing, financing, acquiring, leasing, constructing and operating of private correctional facilities.

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

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

	(1)	(2)	(3)	(4)
<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>	
	<b>FY 2018 - 19</b>	<b>FY 2019 - 20</b>	<b>FY 2020 - 21</b>	
<b><u>Receipts:</u></b>				
Reimbursements	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Transfer from Purchasing Oversight	<input type="text"/>	<input type="text"/>	<input type="text"/>	
<b>Total Fee Collection to Line (A) - Section III</b>	<b>-</b>	<b>-</b>	<b>-</b>	

**SECTION II - FULL COSTS**

**Direct Costs:**

Salaries and Benefits	335,993	360,245	361,439
Other Personal Services	<input type="text"/>	<input type="text"/>	<input type="text"/>
Expenses	48,182	55,641	55,641
Operating Capital Outlay	<input type="text"/>	<input type="text"/>	<input type="text"/>
Sp.Cat.:Contracted Services	10,200	11,573	11,573
Sp.Cat.:Risk Management Insurance	821	828	828
HR Statewide Contract	3,090	3,057	3,057
DP Services Assess-AST 210003	10,508	8,565	8,572
	<input type="text"/>	<input type="text"/>	<input type="text"/>
Indirect Costs Charged to Trust Fund:	(408,538)	(439,909)	(441,110)
<b>Total Full Costs to Line (B) - Section III</b>	<b>256</b>	<b>-</b>	<b>-</b>

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	-	-	-
TOTAL SECTION II	(B)	256	-	-
TOTAL - Surplus/Deficit	(C)	(256)	-	-

**EXPLANATION of LINE C:**

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020 - 21
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	OPERATING TRUST FUND
<b>LAS/PBS Fund Number:</b>	OFFICE OF SUPPLIER DIVERSITY (72600500)
	2510

	Balance as of 6/30/2019		SWFS* Adjustments		Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	(440,049)	(A)			(440,049)
ADD: Other Cash (See Instructions)	0	(B)			0
ADD: Investments	0	(C)			0
ADD: Outstanding Accounts Receivable	0	(D)			0
ADD: Anticipated Revenue		(E)			0
<b>Total Cash plus Accounts Receivable</b>	(440,049)	(F)			(440,049)
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	16,124	(H)			16,124
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Non Operating)	0	(I)			0
LESS: <u>Other Accounts Payable</u>		(J)			0
<b>Unreserved Fund Balance, 07/01/19</b>	(456,173)	(K)			(456,173)**

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

<b>Department Title:</b>	<u>Budget Period: 2020 - 21</u>
<b>Trust Fund Title:</b>	<u>MANAGEMENT SERVICES</u>
<b>LAS/PBS Fund Number:</b>	<u>OPERATING TRUST FUND</u>
	<u>OFFICE OF SUPPLIER DIVERSITY (72600500)</u>

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/2019**  
Total all GLC's 5XXXX for governmental funds;  (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment # and Description  (C)

SWFS Adjustment # and Description  (C)

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

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

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

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

A/P adjusted after CF request submitted (Duplicate A/P was deleted)  (D)

(D)

(D)

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

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)**  (F)

**DIFFERENCE:**  (G)\*

**\*SHOULD EQUAL ZERO.**



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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Office of Supplier Diversity

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings to report for the Office of Supplier Diversity.		

Private Prison Monitoring

Exhibits or Schedules

# Private Prison Monitoring

## Schedule I Series

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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72600800 Private Prison Monitoring  
**Fund:** 2510 Operating Trust Fund

**Specific Authority:** Section 215.32, Florida Statutes  
**Purpose of Fees Collected:** Transfer from Dept. of Corrections: for the major maintenance and repair for Correctional Facilities overseen by Private Prison Monitoring.

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

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

	(1)	(2)	(3)	(4)
<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>	
	<b>FY 2018 - 19</b>	<b>FY 2019 - 20</b>	<b>FY 2020 - 21</b>	
<b><u>Receipts:</u></b>				
Interest Earnings - PPM	209,683	69,421	36,521	
Refunds & Reimbursements - PPM				
TR From DOC for Major Repairs - PPM	1,552,343	1,460,367	1,492,936	
<b><u>Total Fee Collection to Line (1) - Section III</u></b>	<b>1,762,026</b>	<b>1,529,788</b>	<b>1,529,457</b>	

**SECTION II - FULL COSTS**

<b><u>Direct Costs:</u></b>				
Salaries and Benefits	81,224	98,111	98,507	
Expenses	8,517	14,175	14,175	
Contracted Services				
Operating Capital Outlay				
Sp.Cat.:Risk Management Insurance				
Data Processing Services - SSRC				
HR Statewide Contract	387	383	383	
Private Prison-Maint/Repair	518,072	1,500,000	1,500,000	
FCO - Lake City Roofs				
FCO - Gadsden				

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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72600800 Private Prison Monitoring  
**Fund:** 2510 Operating Trust Fund

**Specific Authority:** Section 215.32, Florida Statutes  
**Purpose of Fees Collected:** Transfer from Dept. of Corrections: for the major maintenance and repair for Correctional Facilities overseen by Private Prison Monitoring.

	(2) ACTUAL FY 2018 - 19	(3) ESTIMATED FY 2019 - 20	(4) REQUEST FY 2020 - 21
<b><u>Indirect Costs Charged to Trust Fund</u></b>			
TR to GR-8% Svc Chrg (PPM)	15,793	5,554	1,840
Assessment for Investments 890000 - 310403	12,267	4,859	1,610
5% Trust Fund Reserve - PPM			76,193
Prior Year Certified Forward B's	1,235,206		
PY FCO CF	1,021,904		
Compensated Leave Liability	(15,527)		
PY Reversal	(238,822)		
Cert Forward Reversions @ 9/30/2018	(43,331)		
Cert Forward Reversions @ 9/30/2019			
<b><u>Total Full Costs to Line (2) - Section III</u></b>	<b>2,595,690</b>	<b>1,623,082</b>	<b>1,692,708</b>

**Basis Used: Accrual**

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	1,762,026	1,529,788	1,529,457
TOTAL SECTION II	(B)	2,595,690	1,623,082	1,692,708
TOTAL - Surplus/Deficit	(C)	(833,664)	(93,294)	(163,251)

**EXPLANATION:**

Special Cat: Private Prison - Maint & Repairs in PC 1206. All other amounts in PC 1601.  
Negative balance in A03 is offset by cash balance brought forward (see Schedule I).

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020-21 MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	OPERATING TRUST FUND
<b>Budget Entity:</b>	PRIVATE PRISONS MONITORING (72600800)
<b>LAS/PBS Fund Number:</b>	2510

	Balance as of 6/30/2019		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	96,668	(A)	0	96,668
ADD: Other Cash (See Instructions)	0	(B)	0	0
ADD: Investments	7,363,947	(C)	0	7,363,947
ADD: Outstanding Accounts Receivable	20,698	(D)	0	20,698
ADD: <u>Interest Receivable</u>	0	(E)	0	0
<b>Total Cash plus Accounts Receivable</b>	<b>7,481,313</b>	(F)	<b>0</b>	<b>7,481,313</b>
LESS Allowances for Uncollectibles	0	(G)	0	0
LESS Approved "A" Certified Forwards	5,076	(H)	0	5,076
Approved "B" Certified Forwards	0	(H)	0	0
Approved "FCO" Certified Forwards	2,843,603	(H)	0	2,843,603
LESS: Other Accounts Payable (Non Operating)	4,583	(I)	0	4,583
LESS: <u>Other Accounts Payable</u>	0	(J)	0	0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>4,628,051</b>	(K)	<b>0</b>	<b>4,628,051</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020-21**

**Department Title: 720000 MANAGEMENT SERVICES**

**Trust Fund Title: Private Prisons Monitoring (72600800)**

**LAS/PBS Fund Number: 2510**

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

Total all GLC's 5XXXX for governmental funds: 7,471,654

GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment - Increase A/R ( )  

SWFS Adjustment # and Description  

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

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

Approved "C" Carry Forward Total (FCO) per LAS/PBS (2,843,603)

A/P not C/F-Operating Categories  

Compensated Absences  

**ADJUSTED BEGINNING TRIAL BALANCE:**

**4,628,051**

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)**

**4,628,051**

**DIFFERENCE:**

**0**

**\*SHOULD EQUAL ZERO.**

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

**Budget Period: 2020-2021**

**Department: Management Services**

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Private Prison Monitoring

**Phone Number:** (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
IA 2017-46  Audit of Private Prison Contract Monitoring  Issued: June 2018	6/30/2018	Contract Monitoring	<p><b>Finding No. 1:</b> A review of the contract management and monitoring guidance noted that a risk assessment is recommended as the basis for developing the monitoring tool. During interviews and discussions with division and bureau management, monitors and their supervisors, everyone agreed that the performance indicators had different levels of risk associated with them. Staff identified security, care and comfort, and programming as the priorities, respectively. In addition, staff also agreed that certain factors, including different vendors, different types of inmate populations, and different staffing issues produce varying levels of risks at the correctional facilities.</p> <p>Despite the different levels of significance for each of the performance indicators and the varying factors between facilities, a tool with the same indicators is used at each of the seven correctional facilities and all of the indicators are monitored at the same frequency. The bureau has not completed an assessment of the risk associated with each of the performance indicators. In addition, the bureau has not performed a risk assessment for each of the private correctional facilities. Without preparing a sufficient risk assessment, incorporating the varying risk factors, and determining the appropriate significance for each indicator in the monitoring tool at each facility, the monitoring of the operations may not be effective because the focus and frequency may not be appropriate.</p>	<p>The Bureau/PPM concurs with the IG audit recommendation to complete a risk assessment on the monitoring tool. PPM sought assistance from DMS' OIG and Project Management Office to complete said risk assessment. Unfortunately, neither office is able to satisfy this large request within existing resources. PPM continues to explore options to have this risk assessment completed.</p> <p><b>12-Month Follow-up Status Summary:</b> The activities identified in the operations manual to use multiple data sources to determine contractor compliance that are conducted on an on-going basis address the basic risk assessment. PPM will continue to explore options to have a risk assessment completed by a third party contingent upon additional budget resources.</p>	



REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA 2017-46  Audit of Private Prison Contract Monitoring  Issued: June 2018	6/30/2018	Contract Monitoring	<p><b>Recommendation:</b> We recommend that management update their monitoring tool by completing a risk assessment as prescribed by the participant guide to outline the significance of the performance indicators. This should help management to determine the appropriate frequency for assessing vendor performance for the related indicators for each facility. Also, we recommend that management identify risk factors and perform a risk assessment for each of the correctional facilities so that the assessment of the vendor's performance will be based on the related risks.</p> <p><b>Finding No. 2:</b> A review of a sample of 50 (8.5%) indicators noted that sometimes the time to complete the assessments varied as much as 100%. Further analysis and discussion with the monitors noted that the main reason for these differences related to the steps used to complete the assessment. The monitors are not required to document the steps used to complete their assessment in their results.</p> <p>During the onsite visits at the correctional facilities, we completed assessments of a sample of performance indicators from the monthly monitoring tools. Below is a list of the noncompliant indicators we noted while recent assessments reported these areas in compliance:</p> <ul style="list-style-type: none"> <li>• A review of a sample of program or Academic classes noted three instances where class attendance was not consistent with the sign-in sheets although the sign-in sheets agreed with the roster.</li> <li>• A review of firearm cards and officers' temporary certifications noted expired statuses.</li> <li>• A review of correctional officers' uniforms noted one officer who did not have his badge and several officers who did not have body alarms or gas equipment on their person.</li> </ul>	<p>PPM concurs with the IG audit recommendation to update the monitoring tool procedural manual with specific steps to allow a consistent rating on the tool and reinforce the update during onsite contract manager training. The manual revision will include expectations for documentation and comments.</p> <p><b>12-Month Follow-up Status Summary:</b> The monitoring tool procedure manual (operations manual) was updated to include the requirement to document the activities completed to determine the rating in the notes section.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<ul style="list-style-type: none"> <li>• We noted grievances returned without indicating what the inmates needed to do to correct them. Also, we noted that grievances were corrected by the coordinator although the form noted the grievance was denied because it may have been on the wrong grievance form. One of the grievance coordinators discussed making sure the number of grievances approved was low.</li>   <li>• We observed that the Disturbance Armed Response Team's (DART) performance was not always in compliance with established guidelines.</li> </ul> <p>Monitors are also not required to provide comments regarding the results of their assessment. The results of the assessment for each indicator is documented by selecting compliance, noncompliance or not applicable for each indicator on the tool. During the audit, we noted that comments are not always included for performance indicators marked as noncompliant.</p> <p><b>Recommendation:</b> To ensure that performance indicators are assessed consistently and according to management's expectations, we recommend that management update the monitoring tool procedural manual to include more specific tasks/steps for evaluating the indicators. Also, we recommend that management add specific sampling procedures where appropriate and outline requirements for documentation of the results, including when comments should be required.</p>		

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA 2017-46  Audit of Private Prison Contract Monitoring  Issued: June 2018	6/30/2018	Contract Monitoring	<p><b>Finding No. 3:</b> During the audit, we reviewed the position descriptions of the monitors for compliance with Florida Statutes and noted the following:</p> <ul style="list-style-type: none"> <li>• Recently management updated position descriptions for new hires. However, the changes made have not been consistent, resulting in position descriptions that are not uniform.</li> <li>• The percentage of time for duties and responsibilities are not the same.</li> <li>• The position descriptions reference a draft report of the CPI monitoring tool results prepared by the monitors. However, no report summarizing the results of the monthly monitoring is prepared. The actual assessment document, which contains almost 300 indicators, is distributed to the vendor without summary or conclusion.</li> <li>• The position descriptions outline that monitors are able to re-evaluate certain indicators originally assessed as noncompliant (“minor”) during the month if the vendor is able to correct them on the spot. We noted during the audit inconsistent procedures in how this is applied. Some monitors have identified what they have determined to be ‘minor’ noncompliance indicators while others use this as a global approach.</li> </ul> <p><b>Recommendation:</b> We recommend that management update all position descriptions for monitors so that they are consistent, clear, and compliant regarding current expectations, procedures, and practices.</p>	<p>PPM concurs with the IG audit recommendation to update the position descriptions for the monitors. The position descriptions have been updated to ensure consistent expectations. The updated position descriptions will be reviewed with each monitor, signed by all parties, and submitted to the Office of Human Resources within the next few weeks.</p> <p><b>12-Month Follow-up Status Summary:</b> The position descriptions were updated prior to receipt of the official audit report.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
IA 2017-46  Audit of Private Prison Contract Monitoring  Issued: June 2018	6/30/2018	Contract Monitoring	<p><b>Finding No. 4:</b> During the audit, we interviewed the supervisors to gain an understanding of the procedures used to complete their review and oversight. The supervisors stated that the completed tools are forwarded via email by the monitors for review. The supervisors also stated that once their review is completed the document is converted into a portable document format (PDF), and forwarded to the bureau chief who reviews and determines the next steps for any noncompliant indicators noted during the assessments.</p> <p>We reviewed a sample of completed tools and noted the following:</p> <ul style="list-style-type: none"> <li>• Bureau management had not developed specific procedures for the supervisors to use in completing their review;</li> <li>• No evidence of the supervisor or the bureau chief's review was documented on the actual document;</li> <li>• Indicators marked not applicable that should have been completed; and,</li> <li>• No consistency in how questions and feedback from the review were documented and communicated to the monitors.</li> </ul> <p><b>Recommendation:</b> We recommend that management implement specific and standard procedures for all levels of review of the CPI tool assessment process.</p>	<p>PPM concurs with the IG audit recommendation to develop specific procedures for all levels of review of the CPI tool assessment process. PPM will include this section in the monitoring tool procedural manual revisions referenced in Finding #2</p> <p><b>12-Month Follow-up Status Summary:</b> Working on a process and written procedure to document each level of review.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<p>IA 2017-46</p> <p>Audit of Private Prison Contract Monitoring</p> <p>Issued: June 2018"</p>	6/30/2018	Contract Monitoring	<p><b>Finding No. 5:</b> During the audit, we reviewed the CPI procedural manual and noted that the manual references an annual report to be prepared and submitted to the department Secretary. However, the bureau has not prepared such a report. Management stated during further discussions that this report is not currently prepared. We noted in an earlier audit, that current department policies and procedures reference an overall assessment report be performed for vendors before the contract ends. This is also a noted best practice when using third party service providers to perform key functions.</p> <p><b>Recommendation:</b> We recommend that management update the procedural manual to reflect current practices. Also, we recommend management consider the implementation of an annual report on the overall performance for each correctional facility.</p>	<p>PPM concurs with the IG audit recommendation to implement an annual report submission for each facility. PPM electronic files include annual reports from FY04 through FY10. Information included: organization charts; current operations; operating costs; deductions and liquidated damages; facility profiles; trust fund overviews; inmate programmatic services; personnel screening and continuing endeavors. A similar format will be implemented for the annual report. Historical files can be found at S:\PPM\Annual Report.</p> <p><b>12-Month Follow-up Status Summary:</b> An annual report was compiled and submitted to the Office of the Secretary.</p>	
<p>IA 2017-46</p> <p>Audit of Private Prison Contract Monitoring</p> <p>Issued: June 2018</p>	6/30/2018	Contract Monitoring	<p><b>Finding No. 6:</b> When discussing the process for training monitors, the bureau chief and supervisors stated that new monitors are trained by their supervisors and fellow monitors until the monitor feels comfortable completing the tool. They noted that this usually takes about two months. Once the training is complete, the monitors contact the supervisor and other monitors with questions. We noted that there is neither a formal training program for new monitors nor any formal ongoing training.</p> <p>As a part of the audit, we reviewed the policies and procedures manual for the CPI tool assessment and noted that while they include information about the tool, it does not provide a detailed guide for conducting the monitoring activities. The participant guide recommends each agency provide agency specific training to staff managing and monitoring contracts. Formal training is key to ensuring that contract monitoring activities are performed reliably. Also, formal training reduces inconsistencies in the monitoring process and helps ensure clarification.</p>	<p>PPM concurs with the IG audit recommendation to complete ongoing training for the monitors. PPM is planning semi-annual or quarterly meetings, each at a different facility and at least one in Tallahassee. During this meeting/staff retreat, ongoing training, document revisions, and other business related to the bureau will be covered.</p> <p>Currently, the monitors participate in FL Department of Corrections training opportunities. The revised CPI monitoring tool manual referenced in Finding #2 will sufficiently explain the steps and expectations of completing the tool. New monitors will continue to be mentored by the bureau chief, supervisors, and fellow monitors until confidence and competence is gained.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p><b>Recommendation:</b> We recommend that management consider formal training for new monitors. Also, we recommend that management consider ongoing training to help ensure that required changes in the processes are properly communicated and implemented.</p>	<p>Monitors participate in FDC's mandatory in-service training for non-certified staff. FDC develops an annual master training plan. During FY18, classes included Advanced HPPAA, Americans with Disabilities Act Training, CPR Basics, Emergency Topics, Entrance and Exit from Institutions, First Aid for the Community &amp; Workplace, Health &amp; Safety, Human Trafficking, Information Security Awareness Training, Inmate Relations Topics, Intro to Spectrum, Legal Review, Mental Detox, Prison Rape Elimination Act, Recognizing Security Threat Groups, Unauthorized Cell Phone &amp; Electronic Device Use, and Use of Force Topics. Those staff that have officer certifications will participate in additional course offerings from FDC for certified staff.</p> <p><b>12-Month Follow-up Status Summary:</b> Ongoing training was provided for the monitors on February 19-21, 2019. Contractors were included in a portion of this training. The CPI monitoring manual updates were covered. The next training activity is tentatively scheduled in August 2019.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<p>IA 2017-46</p> <p>Audit of Private Prison Contract Monitoring</p> <p>Issued: June 2018</p>	<p>6/30/2018</p>	<p>Contract Monitoring</p>	<p><b>Finding No. 7:</b> As a part of the audit, we discussed and reviewed the background of each of the monitors. All but one of the monitors are former correctional officers. This background and previous experience provides them with needed knowledge of DOC standards and regulations as well as the ACA regulations and standards. While onsite we noted that some of the monitors had been correctional officers in facilities where some current inmates were housed previously. In addition, we noted that monitors may have worked or are friends with correctional officers working in the facilities they monitor.</p> <p>While this background and experience is important to effective monitoring activities, these factors could introduce bias into the monitoring process. We found during the audit that management had implemented a procedure to have monitors rotate between correctional facilities for one week to perform monitoring activities and that one of management's objectives was to help ensure monitoring objectivity. However, the monitors rotate to the same facilities (closest to their homes) each month and are only completing a small part of an assessment. These factors may diminish the ability to achieve the goal of the rotation.</p> <p>Recommendation: We recommend management consider implementing alternate programs to help ensure objectivity. Some of the options noted during our research include the following:</p> <ul style="list-style-type: none"> <li>• Continuous rotation of monitors between facilities,</li> <li>• Rotating monitors to perform a full assessment periodically, and</li> <li>• Implementing an independent assessment by a third party periodically.</li> </ul>	<p>PPM concurs with the IG audit recommendation to implement a program to help ensure objectivity. The bureau proposes to implement semi-annual visits by teams to assess the full operations. Each assessment will have a specific tool developed to review trend data from previous reports, observations, and concerns but also include random indicators that are high risk but have not been trending issues. The teams will be lead by the supervisor and comprised of the monitors. The bureau chief will participate in the out briefing for the assessment. The revised monitoring tool manual identified in Finding #2, should limit the ability to be subjective on the review. The bureau will seek opportunities to allow for an independent assessment by a third party periodically.</p> <p>Additional reviews/audits are provided by independent entities to ensure respective areas of concern are within standards.</p> <p>FDC completes security, environmental health and safety, and classification audits; Department of Children and Families conduct annual license reviews of substance abuse programs; DFS Fire Marshal conducts annual life safety inspections; County Health Departments conduct food service inspections and canteen inspections; and Correctional Medical Authority conduct medical audits every three years and follow up until the corrective action plans are closed.</p> <p><b>12-Month Follow-up Status Summary:</b> The revision to the monitoring manual have improved objectivity. We plan to seek an independent third party to conduct periodic reviews based on the outcome of the formal risk assessment.</p>	

# Insurance Benefits Administration

## Exhibits or Schedules



# Insurance Benefits Administration

## Schedule I Series

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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Budget Entity:** 72750200 Insurance Benefits Administration  
**Fund:** 2570 Pretax Benefits Trust  
**Specific Authority:** Section 110.161, Florida Statutes  
**Purpose of Fees Collected:** Employee Benefits Plan

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

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

(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2018 - 19	(3) ESTIMATED FY 2019 - 20	(4) REQUEST FY 2020 - 21
<b>Receipts:</b>			
Employee Contributions	33,523,774	35,500,000	35,500,000
Savings (pretax benefit program)	21,964,778	23,410,000	23,410,000
Interest Earnings	561,724	700,000	700,000
Supplemental Plan Premiums	90,790,383	96,000,000	96,000,000
PY Warrant Cancellations	24		
Refunds - Transfer from 2668 TF	721,685		
Refunds	160,839	160,000	160,000
<b>Total Fee Collection to Line (A) - Section III</b>	<b>147,723,207</b>	<b>155,770,000</b>	<b>155,770,000</b>

**SECTION II - FULL COSTS**

<b><u>Direct Costs:</u></b>			
Salaries and Benefits	397,441	401,495	402,689
Other Personal Services		14,935	14,935
Expenses	41,027	47,531	47,531
Operating Capital Outlay	5,400	10,000	10,000
Sp.Cat.:Risk Management Insurance	1,275	517	517
HR Statewide Contract	3,733	3,694	3,694
Contracted Services	204,629	348,505	348,505
DP Services Assessment - AST 210003	2,663	2,170	2,171
Indirect Costs Charged to Trust Fund	146,610,061	154,824,320	154,826,023
<b>Total Full Costs to Line (B) - Section III</b>	<b>147,266,229</b>	<b>155,653,167</b>	<b>155,656,065</b>

