

CHARLIE CRIST
Governor



LEO DIBENIGNO
Secretary

FLORIDA LOTTERY

LEGISLATIVE BUDGET REQUEST

October 15, 2009

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

JoAnne Leznoff, Council Director
House Full Appropriations Council on General Government & Health Care
221 Capitol
Tallahassee, Florida 32399-1300

Skip Martin, Council Director
House Full Appropriations Council on Education & Economic Development
221 Capitol
Tallahassee, Florida 32399-1300

Ms. Cynthia Kelly, Staff Director
Senate Fiscal Policy & Calendar Committee
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, *Florida Statutes*, our Legislative Budget Request for the Department of the Lottery 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 2009-10 Fiscal Year. This submission has been approved by Leo DiBenigno, Secretary of the Florida Lottery.

Any questions concerning this submission can be directed to the Florida Lottery's Budget Manager, Melisa Spivey, at 487-7777 extension 2440.

Sincerely,

A handwritten signature in blue ink that reads "Cynthia B. Jackson".

Cynthia B. Jackson, CPA
Chief Financial Officer

CJ/rf

Enclosures



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Florida Lottery

Department Level Exhibits and Schedules Budget Request Year 2010-2011

Leo DiBenigno, Secretary

October 2009

Non-Strategic IT Service:		Network Service		Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1				
Dept/Agency: Department of Lottery								
Prepared by: Randy O'Bar								
Phone: (850) 487-7718								
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		A	Estimated IT Service Costs		D
			Number used for this service	Number w/ costs in FY 2010-11	Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel			5.75		\$151,288	\$364,251	\$364,251	\$0
A-1.1	State FTE	1,2	5.75		\$151,288	\$364,251	\$364,251	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			272	32	\$24,642	\$38,560	\$42,416	\$3,856
B-1	Servers	3,4,5	44		\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support	6,7	44	32	\$6,327	\$32,437	\$35,681	\$3,244
B-3.1	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)	8,9,10	75	0	\$15,539	\$3,347	\$3,682	\$335
B-3.2	Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)	11,12	109	0	\$2,776	\$2,776	\$3,054	\$278
C. Software		13			\$0	\$91,151	\$100,266	\$9,115
D. External Service Provider(s)					\$200,640	\$184,313	\$202,748	\$18,435
D-1	LAN External Service Provider		0	0	\$0	\$0	\$0	\$0
D-2	WAN External Service Provider	14	0	0	\$200,640	\$184,313	\$202,748	\$18,435
E. Plant & Facility for LAN/WAN Service			0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
H. Total for IT Service					\$376,570	\$678,275	\$709,681	\$31,406
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Increase of FTE staff in this service category for this Fiscal Year is due to the Lottery considering our network service to be strategic in nature in our past Schedule IV-C submissions.							
2	While the Lottery still considers it's Network Services to be strategic in nature, the 5.75 FTEs represent both IT and ISM staff that are split between multiple strategic and non-strategic services.							
3	The number for this service includes a HP 2-node fileserver cluster and a HP ESX high-availability 2-node clustered Vmserver with 11 logical partitions (LP).							
4	5 of 11 LPs are allocated to Network, 5 to Strategic and 1 to Desktop Services. The associated percentage costs are being applied to each service category however the physical server is reported in network services.							
5	The 44 servers are used for production network (28), network security (2), testing (8) and spare parts (6). 13 obsolete servers that are planned for surplus are no longer supported by maintenance and not included in the unit counts.							
6	32 of the 44 servers have maintenance costs. 4 servers are under warranty until June 2012. The other 8 servers are no longer supported by maintenance.							
7	There is increase allocation for this service category due to servers coming off maintenance and the reporting of HP hardware support. FY 2010-11 is estimated at an increase of 10%.							
8	The unit number includes switches, routers, firewalls, sniffer, appliances, and a modem pool appliance.							
9	The decrease cost in maintenance is related to older equipment being replaced in the Lottery's LAN upgrade during FY 08-09. The new equipment is under warranty until June 2012.							
10	40 switches, 3 core switch/routers, 2 NAC appliances, 8 District Office firewalls, and 2 Cisco firewalls were procured as a part of the LAN upgrade. FY 2010-11 is estimated at an increase of 10%.							
11	This cost reflects the support costs for SAN and Netsight management console. FY 2010-11 is estimated at an increase of 10%.							
12	There are 109 network printers. In addition, there are 23 multifunctional devices purchased as copiers, and 12 of the 23 are networked copiers/scanner/printers.							
13	Software cost reflects HP software mission critical support and consultant services, Sidewinder Firewall support, network syslogger, and modem pool appliance annual software support. FY 2010-11 is estimated at an increase of 10%.							
14	Cost for MyFloridaNet (MFN) services. FY 2010-11 is estimated at an increase of 10%. 11 MFN connections which consist of 8 - 3MB connections to District Offices + 2 MAN connections to HQ + 1 - 45MB connection to ORL.							
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Non-Strategic IT Service:		Desktop Computing Service		Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1				
Agency: Department of Lottery								
Prepared by: Randy O'Bar								
Phone: (850) 487-7718								
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
			Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel			5.50		\$208,734	\$208,734	\$334,985	\$126,251
A-1	State FTE	1	5.50		\$208,734	\$208,734	\$334,985	\$126,251
A-2	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			871	2	\$35,710	\$42,748	\$47,022	\$4,275
B-1	Servers	2,3	6	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support	4	6	2	\$710	\$2,919	\$3,211	\$292
B-3.1	Desktop Computers	5,6	650	0	\$0	\$0	\$0	\$0
B-3.2	Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)	7	144	0	\$0	\$0	\$0	\$0
B-3.3	Other Hardware Assets (e.g., system mgt workstation, printers, scanners, etc)	8	65	0	\$35,000	\$39,829	\$43,811	\$3,983
C. Software		9			\$73,000	\$72,848	\$80,132	\$7,285
D. External Service			0	0	\$0	\$0	\$0	\$0
E. Plant & Facility			0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
G. Total for IT Service					\$317,444	\$324,329	\$462,140	\$137,811
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	The 5.5 FTEs represent both IT and ISM staff that are split between multiple strategic and non-strategic services categories.							
2	4 servers are utilized by ISM, 2 for Safeboot and 2 for Virus scan. In addition, 2 physical servers are used for RIS imaging and SMS.							
3	There is one additional logical server used for Windows Update Server. The physical server was reported in the Network Service category.							
4	The associated 5% cost is applied for the logical, SMS, and RIS imaging servers. The other 4 ISM servers are under warranty until June 2012.							
5	155 of the desktops are under warranty until June 2011 and 188 desktops are under warranty until June 2012. 188 desktops that are being replaced are included in the totals and are in the process of being surplus.							
6	30 desktops are being prepared for surplus and are not included in the service units.							
7	Only 35 laptops are under warranty. There is no cost associated with the remaining 109 laptops.							
8	The units reflect 52 desktop printers and 13 desktop scanners. The estimated cost reflects replacement printer parts and supplies. FY 2010-11 is estimated at an increase of 10%.							
9	The software costs reflect for support for TrendMicro, Safeboot, and HP mission critical consultant services, as well as Microsoft Enterprise Agreement. FY 2010-11 is estimated at an increase of 10%.							
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Non-Strategic IT Service: E-Mail, Messaging, and Calendaring Service