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	147,723,207	155,770,000	155,770,000
TOTAL SECTION II	(B)	147,266,229	155,653,167	155,656,065
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>456,978</b>	<b>116,833</b>	<b>113,935</b>

**EXPLANATION:**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020 - 2021 MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	PRETAX BENEFITS TRUST
<b>Budget Entity:</b>	INSURANCE BENEFITS ADMINISTRATION (72750200)
<b>LAS/PBS Fund Number:</b>	2570001

	Balance as of 6/30/2019		SWFS* Adjustments		Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	636,976	(A)			636,976
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	7,615,261	(C)			7,615,261
ADD: Outstanding Accounts Receivable	3,411,690	(D)			3,411,690
ADD:		(E)			0
<b>Total Cash plus Accounts Receivable</b>	<b>11,663,928</b>	(F)			<b>11,663,928</b>
LESS Allowances for Uncollectibles	0	(G)			0
LESS Approved "A" Certified Forwards	24,904	(H)			24,904
Approved "B" Certified Forwards	0	(H)			0
Approved "FCO" Certified Forwards	(8,070)				(8,070)
LESS: Other Accounts Payable (Non-Operating)	2,118,859	(I)			2,118,859
LESS: <u>Unearned Revenue</u>	9,016,629	(J)			9,016,629
LESS: Other Accounts Payable	0	(J)			0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>511,606</b>	(K)	0		<b>511,606</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020 - 2021**

**Department Title:** 720000 MANAGEMENT SERVICES  
**Trust Fund Title:** Pretax Benefits Trust Fund  
**LAS/PBS Fund Number:** 2570001

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/19</b>	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	455,890 (A)
<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	(B)
<b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments:</b>	
SWFS Adjustment #B7200015 - increase A/R	(C)
SWFS Adjustment # and Description	(C)
<b>Add/Subtract Other Adjustment(s):</b>	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(D)
Compensated Absences Liability	62,571 (D)
A/P not C/F-Operating Categories	6,471 (D)
Net Capital Assets	(13,326) (D)
	(D)
	(D)
<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<b>511,606 (E)</b>
<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	<b>511,606 (F)*</b>
<b>DIFFERENCE:</b>	<b>0 (G)*</b>

**\*SHOULD EQUAL ZERO.**

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

**Department:** 72 Management Services **Budget Period:** 2020-21  
**Program:** 72750200 Insurance Benefits Administration  
**Fund:** 2667 State Employees Life Insurance Trust  
**Specific Authority:** Section 110.123, Florida Statutes  
**Purpose of Fees Collected:** Employee Benefits Plan

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

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

	(1)	(2)	(3)	(4)
<b>SECTION I - FEE COLLECTION</b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>	
	<b>FY 2018 - 19</b>	<b>FY 2019 - 20</b>	<b>FY 2020 - 21</b>	
<b>Receipts:</b>				
Contributions	33,364,507	32,692,300	32,694,150	
Interest Earnings	149,970	105,145	100,300	
<b>Proposed Premium Increase</b>				
PY Warrant Cancellation	198			
Penalties				
Refund from Prudential				
Transfer In From Disability Trust Fund				
<b>Total Fee Collection to Line (A) - Section III</b>	<b>33,514,675</b>	<b>32,797,445</b>	<b>32,794,450</b>	

**SECTION II - FULL COSTS**

<b>Direct Costs:</b>				
Salaries and Benefits	8,070	22,678	22,745	
Expenses		1,984	1,984	
Sp.Cat.:Risk Management Insurance	334	135	135	
TR/DMS/HR Svcs/STWD Contract				
Data Processing Services - SSRC				
_____				
_____				
Indirect Costs Charged to Trust Fund:	32,998,125	32,185,605	32,185,634	
<b>Total Full Costs to Line (B) - Section III</b>	<b>33,006,529</b>	<b>32,210,402</b>	<b>32,210,498</b>	

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	33,514,675	32,797,445	32,794,450
TOTAL SECTION II	(B)	33,006,529	32,210,402	32,210,498
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>508,146</b>	<b>587,043</b>	<b>583,952</b>

**EXPLANATION:**

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2020 - 2021**

<b>Department Title:</b>	MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	STATE EMPLOYEE LIFE INSURANCE TRUST
<b>Budget Entity:</b>	INSURANCE BENEFITS ADMINISTRATION (72750200)
<b>LAS/PBS Fund Number:</b>	2667002

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	715,073 (A)		715,073
ADD: Other Cash (See Instructions)			0
ADD: Investments	5,525,158 (C)		5,525,158
ADD: Outstanding Accounts Receivable	18,801 (D)		18,801
ADD:			0
<b>Total Cash plus Accounts Receivable</b>	<b>6,259,033 (F)</b>	<b>0</b>	<b>6,259,033</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	8,070 (H)		8,070
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)	0 (I)		0
LESS: <u>Unearned Revenue</u>	2,688,378 (J)	0	2,688,378
<b>Unreserved Fund Balance, 07/01/19</b>	<b>3,562,584 (K)</b>	<b>0</b>	<b>3,562,584 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020 - 2021**

**Department Title:** 72000 MANAGEMENT SERVICES  
**Trust Fund Title:** State Employees Life Insurance Trust Funds  
**LAS/PBS Fund Number:** 2667002

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**  
Total all GLC's 5XXXX for governmental funds;  
GLC 539XX for proprietary and fiduciary funds 3,562,584 (A)

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

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

SWFS Adjustment - Increase A/R (B7200011 & B7200030) 0 (C)

SWFS Adjustment # and Description  (C)

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

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

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

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

(D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 3,562,584 (D)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)** 3,562,584 (E)

**DIFFERENCE:** 0 (F)\*

**\*SHOULD EQUAL ZERO.**

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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72750200 Insurance Benefits Administration  
**Fund:** 2668 State Employees Health Insurance Trust  
**Specific Authority:** Section 110.123, Florida Statutes  
**Purpose of Fees Collected:** Employee Benefits Plan

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

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

(1) <b>SECTION I - FEE COLLECTION</b>	(2) <b>ACTUAL</b>	(3) <b>ESTIMATED</b>	(4) <b>REQUEST</b>
	<b>FY 2018 - 19</b>	<b>FY 2019 - 20</b>	<b>FY 2020 - 21</b>
<b>Receipts:</b> SEE ATTACHED LISTING			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>2,616,453,519</b>	<b>2,848,496,009</b>	<b>2,721,700,000</b>
<b>SECTION II - FULL COSTS</b>			
<b>Direct Costs:</b>			
Salaries and Benefits	1,456,504	1,603,628	1,608,398
Other Personal Services	147,510	143,150	143,150
Expenses	211,742	294,096	291,296
Operating Capital Outlay	-	8,000	8,000
Sp.Cat.:TR to Div.of Admin.Hearings	50,076	35,721	35,721
Sp.Cat.:ASO Contract/Health Ins. 101520	45,549,775	49,400,000	49,400,000
Sp.Cat.:Prescription Drug Claims Ad. 101530	4,196,976	4,406,020	4,406,020
Sp.Cat.: Risk Management Insurance	7,976	3,232	3,232
Sp.Cat.:Post Payment Claims/Svcs 100701	117,136	400,000	400,000
Sp.Cat.: Contracted Services	1,427,518	1,159,157	1,159,157
Contracted Legal Services	36,501	300,000	300,000
Pymt Employer/HSA Custodian 105001	2,646,063	3,008,000	3,008,000
Tran - Bundled Serv. Admin Serv. SW Contract 10	2,316,483	6,400,000	6,400,000
Tran - Bundled serv. Employee Transfers 105870	5,721	4,500,000	4,500,000
HR Statewide Contract	11,347	11,227	11,227
Lease/Purchase/Equipment	9,091	6,435	9,235
DP Services Assessment-AST 210004	8,294	6,761	6,767
<b>Indirect Costs Charged to Trust Fund:</b>	<b>2,613,949,213</b>	<b>1,906,438,000</b>	<b>2,066,338,000</b>
<b>Total Full Costs to Line (B) - Section II</b>	<b>2,672,147,926</b>	<b>1,978,123,427</b>	<b>2,138,028,203</b>

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	2,616,453,519	2,848,496,009	2,721,700,000
TOTAL SECTION II	(B)	2,672,147,926	1,978,123,427	2,138,028,203
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(55,694,407)</b>	<b>870,372,582</b>	<b>583,671,797</b>

**EXPLANATION:**

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



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

**Department:** Management Services **Budget Period: 2020-21**  
**Program:** Insurance Benefits Administration (72750200)  
**Fund:** State Employees Health Insurance Trust (2668)  
**Specific Authority:** Section 110.123, Florida Statutes  
**Purpose of Fees Collected:** Employee Benefits Plan

(1)	(2)	(3)	(4)
<b>SECTION I - FEE COLLECTION</b>	<b>ACTUAL FY 2018 - 19</b>	<b>ESTIMATED FY 2019 - 20</b>	<b>REQUEST FY 2020 - 21</b>
<b>Receipts:</b>			
<u>Employee/Employer Contributions</u>	2,352,511,480	2,191,300,000	2,217,400,000
<u>Health Saving Account Employer Contributions</u>		6,400,000	6,400,000
<u>Contributions-Medicare Part D Subsidy</u>	16,163,303	18,500,000	18,500,000
<u>Interest Earnings</u>	12,901,330	7,300,000	3,300,000
<u>Reimbursements (TPA &amp; PBM Rebates)</u>	149,715,619	155,800,000	175,300,000
<u>Non-Employee Contributions</u>		235,200,000	238,400,000
<u>Recognize Prior Year's Unearned Revenue</u>		171,596,009	
<u>Refunds</u>	45,784,191	37,800,000	37,800,000
<u>Transfer from PreTax Trust Fund (2570)</u>	23,170,000	24,600,000	24,600,000
<u>PY Warrant Cancellations</u>	14,491		
<u>Penalties</u>	16,193,105		
<b>Total Fee Collection to Line (A) - Section I</b>	<b>2,616,453,519</b>	<b>2,848,496,009</b>	<b>2,721,700,000</b>

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2020 - 2021**

<b>Department Title:</b>	MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	STATE EMPLOYEE HEALTH INSURANCE TRUST
<b>Budget Entity:</b>	INSURANCE BENEFITS ADMINISTRATION (72750200)
<b>LAS/PBS Fund Number:</b>	2668

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	58,485,700 (A)		58,485,700
ADD: Other Cash	32,993,711 (B)		32,993,711
ADD: Investments	343,568,049 (C)		343,568,049
ADD: SPIA Accounts	98,657,162 (D)		98,657,162
ADD: Outstanding Accounts Receivable	38,735,042 (E)		38,735,042
ADD: <u>Proposed Premium Increase</u>			-
<b>Total Cash plus Accounts Receivable</b>	<b>572,439,665 (F)</b>	<b>0</b>	<b>572,439,665</b>
LESS Allowances for Uncollectibles	1,294,857 (G)		1,294,857
LESS Approved "A" Certified Forwards	1,013,019 (H)		1,013,019
Approved "B" Certified Forwards	17,567 (H)		17,567
LESS: Other Accounts Payable (Non_Operating)	192,259,329 (I)		192,259,329
LESS: Other Accounts Payable			-
LESS: <u>Unearned Revenue</u>	171,596,009 (J)		171,596,009
<b>Unreserved Fund Balance, 07/01/19</b>	<b>206,258,884 (K)</b>	<b>0</b>	<b>206,258,884**</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

Budget Period: 2020 - 2021

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

Total all GLC's 5XXXX for governmental funds; 174,678,446 (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment Increase A/P (non-operating)  0 (C)

SWFS Adjustment - Decrease Accounts Receivable  (C)

SWFS Adjustment - Increase Accounts Payable  - (C)

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

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (17,567) (D)

Compensated Absences Liability (386/486)  84,840 (D)

A/P not C/F - Operating Categories  31,513,165 (D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:**  206,258,884 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)**  206,258,884 (F)\*

**DIFFERENCE:**  0 (G)\*

\*SHOULD EQUAL ZERO.



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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72750200 Insurance Benefits Administration  
**Fund:** 2671 State Employees Disability Insurance Trust  
**Specific Authority:** Section 110.123, Florida Statutes  
**Purpose of Fees Collected:** Employee Benefits Plan

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

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

	(1)	(2)	(3)	(4)
<b><u>SECTION I - FEE COLLECTION</u></b>		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 2018- 19</b>	<b>FY 2019- 20</b>	<b>FY 2020- 21</b>
<b><u>Receipts:</u></b>				
Contributions		551,025	552,832	552,832
Interest Earnings		94,023	77,266	81,032
Refunds				
<b>Total Fee Collection to Line (A) - Section III</b>		<b>645,048</b>	<b>630,098</b>	<b>633,864</b>

<b><u>SECTION II - FULL COSTS</u></b>				
<b><u>Direct Costs:</u></b>				
Salaries and Benefits		-	29,688	29,777
Other Personal Services			2,875	2,875
Expenses				
HR Statewide Contract				
Sp.Cat.:Risk Management Insurance				
Data Processing Services-SSRC				
Indirect Costs Charged to Trust Fund:		366,468	869,113	869,406
<b>Total Full Costs to Line (B) - Section III</b>		<b>366,468</b>	<b>901,676</b>	<b>902,058</b>

Basis Used: Accrual

<b><u>SECTION III - SUMMARY</u></b>				
TOTAL SECTION I	(A)	645,048	630,098	633,864
TOTAL SECTION II	(B)	366,468	901,676	902,058
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>278,580</b>	<b>(271,578)</b>	<b>(268,194)</b>

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2019 - 2020**

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

	Balance as of 6/30/2018	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	134,597 (A)		134,597
ADD: Other Cash (See Instructions)	(B)		0
ADD: Investments	3,938,640 (C)		3,938,640
ADD: Outstanding Accounts Receivable	10,941 (D)		10,941
<b>Total Cash plus Accounts Receivable</b>	<b>4,084,178</b> (F)		<b>4,084,178</b>
LESS Allowances for Uncollectibles	(G)		0
LESS Approved "A" Certified Forwards	(H)		0
Approved "B" Certified Forwards	(H)		0
Approved "FCO" Certified Forwards	(H)		0
LESS: Other Accounts Payable (Non-Operating)	0 (I)		0
LESS: <u>Unearned Revenue</u>	45,236 (J)		45,236
<b>Unreserved Fund Balance, 07/01/19</b>	<b>4,038,942</b> (K)		<b>4,038,942</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2019 - 2020**

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

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/19</b>	
Total all GLC's 5XXXX for governmental funds;	
GLC 539XX for proprietary and fiduciary funds	<input type="text" value="4,038,942"/> (A)

<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	<input type="text"/> (B)
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**Add/Subtract Statewide Financial Statement (SWFS) Adjustments:**

SWFS Adjustment # and Description	<input type="text"/> (C)
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SWFS Adjustment # and Description	<input type="text"/> (C)
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**Add/Subtract Other Adjustment(s):**

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	<input type="text"/> (D)
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Approved "C" Carry Forward Total (FCO) per LAS/PBS	<input type="text"/> (D)
--	--------------------------

A/P not C/F-Operating Categories	<input type="text"/> (D)
----------------------------------	--------------------------

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

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

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

<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<input type="text" value="4,038,942"/> (E)
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<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	<input type="text" value="4,038,942"/> (F)*
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<b>DIFFERENCE:</b>	<input type="text" value="0"/> (G)*
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\*SHOULD EQUAL ZERO.

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Insurance Benefits Administration

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings to report for Insurance Benefits Administration.		



# Retirement Benefits Administration

Exhibits or Schedules

# Retirement Benefits Administration

## Schedule I Series

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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72750300 Retirement Benefits Administration  
**Fund:** 2510 Operating Trust  
**Specific Authority:** Section 121.031, Florida Statutes  
**Purpose of Fees Collected:** Employee Benefits Plan

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

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

(1) <b>SECTION I - FEE COLLECTION</b>	(2) <b>ACTUAL FY 2018 - 19</b>	(3) <b>ESTIMATED FY 2019 - 20</b>	(4) <b>REQUEST FY 2020 - 21</b>
<b>Receipts:</b>			
TR in from FRS TF 72750300-2309	18,500,001	23,000,000	23,000,000
Interest Earnings	45,628	43,500	43,500
Other Income	139,507	100,000	100,000
Sales - State			
Refunds & Reimbursements			
<b>Total Fee Collection to Line (1) - Section III</b>	<b>18,685,136</b>	<b>23,143,500</b>	<b>23,143,500</b>

**SECTION II - FULL COSTS**

<b>Direct Costs:</b>			
Salaries and Benefits	9,784,028	10,485,118	10,519,837
Other Personal Services	245,787	232,439	841,735
Expenses	2,531,741	2,606,741	2,606,741
Operating Capital Outlay	99,924	100,000	100,000
Sp.Cat.:TR to DOAH	32,619	30,226	30,226
Sp.Cat.:Contracted Services	5,524,992	7,442,292	6,367,292
Sp.Cat.:Overtime	101,693	122,571	122,571
Sp.Cat.:Risk Management Insurance	101,687	50,225	50,225
Contracted Legal Services	147,516	148,891	148,891
Lease/Purchase/Equipment	32,709	33,571	33,571
HR Statewide Contract	51,657	51,112	51,112
DP Services Assessment - DMS 210004	327,355	266,846	267,061
Indirect Costs Charged to Trust Fund:	1,945	2,000	2,000
<b>Total Full Costs to Line (B) - Section III</b>	<b>18,983,653</b>	<b>21,572,032</b>	<b>21,141,262</b>

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	18,685,136	23,143,500	23,143,500
TOTAL SECTION II	(B)	18,983,653	21,572,032	21,141,262
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(298,517)</b>	<b>1,571,468</b>	<b>2,002,238</b>

**EXPLANATION of LINE C:**

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2020-21</b>
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	FRS OPERATING TRUST (510012)
<b>LAS/PBS Fund Number:</b>	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2510

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	9,609 (A)		9,609
ADD: Other Cash	2,000 (B)		2,000
ADD: Investments	733,211 (C)		733,211
ADD: Outstanding Accounts Receivable	59,293 (D)		59,293
ADD: Other Outstanding Accounts Receivable	2,520,000 (E)	107	2,520,107
ADD:			-
<b>Total Cash plus Accounts Receivable</b>	<b>3,324,113 (F)</b>	<b>107</b>	<b>3,324,220</b>
LESS Allowances for Uncollectibles			-
LESS Approved "A" Certified Forwards	2,070,489 (H)		2,070,489
Approved "B" Certified Forwards	237,184 (H)		237,184
LESS: Approved "FCO" Certified Forwards			-
LESS: Other Accounts Payable (Non-Operating)		107	107
LESS: <u>Other Accounts Payable</u>			-
<b>Unreserved Fund Balance, 07/01/19</b>	<b>1,016,440 (K)</b>	<b>0</b>	<b>1,016,440 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2020-21

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

Total all GLC's 5XXXX for governmental funds; 749,525 (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment - increase A/R (B7200030) 107 (C)

SWFS Adjustment - Increase Non-operating A/P (B7200030) (107) (C)

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

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (237,184) (D)

Compensated Absences Liability 958,939 (D)

A/P not C/F-Operating Categories 52,373 (D)

Property Value in Net Assets Unrestricted-Fiduciary Fund (507,213) (D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 1,016,440 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** 1,016,440 (F)\*

**DIFFERENCE:** 0 (G)\*

**\*SHOULD EQUAL ZERO.**

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period:** **2020-21**  
**Program:** 72750300 Retirement Benefits Administration  
**Fund:** 2517 Optional Retirement Program Trust

**Specific Authority:** Section 121.35, Florida Statutes  
**Purpose of Fees Collected:** Employee Benefits Plan

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 20 ___ - ___</b>	<b>FY 20 ___ - ___</b>	<b>FY 20 ___ - ___</b>
<u>Receipts:</u>			
Contributions from Employers	275,981,417	289,780,487	304,269,512
Interest Earnings	204,041	200,000	200,000
Admin Fee	196,888	210,000	210,000
_____			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>276,382,346</b>	<b>290,190,487</b>	<b>304,679,512</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	164,381	202,084	202,754
Other Personal Services		15,000	15,000
Expenses	24,871	28,011	28,011
Operating Capital Outlay			
Contracted Services	25,749	26,000	26,000
HR Statewide Contract	1,221	1,208	1,208
Indirect Costs Charged to Trust Fund	275,223,220	289,791,988	304,281,013
<b>Total Full Costs to Line (B) - Section III</b>	<b>275,439,442</b>	<b>290,064,291</b>	<b>304,553,986</b>

Basis Used: \_\_\_\_\_  
 \_\_\_\_\_

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	276,382,346	304,679,512
TOTAL SECTION II	(B)	275,439,442	304,553,986
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>942,904</b>	<b>125,526</b>

**EXPLANATION of LINE C:**  
 \_\_\_\_\_  
 \_\_\_\_\_

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020-21
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	OPTIONAL RETIREMENT PROG TRUST
<b>LAS/PBS Fund Number:</b>	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2517

	Balance as of 6/30/2019		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	13,879	(A)		13,879
ADD: Other Cash on Hand	1,310	(B)		1,310
ADD: Investments	6,304,243	(C)		6,304,243
ADD: Outstanding Accounts Receivables	21,321	(D)	768	22,089
ADD:		(E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>6,340,753</b>	(F)	<b>768</b>	<b>6,341,521</b>
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	26,293	(H)		26,293
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Non-Operating)		(I)	768	768
<b>Unreserved Fund Balance, 07/01/19</b>	<b>6,314,460</b>	(K)	<b>0</b>	<b>6,314,460</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020-21**

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/18**  
Total all GLC's 5XXXX for governmental funds;  (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment # and Description  (C)

SWFS Adjustment # and Description  (C)

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

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

Compensated Absences Liability  (D)

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

(D)

(D)

(D)

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

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

**DIFFERENCE:**  (G)\*

**\*SHOULD EQUAL ZERO.**



**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period:** **2021-22**  
**Program:** 72750300 Retirement Benefits Administration  
**Fund:** 2532 Municipal Police/Firemen Premium Tax Trust

**Specific Authority:** Sections 175.1215 and 185.105, Florida Statutes  
**Purpose of Fees Collected:** Employee Benefits Plan

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018-19</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>
<u>Receipts:</u>			
Insurance Premium Tax	189,354,699	197,500,000	206,400,000
Interest Earnings	4,032,701	4,200,000	4,200,000
_____			
_____			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>193,387,400</b>	<b>201,700,000</b>	<b>210,600,000</b>

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>			
Salaries and Benefits	663,531	851,250	854,070
Other Personal Services			
Expenses	47,436	57,139	57,139
Operating Capital Outlay			
Contracted Services	219,539	238,305	238,305
Lease/Purchase/Equipment	1,355	2,000	2,000
HR Statewide Contract	3,835	3,795	3,795
Indirect Costs Charged to Trust Fund	185,361,365	197,500,000	206,400,000
<b>Total Full Costs to Line (B) - Section III</b>	<b>186,297,061</b>	<b>198,652,489</b>	<b>207,555,309</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	193,387,400	201,700,000	210,600,000
TOTAL SECTION II	(B)	186,297,061	198,652,489	207,555,309
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>7,090,339</b>	<b>3,047,511</b>	<b>3,044,691</b>

**EXPLANATION of LINE C:**

\_\_\_\_\_

\_\_\_\_\_

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2021-22</b>
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	MUNICIPAL POLICE/FIREMENT PREMIUM TAX TRUST
<b>LAS/PBS Fund Number:</b>	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2532

	Balance as of 6/30/2019		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	\$ 44,261	(A)		\$ 44,261
ADD: Other Cash (See Instructions)		(B)		\$ -
ADD: Investments	\$ 275,449,438	(C)		\$ 275,449,438
ADD: Outstanding Accounts Receivable	\$ 8,354,699	(D)		\$ 8,354,699
ADD: _____		(E)		\$ -
<b>Total Cash plus Accounts Receivable</b>	<b>\$ 283,848,398</b>	(F)	<b>\$ -</b>	<b>\$ 283,848,398</b>
LESS Allowances for Uncollectibles		(G)		\$ -
LESS Approved "A" Certified Forwards	\$ 163,084	(H)		\$ 163,084
Approved "B" Certified Forwards		(H)		\$ -
Approved "FCO" Certified Forwards		(H)		\$ -
LESS: Other Accounts Payable (Nonoperating)	\$ 78,162,281	(I)	\$ (394,076)	\$ 77,768,205
LESS: _____		(J)		\$ -
<b>Unreserved Fund Balance, 07/01/2019</b>	<b>\$ 205,523,033</b>	(K)	<b>\$ 394,076</b>	<b>\$ 205,917,109</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

<b>Department Title:</b>	<b>Budget Period: 2021-22</b> <b>72000 MANAGEMENT SERVICES</b>
<b>Trust Fund Title:</b>	<b>Police &amp; Firefighters Premium Tax TF</b>
<b>LAS/PBS Fund Number:</b>	<b>2532</b>

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/2019**

Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	<b>205,522,042</b> (A)
--	------------------------

<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	(B)
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**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

SWFS Adjustment #B7200056 Reduce payable to municipalities	394,076 (C)
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SWFS Adjustment # and Description	(C)
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**Add/Subtract Other Adjustment(s):**

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(D)
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Approved "C" Carry Forward Total (FCO) per LAS/PBS	(D)
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A/P not C/F-Operating Categories	0 (D)
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Due from State Funds w/i Division	(D)
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Compensated Absences Liability	991 (D)
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	(D)
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<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<b>205,917,109</b> (E)
--	------------------------

<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	<b>205,917,109</b> (F)
--	------------------------

<b>DIFFERENCE:</b>	<b>0</b> (G)*
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**\*SHOULD EQUAL ZERO.**

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services      **Budget Period:** **2020-21**  
**Program:** 72750300 Retirement Benefits Administration  
**Fund:** 2583 Retirees Health Insurance Subsidy Trust

**Specific Authority:** Section 112.363, Florida Statutes  
**Purpose of Fees Collected:** Employee Benefits Plan

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018-19</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>
<u>Receipts:</u>			
Interest Earnings	6,007,022	6,100,000	6,100,000
Contributions from Employers	553,523,550	567,361,639	581,545,680
_____			
_____			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>559,530,572</b>	<b>573,461,639</b>	<b>587,645,680</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	136,468	137,937	138,392
Other Personal Services			
Expenses	17,817	17,817	17,817
Operating Capital Outlay			
Contracted Services	40,000	40,000	40,000
HR Statewide Contract	1,018	1,007	1,007
Indirect Costs Charged to Trust Fund	490,627,053	505,345,888	520,506,249
<b>Total Full Costs to Line (B) - Section III</b>	<b>490,822,356</b>	<b>505,542,649</b>	<b>520,703,465</b>

Basis Used: \_\_\_\_\_  
 \_\_\_\_\_

<b><u>SECTION III - SUMMARY</u></b>				
TOTAL SECTION I	(A)	559,530,572	573,461,639	587,645,680
TOTAL SECTION II	(B)	490,822,356	505,542,649	520,703,465
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>68,708,216</b>	<b>67,918,990</b>	<b>66,942,215</b>

**EXPLANATION of LINE C:**  
 \_\_\_\_\_  
 \_\_\_\_\_

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020-21
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	RETIREE HIS TRUST
<b>LAS/PBS Fund Number:</b>	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2583

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	32,237 (A)		32,237
ADD: Cash on Hand and with SBA			
ADD: Investments	249,471,380 (C)		249,471,380
ADD: Outstanding Accounts Receivable	51,709,484 (D)	0	51,709,484
ADD:	0 (E)		0
<b>Total Cash, Investments and Accounts Receivable</b>	<b>301,213,101 (F)</b>	<b>0</b>	<b>301,213,101</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	35,000 (H)		35,000
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)	6,364 (I)		6,364
<b>Unreserved Fund Balance, 07/01/19</b>	<b>301,171,737 (K)</b>	<b>0</b>	<b>301,171,737 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020-21**

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

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

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

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

SWFS Adjustment #B720000XX Decrease A/R  (C)

SWFS Adjustment # and Description  (C)

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

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

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

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

(D)

(D)

(D)

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

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)**  (F)\*

**DIFFERENCE:**  (G)\*

**\*SHOULD EQUAL ZERO.**

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Retirement

**Phone Number:** (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AG 2018-077  2016-17 IT Operational Audit of Integrated Retirement Information System (IRIS)  Issued: December 2017	6/30/2018	IT	<p><b>Finding No. 1:</b> The access privileges for some IRIS users did not promote an appropriate separation of duties and did not restrict users to only those functions necessary for their assigned job duties.</p> <p><b>Recommendation:</b> We recommend that Department management limit user access privileges to IRIS data and IT resources to promote an appropriate separation of duties and restrict users to only those functions necessary for their assigned job duties.</p>	<p>The Department concurs with the finding and recommendation. The Department will develop a plan of action to further limit user access privileges where possible. If separation of duties is not feasible, efforts will be made to enhance our compensating controls. The plan will include: (1) assessing job duties assigned to IT staff that have application deployment responsibilities, (2) evaluating the use of log reviews to mitigate any remaining separation of duties issues, or (3) the implementation of other compensating controls should separation of duties not be fully achieved. The Department expects to have the plan finalized by Feb. 28th and will begin implementation afterward.</p> <p><b>Six-Month Follow-up Status Summary:</b> The division has developed and implemented procedures to restrict the following access.</p> <ul style="list-style-type: none"> <li>• Restrict production deployments to system administrators only</li> <li>• Restrict production deployments to two resources; one primary, one backup</li> <li>• Restrict production data updates to DBAs only</li> <li>• Remove developer function from DBAs</li> <li>• Restrict DBAs to two resources; one primary, one backup</li> <li>• Enable logging for all production DBA activity</li> <li>• Remove production deployment function from application security administrators</li> </ul> <p><b>July 23, 2019 Status Update:</b> In addition to the changes noted in the Six-Month Follow-up summary, the Division of Retirement further enhanced separation of duties by removing domain administration access from application security administrators. This was completed on June 11, 2019.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG 2019-220  IT Operational Audit of DMS IT General Controls and Integrated Retirement Information System (IRIS)  Issued: June 2019	6/30/2019	IT	<p><b>Finding No. 1:</b> We found that, as of November 28, 2018, active IRIS user accounts did not exist for the 31 former employees and the accounts for 3 of the former employees had been timely disabled. However, we also found that:</p> <ul style="list-style-type: none"> <li>•IRIS user accounts for 2 of the former employees were not timely disabled and remained active for 4 and 6 days after their separation dates. In response to audit inquiry, Division management indicated that, although the user accounts were not timely disabled, the IRIS user access privileges for the former employees were not used subsequent to their employment separation dates.</li> <li>•Department records did not evidence the user account disabled dates for the remaining 26 former employees; therefore, the Department could not demonstrate that the IRIS user accounts were timely disabled.</li> </ul> <p><b>Recommendation:</b> We recommend that Division management ensure that IRIS user accounts are timely disabled upon a user’s separation from Department employment.</p>	Regarding bullet 1, the Department will continue to provide its IRIS access security training and information to appropriate division staff to ensure that IRIS user accounts are timely (within 24 hours) disabled upon a user’s separation from Department employment. Regarding bullet 2, a remediation of this finding was implemented on October 5, 2018 when the Division implemented additional logging capabilities to record when an IRIS user account is disabled. The Department expects to provide additional information about IRIS security to division staff by September 30, 2019.	
AG 2019-220  IT Operational Audit of DMS IT General Controls and Integrated Retirement Information System (IRIS)  Issued: June 2019	6/30/2019	Administrative Services and Records	<p><b>Finding No. 2:</b>Our audit procedures disclosed that the access roles granted to 7 of the 25 IRIS users did not match the access roles authorized on the users’ corresponding ENF.</p> <p><b>Recommendation:</b> We recommend that Division management improve controls to ensure that the IRIS access privileges granted are authorized as documented on the ENFs.</p>	The Department will develop a plan of action to ensure current IRIS user access matches the access privileges authorized as documented on the ENFs. The Department expects to have the plan conceptualized and documented by September 30, 2019.	



REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG 2019-220  IT Operational Audit of DMS IT General Controls and Integrated Retirement Information System (IRIS)  Issued: June 2019	6/30/2019	IT	<p><b>Finding No. 3:</b> Our audit procedures disclosed that some users had inappropriate access privileges to IRIS and related IT resources. Our evaluation of the access privileges assigned to the two IRIS security administrators as of November 30, 2018, disclosed that the two IRIS security administrators were each assigned an account that provides full update access privileges to IRIS production libraries, contrary to the users' assigned job duties and an appropriate separation of duties. Similar findings were noted in prior audits of the Department, most recently in our report No. 2018-077.</p> <p><b>Recommendation:</b> We recommend that Division management limit user access privileges to IRIS and related IT resources and restrict users to only those access privileges necessary for the users' assigned job duties and that promote an appropriate separation of duties.</p>	The Department has completed the necessary changes to further restrict access to IRIS production libraries.	
AG 2019-220  IT Operational Audit of DMS IT General Controls and Integrated Retirement Information System (IRIS)  Issued: June 2019	6/30/2019	IT	<p><b>Finding No. 6:</b> Our audit disclosed that IRIS program change management controls need improvement. Specifically, we found that Division records did not evidence that 4 of the 12 selected program changes were properly authorized by the Division or that 3 of the 12 program changes were properly approved by the Division for implementation into the production environment.</p> <p><b>Recommendation:</b> We recommend that Division management improve IRIS program change management procedures to ensure that all program changes moved into the production environment are appropriately authorized and approved for implementation.</p>	The Department has updated its change management controls by eliminating Technical Support Center (TSC) System Investigation Requests (SIRs). In addition, the Department is in the process evaluating and enhancing the SIR process to include additional approval steps. The Department expects to have the plan finalized by September 30, 2019 and begin implementation shortly afterward.	

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AG 2019-220  IT Operational Audit of DMS IT General Controls and Integrated Retirement Information System (IRIS)  Issued: June 2019	6/30/2019	IT	One of four confidential findings related to the Division of Retirement and is not included.  <b>See also: Office of the Secretary Administration</b>	The corrective action for the confidential findings are not included.	
IA 2018-69  Audit of Retirement Call Center  Issued: January 2019	6/30/2019	Contact Center	<b>Finding No. 1:</b> The Contact Center has an informal process to handle customer complaints. When a CSR has a customer, who wants to speak with a manager, or when a customer calls with a complaint, the call is escalated to a team lead, administrator, or bureau chief. However, the Contact Center does not have a documented process to track and facilitate the resolution of customer complaints as required by section 23.30, Florida Statutes (F.S.). Section 23.30, F.S., requires all state departments to “designate an employee or employees in the department who shall be responsible for facilitating the resolution of customer complaints.” Also, each department is required to “employ a system by which customer complaints and resolutions of the complaints are tracked.” The statute also requires that data from this tracking system should be disclosed in annual reports or performance publications and should be used when conducting management and budget planning activities.  More formal complaint receipt, tracking, and resolution processes and procedures will help provide the Contact Center with an effective system to ensure customer complaints are addressed fully, to improve its customer service satisfaction, and to ensure compliance with section 23.30, F.S.	The Division of Retirement will consult with the department’s Strategic Planning Officer regarding implementation of the department’s Customer Care System for complaint processing and resolution tracking.  <b>July 23, 2019 Status Update</b> The Division of Retirement (division) planned to use a department-wide tracking system for uniform complaint processing and resolution. However, the department’s Customer Care System has not been implemented department-wide. Therefore, the division implemented an internal complaint processing and resolution tracking system. The division handles complaints routed through the department from a variety of sources, including the Governor’s Office, Legislative offices, and the department’s customer service survey responses. The Director’s Administrative Assistant is responsible for facilitating the resolution by logging issues, assigning the request to the appropriate program area within the division (including the Contact Center) and monitoring to ensure a timely response. These responses are reviewed by the Director or his designee prior to responding. Member or stakeholder issues are generally responded to within 48 hours.	

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			<p>During the audit, we noted that the department has initiated and is currently testing a Customer Care System that may address the customer complaint resolution criteria outlined in section 23.30, F.S. According to the department's Strategic Planning Officer, this system will apply to and be available for all areas within the department including the Contact Center.</p> <p><b>Recommendation:</b> We recommend that division management collaborate with the department's Strategic Planning Officer regarding the implementation of the Customer Care System to address the Contact Center's needs regarding customer complaint processing and resolutions and to ensure that the Contact Center complies with Section 23.30, F.S.</p>		
<p>IA 2018-69</p> <p>Audit of Retirement Call Center</p> <p>Issued: January 2019</p>	<p>6/30/2019</p>	<p>Contact Center</p>	<p><b>Finding No. 2:</b> The use of key performance measures for customer service call centers is common and expected as one of the ways to assess whether a call center is meeting its overall goals and objectives. It is important to choose measures that provide insight into the customer's experience as well as demonstrate that a call center is meeting management's expectations. It is also important that employee performance measures such as SMART expectations align with the performance measures that have been outlined for the call center. Ensuring this alignment will also help support the accomplishment of Contact Center goals and objectives. During the audit, we reviewed the Contact Center employees' SMART expectations and noted that they did not always align with the Contact Center's performance measures. Specifically, our review noted the following:</p> <ul style="list-style-type: none"> <li>• Although first call resolution was identified as a metric to measure effective customer service, none of the employee SMART expectations correlated to first call resolution;</li> <li>• Although CSRs and team leads answer the majority of calls, they did not have a SMART expectation that correlated with how promptly calls are answered.</li> </ul>	<p>Contact Center SMART expectations will be reevaluated based on performance measures developed for new goals and objectives. The division's goals and objectives will be developed after the new Division Director is appointed.</p> <p><b>July 23, 2019 Status Update</b></p> <p>The Division Retirement (division) employees' 2019-2020 SMART performance expectations are currently being developed and will be completed by the department's July 31, 2019 due date. Each current and future employee's expectations will correlate to his or her job duties and tasks.</p> <p>The division will recommend performance metrics in its Contact Center Business Plan that will be used to improve overall contact center performance and allow employee expectations to be aligned. Final goals, objectives, and measures will be communicated to all contact center management and staff beginning July 1, 2020 when the Contact Center Business Plan is implemented.</p>	

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			<ul style="list-style-type: none"> <li>• Although the Analyst II-Coach Trainer position does not answer calls, this position has a SMART expectation regarding how promptly calls are answered.</li> <li>• Although the customer service survey includes statements about CSR performance, management does not use this information in assessing the CSR's performance as the survey results are not tracked by individual CSRs.</li> </ul> <p>An effective performance management system enables managers to evaluate and measure individual performance as it relates to organizational performance. Employee SMART expectations that align with organizational performance measures establishes individual accountability and helps to ensure the accomplishment of the organization's goals and objectives.</p> <p><b>Recommendation:</b> We recommend that management evaluate employee SMART expectations to ensure that expectations have been established that correlate to employee functions and tasks. Also, management should ensure that employee SMART expectations align with the Contact Center's performance measures to help ensure the accomplishment of Contact Center goals and objectives.</p>		

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IA 2018-69  Audit of Retirement Call Center  Issued: January 2019	6/30/2019	Contact Center	<p><b>Finding No. 3:</b> During the audit, we met with division and Contact Center management to determine the overall goals and objectives for the Contact Center and what key performance measures they identified to assess the achievement of those goals and objectives. We noted that many performance measures are tracked; however, the division has not established and documented specific goals and objectives and the related key performance measures for the Contact Center. To identify the anticipated benefits and basis for establishing the Contact Center, we also reviewed the LBR prepared in fiscal year 2014-15, to support the implementation. We noted the following benefits were highlighted in the LBR:</p> <ul style="list-style-type: none"> <li>• Customer service cost savings;</li> <li>• Customer service cost avoidance;</li> <li>• Reduction in unanswered calls; and</li> <li>• Improvement in customer service.</li> </ul> <p>Establishing the goals and objectives for the Contact Center is the first step to determining the appropriate performance measures to track. At a minimum, management should establish goals and objectives and the related performance measures that would track performance in the areas noted in the LBR.</p>	<p>Goals and objectives for the Division of Retirement's Contact Center will be developed after the new Division Director is appointed. Performance measures and tracking that align with new goals and objectives will also be developed.</p> <p>The division will request assistance from the department's Strategic Planning Officer as needed.</p> <p><b>July 23, 2019 Status Update</b>            The Division of Retirement (division) will recommend performance metrics in its Contact Center Business Plan that will be used to improve overall contact center performance and allow employee expectations to be aligned. Final goals, objectives, and measures will be communicated to all contact center management and staff beginning July 1, 2020 when the Contact Center Business Plan is implemented.</p>	

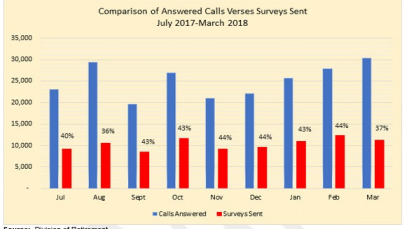
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<p>IA 2018-69</p> <p>Audit of Retirement Call Center</p> <p>Issued: January 2019</p>	<p>6/30/2019</p>	<p>Contact Center</p>	<p><b>Finding No 4:</b> During the audit, we researched and identified common performance measures from four key areas that are used to maximize customer satisfaction and maintain a high performing Contact Center. The table below lists the benchmarks and examples.</p> <table border="1" data-bbox="962 337 1376 522"> <thead> <tr> <th data-bbox="962 337 1051 358">Benchmarks</th> <th data-bbox="1051 337 1376 358">Example of Measurements</th> </tr> </thead> <tbody> <tr> <td data-bbox="962 358 1051 402">Telephone</td> <td data-bbox="1051 358 1376 402"> <ul style="list-style-type: none"> <li>• Time to answer call</li> <li>• Average speed of answer</li> <li>• Abandoned calls</li> </ul> </td> </tr> <tr> <td data-bbox="962 402 1051 446">Efficiency</td> <td data-bbox="1051 402 1376 446"> <ul style="list-style-type: none"> <li>• Accuracy of call forecasting</li> <li>• Adherence to work schedule</li> <li>• Call wrap up</li> </ul> </td> </tr> <tr> <td data-bbox="962 446 1051 483">Human Resources</td> <td data-bbox="1051 446 1376 483"> <ul style="list-style-type: none"> <li>• Absenteeism</li> <li>• Staff turnover</li> </ul> </td> </tr> <tr> <td data-bbox="962 483 1051 522">Service</td> <td data-bbox="1051 483 1376 522"> <ul style="list-style-type: none"> <li>• First call resolution</li> <li>• Customer satisfaction</li> <li>• Aggregate call center performance</li> </ul> </td> </tr> </tbody> </table> <p>During the audit, we also reviewed the activity that the division tracks to measure the Contact Center's performance. We noted that the following measurements were not being tracked:</p> <ul style="list-style-type: none"> <li>• Accuracy of call forecasting;</li> <li>• Staff turnover;</li> <li>• First call resolution; and</li> <li>• Aggregate call center performance.</li> </ul> <p>According to industry leaders, call center management should track performance measures that enable management to identify strengths and weaknesses, understand and diagnose performance gaps and triggers, implement actions to improve performance, track and trend performance over time, and establish performance goals for the staff and call center overall. Tracking and reporting appropriate performance measures enables management to evaluate the Contact Center's performance and identify areas requiring improvement.</p> <p><b>Recommendation:</b> We recommend that management evaluate the performance measures tracked by the Contact Center to help ensure that the data collected align with the Contact Center goals and objectives. Also, the performance measures should assist management in identifying if the Contact Center is meeting or exceeding the goals and objectives, maximizing customer satisfaction, and maintaining high performance so that corrective action can be taken, if needed.</p>	Benchmarks	Example of Measurements	Telephone	<ul style="list-style-type: none"> <li>• Time to answer call</li> <li>• Average speed of answer</li> <li>• Abandoned calls</li> </ul>	Efficiency	<ul style="list-style-type: none"> <li>• Accuracy of call forecasting</li> <li>• Adherence to work schedule</li> <li>• Call wrap up</li> </ul>	Human Resources	<ul style="list-style-type: none"> <li>• Absenteeism</li> <li>• Staff turnover</li> </ul>	Service	<ul style="list-style-type: none"> <li>• First call resolution</li> <li>• Customer satisfaction</li> <li>• Aggregate call center performance</li> </ul>	<p>Performance measures and tracking that align with new goals and objectives will be developed.</p> <p><b>July 23, 2019 Status Update</b>  The (Division of Retirement) division will recommend performance metrics in its Contact Center Business Plan that will be used to improve overall contact center performance and allow employee expectations to be aligned. Final goals, objectives, and measures will be communicated to all contact center management and staff beginning July 1, 2020 when the Contact Center Business Plan is implemented.</p>	
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IA 2018-69  Audit of Retirement Call Center  Issued: January 2019	6/30/2019	Contact Center	<p><b>Finding No. 5:</b> During the audit, we reviewed some of the performance measures being tracked by management in the Contact Center and noted that some of the measures are not being tracked in the same method that is used by other call centers. A list of these measures and how they are being tracked are outlined below:</p> <ul style="list-style-type: none"> <li>• The Contact Center has two types of unanswered calls; calls abandoned by the caller and calls disconnected by the system (forced disconnect) when the wait time is exceeded by a specific amount of time. In most call center environments, calls abandoned represent unanswered calls. The Contact center does not include calls that are automatically disconnected in the call abandonment information being reported to management; therefore, management may not have an accurate and complete understanding of the Contact Center's performance in this area.</li> <li>• Some performance factors are assessed by internal staff through monitoring instead of by direct customer feedback. For example, CSR professionalism and accuracy information is not assessed from customer survey responses since survey responses are not tracked by individual CSRs. Also, first call resolution information is not assessed from customer survey responses since no direct feedback regarding first call resolution is obtained from the customer.</li> </ul>	<p>The division will review all Contact Center performance measures and metrics being tracked to ensure alignment with new goals and objectives developed after a new Division Director is appointed.</p> <p>The division agrees that the metrics for unanswered (abandoned) calls reported to division management is incomplete. Effective Dec. 2018, the Contact Center will report both types of unanswered calls (callers unable to enter a queue that is at maximum capacity and callers who hang up while in queue).</p> <p>The division will change the criteria for length of calls to monitor to align with the average length of most calls. The new criteria will be based on call data from the previous fiscal year.</p> <p><b>July 23, 2019 Update</b> The Division of Retirement will recommend performance metrics in its Contact Center Business Plan that will be used to improve overall contact center performance and allow employee expectations to be aligned. Final goals, objectives, and measures will be communicated to all contact center management and staff beginning July 1, 2020 when the Contact Center Business Plan is implemented.</p>	

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			<p>• The results being used to assess customer service performance is based on limited data. For example, the customer service surveys are sent to less than half of the customers and only .5% of the total calls are monitored. Also, call monitoring is only being completed on calls over 10 minutes in length when the majority of calls to the contact center are approximately six minutes in length.</p> <p>Management and staff will not have an accurate representation of the Contact Center's performance if the procedures for gathering data regarding customer service activity are not compiling data that is consistent, accurate, or complete.</p> <p><b>Recommendation:</b> We recommend management review the performance measures and the metrics being tracked to ensure the data being gathered is the information intended to be gathered.</p>		
<p>IA 2018-69</p> <p>Audit of Retirement Call Center</p> <p>Issued: January 2019</p>	<p>6/30/2019</p>	<p>Contact Center</p>	<p><b>Finding No. 6:</b> During the audit, we reviewed the performance measures and metrics being tracked. We noted that some of the metrics being tracked indicate deficiencies. However, we were unable to determine Contact Center management's process for addressing deficiencies and communicating those deficiencies with Contact Center staff and division management.</p> <p>Communication of performance measures is important for all levels of the organization. The CSR's performance directly impacts the performance of the operations. Also, division management should be completely aware of how the Contact Center is performing and how management is addressing any issues identified as well as the progress of such remediation.</p> <p><b>Recommendation:</b> We recommend the Contact Center and division management develop procedures for communicating, reporting, and addressing deficiencies at all levels of the organization.</p>	<p>Performance measures that align with new goals and objectives will be developed. The Contact Center's new goals and objectives will be developed after the new Division Director is appointed.</p> <p>When developing, new performance measures, the division will develop procedures for communicating, reporting, and addressing deficiencies at the Contact Center.</p> <p><b>July 23, 2019 Status Update</b></p> <p>The Division of Retirement's (division) Business Plan includes a recommendation for a Quality Assurance (QA) team and an organizational change to move the trainer positions under the Contact Center Chief. These changes are intended to improve the quality of calls, resulting in fewer deficiencies. Additionally, the QA team may assist in the development of procedures for communicating, reporting, and addressing deficiencies.</p>	



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IA 2018-69  Audit of Retirement Call Center  Issued: January 2019	6/30/2019	Contact Center	<p><b>Finding No. 7:</b> During the audit, we compared the Contact Center's customer service survey with best practice information and noted that the Contact Center survey did not include the following information:</p> <ul style="list-style-type: none"> <li>• Issue resolution during first call;</li> <li>• The number of calls before speaking with a customer service representative;</li> <li>• The number of times transferred before the issue is resolved;</li> <li>• Offer to follow-up if no resolution is identified during call; and</li> <li>• Suggestions for improvement.</li> </ul> <p>Also, we noted that multiple survey statements appear to cover the same topic. For example, one statement related to customer satisfaction with the service received from the CSR and another statement related to customer satisfaction with the information received from the CSR. Customer satisfaction surveys that solicit accurate feedback provide management with the appropriate information to effectively assess the call center's performance from the customer's perspective.</p> <p><b>Recommendation:</b> We recommend that management evaluate the Contact Center's customer satisfaction survey to ensure that it aligns with the division's goals, objectives, performance measures, and employee expectations. Also, we recommend that management evaluate the survey to ensure that it provides the feedback management needs to assess the Contact Center's performance.</p>	<p>The division will evaluate the Contact Center's customer satisfaction survey content to ensure it is aligned with the new goals, objectives, performance measures, and employee expectations.</p> <p><b>July 23, 2019 Status Update</b>            The Division of Retirement (division) will recommend performance metrics in its Contact Center Business Plan that will be used to improve overall contact center performance and allow employee expectations to be aligned. Final goals, objectives, and measures will be communicated to all contact center management and staff beginning July 1, 2020 when the Contact Center Business Plan is implemented.</p> <p>The division will also recommend an Interactive Voice Response (IVR) system that may provide improved survey capabilities. The division will continue to assess the cost effectiveness of additional technology to assist with customer surveying.</p>	

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<p>IA 2018-69</p> <p>Audit of Retirement Call Center</p> <p>Issued: January 2019</p>	<p>6/30/2019</p>	<p>Contact Center</p>	<p><b>Finding No. 8:</b> As previously stated, customer service surveys provide direct customer feedback and help determine how a call center is performing. We noted that the CSRs sent surveys to less than 45% of customers as documented in the table below. Although internal procedures state that CSRs are required to send surveys to all callers, they have the ability to choose which callers will receive surveys.</p> <p>During the audit period, the Contact Center answered a total of 226,141 calls and the CSRs sent a total of 93,124 (41.5%) surveys. The chart below illustrates the number of calls answered and the number of surveys sent.</p>  <p>Source: Division of Retirement</p> <p>During interviews with division management, we noted that the following types of callers do not receive a survey:</p> <ul style="list-style-type: none"> <li>• Employers;</li> <li>• Survivor section callers;</li> <li>• Members' representatives, e.g. Attorneys;</li> <li>• Family members of FRS members;</li> <li>• Members who do not have email addresses; and</li> <li>• Callers who receive a callback.</li> </ul> <p>When the number of customer service surveys issued to callers are representative of the number of calls answered, management is more likely to have the information necessary to more effectively evaluate the Contact Center's performance and address areas of concern.</p> <p><b>Recommendation:</b> We recommend management develop a methodology that ensures the number of surveys issued are representative of the volume and types of calls.</p>	<p>The division will review the Contact Center's customer service survey methodology to determine if changes may be implemented within the division's existing budgetary restraints to increase the volume of surveys sent.</p> <p><b>July 23, 2019 Status Update</b>  The (Division of Retirement) division will recommend performance metrics in its Contact Center Business Plan that will be used to improve overall contact center performance and allow employee expectations to be aligned. Final goals, objectives, and measures will be communicated to all contact center management and staff beginning July 1, 2020 when the Contact Center Business Plan is implemented.</p> <p>The division will also recommend an Interactive Voice Response (IVR) system that may provide improved survey methodology options.</p>	

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IA 2018-69  Audit of Retirement Call Center  Issued: January 2019	6/30/2019	Contact Center	<p><b>Finding No. 9:</b> Our research of best practices revealed that survey results should be evaluated using responses to all information requested in the survey. We noted that division management only reports the results of statement seven in the FRS Customer Service Survey to department leadership. The table below lists the statements.</p> <table border="1" data-bbox="970 370 1368 492"> <thead> <tr> <th>Statement Number</th> <th>Statement</th> </tr> </thead> <tbody> <tr> <td>Statement 3</td> <td>I was satisfied with the amount of time I waited before being assisted by a customer service representative.</td> </tr> <tr> <td>Statement 4</td> <td>The customer service representative treated me in a courteous manner.</td> </tr> <tr> <td>Statement 5</td> <td>The customer service representative responded to all of the questions I asked.</td> </tr> <tr> <td>Statement 6</td> <td>Overall, I was satisfied with the information I received from the customer service representative who assisted me.</td> </tr> <tr> <td>Statement 7</td> <td>Overall, I was satisfied with the service I received from the customer service representative who assisted me.</td> </tr> </tbody> </table> <p>Also, industry leaders noted that only survey results indicating agreement with a question should be included in the satisfaction calculation rate. We noted that management included neutral responses (neither agree nor disagree) with the responses indicating agreement with the statement when the satisfaction rate was calculated.</p> <p>The chart below illustrates the differences in the survey results when all relevant statements listed above and only responses indicating agreement with the statements are used to calculate the survey results.</p> <table border="1" data-bbox="997 867 1354 964"> <thead> <tr> <th colspan="10">Quarterly Customer Satisfaction Survey Results</th> </tr> <tr> <th colspan="2">1<sup>st</sup> Quarter</th> <th colspan="4">July 2017 - March 2018</th> <th colspan="2">3<sup>rd</sup> Quarter</th> <th colspan="2">Average</th> </tr> <tr> <th colspan="2">Statement(s)</th> <th colspan="2">Statement(s)</th> <th colspan="2">Statement(s)</th> <th colspan="2">Statement(s)</th> <th colspan="2">Statement(s)</th> </tr> </thead> <tbody> <tr> <td>7*</td> <td>7**</td> <td>3-7**</td> <td>7*</td> <td>7**</td> <td>3-7**</td> <td>7*</td> <td>7**</td> <td>3-7**</td> <td>7*</td> </tr> <tr> <td>97.77%</td> <td>96.09%</td> <td>92.26%</td> <td>98.01%</td> <td>96.86%</td> <td>94.89%</td> <td>97.8%</td> <td>96.43%</td> <td>92.27%</td> <td>97.86%</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td>96.46%</td> </tr> </tbody> </table> <p>* With Neither Agree Nor Disagree Responses            ** With Agree Responses Only</p> <p>When management receives an accurate picture of the Contact Center's customer satisfaction ratings, they can effectively evaluate the Contact Center's performance and address appropriate areas of concern.</p> <p><b>Recommendation:</b> We recommend that management calculate and report the survey results using responses from all the questions about customer service to determine an accurate picture of customer satisfaction from the customers' perspectives. We recommend that management use only responses that indicate agreement with the questions when calculating survey results. In addition, we recommend that management utilize the data from the survey responses to identify areas of concern.</p>	Statement Number	Statement	Statement 3	I was satisfied with the amount of time I waited before being assisted by a customer service representative.	Statement 4	The customer service representative treated me in a courteous manner.	Statement 5	The customer service representative responded to all of the questions I asked.	Statement 6	Overall, I was satisfied with the information I received from the customer service representative who assisted me.	Statement 7	Overall, I was satisfied with the service I received from the customer service representative who assisted me.	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Final goals, objectives, and measures will be communicated to all contact center management and staff beginning July 1, 2020 when the Contact Center Business Plan is implemented.</p> <p>The division will also recommend an Interactive Voice Response (IVR) system that may provide improved survey capabilities.</p>	
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97.77%	96.09%	92.26%	98.01%	96.86%	94.89%	97.8%	96.43%	92.27%	97.86%																																																																				
									96.46%																																																																				

# State Personnel Policy Administration

Exhibits or Schedules

# State Personnel Policy Administration

## Schedule I Series

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

**Department:** 72 Management Services                      **Budget Period:** 2020-2021  
**Program:** 72750400 State Personnel Policy Administration  
**Fund:** 2678 State Personnel System Trust  
**Specific Authority:** Section 110.125, F.S.  
**Purpose of Fees Collected:** To maintain and administer the Personnel Program

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

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

(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL	ESTIMATED	REQUEST
	FY 2018-2019	FY 2019-20	FY 2020-2021

**Receipts:**

SEE ATTACHED LISTING			
<b>Total Fee Collection to Line (A) - Section II</b>	<b>39,185,261</b>	<b>36,276,580</b>	<b>36,276,580</b>

**SECTION II - FULL COSTS**

**Direct Costs:**

Salaries and Benefits	1,523,311	1,572,182	1,577,346
Other Personal Services			
Expenses	91,166	118,741	118,741
Operating Capital Outlay		1,500	1,500
Sp.Cat.:Contracted Services	3,444	22,576	22,576
Sp.Cat.:Risk Management Insurance	17,230	8,663	8,663
TR DMS/Human Res SVC	7,344	7,269	7,269
Human Res SVC/STW Contract 10708	-		
Contracted Legal Services	92,798	100,000	100,000
Lease/Purchase/Equipment	3,111	3,191	3,191
Data Processing Services-DST	20,470	1,687	16,701
Indirect Costs Charged to Trust Fund:	38,910,479	38,139,973	34,823,814
<b>Total Full Costs to Line (B) - Section II</b>	<b>40,669,353</b>	<b>39,975,782</b>	<b>36,679,801</b>

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	39,185,261	36,276,580	36,276,580
TOTAL SECTION II	(B)	40,669,353	39,975,782	36,679,801
TOTAL - Surplus/Deficit	(C)	(1,484,092)	(3,699,202)	(403,221)

**EXPLANATION:**

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

**Department:** Management Services      **Budget Period: 2020-2021**  
**Program:** 72750400 State Personnel Policy Administration  
**Fund:** State Personnel System Trust (2678)  
**Specific Authority:** Section 110.125, F.S.  
**Purpose of Fees Collected:** To maintain and administer the Personnel Program

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018-2019</b>	<b>FY 2019-20</b>	<b>FY 2020-2021</b>
<b><u>Receipts:</u></b>			
Transfer in from other agencies	38,652,684	36,036,580	36,036,580
Interest Earnings	247,347	240,000	240,000
Refunds and Reimbursements			
Transfers in from other funds	285,230	-	-
Rounding			
<b>Total Fee Collection to Line (A) - Section II</b>	<b>39,185,261</b>	<b>36,276,580</b>	<b>36,276,580</b>

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020 - 2021
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	STATE PERSONNEL SYSTEM TRUST
<b>LAS/PBS Fund Number:</b>	STATE PERSONNEL POLICY ADMINISTRATION (72750400)
	2678001

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	33,878,551 (A)		33,878,551
ADD: Other Cash (See Instructions)			0
ADD: Investments	9,458,501 (C)		9,458,501
ADD: Outstanding Accounts Receivable	28,688 (D)	1,033	29,721
ADD:			0
<b>Total Cash plus Accounts Receivable</b>	<b>43,365,740 (F)</b>	<b>1,033</b>	<b>43,366,773</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	114,983 (H)		114,983
Approved "B" Certified Forwards	2 (H)		2
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)	3,447 (I)		3,447
Anticipated Non-Operating Transfer	37,015,095 (I)		37,015,095
LESS: <u>Unearned Revenue</u>		0	0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>6,232,213 (K)</b>	<b>1,033</b>	<b>6,233,246 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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



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

**Budget Period: 2020 - 2021**

**Department Title:** 720000 MANAGEMENT SERVICES  
**Trust Fund Title:** STATE PERSONNEL SYSTEM TRUST  
**LAS/PBS Fund Number:** 2678001

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**  
Total all GLC's 5XXXX for governmental funds;  
GLC 539XX for proprietary and fiduciary funds 43,247,310 (A)

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

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

SWFS Adjustment - Increase A/R (B7200024) 1,033 (C)

SWFS Adjustment # and Description  (C)

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

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

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

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

Anticipated Non-Operating Transfer (37,015,095.00) (D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 6,233,246 (D)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)** 6,233,246 (E)

**DIFFERENCE:** 0 (F)\*

**\*SHOULD EQUAL ZERO.**

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** State Personnel Policy Administration

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings to report State Personnel Policy Administration.		

People First

Exhibits or Schedules

People First

Schedule I Series

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

**Department:** 72 Management Services                      **Budget Period: 2020-2021**  
**Program:** 72750500 People First  
**Fund:** 2678 State Personnel System Trust  
**Specific Authority:** Section 110.125, F.S.  
**Purpose of Fees Collected:** To maintain and administer the Personnel Program

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

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

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL	ESTIMATED	REQUEST	
	FY 2018-2019	FY 2019-20	FY 2020-2021	
<b>Receipts:</b>				
SEE ATTACHED LISTING	<input type="text"/>	<input type="text"/>	<input type="text"/>	
<b>Total Fee Collection to Line (A) - Section II</b>	<input type="text" value="20"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	

**SECTION II - FULL COSTS**

**Direct Costs:**

Salaries and Benefits	<input type="text" value="1,341,145"/>	<input type="text" value="1,405,926"/>	<input type="text" value="1,409,546"/>
Other Personal Services	<input type="text"/>	<input type="text"/>	<input type="text"/>
Expenses	<input type="text" value="94,362"/>	<input type="text" value="104,006"/>	<input type="text" value="104,006"/>
Operating Capital Outlay	<input type="text" value="4,046"/>	<input type="text" value="1,500"/>	<input type="text" value="1,500"/>
Sp.Cat.:Contracted Services	<input type="text" value="3,536"/>	<input type="text" value="21,075"/>	<input type="text" value="20,075"/>
Sp.Cat.:Risk Management Insurance	<input type="text" value="6,388"/>	<input type="text" value="4,620"/>	<input type="text" value="4,620"/>
TR DMS/Human Res SVC	<input type="text" value="5,900"/>	<input type="text" value="5,838"/>	<input type="text" value="5,838"/>
HR Statewide Contract	<input type="text" value="31,220,313"/>	<input type="text" value="32,054,977"/>	<input type="text" value="32,229,977"/>
Legal Services	<input type="text"/>	<input type="text"/>	<input type="text"/>
Lease/Purchase/Equipment	<input type="text" value="1,587"/>	<input type="text" value="1,860"/>	<input type="text" value="2,860"/>
Data Processing Services-AST	<input type="text" value="10,288"/>	<input type="text" value="8,386"/>	<input type="text" value="8,392"/>
Indirect Costs Charged to Trust Fund:	<input type="text" value="-35,359,071"/>	<input type="text" value="-33,608,188"/>	<input type="text" value="-33,786,814"/>
<b>Total Full Costs to Line (B) - Section II</b>	<input type="text" value="(2,671,506)"/>	<input type="text" value="0"/>	<input type="text" value="0"/>

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	20	0	0
TOTAL SECTION II	(B)	(2,671,506)	0	0
TOTAL - Surplus/Deficit	(C)	2,671,526	0	0

**EXPLANATION:**

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

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

**Department:** Management Services **Budget Period:** 2020-2021

**Program:** 72750500 People First

**Fund:** State Personnel System Trust (2678)

**Specific Authority:** Section 110.125, F.S.

**Purpose of Fees Collected:** To maintain and administer the Personnel Program

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2018-2019	FY 2019-20	FY 2020-2021

**Receipts:**

TR from Agencies/HR Svcs Assessment	0	0	0
Interest Earnings	0	0	0
Refunds and Reimbursements	20	0	0
Miscellaneous	0	0	0
	0	0	0
<b>Total Fee Collection to Line (1) - Section III</b>	<b>20</b>	<b>0</b>	<b>0</b>

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020 - 2021 MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	STATE PERSONNEL SYSTEM TRUST
<b>Budget Entity:</b>	STATE PERSONNEL POLICY ADMINISTRATION (72750500)
<b>LAS/PBS Fund Number:</b>	2678001

	Balance as of 6/30/2019		SWFS* Adjustments		Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	-33,844,527	(A)			-33,844,527
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable		(D)			0
ADD: Anticipated Cash Receivable	37,015,095	(E)			37,015,095
<b>Total Cash plus Accounts Receivable</b>	<b>3,170,568</b>	(F)	<b>0</b>		<b>3,170,568</b>
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	3,167,121	(H)			3,167,121
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	3,447	(I)			3,447
LESS: <u>Unearned Revenue</u>		(J)	0		0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>0</b>	(K)	<b>0</b>		<b>0</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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



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

**Budget Period: 2020 - 2021**

**Department Title:** 72000 MANAGEMENT SERVICES  
**Trust Fund Title:** STATE PERSONNEL SYSTEM TRUST (72750500)  
**LAS/PBS Fund Number:** 2678001

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**  
Total all GLC's 5XXXX for governmental funds; [ (37,015,135) ] (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment - Increase A/R (B7200011 & B7200030) [ 0 ] (C)

SWFS Adjustment # and Description [ ] (C)

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

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

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

A/P not C/F-Operating Categories [ 40 ] (D)

Anticipated Cash Receivable [ 37,015,095 ] (D)

[ ] (D)

[ ] (D)

**ADJUSTED BEGINNING TRIAL BALANCE:** [ (0) ] (D)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)** [ 0 ] (E)

**DIFFERENCE:** [ (0) ] (F)\*

**\*SHOULD EQUAL ZERO.**

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** People First

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings to report for People First.		

# Telecommunications Services

## Exhibits or Schedules

# Telecommunications Services

## Schedule I Series

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72900100 Telecommunications Services  
**Fund:** 2105 Communications Working Capital Trust

**Specific Authority:** Chapter 282, F.S.  
**Purpose of Fees Collected:** To pay phone bills of vendors and for fund's operations and the  
Emergency Medical Services (EMS) Grant.

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018 - 19</b>	<b>FY 2019 - 20</b>	<b>FY 2020 - 21</b>
<b>Receipts:</b>			
<u>CENTREX &amp; SUNCOM Revenues</u>	106,677,318	108,226,074	108,226,074
<u>Telecomm Infrastructure Projects</u>	1,748,578	3,000,000	3,500,000
<u>Air Card Revenues</u>	3,617,936	3,084,294	3,056,922
<u>FIRN Revenues</u>	6,883,521	5,653,217	5,590,000
<u>Interagency Agreement - DOAH</u>	125,000	125,000	125,000
<u>Investment Income</u>	625,217	425,000	448,000
<u>BEAR Erate Reimbursements</u>	-	2,395,000	2,395,000
<u>Vendor Reimbursements - Wireless</u>	990,653	3,195,101	3,177,092
<u>Penalties</u>	45	-	-
<u>Refunds and Reimbursements</u>	2,076	-	-
<b>Total Fee Collection to Line (A) - Section III</b>	<b>120,670,344</b>	<b>126,103,686</b>	<b>126,518,088</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<b>Direct Costs:</b>			
<u>Salaries and Benefits</u>	5,106,217	5,216,519	5,233,178
<u>Other Personal Services</u>	326,715	380,334	381,290
<u>Expenses</u>	559,412	613,454	613,454
<u>Operating Capital Outlay</u>	51,448	92,159	92,159
<u>SUNCOM Vendor Payments</u>	106,675,868	109,033,421	117,486,638
<u>FIRN</u>	6,453,217	6,453,217	-
<u>Risk Management Insurance</u>	56,537	73,351	73,351
<u>Human Resources Contra</u>	22,523	22,286	22,286
<u>Contracted Services</u>	2,184,127	1,938,404	2,612,564
<u>Lease/Lease Equipment</u>	3,210	3,241	3,241
<u>Public Assistance</u>	8,979		
<u>Data Processing Services - DMS</u>	488,601	398,286	398,607
<u>Indirect Costs Charged to Trust Fund</u>	6,637,628	10,870,792	10,988,008
<b>Total Full Costs to Line (B) - Section III</b>	<b>128,574,482</b>	<b>135,095,464</b>	<b>137,904,776</b>

Basis Used: \_\_\_\_\_

<b><u>SECTION III - SUMMARY</u></b>				
TOTAL SECTION I	(A)	120,670,344	126,103,686	126,518,088
TOTAL SECTION II	(B)	128,574,482	135,095,464	137,904,776
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(7,904,138)</b>	<b>(8,991,778)</b>	<b>(11,386,688)</b>

**EXPLANATION of LINE C:**  
Negative balances offset by cash balance brought forward (See Schedule I)

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2020 - 2021**

<b>Department Title:</b>	MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	COMMUNICATIONS WORKING CAPITAL TRUST
<b>Budget Entity:</b>	TELECOMMUNICATIONS SERVICES (72900100)
<b>LAS/PBS Fund Number:</b>	2105001

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	7,308,202 (A)	0	7,308,202
ADD: Other Cash (See Instructions)	172,483 (B)	0	172,483
ADD: Investments	24,698,407 (C)	0	24,698,407
ADD: Outstanding Accounts Receivable	16,762,598 (D)	0	16,762,598
<b>Total Cash plus Accounts Receivable</b>	<b>48,941,689 (F)</b>	<b>0</b>	<b>48,941,689</b>
LESS Allowances for Uncollectibles	20,821 (G)	0	20,821
LESS Approved "A" Certified Forwards	19,608,082 (H)	0	19,608,082
Approved "B" Certified Forwards	23,695 (H)	0	23,695
Unearned Revenue	0 (H)	0	0
LESS: Other Accounts Payable (Non-Operating)	500,000 (I)	0	500,000
Other Accounts Payable	0 (I)	0	0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>28,789,091 (K)</b>	<b>0</b>	<b>28,789,091**</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

Budget Period: 2020 - 2021

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

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

Total all GLC's 5XXXX for governmental funds; 28,227,702 (A)  
GLC 539XX for proprietary and fiduciary funds

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

**Add/Subtract Statewide Financial Statement (SWFS) Adjustment(s):**

SWFS Adjustment (B7200004, B7200027) [ ] (C)

SWFS Adjustment [ ] (C)

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

Approved "B" Carry Forward (Encumbrances) per LAS/PB (23,695) (D)

Compensated Absences Liability 586,344 (D)

A/P not C/F-Operating Categories 101 (D)

[ ] (D)

C/F Adjustment (1,362) (D)

[ ] (D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 28,789,091 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** 28,789,091 (F)\*

**DIFFERENCE:** 0 (G)\*

\*SHOULD EQUAL ZERO.

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72900100 Telecommunications Services  
**Fund:** 2344 Wireless Emergency Phone Trust

**Specific Authority:** Sec 365.172 and 365.173, F.S.

**Purpose of Fees Collected:** A fee of \$.50 per month is assessed to Florida's wireless telephone subscribers to offset Florida counties' and the service providers' 911 and Emergency 911 capital and operating costs. Fees are deposited into the fund and subsequent distributions are as follows: 44% to counties; 54% to service providers; and an additional 2% to rural counties.

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

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

**SECTION I - FEE COLLECTION**

	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018 - 19</b>	<b>FY 2019 - 20</b>	<b>FY 2020 - 21</b>
<u>Receipts:</u>			
<u>Deposits from Wireless 911 Ser. Provides</u>	55,075,976	71,447,101	75,019,456
<u>Deposits from Non-Wireless 911 Ser. Provide</u>	26,880,868	27,961,068	26,601,930
<u>Deposits from Prepaid Wireless Ser. Provider</u>	23,821,395	24,488,526	24,997,163
<u>Next Generation Grant</u>	-	1,270,000	3,228,960
<u>Interest Earnings</u>	2,165,260	2,281,468	2,392,547
<u>Refunds</u>	47	-	-
<b>Total Fee Collection to Line (A) - Section III</b>	<b>107,943,546</b>	<b>127,448,163</b>	<b>132,240,056</b>

**SECTION II - FULL COSTS**

Direct Costs:

Salaries and Benefits	352,929	394,694	395,953
Other Personal Services	92,382	269,537	269,537
Expenses	137,213	204,929	454,929
Operating Capital Outlay	2,550	3,600	3,600
Contracted Services	239,078	250,827	250,827
Contracted Legal Services	28,416	92,159	67,159
Lease/Lease Equipment	1,213	1,845	1,845
Human Resources Contract	-	212	212
Data Processing Services - DMS	3,567	2,908	2,910
Next Generation Grant	-	1,270,000	3,228,960
Prepaid Wireless	20,571,536	21,600,000	21,600,000
Non-Wireless	26,941,236	32,166,463	30,883,023
Wireless 911 Distributions to County	64,449,758	67,769,330	74,802,770
Wireless 911 Distributions to Service Provider	3,895,271	6,000,000	6,000,000
Indirect Costs Charged to Trust Fund	161,649	800,108	208,287
<b>Total Full Costs to Line (B) - Section III</b>	<b>116,876,798</b>	<b>130,826,612</b>	<b>138,170,012</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	107,943,546	127,448,163	132,240,056
TOTAL SECTION II	(B)	116,876,798	130,826,612	138,170,012
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(8,933,252)</b>	<b>(3,378,449)</b>	<b>(5,929,956)</b>

**EXPLANATION of LINE C:**

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



## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2020 - 2021</b>
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	WIRELESS EMERGENCY TELEPHONE SYSTEM TRUST
<b>LAS/PBS Fund Number:</b>	TELECOMMUNICATIONS SERVICES (72900100)
	2344001

	Balance as of 6/30/2019		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	221,895 (A)			221,895
ADD: Other Cash (See Instructions)	159,970 (B)			159,970
ADD: Investments	89,834,469 (C)			89,834,469
ADD: Outstanding Accounts Receivable	2,208,738 (D)	-		2,208,738
<b>Total Cash plus Accounts Receivable</b>	<b>92,425,071 (F)</b>		<b>0</b>	<b>92,425,071</b>
LESS Allowances for Uncollectibles				0
LESS Approved "A" Certified Forwards	32,621,518 (H)			32,621,518
Approved "B" Certified Forwards	24,456 (H)			24,456
Approved "FCO" Certified Forwards	729,208 (H)			729,208
LESS: Other Accounts Payable (Nonoperating)				0
Other Accounts Payable				0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>59,049,889 (K)</b>		<b>0</b>	<b>59,049,889 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

Budget Period: 2020 - 2021

Department Title: 72000 MANAGEMENT SERVICES  
Trust Fund Title: E911 Emergency Telephone System Trust Fund  
LAS/PBS Fund Number: 2344

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/19</b>	
Total all GLC's 5XXXX for governmental funds;	
GLC 539XX for proprietary and fiduciary funds	59,801,174 (A)
<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	
<b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments:</b>	
SWFS Adjustment Increase A/R (B7200017)	
SWFS Adjustment	
<b>Add/Subtract Other Adjustment(s):</b>	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(24,456) (D)
Approved "FCO" Carry Forward per LAS/PBS	(729,208) (D)
Post Closing Adjustment to Accounts Receivable	
Accounts Payable not C/F-Operating Categories	3,055 (D)
A/P - CF Adjustment	(675) (D)
<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	59,049,889 (E)
<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)</b>	59,049,889 (F)*
<b>DIFFERENCE:</b>	0 (G)*

\*SHOULD EQUAL ZERO.

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

**Budget Period: 2020-2021**

**Department: Management Services**

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Telecommunication Services

**Phone Number:** (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AG 2019-98  Statewide Law Enforcement Radio System (SLERS) Prior Audit Follow-Up and Selected Administrative Activities  Issued: January 2019	6/30/2019	Contract & Project	<p><b>Finding No. 1:</b> Department policies and procedures for evaluating the accuracy and completeness of the State’s proportionate share of revenue amounts due from SLERS partners and third-party tenants need enhancement. A similar finding was noted in our report No. 2015-104.</p> <p><b>Recommendation:</b>                      We recommend that Department management enhance policies and procedures for evaluating the accuracy and completeness of the reported revenue amounts due from SLERS partners and third-party tenants, including establishing procedures to obtain and review source documents from Harris to validate the amounts due.</p>	<p>The SLERS contract monitoring guide will be updated to enhance the review of documentation related to third party and subscriber revenue. More specifically, additional details regarding the documentation necessary will be added to the policy, as well as a requirement to review this information. Appropriate agency personnel will receive training on these updated processes.</p> <p><b>Six-Month Follow-up Status Summary:</b>                      The SLERS contract monitoring guide is close to being finalized. Once this is final, appropriate agency personnel will receive training on these updated processes. During the creation of the guide, agency personnel have identified areas for process improvement of monitoring, which is now taking place.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG 2019-98  Statewide Law Enforcement Radio System (SLERS) Prior Audit Follow-Up and Selected Administrative Activities  Issued: January 2019	6/30/2019	Contract & Project	<p><b>Finding No. 2:</b> As similarly noted in our report No. 2015-104, Department records did not always demonstrate that sufficient contract monitoring was performed to verify that contract requirements were met.</p> <p><b>Recommendation:</b> We recommend that Department management ensure staff adhere to established policies and procedures for documenting Department monitoring of Harris' compliance with contract requirements.</p>	<p>The SLERS contract monitoring guide will be updated to strengthen internal processes for verifying compliance with contract deliverables. Appropriate agency personnel will receive training on these updated internal processes.</p> <p><b>Six-Month Follow-up Status Summary:</b> The SLERS contract monitoring guide is close to being finalized. Once this is final, appropriate agency personnel will receive training on these updated processes. During the creation of the guide, agency personnel have identified areas for process improvement of monitoring, which is now taking place.</p>	

Wireless Services

Exhibits or Schedules

Wireless Services

Schedule I Series

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period:** **2020-21**  
**Program:** 72900200 Wireless Services  
**Fund:** 2432 Law Enforcement Radio System Trust Fund  
**Specific Authority:** Sections 318.18, 320.0802, 328.72, and 282.709, Florida Statutes  
**Purpose of Fees Collected:** A \$1 fee is collected from boat & auto registrations to provide for the construction & operation of the statewide 800 MHz LERS

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

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

<b>SECTION I - FEE COLLECTION</b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018 - 19</b>	<b>FY 2019 - 20</b>	<b>FY 2020 - 21</b>
<u>Receipts:</u>			
Boat/Vehicle Registrations	22,102,641	22,223,188	22,683,542
Tower Rental Fees	22,876	22,876	22,876
Investment Income	395,771	200,000	200,000
Refunds and Reimbursements	40	14,516	40
Traffic Infraction Penalties	4,234,814	4,280,738	4,238,801
<b>Total Fee Collection to Line (A) - Section III</b>	<b>26,756,142</b>	<b>26,741,318</b>	<b>27,145,259</b>

<b>SECTION II - FULL COSTS</b>			
<u>Direct Costs:</u>			
Salaries and Benefits	923,876	964,321	967,096
Other Personal Services	50,453	93,400	93,400
Expenses	178,366	262,601	262,601
Operating Capital Outlay	18,244	60,208	22,000
Contracted Services	2,738,974	3,183,800	2,462,377
Acquisition of Motor Vehicles	-	76,192	-
Lease/Lease Equipment	2,226	2,229	2,229
Contract Payments	20,231,476	22,451,298	21,561,629
Human Resources Contract	4,090	4,047	4,047
Public Assistance	198,186	-	-
Risk Management Insurance	1,647	1,698	1,698
Data Processing Services - DMS	2,297	1,873	1,874
Indirect Costs Charged to Trust Fund	2,423,743	2,398,855	3,672,350
<b>Total Full Costs to Line (B) - Section III</b>	<b>26,773,578</b>	<b>29,500,522</b>	<b>29,051,301</b>

Basis Used: \_\_\_\_\_

<b>SECTION III - SUMMARY</b>			
TOTAL SECTION I	(A)	26,756,142	27,145,259
TOTAL SECTION II	(B)	26,773,578	29,051,301
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(17,436)</b>	<b>(1,906,042)</b>

**EXPLANATION of LINE C:**  
Negative balances offset by cash balance brought forward (See Schedule I)

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2019 - 2020**

<b>Department Title:</b>	MANAGEMENT SERVICES
<b>Trust Fund Title:</b>	LAW ENFORCEMENT RADIO SYSTEM TRUST
<b>Budget Entity:</b>	WIRELESS SERVICES (72900200)
<b>LAS/PBS Fund Number:</b>	2432001

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	193,114 (A)		193,114
ADD: Other Cash (See Instructions)	0 (B)		0
ADD: Investments	15,442,396 (C)		15,442,396
ADD: Outstanding Accounts Receivable	762,251 (D)	1477	763,728
<b>Total Cash plus Accounts Receivable</b>	<b>16,397,760 (F)</b>	<b>1,477</b>	<b>16,399,237</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	5,224,313 (H)		5,224,313
Approved "B" Certified Forwards	19,570 (H)		19,570
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)	505,174 (I)		505,174
Other Accounts Payable			0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>10,648,704 (K)</b>	<b>1,477</b>	<b>10,650,181 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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



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

Budget Period: 2019 - 2020

Department Title: 720000 MANAGEMENT SERVICES  
Trust Fund Title: State Agency Law Enforcement Radio System Trust Fund  
LAS/PBS Fund Number: 2432001

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/18**

Total all GLC's 5XXXX for governmental funds; 10,668,088 (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

A/P adjusted after CF request submitted (Duplicate A/P was deleted)  (C)

SWFS Adjustment -Increase AR (B7200018) 1,477 (C)

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

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (19,570) (D)

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

A/P not C/F-Operating Categories 185.91 (D)

(D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 10,650,181 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** 10,650,181 (F)\*

**DIFFERENCE:** (0) (G)\*

**\*SHOULD EQUAL ZERO.**

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

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72900200 Wireless Services  
**Fund:** 2510 Operating Trust Fund

**Specific Authority:** Chapter 2016-66, Section 84, Laws of Florida; and  
 Section 216.177 Florida Statutes

**Purpose of Fees Collected:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

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

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

	(1)	(2)	(3)	(4)
<b><u>SECTION I - FEE COLLECTION</u></b>		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 2018-19</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>
<b><u>Receipts:</u></b>				
First Net Grant Funding		144,796	322,762	
Grants		22,001		
<b>Total Fee Collection to Line (A) - Section III</b>		166,797	322,762	-

**SECTION II - FULL COSTS**

**Direct Costs:**

Grants and Aid - Implementation Grants 100197		179,491	322,762	
Expenses				
SC: Contracted Services				
SC: Risk Management				
SC: HR Services				
DP Svcs-SSRC				

**Indirect Costs Charged to Trust Fund:**

Rounding		1		
Certified forward Reversions @ 9/30/19				
Certified forward Reversions @ 9/30/18		(393)		
<b>Total Full Costs to Line (B) - Section III</b>		179,099	322,762	-

Basis Used: Accrual

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	166,797	322,762	-
TOTAL SECTION II	(B)	179,099	322,762	-
<b>TOTAL - Surplus/Deficit</b>	(C)	(12,302)	-	-

**EXPLANATION of LINE C:**

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

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2020-21</b>
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	OPERATING TRUST
<b>LAS/PBS Fund Number:</b>	WIRELESS SERVICES (72900200)
	2510

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	6,905 (A)		6,905
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable	22,001 (D)	0	22,001
ADD: Anticipated Receivable	0 (E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>28,905 (F)</b>	<b>0</b>	<b>28,905</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	341 (H)		341
Approved "B" Certified Forwards	18,956 (H)		18,956
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)			0
LESS: Other Accounts Payable			0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>9,609 (K)</b>	<b>0</b>	<b>9,609 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

<b>Department Title:</b>	<b>Budget Period: 2020-21</b>
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>LAS/PBS Fund Number:</b>	OPERATING TRUST
	2510 - WIRELESS SERVICES (72900200)

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**

Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	<b>28,565</b>	(A)
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<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>		(B)
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**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

SWFS Adjustment # and Description		(C)
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SWFS Adjustment to A/R		(C)
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**Add/Subtract Other Adjustment(s):**

Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(18,956)	(D)
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Approved "C" Carry Forward Total (FCO) per LAS/PBS		(D)
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A/P not C/F-Operating Categories		(D)
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Anticipated Receivable	0	(D)
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		(D)
--	--	-----

		(D)
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<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<b>9,609</b>	(E)
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<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	<b>9,609</b>	(F)
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<b>DIFFERENCE:</b>	<b>0</b>	(G)*
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**\*SHOULD EQUAL ZERO.**

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

**Budget Period: 2020 - 2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Wireless Services

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings to report for Wireless Services.		

# State Data Center

## Exhibits or Schedules

State Data Center

Schedule I Series

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72900600 State Data Center  
**Fund:** 2792 Working Capital Trust

**Specific Authority:** F.S. 282.201  
**Purpose of Fees Collected:** Provide funds sufficient to cover the operation of the Data Center.

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

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

<b>SECTION I - FEE COLLECTION</b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018 - 19</b>	<b>FY 2019 - 20</b>	<b>FY 2020 - 21</b>
<b>Receipts:</b>			
Sale of Data Processing Svcs-State	-	61,125,059	64,169,544
Sale of Data Processing Svcs-Non-State	-	138,312	138,312
Interest Earnings	-	40,000	40,000
Refunds	-	-	
Transfer in from 72980000	-	6,729,423	-
Reimbursements	-	100	100
<b>Total Fee Collection to Line (A) - Section III</b>	<b>-</b>	<b>68,032,894</b>	<b>64,347,956</b>

<b>SECTION II - FULL COSTS</b>			
<b>Direct Costs:</b>			
Salaries and Benefits	-	14,350,840	14,199,008
Other Personal Services	-	374,944	375,275
Expenses	-	3,756,217	3,912,336
Operating Capital Outlay	-	61,334	320,996
Contracted Services	-	26,864,650	29,551,106
Cloud Comp Services	-	100,000	100,000
Risk Management Insurance	-	25,813	25,813
Deferred- Pay Com Contr	-	3,043,790	2,043,790
Lease Purchase	-	4,394,246	4,529,834
Disaster Recovery Service	-	4,000,537	4,000,537
HR Statewide Contract	-	54,591	54,591
Data Processing Services - DMS	-	-	-
Administrative Overhead	-	-	-
Indirect Costs Charged to Trust Fund		6,421,152	6,430,463
<b>Total Full Costs to Line (B) - Section III</b>	<b>-</b>	<b>63,448,114</b>	<b>65,543,749</b>

Basis Used: \_\_\_\_\_

<b>SECTION III - SUMMARY</b>			
TOTAL SECTION I	(A)	-	68,032,894
TOTAL SECTION II	(B)	-	65,543,749
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>-</b>	<b>(1,195,793)</b>

**EXPLANATION of LINE C:**  
Negative balances offset by cash balance brought forward (See Schedule I)



# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2019 - 2020

State Data Center

Working Capital Trust Fund

72900600

2792

Department Title:

Trust Fund Title:

Budget Entity:

LAS/PBS Fund Number:

Please see 72980000 for A01 data. No data to report on 72900600.

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

**Budget Period: 2019 - 2020**

<b>Department Title:</b>	<b>72900600</b>
<b>Trust Fund Title:</b>	<b>Working Capital Trust Fund</b>
<b>LAS/PBS Fund Number:</b>	<b>2792</b>

Please see 72980000 for A01 data. No data to report on 72900600.

**AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2020 - 2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** State Data Center

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG Report No. 2018-187  IT Operational Audit of the Agency for State Technology, State Data Center Operations  Issued: March 2018	6/30/2018	State Data Center	<p><b>Finding No. 1:</b> Disaster Recovery Planning The State Data Center’s [SDC] disaster recovery plan [DRP] and annual testing continue to need improvement to ensure that critical SDC operations are recovered and continue in the event of a disaster or other interruption in service.</p> <p><b>Recommendation:</b> To ensure recoverability of the critical SDC applications in the event of a disaster or other interruption of service, we recommend that AST management continue development and implementation of a comprehensive AST DRP and annually conduct a live exercise that aligns with the DRP as required by State law.</p>	<p><b>Planned Corrective Action:</b> Due to the rapidly changing nature of operational environments, continuous improvements of the DRP are expected and incorporated in AST’s approach to test planning, test execution, and plan updates. The annual lifecycle of the DRP is to conduct tests to improve planning, execution, and updates to the DRP. As DRP tests are conducted and any gaps in specific recovery processes or documentation identified, the DRP will be updated as necessary to continually improve the process.</p> <p><b>September 28, 2018 Update:</b> To ensure the DRP included all required elements, the AST initiated a review of the DR plan starting on April 18, 2018.</p> <p>AST conducted a DRP test from May 7-11, 2018, that included all critical applications. After the DRP test any gaps in specific recovery processes or documentation was identified and updated, as necessary, to continually improve the process.</p> <p>The OIG did not receive requested documentation and therefore has this finding remaining open.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<p>AG Report No. 2018-187</p> <p>IT Operational Audit of the Agency for State Technology, State Data Center Operations</p> <p>Issued: March 2018</p>	<p>6/30/2018</p>	<p>State Data Center</p>	<p><b>Finding No. 2:</b> Continuity of Operations Planning  The State Data Center’s continuity of operations plan [COOP] and testing continue to need improvement to ensure the timely resumption of critical business operations in the event of a disaster or other interruption in service.</p> <p><b>Recommendation:</b> To ensure the continued operations of the SDC, we again recommend that AST management include all essential information in the COOP and periodically update the COOP to ensure that contact information is accurate and complete.</p>	<p><b>Planned Corrective Action:</b> COOP documentation updates most often occur after the execution of COOP tests, as this is the time when most opportunities for improvement are identified. As part of the continuous improvement process, AST had already identified and resolved two items cited in this finding and continues to conduct successful operational tests allowing for identification of any areas that require further refinement.</p> <p>On December 12, 2017, AST implemented an online Employee Action Module within AST’s IT Service Management (ITSM) system to replace a manual form-based process. This new ITSM workflow was implemented to manage the actions associated with employee new hires, separations, and internal transfers. A component of this workflow is to ensure the update of contact information in the Immediate Response Information System (IRIS). This process change will help to ensure that staff contact information is accurate and complete.</p> <p>Additionally, to help ensure 100% enrollment in the IRIS system, periodic IRIS testing is conducted which includes staff notifications requesting verifying receipt of corresponding messages and steps to take if staff do not receive IRIS alerts. Although the recently implemented process improvements will ensure tasks are tracked to completion, the manual steps required to update the IRIS system compete with other manual tasks before being implemented. Due to the delays introduced by these manual processes, AST is evaluating replacement solutions to automate this synchronization and ensure perpetual reconciliation. The audit report indicated that vital databases are not specifically listed in the AST COOP. The databases deemed critical for operations are listed in the AST DRP. To further satisfy the recommended improvements, AST added informational links to the AST DRP</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
				<p>into the AST COOP documents that include vital database information.</p> <p><b>September 28, 2018 Update:</b> Business processes evolve constantly which results in corresponding changes to the supporting environments. As a result, COOP require ongoing maintenance. COOP documentation updates most often occur after the execution of COOP tests, as this is the time when most opportunities for improvement are identified. The updated ITSM workflow was implemented and a component of this workflow is to ensure the update of contact information in the IRIS. This process change helped to ensure that staff contact information is accurate and complete. Additionally, the IRIS system is being replaced which will provide more efficient updating of employee information and further ensure information remains up-to-date. The first test of the system was conducted on September 19, 2018.</p> <p>The new system includes staff notifications and requests acknowledgment of message receipt. The system also makes progressive notices instead of mass calls to all numbers at one time. The audit report indicated that vital databases are not specifically listed in the AST COOP. The databases deemed critical for operations are listed in the AST DRP. AST added informational links to the AST DRP into the AST COOP documents that include vital database information. The OIG recommended that this finding be closed, it was superseded by findings issued in Internal Audit A-1617-36.</p>	

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<p>AG Report No. 2018-187</p> <p>IT Operational Audit of the Agency for State Technology, State Data Center Operations</p> <p>Issued: March 2018</p>	6/30/2018	State Data Center	<p><b>Finding No. 4:</b> Backup Tape Reconciliations and Destruction</p> <p>AST policies, procedures, and processes for reconciling and tracking backup tapes need improvement to ensure all backup tapes are accounted for and location and status records are accurate.</p> <p><b>Recommendation:</b> We again recommend that AST management improve backup controls to include comprehensive policies and procedures to help ensure the accuracy of AST backup tape location records and the timely reconciliation of the backup systems that create backup tapes and the tracking system used to move tapes to the offsite storage vendor. We also recommend that AST management ensure that documented approval for destruction be obtained before a backup tape is destroyed, backup tapes approved for destruction are timely destroyed, and accurate records of destruction are maintained.</p>	<p><b>Planned Corrective Action:</b> The AST Tape Management group follows the Magnetic Media Destruction procedure that is currently in place. AST did not find tapes that should have been retained were inappropriately destroyed; however, AST acknowledges that authorization for tape destruction should be retained, and in specific instances the retention of records supporting the authorization of destruction could be improved. The processes and the supporting procedures have undergone constant migrations and revisions. Since this is a cross platform procedure, both the Backup team and Tape Management team participate in continuous monitoring and implement improvements as the processes and tools evolve and mature.</p> <p>It is important to note that in addition to constantly attempting to stabilize the process, the teams undertake continuous improvements including the Tape Management team performing monthly reconciliation of all tapes located in the AST vault and the tape tracking tool, and the tracking and reconciling of tapes between the offsite vendor and AST.</p> <p>Further, the Backup team continues remediation of all library backup software to reconcile the multiple databases with the tape tracking tool. While the audit report noted 1,138 tape record discrepancies, AST has determined that the tracking system contained the accurate tape location; however, the various backup systems were not always updated with this information, which is a time-consuming manual process to keep updated.</p> <p>While AST has unsuccessfully attempted to reconcile these repositories in the past, as noted within the audit, AST has since redefined the scope of this process to solely reconcile the inventory of the tapes among the various backup systems and the tape tracking system excluding specific location information to avoid confusion in the</p>	

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				<p>future.</p> <p><b>September 28, 2018 Update:</b> AST collected tape data from the tape backup systems and compared to the list to the data in the tape tracking software. This information was then used to create a list of expired tapes that need to be destroyed. The tapes to be destroyed are located at disaster recovery site and AST is in the process of arranging for the tapes to be transported back to the SDC for destruction. Additionally, Policy AST-BIOS P-209, Tape Management is under revision and nearing finalization.</p> <p><b>December 18, 2018:</b> The updated Tape Management and Reconciliation policy was updated and finalized.</p>	
<p>AG Report No. 2018-187</p> <p>IT Operational Audit of the Agency for State Technology, State Data Center Operations</p> <p>Issued: March 2018</p>	6/30/2018	State Data Center	<p><b>Finding No. 5:</b> Appropriateness of Access Privileges Some access privileges did not promote an appropriate separation of duties or were not appropriate based on the user’s assigned job duties.</p> <p><b>Recommendation:</b> To promote compliance with State law and an appropriate separation of duties, we again recommend that AST management appropriately restrict user access privileges to mainframe and Windows server environments and the interconnected network domains to only those functions necessary for the user’s assigned job duties.</p>	<p><b>Planned Corrective Action:</b> It should be noted that reviewing 28 audit reports covering 14 agencies in the past three years found findings related to appropriateness of access privileges repeated 26 times. The pervasiveness of these findings illustrates that the issues are large, dynamic, and complex and do not lend to simple procedural resolutions. AST statutorily holds the authority to provide access to any system for the purposes of granting agency access to any “business function.” In many cases, such as with user provisioning, the business function requires some administrative privilege due to the lack of technical options to granularly delegate more specific privileges. AST is continuing to implement a privileged identity and access management system that will provide additional granularity for business function delegation. Absent granular delegation, AST maintains that the concept of agencies relinquishing administrative rights does not preclude AST from delegating selective administrative rights should the business function require it.</p>	



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				<p>AST will continue to work with customers to evaluate and verify that administrative accounts are appropriate and retain documentation evidencing approvals for the accounts. For the Mainframe platform, the attribute to allow full control over all Resource Access Control Facility (RACF) user profiles has been removed from all agencies as of January 31, 2018.</p> <p>The finding also states that inappropriate domain administrator level rights were assigned to SDC staff. It is AST's responsibility to determine appropriate access for specific employee job functions. It is in the state's best interest to provide the necessary access to appropriately skilled technicians independent of organizational chart position to increase uptime, reduce cost, and provide the best possible customer service. To address this issue moving forward, AST will improve the associated documentation that identifies the need for these specific privileges within related job duties.</p> <p><b>September 28, 2018 Update:</b> AST is continuing to implement a privileged identity and access management system that will provide additional granularity for business function delegation. AST continue to work with customers to evaluate and verify that administrative accounts are appropriate and retain documentation evidencing approvals for the accounts. The agency also continues to identify, document, and enhance platform specific processes that support ongoing appropriateness of access. The AST has also drafted an agency-wide Access Control Policy that is currently under review. Additionally, AST continues to work with customer agencies to identify and remove unnecessary access and document delegations for accounts that need to be retained.</p>	

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<p>AG Report No. 2018-187</p> <p>IT Operational Audit of the Agency for State Technology, State Data Center Operations</p> <p>Issued: March 2018</p>	<p>6/30/2018</p>	<p>State Data Center</p>	<p><b>Finding No. 6:</b> Periodic Review of Access Privileges  The AST lacked a policy for comprehensive periodic access reviews and the various AST Bureau procedures for the performance and documentation of access reviews need improvement to ensure assigned access remains appropriate.</p> <p><b>Recommendation:</b> We recommend that AST management develop and implement a comprehensive policy for the periodic review of access privileges and maintain documentation of the reviews conducted.</p>	<p><b>Planned Corrective Action:</b> While processes to conduct periodic access reviews were established in response to a similar audit finding from the previous year, this finding cites the absence of documentation for the review processes as an opportunity for improvement.</p> <p>Although increasing the documentation level of effort for everyone involved will create additional auditable artifacts, the AST will attempt to automate the audit trail to provide for documented management review while minimizing additional workload for staff.</p> <p><b>September 28, 2018 Update:</b>  The Agency is evaluating the access reviews and making changes to further enhance access review processes. Additionally, an Access Control Policy has been drafted to communicate agency-wide expectations for managing access to IT resources.</p> <p><b>January 30, 2019 Update:</b>  The Active Directory Account Audit Procedure was finalized. It added the use of Cherwell ticketing to document and track access review and responses from supervisors as a requirement. Additionally, the Network Section Account Management procedures were updated and finalized documenting review of their processes for accounts not in active directory.</p>	

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				<p>Agency staff provide an additional means to monitor and verify that backups are appropriately scoped and successful. Additional efforts at continuous improvements in the Backup and Recovery team process includes the development of an automated report of backup failures called the Three-strike Report. This report provides a list of every server that fails a backup for one, two, or three consecutive days within the Enterprise Backup System. The three-day failure is the highest priority for the team. The team generates tickets for this work every day to track each individual failure to ensure all work to remedy every failure is tracked to completion. Of the six servers identified as not being backed up, three failed due to product failure, which is being addressed through replacement of the backup product; one was due to miscommunication that would have been discovered within existing backup audit controls; and two did not require backup but did not have appropriate documentation.</p> <p>Another statement within the finding stated that: Additionally, on October 20, 2017, we observed that a backup job within an AST backup system had been running continuously for 71 hours, thereby preventing other backup jobs from running. Upon audit inquiry, AST Backup Section staff stated that the backup job was for a daily backup that normally took 2 hours to complete. The Chief of Production System Services indicated that the staff person responsible for monitoring backups had been out sick for 3 days and no one had</p>	

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				<p>noticed the backup was still running and preventing other backup jobs.</p> <p>This backup job was within a separate legacy backup system and not part of the AST enterprise backup system. This separate backup server contains a very small number of backup clients and it was not included in the enterprise backup system's reporting capabilities or monitoring. Specialized and separate backup systems add risk by limiting the number of staff trained to address issues and by limiting integration into the enterprise monitoring and reporting processes. To address this risk, AST continues to focus heavily on eliminating separate isolated backup systems. When managing backups for over 3,600 servers in the State Data Center and monitoring 13,000 to 14,000 backup jobs daily, there will always be backup failures and client issues, but the Backup and Recovery team have managed to maintain the required service target of a 95% success rate on a regular basis. Nonetheless, there is always room for improvement and the teams will continue to make continuous improvements to the Data Protection Service as evidenced above.</p> <p><b>September 28, 2018 Update:</b> AST continues to migrate to a new backup system. Through this process the agency is ensuring that all required infrastructure is migrated and appropriately backed up. Also, since the issuance of report number 2018-187 and the new backup system implementation, AST has completed one customer backup audit and has 10 in process.</p> <p><b>March 26, 2019 Update:</b> The backup and recover team continue to use the three-strike report to manage backup failures and conduct backup audit reports. They have also completed the migration of items that could be moved to the new backup system.</p>	

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AG Report No. 2018-187  IT Operational Audit of the Agency for State Technology, State Data Center Operations  Issued: March 2018	6/30/2018	State Data Center	<p><b>Finding No. 8:</b> Software Licensing The AST lacked policies and procedures for the management and monitoring of software licensing agreements. Such policies and procedures help prevent software licensing violations.</p> <p><b>Recommendation:</b> We recommend that AST management complete the establishment of comprehensive policies and procedures related to the management and monitoring of software licensing agreements.</p>	<p><b>Planned Corrective Action:</b> While AST administrative rule requires each agency to establish policies and procedures to manage and monitor the agency's regulatory, legal, risk, environmental and operational IT requirements, the rule does not provide a standard for which specific policies or procedures must be established, nor do they set a standard for the level of comprehensiveness. The intent of the AST rule was for agencies to identify agency-specific risks or requirements, and based on the judgement of the agency, to create policies and procedures to address them.</p> <p>AST maintains that it should have the latitude to determine the agency risk and establish policies and procedures accordingly. Due to the extremely complex and highly specialized nature of software licensing, software license management is distributed throughout the agency based on platform expertise. It is only through the teams' diligence, expertise, and knowledge of the products and implementation models that compliance can be maintained.</p>	

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				<p>Further, simply monitoring agreements for compliance is not enough. As an IT service provider, AST has long realized that managing and monitoring software utilization is critical to achieving full control over cost (both license and maintenance cost). To ensure that license thresholds are not exceeded, AST has undertaken continuous monitoring and improvements to controls for software licensing agreement management. These controls include configuration management of server deployments, scans of desktop and server installed software, administrative controls over desktops to prevent unauthorized downloads, annual review of software contracts, service request requirements for any software installations, and installed software annual true-ups.</p> <p>In addition, AST has successfully concluded direct license audits from multiple software vendors utilizing AST maintained records and resources. Any license reconciliations necessary were addressed within contractually available true-up processes.</p>	

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				<p>AST is currently implementing a Software Asset Management tool that will address the entire lifecycle of software acquisition, deployment, and entitlement tracking. Once implementation is complete, AST plans to establish processes and procedures to ensure the appropriate use and maintenance of the tool. This tool will address the cited risk by automating the complex responsibility of compliance monitoring for AST and customer agencies.</p> <p><b>September 28, 2018 Update:</b> The Software Asset Management tool implementation projects continues to ingest and normalize installed software from all equipment under AST's control. Additionally, comprehensive documentation related to the management and monitoring of software licensing agreements is in draft and nearing finalization.</p> <p><b>February 4, 2019 Update:</b> The Software Asset Management Policy was published and finalized. The draft of the monitoring procedures is in process.</p>	



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AG Report No. 2018-187  IT Operational Audit of the Agency for State Technology, State Data Center Operations  Issued: March 2018	6/30/2018	State Data Center	<p><b>Finding No. 10:</b> : Computer Security Incident Response Team</p> <p>The AST's Computer Incident Response Team [CSIRT] processes need enhancement to promote prompt and appropriate responses to cybersecurity events.</p> <p><b>Recommendation:</b> We recommend that AST management ensure that CSIRT meetings are conducted at least quarterly and that CSIRT members receive annual training as required by AST rules.</p>	<p><b>Planned Corrective Action:</b> Corrective actions to address these findings regarding training and scheduled meetings have been completed. AST will continue to ensure that the CSIRT meetings and associated training occur in conjunction with requirements defined in rule.</p> <p><b>September 28, 2018 Update:</b> To ensure continued compliance with the requirements, the Agency has completed required CSIRT training, conducted three quarterly meetings for 2018, scheduled future CSIRT meetings, and tentatively scheduled the next training for November 2018. The OIG closed this finding.</p>	
AG Report No. 2018-187  IT Operational Audit of the Agency for State Technology, State Data Center Operations  Issued: March 2018	6/30/2018	State Data Center	<p><b>Finding No. 11:</b> Security Controls – Tape Encryption, Vulnerability Management, Configuration Management, User Authentication, Shared Accounts, Service Accounts, and Logging and Monitoring Certain State Data Center security controls related to tape encryption, vulnerability management, configuration management, user authentication, shared accounts, service accounts, and logging and monitoring need improvement to ensure the confidentiality, integrity, and availability of State Data Center customer entity data and related IT resources.</p> <p><b>Recommendation:</b> We recommend that AST management improve certain security controls related to tape encryption, vulnerability management, configuration management, user authentication, shared accounts, service accounts, and logging and monitoring to ensure the confidentiality, integrity, and availability of SDC customer entity data and related IT resources.</p>	<p><b>Planned Corrective Action:</b> As noted throughout the auditor's report, most of these issues were reported in the Auditor General's Report Number 2017-087. Several of these issues have long-term corrective action underway and would not be completed in under six months between the closing of Report Number 2017-087 and the start of this one. AST will review the included security controls and implement corrective action, as determined appropriate.</p> <p><b>September 28, 2018 Update:</b> Corrective action to resolve some of the issues identified is complete. However, several of the remaining issues have long-term corrective action that are currently underway and will be monitored until complete.</p>	

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<p>IA Report No. A-1617-36</p> <p>Audit of the Agency for State Technology's Continuity of Operations Planning Process and Plan</p> <p>Issued: June 2018</p>	6/30/2018	Agency Wide- COOP Planning	<p><b>Finding No. 1:</b> COOP Plan The Agency COOP plan should be enhanced to include all key elements and requirements.</p> <p><b>Recommendation:</b> We recommend that the Agency complete the key components of Risk Assessment, Risk Mitigation, and Business Impact Analysis to further enhance the COOP and provide for predictable and seamless execution, when needed.</p>	<p><b>Planned Corrective Action:</b> AST currently contracts with Sungard Availability Services to review customer agency DR [disaster recovery] frameworks, procedures, plans and reports to ensure best practice compliance. To address this finding specifically, AST will include in Sungard's work activities a requirement to ensure the Risk Analysis/ Mitigation and Business Impact Analysis are addressed in AST's COOP.</p> <p><i>This finding is scheduled for future review.</i></p>	
<p>IA Report No. A-1617-36</p> <p>Audit of the Agency for State Technology's Continuity of Operations Planning Process and Plan</p> <p>Issued: June 2018</p>	6/30/2018	Agency Wide- COOP Planning	<p><b>Finding No. 2:</b> Emergency Coordination Officer Emergency Coordination Officer (ECO) and the alternate were designated by the prior Executive Director. Subsequent promotions of these individuals coupled with the required ECO job duties creates incompatible duties during an emergency.</p> <p><b>Recommendation:</b> We recommend that the current Executive Director evaluate and designate new staff for the required positions.</p>	<p><b>Planned Corrective Action:</b> AST concurs with this finding and is in process of nominating alternate staff for these roles.</p> <p><b>Update:</b> In July 2018, the Executive Director appointed External Affairs Director as the ECO and The General Counsel as the backup.</p>	

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AG Report No. 2019-152  Operational Audit of the Agency for State Technology, State IT Project Management and Oversight  Issued: March 2019	6/30/2019	Project Management and Oversight and State Data Center Cost Allocation Processes	<p><b>Finding No. 1:</b> State IT Project Oversight AST IT project oversight controls need enhancement to ensure that required State agency compliance assessments are conducted and that information regarding State IT projects is accurately reported to the Governor and Legislature.</p> <p><b>Recommendation:</b> We recommend that AST management ensure that IT project oversight activities, including assessments of State agency compliance with AST project management and oversight standards, are conducted in accordance with State law. We also recommend that AST management establish controls to verify the accuracy of the information reported to the Governor and Legislature.</p>	<p><b>Planned Corrective Action:</b> As authorized by Florida law, AST established project management standards (see Rule Chapter 74-1, Florida Administrative Code). The process for determining compliance is set at the beginning of each review cycle to allow for adjustments and to focus on issues or targeted inquiries on certain aspects of compliance. AST amended the original 2017 compliance assessment process due to legislatively mandated agency staff reductions and additional employee turnover. The amended process omitted AST's validation of agency self-reported scores and led to the reported clerical errors noted in the finding. AST acknowledges that the original established process was not followed in totality during the 2017 review cycle. Since auditor fieldwork ended for this report, AST published the 2018 Information Technology Standards and Guidelines Assessment Report on December 1, 2018.</p> <p>The 2018 report documents the methodology used for the compliance assessment reviews, which included the self assessment and verification process, as noted in the Auditor General's report. AST has since begun the same process for the 2019 reviews. Additionally, subsequent to the preliminary and tentative audit report's issuance, AST corrected the clerical errors in the 2017 report and posted the revised version to the AST website.</p>	

# Office of the State Chief Information Officer

## Exhibits or Schedules

# Office of the State Chief Information Officer

## Schedule I Series

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period: 2020-21**  
**Program:** 72900700 Office of the State CIO  
**Fund:** 2792 Working Capital Trust

**Specific Authority:** F.S. 282.201  
**Purpose of Fees Collected:** Provide funds sufficient to cover the operation of the Data Center.

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

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

<b>SECTION I - FEE COLLECTION</b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018 - 19</b>	<b>FY 2019 - 20</b>	<b>FY 2020 - 21</b>
<b>Receipts:</b>			
<u>Sale of Data Processing Svcs-State</u>	-		
<u>Sale of Data Processing Svcs-Non-State</u>	-		
<u>Interest Earnings</u>	-		
<u>Refunds</u>	-	-	
<u>Transfer in from 72980000</u>	-	-	
<u>Transfer to 72900600 Working Cap Trust</u>	-		
<u>Reimbursements</u>	-		
<b>Total Fee Collection to Line (A) - Section III</b>	<b>-</b>	<b>-</b>	<b>-</b>

<b>SECTION II - FULL COSTS</b>			
<b>Direct Costs:</b>			
<u>Salaries and Benefits</u>	-	3,821,169	4,075,521
<u>Other Personal Services</u>	-	195,594	195,594
<u>Expenses</u>	-	963,087	963,087
<u>Operating Capital Outlay</u>	-	37,000	37,000
<u>Contracted Services</u>	-	790,297	790,297
<u>Cloud Comp Services</u>	-	-	-
<u>Risk Management Insurance</u>	-	10,892	10,892
<u>Deferred- Pay Com Contr</u>	-	-	-
<u>Lease Purchase</u>	-	7,102	7,102
<u>Disaster Recovery Service</u>	-	-	-
<u>HR Statewide Contract</u>	-	11,768	12,755
<u>Data Processing Services - DMS</u>	-	-	-
<u>Administrative Overhead</u>	-	539,243	-
<b>Indirect Costs Charged to Trust Fund</b>		<b>(6,376,152)</b>	<b>(6,092,248)</b>
<b>Total Full Costs to Line (B) - Section III</b>	<b>-</b>	<b>-</b>	<b>-</b>

Basis Used: \_\_\_\_\_

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

**EXPLANATION of LINE C:**  
Negative balances offset by cash balance brought forward (See Schedule I)

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2019 - 2020

Office of the State Chief Information Officer

Department Title:

Trust Fund Title:

Working Capital Trust Fund

Budget Entity:

72900700

LAS/PBS Fund Number:

2792

Please see 72980000 for A01 data. No data to report on 72900700.



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

**Budget Period: 2019 - 2020**

<b>Department Title:</b>	<b>72900700</b>
<b>Trust Fund Title:</b>	<b>Working Capital Trust Fund</b>
<b>LAS/PBS Fund Number:</b>	<b>2792</b>

Please see 72980000 for A01 data. No data to report on 72900700.

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

**Budget Period: 2020 - 2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Office of State Chief Officer

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings to report for Wireless Services.		

# Public Employees Relations Commission

## Exhibits or Schedules

# Public Employees Relations Commission

## Schedule I Series

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 72 Management Services **Budget Period:** 2020-21  
**Program:** 72920100 Public Employees Relations Commission  
**Fund:** 2558 PERC Trust

**Specific Authority:** Sections 212.2, 447.205, 447.305, 447.307 and 447.308, Florida Statutes  
**Purpose of Fees Collected:** To help defray the cost of providing publications, subscriptions, and copies of records and documents.

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2018 - 19</b>	<b>FY 2019 - 20</b>	<b>FY 2020 - 21</b>
<u>Receipts:</u>			
Interest Earnings	93,069	94,000	94,940
Refunds/Reimbursements	15,379		
Local Government half-cent Sales Tax from C	2,101,764	2,100,000	2,200,000
<b>Total Fee Collection to Line (A) - Section III</b>	<b>2,210,212</b>	<b>2,194,000</b>	<b>2,294,940</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	1,210,389	1,325,951	1,329,119
Other Personal Services	19,676	53,628	53,628
Expenses	209,838	345,814	345,814
Operating Capital Outlay		5,721	5,721
S.C.: Contracted Services	160	32,500	32,500
S.C.: Risk Management Insurance	2,859	2,006	2,006
S.C.: HR Svcs/Stw Contract	4,946	4,894	4,894
Transfer to Div. of Admin Hearings 100565			
DP Services Assessment - AST 210003	19,408	41,981	42,015
Indirect Costs Charged to Trust Fund	38,647	50,173	158,009
<b>Total Full Costs to Line (B) - Section III</b>	<b>1,505,923</b>	<b>1,862,668</b>	<b>1,973,706</b>

Basis Used: \_\_\_\_\_

<b><u>SECTION III - SUMMARY</u></b>				
TOTAL SECTION I	(A)	2,210,212	2,194,000	2,294,940
TOTAL SECTION II	(B)	1,505,923	1,862,668	1,973,706
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>704,289</b>	<b>331,332</b>	<b>321,234</b>

**EXPLANATION of LINE C:**

\_\_\_\_\_

\_\_\_\_\_

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	Budget Period: 2020-21
<b>Trust Fund Title:</b>	MANAGEMENT SERVICES
<b>Budget Entity:</b>	<u>PUBLIC EMPLOYEES RELATIONS COMMISSION TRUST</u>
<b>LAS/PBS Fund Number:</b>	<u>PUBLIC EMPLOYEES RELATIONS COMMISSION TRUST (72920100)</u> <u>2558</u>

	Balance as of 6/30/2019		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	171,699	(A)		171,699
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments	4,220,902	(C)		4,220,902
ADD: Outstanding Accounts Receivable	39,506	(D)	0	39,506
<b>Total Cash plus Accounts Receivable</b>	<b>4,432,108</b>	(F)		<b>4,432,108</b>
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	68,764	(H)		68,764
Approved "B" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)	2,406	(I)		2,406
LESS:		(J)		0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>4,360,938</b>	(K)		<b>4,360,938</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

**Budget Period: 2020-21**

**Department Title:** 720000 MANAGEMENT SERVICES  
**Trust Fund Title:** Public Employees Relations Commission TF  
**LAS/PBS Fund Number:** 2558

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/19**  
Total all GLC's 5XXXX for governmental funds; 4,160,709 (A)  
GLC 539XX for proprietary and fiduciary funds

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

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

SWFS Adjustment C7200031 Adjust A/R  (C)

SWFS Adjustment # and Description  (C)

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

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

Compensated Absences Liability 200,229.42 (D)

A/P not C/F-Operating Categories (CAT 210021) 0.00 (D)

(D)

(D)

(D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 4,360,938 (E)

**UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)** 4,360,938 (F)\*

**DIFFERENCE:** 0 (G)\*

**\*SHOULD EQUAL ZERO.**

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget Entity:** Public Employee Relations Commission

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There are no findings to report for the Public Employee Relations Commission.		



# Florida Commission on Human Relations

Exhibits or Schedules

# Florida Commission on Human Relations

## Schedule I Series

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

**Department:** 72 Management Services  
**Program:** 72950100 Commission on Human Relations  
**Fund:** 2510 Operating Trust Fund  
**Specific Authority:** Section 760.06, Florida Statutes  
**Purpose of Fees Collected:** \_\_\_\_\_

**Budget Period: 2020-21**

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

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

	(1)	(2)	(3)	(4)
<b><u>SECTION I - FEE COLLECTION</u></b>		<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
		<b>FY 2018 - 2019</b>	<b>FY 2019 - 2020</b>	<b>FY 2020 - 2021</b>
<b><u>Receipts:</u></b>				
HUD Grant Anticipated Rev Rec (9/19)		671,712		
HUD Grant		383,509		
EEOC Grant		2,000	500,000	500,000
Interest Earnings		24,270	23,061	12,089
Refunds & Reimbursements		3		
<b>Total Fee Collection to Line (A) - Section III</b>		<b>1,081,494</b>	<b>523,061</b>	<b>512,089</b>

**SECTION II - FULL COSTS**

**Direct Costs:**

Salaries and Benefits		-	423,084	424,595
Other Personal Services		182,038	42,378	43,334
Expenses		294,655	420,090	390,050
Operating Capital Outlay		4,201	5,000	5,000
Contracted Services		56,752	69,000	69,000
Risk Management Insurance		87,512	72,444	72,444
Lease/Purchase/Equipment		20,214	23,753	23,753
Administrative Overhead		117,690	120,051	120,051
HR Statewide Contract		5,507	8,053	8,053
Northwest Regional Data Center				-
DP Services Assessment DMS 210004		66,931	67,235	67,289
Indirect Costs Charged to Trust Fund:		179,876	3,459	1,813
<b>Total Full Costs to Line (B) - Section III</b>		<b>1,015,376</b>	<b>1,254,547</b>	<b>1,225,382</b>

Basis Used: \_\_\_\_\_

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	1,081,494	523,061	512,089
TOTAL SECTION II	(B)	1,015,376	1,254,547	1,225,382
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>66,118</b>	<b>(731,486)</b>	<b>(713,293)</b>

**EXPLANATION of LINE C:**

Negative balances offset by cash balance carried forward (see Schedule I).

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2020 - 2021**

<b>Department Title:</b>	MANAGEMENT SERVICE
<b>Trust Fund Title:</b>	OPERATING TRUST FUND
<b>Budget Entity:</b>	COMMISSION ON HUMAN RELATIONS (72950100)
<b>LAS/PBS Fund Number:</b>	2510045

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	53,503 (A)		53,503
ADD: Other Cash (See Instructions)	0 (B)		0
ADD: Investments	846,750 (C)		846,750
ADD: Outstanding Accounts Receivable	2,416 (D)	86.99	2,503
Anticipated Revenue	671,712		671,712
<b>Total Cash plus Accounts Receivable</b>	<b>1,574,382 (F)</b>	<b>87</b>	<b>1,574,469</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	36,204 (H)		36,204
Approved "B" Certified Forwards	231 (H)		231
LESS: Other Accounts Payable(Non-Operating)	609 (H)		609
LESS: Other Accounts Payable Other			0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>\$ 1,537,338 (K)</b>	<b>87</b>	<b>1,537,425 **</b>

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

Budget Period: 2020 - 2021

Department Title: 720000 MANAGEMENT SERVICES  
 Trust Fund Title: Commission of Human Relations Operating TF  
 LAS/PBS Fund Number: 2510045

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/19</b>	
Total all GLC's 5XXXX for governmental funds;	866,571 (A)
GLC 539XX for proprietary and fiduciary funds	
<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	(B)
<b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments:</b>	
SWFS Adjustment -Increase A/R (B7200019)	87 (C)
SWFS Adjustment # and Description	(C)
<b>Add/Subtract Other Adjustment(s):</b>	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(231) (D)
Compensated Absences Liability	(D)
A/P not C/F-Operating Categories	(D)
A/P C/F Adjustment	(714) (D)
Anticipated Revenues	671,712.00 (D)
	(D)
<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	<b>1,537,425 (E)</b>
<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	<b>1,537,425 (F)</b>
<b>DIFFERENCE:</b>	<b>(0) (G)*</b>

\*SHOULD EQUAL ZERO.

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

**Budget Period: 2020-2021**

**Department:** Management Services

**Chief Internal Auditor:** Ronnie Atkins

**Budget**

**Entity:** Florida Commission on Human Relations

**Phone Number:** (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
HUD 2018 Assessment  Issued: May 2018	6/30/2018	Housing Investigations	<p><b>Finding No. 1:</b> Performance Standards #1: Commence complaint proceedings, carry forward such proceedings, complete investigations, issue determinations, and make final administrative dispositions in a timely manner. [24 C.F.R. § 115.206(e)(1)]</p> <p><b>Recommendation:</b> To cure the deficiency, it is recommended that the agency:</p> <ol style="list-style-type: none"> <li>1. Assess complaints for jurisdiction and upload all relevant information into HEMS within 30 days of receipt of a signed complaint or legally acceptable substitute.</li> <li>2. Assign complaints for investigation within 14 days of dual-filing or HUD referral.</li> <li>3. Initiate all dual-filed investigations within 30 days of acceptance.</li> <li>4. Through the first quarter of FY 2019, report monthly the number and age of active complaints in each investigator's inventory. These complaints do not include cases under legal review.</li> <li>5. Through the first quarter of FY 2019, report monthly on the inventory of all complaints undergoing legal review. The report should include the following categories:                             <ol style="list-style-type: none"> <li>a) Date and age at date of completion;</li> <li>b) Date investigation reviewed by housing manager;</li> <li>c) Date submitted to legal for review;</li> <li>d) Date of assignment to attorney for review;</li> <li>e) Date and age of investigation at completion of legal review;</li> <li>f) Date of HEMS closure; and</li> <li>g) Date returned to housing for additional investigation (if necessary).</li> </ol> </li> <li>6. Establish a formal procedure that ensures the FCHR does not maintain an intake inventory of more than 10% of its open inquiries per quarter.</li> </ol>	<p>The Commission responds to each of the recommendations as follows:</p> <ol style="list-style-type: none"> <li>1. The Commission agrees that pursuant to 24 C.F.R sec. 115.206(e)(1)(i), it is to begin its processing of fair housing complaints within 30 days of receipt.</li> <li>2. The Commission denies that there is a requirement in 24 C.F.R. sec. 115.206 regarding assignment to an investigator within 14 days. The Commission will adhere to the 30-day requirement listed above.</li> <li>3. Agreed, as indicated above.</li> <li>4. The Commission agrees to report monthly on the number and age of active complaints in each investigator's inventory between July and September 2018.</li> <li>5. The Commission agrees to report monthly on the requested information for complaints undergoing legal review between July and September 2018.</li> <li>6. The Commission denies that there is a requirement in 24 C.F.R. sec. 115.206 regarding establishment of a formal procedure ensuring that the Commission does not maintain an intake inventory or more than 10% of its open inquiries per quarter. The Commission will adhere to the 30-day requirement listed above.</li> </ol> <p><b>Sixty Days Follow-up Status Summary:</b></p> <ol style="list-style-type: none"> <li>1. There were 45 cases dual-filed between July 1 2018 - July 31, 2018. Of that number 14 were assigned to an investigator and 31 were unassigned. Of the assigned cases, a total of 11 were assigned within 30 days.</li> <li>2. The Commission has begun assigning cases to an investigator immediately.</li> </ol>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
				<p>3. See previous responses.</p> <p>4. The Commission provided a monthly update on August 1 and is preparing another monthly update at the end of August.</p> <p>5. The Commission provided a monthly update on August 1 and is preparing another monthly update at the end of August.</p> <p>6. The Commission has significantly reduced its aged intake backlog as a result of the intake moratorium. The Commission will work with HUD to develop a formal procedure to ensure another intake backlog does not develop when the intake moratorium is lifted.</p> <p><b>June 28, 2019 Status Update:</b>  The Commission responds for Performance Standards #1</p> <p>1. The Commission begins processing fair housing complaints within 30 days of receipt.</p> <p>2. Due to the lack of resources, the Commission has been unable to resolve at least 50% of cases within 100 days. The Commission developed a plan to address aged cases while simultaneously working to reduce the number of cases exceeding the 100-day performance requirement. The Commission remains challenged in this area but is confident that with time, resources, and diligence, it will be able to achieve success in this area. As of June 26, 2019, the Commission closed 4 complaints out of a total of 30 complaints within 100 days during the suspension period, which is 13.3%. For the 30 complaints closed during the suspension period, the average processing time was 216 days.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
				<p>The focus during this period was on resolving aged cases.</p> <p>3. As of June 27, 2019, there are 177 aged cases that are open with the Commission. Recent turnover of a seasoned investigator contributed to the aged case inventory. However, the Commission has recently been able to assign aged cases to employees whose main focus is to resolve aged cases. Other contributing factors are cases pending administrative and judicial remedies.</p> <p>4. There were 19 cause and no cause determinations issued during the suspension period. The two cause cases are still pending administrative or civil action, so they remain open. One no cause determination was issued within 100 days.</p> <p>5. All parties and relevant witnesses were interviewed. All relevant defenses, policies and practices were analyzed.</p> <p>6. The document issued by the Commission is not called a charge. Instead, the Commission issues a document called a "Notice of Determination (Cause)" which grants the complaining party the opportunity to be represented by the Attorney General in a civil action or to be represented by the Commission at an administrative hearing. The Commission issued two such Notices of Determination (Cause) during the suspension period:  Percoskie v. Savanna Club, HUD #04-18-1687-8  Dabney v. Central Park HOA, HUD #04-18-1121-8</p> <p>7. A blank election of rights form is included with each Notice of Determination (Cause) issued by the Commission. If the form is not returned, a Commission staff member reaches out to the complainant to determine the reason. In the two cases identified above, both complainants elected for the Attorney General to bring a civil action on their behalf.</p>	



REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
				<p>8. When possible, final administrative dispositions are made within one year of the petition for administrative relief. The Commission engages with the Florida Division of Administrative Hearings to complete the administrative process. After the Florida Division of Administrative Hearings concludes the final hearing, it issues a Recommended Order and returns jurisdiction of the case to the Commission. The Commission then has 90 days to issue a Final Order. All complaints resolved through a Final administrative Order between April 11 and June 26, 2019 were completed within one year of receipt of the petition for administrative relief:  Simhoni v. Mimo on the Beach I Condo. Ass'n, HUD #04-17-9760-8  Fielding v. Preservation of Affordable Housing, LLC, HUD #04-18-1097-8</p> <p>9. Final investigative reports are drafted and prepared for all complaints.</p> <p>10. In all cases in which an investigative determination is prepared, the Commission will send a copy of the final determination to all parties. In addition to the two cause determinations identified above, the Commission also issued seventeen no cause determinations during the suspension period, and a determination and notice of determination was mailed in each case by certified mail.</p> <p>11. The names and dates of contacts with the parties and witnesses are all disclosed. All correspondence and other contacts with both complainant and respondent are summarized. Summary of other pertinent records examined is provided. Summaries of witness statements are provided, if applicable. Answers to questions are provided, when applicable.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
HUD 2018 Assessment  Issued: May 2018	6/30/2018	Housing Investigations	<p><b>Finding No. 2:</b> Performance Standard #2: Administrative closures are utilized only in limited and appropriate circumstances. [24 CFR § 115.206(e)(2)]</p> <p><b>Recommendation:</b> To cure the deficiency, it is recommended that the agency:</p> <ol style="list-style-type: none"> <li>1. Eliminate the Complainant's failure to submit a Diary of Events as a justification for failing to proceed with investigative activities. Use the Diary of Events only as an investigative assistance tool, but not in place of actual investigative functions such as interviews, onsite visits and other documentary collection methods.</li> </ol>	<p>Management indicated this finding closed.</p> <p>The Commission agrees that it will not administratively close complaints for a Complainant's failure to submit a diary of events. The Commission will attempt to obtain information from complainants through interviews and other methods.</p> <p><b>Sixty Days Follow-up Status Summary:</b> The Commission no longer closes cases based upon a failure to submit a diary of events alone. The Commission now engages in more varied efforts to reach complainants and documents those efforts clearly to show that the investigator exhausted every alternative to obtain the information needed.</p> <p><b>June 28, 2019 Status Update:</b>  <b>The Commission responds for Performance Standards #2</b>            During the suspension period, there were eight administrative closures, which was 27% of the total closures.            There were eight administrative closures, broken down into seven withdrawals without resolution and one withdrawal with resolution.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
HUD 2018 Assessment  Issued: May 2018	6/30/2018	Housing Investigations	<p><b>Finding No. 3:</b> Performance Standard #5: Relief Obtained/Used of Legal Authority [24 CFR § 115.206(e)(5)]</p> <p><b>Recommendation:</b> To cure the deficiency, it is recommended that the agency:</p> <ol style="list-style-type: none"> <li>1. The agency must avoid boiler plate public interest provisions. Provisions requiring the display of fair housing posters and notification of staff must be moved to the general provision of all conciliation agreements and settlements.</li> <li>2. Public interest relief must not be limited to training where facts suggest more robust relief is necessary to protect residents beyond the Complainant.</li> <li>3. Where applicable, the agency is encouraged to evaluate a Respondent's entire housing portfolio to assess whether widespread actions (i.e. multiple properties) are necessary.</li> <li>4. The agency must demonstrate, via HEMS, all petitions for relief within its authority (i.e. actual, punitive damages) has been sought. This requirement must be met even where requested relief has not been granted. Such information should be documented in the Deliberative section of HEMS and a copy of the legal pleading filed with the court (or administrative body) must be submitted to HUD upon request during the performance period or as part of an onsite assessment.</li> </ol>	<p>The Commission denies that 24 C.F.R. sec. 115.206(e)(5) relates to settlements and conciliation agreements in complaints in which the Commission is not representing the complainant. Rather, this section references whether the Commission utilized its authority to seek and obtain the type of relief designed to prevent recurrences of discriminatory practices, through actual damages, civil penalties or punitive damages, and public interest. The Commission only has this authority with regard to complaints in which a cause determination was issued and the complainant elected for the Commission to represent their interests at an administrative hearing. During FY 2017-18, the Commission did not represent any parties in this manner. The Commission answers the additional specific recommendations as follows:</p> <ol style="list-style-type: none"> <li>1. The Commission denies that 24 C.F.R. sec. 115.206(e)(5) addresses conciliation agreements and settlements in complaints in which the Commission is not representing the complainant, but agrees that it will place any general provisions, such as the placement of posters, into the general provisions section of all agreements obtained while serving as representative of the complainant.</li> <li>2. The Commission denies that 24 C.F.R. sec. 115.206(e)(5) addresses conciliation agreements and settlements in complaints in which the Commission is not representing the complainant, but agrees that the Commission will seek appropriate relief in all agreements obtained while serving as representative of the complainant.</li> <li>3. The Commission denies that 24 C.F.R. sec. 112.206(e)(5) requires the Commission to engage in extraneous discovery regarding issues that have not been alleged.</li> </ol>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
				<p>4. As indicated above, the Commission only has the authority to draft petitions for relief in complaints in which a cause determination was issued and the complainant elected for the Commission to represent their interests at an administrative hearing. During FY 2017-18, the Commission did not represent any parties in this manner. However, the Commission agrees that all petitions for relief within its control will be documented in HEMS and will seek all available relief.</p> <p><b>Sixty Days Follow-up Status Summary:</b></p> <ol style="list-style-type: none"> <li>1. The Commission does not use boiler plate public interest provisions in its conciliation agreements. The Commission is adding additional public interest terms to its agreement to give parties alternatives to choose from. Furthermore, the Executive Director is utilizing her discretion to only approve those agreements that include sufficient public interest terms.</li> <li>2. See response above.</li> <li>3. The Commission denies that 24 C.F.R. sec. 112.206(e)(5) requires the Commission to engage in extraneous discovery regarding issues that have not been alleged.</li> <li>4. There were no petitions for relief filed by the agency on behalf of a complainant between June 1, 2018 - July 31, 2018.</li> </ol> <p><b>June 28, 2019 Status Update:</b></p> <p>The Commission responds for Performance Standards #5</p> <ol style="list-style-type: none"> <li>1. As part of the Commission's preparation to engage in administrative hearings or court, a Worksheet on Damages is sent to the complainant to determine the out of pocket losses that have</li> </ol>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
				<p>resulted from the respondent's actions. That information is then used to determine the relief sought. In cases that have not yet advanced to an administrative hearing or civil action, the Commission similarly attempts to collect information from the complainant to determine their actual, out of pocket losses resulting from the alleged discrimination. That information is then used during conciliation discussions.</p> <p>2. Civil penalties and punitive damages are available pursuant to Florida Statute through civil court actions; however, the Commission has not had the opportunity to seek those damages during the suspension period.</p> <p>3. The Commission seeks affirmative provisions and effective public interest relief.</p> <p>4. While conciliation is voluntary, each conciliation agreement arising out of the efforts by the Commission is subject to the approval of the Commission's Executive Director, who exercises her authority not to approve conciliation agreements that do not fully meet the needs of the State of Florida.</p> <p>5. There were six cases closed with relief during the suspension period and seven closed without relief.</p> <p>6. The following cases proceeded to an administrative hearing during the performance period:  Green v. Sun Lake Multifamily Holdings, HUD #04-18-1927-8; hearing held 4/30/19; recommended order issued 5/21/19  Townsend v. Malaty, HUD #04-18-0442-8; hearing held 6/13/19; recommended order not yet been issued. As described above, these two cases are to be returned to the Commission for issuance of a final order, which must occur within 90 days after the Florida Division of Administrative Hearings' recommended order. At this</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
				<p>time, a final order has not yet been issued in these cases, so there has not yet been a final resolution.</p> <p>7. There have been no cases that went forward to a judicial proceeding during the suspension period. On June 23, 2019, the Attorney General's office indicated that there have been no new developments in the cases pending litigation with their office.</p>	
<p>HUD 2018 Assessment</p> <p>Issued: May 2018</p>	<p>6/30/2018</p>	<p>Housing Investigations</p>	<p><b>Finding No. 4:</b> Performance Standard #9: The agency must conform its performance to the provisions of any written agreements executed by the agency and HUD related to substantial equivalence certification, including but not limited to the interim agreement or MOU. [24 CFR § 115.206(e)(9)]</p> <p><b>Recommendation:</b> To cure the deficiency, it is recommended that the agency:</p> <ol style="list-style-type: none"> <li>1. By December 31, 2018, the agency must demonstrate that it has closed or charged 50% of all complaints received between May 2018 and December 15, 2018 within 100 days.</li> <li>2. By December 31, 2018, the agency must demonstrate that it has closed or charged 95% of its aged complaints from the FY 2018 case processing year (ending June 30, 2018).</li> </ol>	<p>The Commission agrees that pursuant to 24 C.F.R. sec. 115.206(e)(1), it is to complete investigative activities within 100 days from the date of receipt or, if it is impracticable to do so, notify the parties in writing of the reason for the delay. Due to the workload created by the intake backlog that the Commission has worked through, the uncertainty regarding the actual number of cases that will be received between May 2018 and December 15, 2018, the uncertainty regarding the number of aged cases, and the number of new staff members that are currently undergoing training, the Commission denies that these recommendations are reasonable. The Commission's goal is to complete its investigation of 50% of new cases received beginning July 1, 2018 within 100 days or less, so long as they are non-systemic complaints, and are not novel or complex. In order to focus on this priority, the Commission agrees that will close 95% of its currently aged cases by June 30, 2019.</p> <p><b>Sixty Days Follow-up Status Summary:</b></p> <ol style="list-style-type: none"> <li>1. There have been 142 cases filed between May 4, 2018 - August 27, 2018. Of those, 18 cases have closed and were all completed within 100 days. There are 124 cases remaining open, and only 2 have exceeded 100 days, resulting in a 99% success rate to date.</li> <li>2. There were 95 aged cases with the Commission on June 30, 2018. To date, 18 of those cases have been closed, resulting in a 19% closure rate.</li> </ol> <p><b>June 28, 2019 Status Update:</b></p> <p>The Commission responds for Performance Standards #9</p> <ol style="list-style-type: none"> <li>1. Current Florida law regarding substantial equivalency does</li> </ol>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
				<p>conform to the provisions of all written agreements with HUD. However, some courts continue to interpret this differently. For the last six years, FCHR legislation has been filed to address this interpretation issue and as yet, has not passed both houses of the legislature. We continue to file legislation that clarifies/codifies this discrepancy.</p> <p>2. The Commission has provided information responsive to this question within the other responses contained within the questionnaire.</p>	
<p>HUD 2018 Assessment</p> <p>Issued: May 2018</p>	<p>6/30/2018</p>	<p>Administration</p>	<p><b>Finding No. 5:</b> Budget and Finance Requirements</p> <p><b>Recommendation:</b> To cure the deficiency, it is recommended that the agency:</p> <ol style="list-style-type: none"> <li>1. Due to the agency not using the FHAP funds for the purpose that HUD provided, \$176,686 in FHAP Administrative Cost funds have gone unspent and remain in the agency's operating trust fund. The agency must return these funds to the United States Treasury within 30 days of this final report.</li> <li>2. The agency, in partnership with the Florida State Legislature, should make appropriate changes in law or policy to permit the FCHR to use FHAP Administrative Cost funds for salary and additionally not taking any additional actions that would limit or the deny the use of FHAP funds beyond the purpose that HUD provided.</li> <li>3. To prevent any future interpretation of comingling of funds, it is recommended to further segregate FHAP funds in an account separate from any other funds.</li> </ol>	<p>In response to the deficiencies identified:</p> <ol style="list-style-type: none"> <li>1. For the performance assessment period of July 1, 2016 through March 8, 2018, FCHR was provided Administrative Cost (AC) funds in the amount of \$100,704 in FY 2016 and \$137,321 in FY 2017. These funds were spent for the purposes HUD provided and are not available or due for return. No AC funds have been received for FY 2018, as of May 29, 2018, so there is no refundable amount.</li> <li>2. Effective FY 2018, FCHR will no longer identify salaries for administrative cost assistance. As of July 1, 2017, all full-time positions that were funded from the Operating Trust fund, where administrative cost funds are deposited, were relocated for payment from the General Revenue fund. This transfer ensures that all salaried positions are funded from a fixed schedule revenue source to meet the recurring biweekly salary payment requirements of the agency.</li> <li>3. FCHR receives spending authority from the state legislature to carry out agency operations from two funding sources; the General Revenue fund and the Operating Trust fund. FCHR established designated spending codes that delineate all HUD spending in the Operating Trust fund and identifies spending of Non-FHAP funds from the General Revenue fund. A separate account would be a third funding source and would only serve receipts of administrative cost and training funds, which are currently clearly identifiable with the spending codes.</li> </ol> <p><b>Sixty Days Follow-up Status Summary:</b></p> <ol style="list-style-type: none"> <li>1. The original response has been amended as follows: Where HUD has asserted there were unspent Administrative Cost (AC) funds in FY2015 and FY2016, according to the fiscal year approved AC</li> </ol>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
				<p>plans, the commission concedes. In August 2018, FCHR requested to amend the previously approved AC plans for FY2015 and FY2016 with eligible AC spend to reduce the unspent liability. HUD has agreed to review proposed expenditures to determine if they qualify as direct administrative cost.</p> <p>2. Regarding FCHR's original response to HUD's recommendation to "use FHAP Administrative Cost funds for salary" - In a certified letter dated July 24,2018 HUD Responded: The benchmark has not been met. However, because the Operating Trust Fund does not have a consistent schedule of revenue receipts, the commission cannot be compelled to request the legislature return salaries and benefits to that funding source at this time.</p> <p>3. Regarding FCHR's original response to HUD's recommendation for further fund segregation - In a certified letter dated July 24,2018 HUD Responded: The benchmark has not been met; however, the response provided in a letter of 6/12/2018 letter is satisfactory. The agency indicated in the 6/12/2018 letter, that they established designated spending codes that identify HUD spending in the Operating Trust fund and identifies spending of non-FHAP funds from the General Revenue fund. It was further indicated would not be opening a separate account but would be using the existing accounting codes instead. In short FCHR believes the application of the codes is sufficient to address this finding. The GTM will monitor the agency's spending closely during the next performance assessment. FCHR has no further action to take on this recommendation.</p> <p><b>June 28, 2019 Status Update:</b>  The Commission responds for Budget and Finance Requirements The agency has provided certifications to HUD confirming that the agency spends at least 20% of its total operating budget (not including FHAP funds) on fair housing activities. FCHR has established designated spending codes that identify HUD spending in the Operating Trust Fund and identifies spending of non-FHAP funds from the General Revenue fund. These funds are used for the purpose of HUD activities. FHAP funds used for the purpose that HUD provided the funds. The Commission did not reduce the level of financial resources committed to fair housing activities. To the contrary, the Commission has increased the level of financial resources by 14%. Once a draw down is approved by the HUD Regional Office, the Commission completes the drawdown in a timely manner. The Commission was not audited during the suspension period.</p>	



REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
HUD 2018 Assessment Issued: May 2018	6/30/2018	Administration	<p><b>Finding No. 6:</b> Data Support Systems Requirement</p> <p><b>Recommendation:</b> To cure the deficiency, it is recommended that the agency:</p> <ol style="list-style-type: none"> <li>1. The recommendation has been made in item number four in association with case processing actions under Performance Standard #1 Commence Complaint Processing [24 C.F.R. § 115.206(e)(1)].</li> <li>2. The agency is required to stop entering vague document descriptions and non-complainant document narratives into HEMS. The agency must follow HUD's HEMS Data Entry Guidance Memo dated December 22, 2016.</li> </ol>	<p>The Commission agrees that it will follow HUD's HEMS Data Entry Guidance Memo.</p> <p><b>Sixty Days Follow-up Status Summary:</b> The benchmark is still being assessed. HUD referred the Commission to Chapter 7 of HUD's Title VIII Complaint Intake, Investigation and Conciliation Handbook and HUD's HEMS Data Entry Guidance Memo for detailed guidance of summarizing documents, which will be utilized.</p> <p><b>June 28, 2019 Status Update:</b>  <b>The Commission responds for Data Support System Requirement</b>  The Commission uses the Department's official complaint data information system (HEMS).  the Commission had two complaints in which Notices of Determination (Cause) were issued during the suspension period: Percoskie v. Savanna Club, HUD #04-18-1687-8  Dabney v. Central Park HOA, HUD #04-18-1121-8  In both complaints, the Commission's closure unit entered the FHAP cause date into HEMS immediately upon receipt from the legal unit.</p>	
HUD 2018 Assessment Issued: May 2018	6/30/2018	Legislature	<p><b>Finding No. 7:</b> Changes Limiting Effectiveness of Agency's Law</p> <p><b>Recommendation:</b> To cure the deficiency, it is recommended that the agency:</p> <ol style="list-style-type: none"> <li>1. The agency must bring its ordinance into compliance with the federal Fair Housing Act in all necessary respects. The agency faces suspension from the Fair Housing Assistance Program resulting from the legislature's repeated failure to amend the law. The agency is advised that any legislative options that may be available prior to the next session of the Florida legislature on March 5, 2019, must be undertaken. HUD officials must be promptly updated on all legal options exercised and response received.</li> </ol>	<p>The Commission has and will continue to seek an amendment to the Florida Statutes that would ensure that the Florida Courts interpret the law as the federal Fair Housing Act has been interpreted. The Executive Director will continue to provide updates regarding the Commission's efforts.</p> <p><b>Sixty Days Follow-up Status Summary:</b> The Florida State Legislative session does not begin until March 2019. The Commission will continue to seek an amendment to the Florida Statutes that would ensure that the Florida Courts interpret the law as the federal Fair Housing Act has been interpreted.</p> <p><b>June 28, 2019 Status Update:</b>  <b>The Commission responds for Changes Limiting Effectiveness of Agency's Law</b>  There were no changes to Florida law during the suspension period. Any such changes have already previously been reported to HUD.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
HUD 2018 Assessment  Issued: May 2018	6/30/2018	Administration	<p><b>Finding No. 8:</b> Civil Rights Requirements</p> <p><b>Recommendation:</b> The agency is not in compliance with the Civil Rights Requirements. Within 60 days of this performance assessment report, the agency must notify HUD of the final status of all civil rights complaints against the FCHR.</p>	<p>The Commission agrees that it can provide periodic status updates regarding all civil rights complaints against it, but the Commission cannot assume that all complaints will have been finalized in the next 60 days.</p> <p><b>Sixty Days Follow-up Status Summary:</b> All of the complaints that had been filed against the Commission have been resolved with a finding of no fault other than one which has been filed in the Second Judicial Circuit in and for Leon County, Florida. The complaint alleges disability and sex discrimination and is ongoing.</p> <p><b>June 28, 2019 Status Update:</b>  <b>The Commission responds for Civil Rights Requirements</b>            During the suspension period, there were three open complaints of alleged employment discrimination against the Commission by former employees. These complaints related to job separation and alleged a violation of Title VII and Florida State Law. As previously reported in November 2018, there is also a complaint still pending in court, filed by a complaining party alleging that the Commission didn't accommodate his disability during its investigation. The Commission is confident in its position in all respects that its actions were not in violation of any applicable civil rights laws. The Commission remains committed to following all civil rights laws.</p>	

Agency for State Technology

Exhibits or Schedules

Agency for State Technology

Schedule I Series

**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** Agency for State Technology **Budget Period:** 2020-21  
**Program:** 72980000  
**Fund:** 2792 Working Capital Trust Fund  
**Specific Authority:** F.S. 282.201  
**Purpose of Fees Collected:** Provide funds sufficient to cover the operation of the Data Center.

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

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

**SECTION I - FEE COLLECTION**

	ACTUAL FY 2018-19	ESTIMATED FY 2019-20	REQUEST FY 2020-21
<u>Receipts:</u>			
<u>Sales of Goods &amp; Services-State (004801)</u>	64,109,445	-	-
<u>Sales of Goods &amp; Services- Non-State (004802)</u>	151,495	-	-
<u>Interest Earning (000502)</u>	38,135	-	-
<u>Refunds(001800)</u>	979	-	-
<u>Reimbursment (001801)</u>	576	-	-
<b>Total Fee Collection to Line (A) - Section III</b>	<b>64,300,630</b>	<b>-</b>	<b>-</b>

**SECTION II - FULL COSTS**

Direct Costs:

<u>Salaries and Benefits (010000)</u>	17,263,452	-	-
<u>Other Personal Services (030000)</u>	284,495	-	-
<u>Expenses (040000)</u>	3,317,417	-	-
<u>Operating Capital Outlay (060000)</u>	91,406	-	-
<u>Contracted Services (100777)</u>	22,455,438	-	-
<u>Cloud Services(100787)</u>	100,000	-	-
<u>Risk Management Insurance (103241)</u>	39,338	-	-
<u>Administrative Overhead (105002)</u>	527,992	-	-
<u>Deferred Payment (105280)</u>	3,955,187	-	-
<u>Lease/Purchase Equipment (105281)</u>	4,368,950	-	-
<u>Disaster Recovery (105300)</u>	3,613,205	-	-
<u>TR/DMS/ HR SVCS STW Contract (107040)</u>	67,066	-	-
<u>DP Assessment (210003)</u>	-	-	-
<u>Other Data Processing (210014)</u>	5,446,351	-	-
<u>Indirect Costs Charged to Trust Fund</u>	17,289		
<b>Total Full Costs to Line (B) - Section III</b>	<b>61,547,586</b>	<b>-</b>	<b>-</b>

Basis Used:

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	64,300,630	-	-
TOTAL SECTION II	(B)	61,547,586	-	-
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>2,753,044</b>	<b>-</b>	<b>-</b>

**EXPLANATION of LINE C:**

Negative balance offset by cash balance brought forward.

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Budget Period:</b> 2020 - 2021	Agency for State Tech
<b>Department Title:</b>	Working Capital Trust Fund
<b>Trust Fund Title:</b>	Departmental Level
<b>Budget Entity:</b>	2792
<b>LAS/PBS Fund Number:</b>	

	Balance as of 6/30/2019		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	9,434,325	(A)		9,434,325
ADD: Other Cash (See Instructions)	0	(B)		0
ADD: Investments	0	(C)		0
ADD: Outstanding Accounts Receivable	1,417,958	(D)		1,417,958
ADD: _____	0	(E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>10,852,283</b>	(F)	<b>0</b>	<b>10,852,283</b>
LESS Allowances for Uncollectibles	0	(G)		0
LESS Approved "A" Certified Forwards	3,060,308	(H)		3,060,308
Approved "B" Certified Forwards	1,058,336	(H)		1,058,336
Approved "FCO" Certified Forwards	0	(H)		0
LESS: Other Accounts Payable (Nonoperating)	4,216	(I)		4,216
LESS: _____	0	(J)		0
<b>Unreserved Fund Balance, 07/01/19</b>	<b>6,729,423</b>	(K)	<b>0</b>	<b>6,729,423</b> **

**Notes:**

\*SWFS = Statewide Financial Statement

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

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

<b>Department Title:</b>	<u>Budget Period: 2020 - 2021</u> <u>Agency for State Technology</u>
<b>Trust Fund Title:</b>	<u>Working Capital Trust Fund</u>
<b>LAS/PBS Fund Number:</b>	<u>2792</u>

**BEGINNING TRIAL BALANCE:**

<b>Total Fund Balance Per FLAIR Trial Balance, 07/01/19</b>	
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	4,186,736.00 (A)
<b>Subtract Nonspendable Fund Balance (GLC 56XXX)</b>	0.00 (B)
<b>Add/Subtract Statewide Financial Statement (SWFS) Adjustments :</b>	
SWFS Adjustment # B7298001 Decrease in Accounts Payable	0.00 (C)
SWFS Adjustment # and Description	0.00 (C)
<b>Add/Subtract Other Adjustment(s):</b>	
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(1,058,336.00) (D)
Payable Setup in Travel System After CF Closed-Category 04	82.00 (D)
A/P not C/F-Operating Categories	1,497.00 (D)
Compensated Absences (386/486)	2,121,819.00 (D)
Advance from General Revenue	1,477,625.00 (D)
	(D)
<b>ADJUSTED BEGINNING TRIAL BALANCE:</b>	6,729,423 (E)
<b>UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)</b>	6,729,423 (F)
<b>DIFFERENCE:</b>	0.00 (G)*

**\*SHOULD EQUAL ZERO.**

## Fiscal Year 2020-21 LBR Technical Review Checklist

Department/Budget Entity (Service): Management Services

Agency Budget Officer/OPB Analyst Name: Morgan Helton

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

Action	Program or Service (Budget Entity Codes)				
	72010100	72010300	72400100	72400200	72600200

### 1. GENERAL

1.1 Are Columns A01, A04, A05, A94, A95, A96, A36, A10, 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)? <b>(CSDI or Web LBR Column Security)</b>	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	Y	Y	Y

#### UDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	Y	Y	Y
1.4 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? <b>(CSDR, CSA)</b>	Y	Y	Y	Y	Y

**TIP** The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. 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 to the portal.

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 28)? Do they clearly describe the issue?	Y	Y	Y	Y	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.	Y	Y	Y	Y	Y
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#### UDITS:



Action	Program or Service (Budget Entity Codes)				
	72010100	72010300	72400100	72400200	72600200
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y	Y
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	Y	Y
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
<b>4. EXHIBIT D (EADR, EXD)</b>					
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	Y	Y
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>					
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y
<b>AUDITS</b>					
5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>	Y	Y	Y	Y	Y
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2018-19 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					

Action	Program or Service (Budget Entity Codes)				
	72010100	72010300	72400100	72400200	72600200
<p><b>TIP</b> 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. Note that there is a \$5,000 allowance at the department level.</p>					
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>					
6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
<p><b>TIP</b> 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.</p>					
<b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>					
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 28 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 66 through 68 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions?	Y	Y	Y	Y	Y
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y
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.)	Y	Y	Y	Y	Y
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y
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 94 and 95 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #20-002?	Y	Y	Y	Y	Y
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>	N/A	N/A	N/A	N/A	N/A
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	72010100	72010300	72400100	72400200	72600200
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	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	Y	Y	Y	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 27 and 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A	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, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	Y	Y	Y	Y	Y
7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y
<b>AUDIT:</b>					
7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? ( <b>GENR, LBR1</b> )	Y	Y	Y	Y	Y
7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? ( <b>GENR, LBR2</b> )	Y	Y	Y	Y	Y
7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? ( <b>GENR, LBR3</b> )	Y	Y	Y	Y	Y
7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? ( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L)</b> )	Y	Y	Y	Y	Y
<b>TIP</b> Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
<b>TIP</b> The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
<b>TIP</b> 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.					
<b>TIP</b> 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).					

	Program or Service (Budget Entity Codes)				
Action	72010100	72010300	72400100	72400200	72600200

**TIP** If an appropriation made in the FY 2019-20 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	Y	Y	Y	Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 001270, 001870, 001970)?	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	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	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	72010100	72010300	72400100	72400200	72600200
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y
8.20 Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	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	Y	Y	Y	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y	Y	Y
8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Y	Y	Y	Y	Y
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y
8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	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	Y	Y	Y	Y
8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
<b>AUDITS:</b>					
8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	Y	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. <b>(SC1R, DEPT)</b>	Y	Y	Y	Y	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	Y	Y	Y	Y
8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	72010100	72010300	72400100	72400200	72600200
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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>					
AUDIT:					
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 159 of the LBR Instructions.)	Y	Y	Y	Y	Y
<b>10. SCHEDULE III (PSCR, SC3)</b>					
10.1 Is the appropriate lapse amount applied? (See page 92 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	Y
<b>11. SCHEDULE IV (EADR, SC4)</b>					
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	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.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>					
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	Y
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>					
13.1 <b>NOT REQUIRED FOR THIS YEAR</b>					
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)</b>					
14.1 Do the reductions comply with the instructions provided on pages 101 through 103 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	Y	Y	Y	Y
TIP Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.					
<b>15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)</b>					

Action	Program or Service (Budget Entity Codes)				
	72010100	72010300	72400100	72400200	72600200
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	N/A	N/A	N/A	N/A
15.2 Are the priority narrative explanations adequate and do they follow the guidelines on pages 104-106 of the LBR instructions?	N/A	N/A	N/A	N/A	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	N/A	N/A	N/A	N/A
<b>AUDIT:</b>					
15.6 Do the issues net to zero at the department level? ( <b>GENR, LBR5</b> )	N/A	N/A	N/A	N/A	N/A
<b>16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 107-111 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)</b>					
16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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.)					
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>					
16.3 Does the FY 2018-19 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	Y
16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	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: The activities listed in <b>Audit #3</b> do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y	Y	Y	Y	Y
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	Y
<b>TIP</b> If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES (Required to be posted to the Florida Fiscal Portal)</b>					
17.1 Do exhibits and schedules comply with LBR Instructions (pages 112 through 156 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
17.2 Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	72010100	72010300	72400100	72400200	72600200
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y
17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 132 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US</b> ?	Y	Y	Y	Y	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) ?	Y	Y	Y	Y	Y
<b>AUDITS - GENERAL INFORMATION</b>					
TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 158-160) for a list of audits and their descriptions.					
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)</b>					
18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
18.5 Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	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	Y	Y	Y	Y
TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
<b>19. FLORIDA FISCAL PORTAL</b>					
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	Y	Y	Y	Y



## Fiscal Year 2020-21 LBR Technical Review Checklist

Department/Budget Entity (Service): Management Services

Agency Budget Officer/OPB Analyst Name: Morgan Helton

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

Action	Program or Service (Budget Entity Codes)				
	72600300	72600800	72600400	72600500	72750200

### 1. GENERAL

1.1 Are Columns A01, A04, A05, A94, A95, A96, A36, A10, 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)? <b>(CSDI or Web LBR Column Security)</b>	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	Y	Y	Y

### AUDITS:

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

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 28)? Do they clearly describe the issue?	Y	Y	Y	Y	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.	Y	Y	Y	Y	Y
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### AUDITS:

Action		Program or Service (Budget Entity Codes)				
		72600300	72600800	72600400	72600500	72750200
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	Y	Y
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y
<b>AUDITS:</b>						
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>	Y	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2018-19 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					

Action		Program or Service (Budget Entity Codes)				
		72600300	72600800	72600400	72600500	72750200
<b>TIP</b>	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. Note that there is a \$5,000 allowance at the department level.					
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
<b>TIP</b>	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.					
<b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 28 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 66 through 68 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions?	Y	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y
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.)	Y	Y	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y
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 94 and 95 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #20-002?	Y	Y	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		72600300	72600800	72600400	72600500	72750200
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	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	Y	Y	Y	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 27 and 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A	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, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	Y	Y	Y	Y	Y
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y
<b>AUDIT:</b>						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>	Y	Y	Y	Y	Y
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>	Y	Y	Y	Y	Y
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>	Y	Y	Y	Y	Y
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))</b>	Y	Y	Y	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					

	Program or Service (Budget Entity Codes)				
Action	72600300	72600800	72600400	72600500	72750200

**TIP** If an appropriation made in the FY 2019-20 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	Y	Y	Y	Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 001270, 001870, 001970)?	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	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	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		72600300	72600800	72600400	72600500	72750200
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	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	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Y	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	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	Y	Y	Y	Y
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
<b>AUDITS:</b>						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	Y	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. <b>(SC1R, DEPT)</b>	Y	Y	Y	Y	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	Y	Y	Y	Y
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		72600300	72600800	72600400	72600500	72750200
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 159 of the LBR Instructions.)	Y	Y	Y	Y	Y
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied? (See page 92 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	Y
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	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.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	Y
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
13.1	<b>NOT REQUIRED FOR THIS YEAR</b>					
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)</b>						
14.1	Do the reductions comply with the instructions provided on pages 101 through 103 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	Y	Y	Y	Y
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.					
<b>15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)</b>						

Action		Program or Service (Budget Entity Codes)				
		72600300	72600800	72600400	72600500	72750200
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	N/A	N/A	N/A	N/A
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 104-106 of the LBR instructions?	N/A	N/A	N/A	N/A	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	N/A	N/A	N/A	N/A
<b>AUDIT:</b>						
15.6	Do the issues net to zero at the department level? ( <b>GENR, LBR5</b> )	N/A	N/A	N/A	N/A	N/A
<b>16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 107-111 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)</b>						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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.)					
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>						
16.3	Does the FY 2018-19 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	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: The activities listed in <b>Audit #3</b> do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y	Y	Y	Y	Y
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES (Required to be posted to the Florida Fiscal Portal)</b>						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 112 through 156 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	Y



Action		Program or Service (Budget Entity Codes)				
		72600300	72600800	72600400	72600500	72750200
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 132 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US</b> ?	Y	Y	Y	Y	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) ?	Y	Y	Y	Y	Y
<b>AUDITS - GENERAL INFORMATION</b>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 158-160) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)</b>						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
18.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	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	Y	Y	Y	Y
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
<b>19. FLORIDA FISCAL PORTAL</b>						
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	Y	Y	Y	Y

## Fiscal Year 2020-21 LBR Technical Review Checklist

Department/Budget Entity (Service): Management Services

Agency Budget Officer/OPB Analyst Name: Morgan Helton

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

Action	Program or Service (Budget Entity Codes)				
	72750300	72750400	72750500	72900100	72900200

### 1. GENERAL

1.1 Are Columns A01, A04, A05, A94, A95, A96, A36, A10, 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)? <b>(CSDI or Web LBR Column Security)</b>	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	Y	Y	Y

### AUDITS:

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

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 28)? Do they clearly describe the issue?	Y	Y	Y	Y	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.	Y	Y	Y	Y	Y
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### AUDITS:

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	Y	Y
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y
<b>AUDITS:</b>						
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>	Y	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2018-19 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.						
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	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.						
<b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 28 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 66 through 68 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions?	Y	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y
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.)	Y	Y	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y
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 94 and 95 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #20-002?	Y	Y	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	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	Y	Y	Y	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 27 and 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A	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, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	Y	Y	Y	Y	Y
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y
<b>AUDIT:</b>						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>	Y	Y	Y	Y	Y
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>	Y	Y	Y	Y	Y
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>	Y	Y	Y	Y	Y
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))</b>	Y	Y	Y	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					

	Program or Service (Budget Entity Codes)				
Action	72750300	72750400	72750500	72900100	72900200

**TIP** If an appropriation made in the FY 2019-20 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	Y	Y	Y	Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 001270, 001870, 001970)?	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	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	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	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	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Y	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	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	Y	Y	Y	Y
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
<b>AUDITS:</b>						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	Y	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. <b>(SC1R, DEPT)</b>	Y	Y	Y	Y	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	Y	Y	Y	Y
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 159 of the LBR Instructions.)	Y	Y	Y	Y	Y
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied? (See page 92 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	Y
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	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.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	Y
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
13.1	<b>NOT REQUIRED FOR THIS YEAR</b>					
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)</b>						
14.1	Do the reductions comply with the instructions provided on pages 101 through 103 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	Y	Y	Y	Y
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.					
<b>15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)</b>						



Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
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	N/A	N/A	N/A	N/A
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 104-106 of the LBR instructions?	N/A	N/A	N/A	N/A	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	N/A	N/A	N/A	N/A
<b>AUDIT:</b>						
15.6	Do the issues net to zero at the department level? ( <b>GENR, LBR5</b> )	N/A	N/A	N/A	N/A	N/A
<b>16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 107-111 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)</b>						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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.)					
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>						
16.3	Does the FY 2018-19 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	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: The activities listed in <b>Audit #3</b> do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y	Y	Y	Y	Y
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES (Required to be posted to the Florida Fiscal Portal)</b>						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 112 through 156 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 132 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US</b> ?	Y	Y	Y	Y	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) ?	Y	Y	Y	Y	Y
<b>AUDITS - GENERAL INFORMATION</b>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 158-160) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)</b>						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
18.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	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	Y	Y	Y	Y
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
<b>19. FLORIDA FISCAL PORTAL</b>						
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	Y	Y	Y	Y

## Fiscal Year 2020-21 LBR Technical Review Checklist

Department/Budget Entity (Service): Management Services

Agency Budget Officer/OPB Analyst Name: Morgan Helton

*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)			
	72900600	72900700	72920100	72950100

### 1. GENERAL

1.1	Are Columns A01, A04, A05, A94, A95, A96, A36, A10, 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)? <b>(CSDI or Web LBR Column Security)</b>	Y	Y	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	Y	Y

### AUDITS:

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

### 2. EXHIBIT A (EADR, EXA)

2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Y	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 28)? Do they clearly describe the issue?	Y	Y	Y	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.	Y	Y	Y	Y
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### AUDITS:

Action		Program or Service (Budget Entity Codes)				
		72900600	72900700	72920100	72950100	
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y	
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	Y	
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	
<b>AUDITS:</b>						
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y	Y	Y	
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>	Y	Y	Y	Y	
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>	Y	Y	Y	Y	
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2018-19 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					

Action		Program or Service (Budget Entity Codes)				
		72900600	72900700	72920100	72950100	
<b>TIP</b>	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. Note that there is a \$5,000 allowance at the department level.					
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	
<b>TIP</b>	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.					
<b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 28 of the LBR Instructions.)	Y	Y	Y	Y	
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 66 through 68 of the LBR Instructions.)	Y	Y	Y	Y	
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions?	Y	Y	Y	Y	
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	
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.)	Y	Y	Y	Y	
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	
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 94 and 95 of the LBR Instructions.)	Y	Y	Y	Y	
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #20-002?	Y	Y	Y	Y	
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>	N/A	N/A	N/A	N/A	
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		72900600	72900700	72920100	72950100	
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	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	Y	Y	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 27 and 90 of the LBR Instructions.)	N/A	N/A	N/A	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, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	Y	Y	Y	Y	
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	Y	
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	
<b>AUDIT:</b>						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>	Y	Y	Y	Y	
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>	Y	Y	Y	Y	
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>	Y	Y	Y	Y	
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))</b>	Y	Y	Y	Y	
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					

	Program or Service (Budget Entity Codes)				
Action	72900600	72900700	72920100	72950100	

**TIP** If an appropriation made in the FY 2019-20 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	Y	Y	Y	
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	
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	Y	Y	Y	
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	Y	
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	
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	N/A	N/A	N/A	
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 001270, 001870, 001970)?	Y	Y	Y	Y	
8.10	Are the statutory authority references correct?	Y	Y	Y	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	Y	Y	Y	
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		72900600	72900700	72920100	72950100	
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	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	Y	Y	Y	
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y	Y	
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Y	Y	Y	Y	
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	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	Y	Y	Y	
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	
<b>AUDITS:</b>						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	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. <b>(SC1R, DEPT)</b>	Y	Y	Y	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	Y	Y	Y	
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	



		Program or Service (Budget Entity Codes)				
Action		72900600	72900700	72920100	72950100	
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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 159 of the LBR Instructions.)	Y	Y	Y	Y	
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied? (See page 92 of the LBR Instructions.)	N/A	N/A	N/A	N/A	
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	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.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
13.1	<b>NOT REQUIRED FOR THIS YEAR</b>					
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)</b>						
14.1	Do the reductions comply with the instructions provided on pages 101 through 103 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	Y	Y	Y	
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.					
<b>15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)</b>						

Action		Program or Service (Budget Entity Codes)				
		72900600	72900700	72920100	72950100	
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	N/A	N/A	N/A	
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 104-106 of the LBR instructions?	N/A	N/A	N/A	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	N/A	N/A	N/A	
<b>AUDIT:</b>						
15.6	Do the issues net to zero at the department level? ( <b>GENR, LBR5</b> )	N/A	N/A	N/A	N/A	
<b>16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 107-111 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)</b>						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (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.)					
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>						
16.3	Does the FY 2018-19 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	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: The activities listed in <b>Audit #3</b> do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y	Y	Y	Y	
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES (Required to be posted to the Florida Fiscal Portal)</b>						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 112 through 156 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		72900600	72900700	72920100	72950100	
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 132 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US?</b>	Y	Y	Y	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) ?	Y	Y	Y	Y	
<b>AUDITS - GENERAL INFORMATION</b>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 158-160) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)</b>						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	
18.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	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	Y	Y	Y	
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
<b>19. FLORIDA FISCAL PORTAL</b>						
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	Y	Y	Y	