Agency: **Enter Agency Name or Acronym on Network Service Worksheet** Form: FY 2010-11 Schedule IV-C -Non-Strategics: Ver 1

Prepared by: **Randy O'Bar**
Phone: **(850) 487-7718**

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2009-10		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel		3.00		\$57,719	\$207,691	\$207,691	\$0
A-1 State FTE	1	3.00		\$57,719	\$207,691	\$207,691	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		67	7	\$3,106	\$41,956	\$30,081	-\$11,875
B-1 Servers	2	7	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support	3	7	6	\$1,422	\$19,006	\$7,131	-\$11,875
B-3.1 Wireless Communication Devices & Related Hardware	4	51		\$1,684	\$22,950	\$22,950	\$0
B-3.2 Other Hardware Assets (e.g., system mgt workstation, printers, etc)	5	2	1	\$0	\$0	\$0	\$0
C. Software	6,7			\$15,892	\$16,911	\$18,603	\$1,691
D. External Service Provider(s)		0	0	\$6,480	\$0	\$0	\$0
E. Plant & Facility		0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$83,197	\$266,558	\$256,375	-\$10,183

Administrative Overhead - Percentage of Other Non-Strategic IT Service Costs Supporting Email Service

Non-Strategic Service	Footnote	%	Cost
OT-1 Network			
OT-2 Desktop IT Service	8		\$ -
OT-3 Help Desk	8		\$ -
OT-4 IT Security & Risk Mitigation			
OT-5 IT Administration & Management			
SUBTOTAL			\$ -

To determine the fully-loaded cost of the e-mail service, agencies must estimate the amount (percentage) of the other non-strategic IT services that are "consumed" by the e-mail service. For example, desktop support personnel install and configure the e-mail software on the desktop, which is used in the e-mail service, so to obtain a fully-loaded cost for the e-mail service, it is important to include the indirect workload and associated costs of the desktop service expended in support of the e-mail service. The portion of Network, IT Security & Risk Mitigation, and IT Administration & Management services will be estimated by the AIT based on the agency Schedule IV-C submissions for these IT services. For the purposes of the Schedule IV-C analysis, the data submitted in this section will NOT be added to the cost of the e-mail service.

Fully-loaded IT Service Cost \$ 256,375

Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.

1	The 3.0 FTEs represent both IT and ISM staff that are split between multiple strategic and non-strategic services categories.
2	2 node Exchange cluster, Internet connector server, OWA and Blackberry Enterprise Server (BES) are located in HQ. In addition there are 2 servers in Orlando, 1 for Disaster Recovery and another reserved as a backup email server.
3	FY 2010-2011 maintenance cost will decrease when we replace, upgrade and consolidate the 2 servers in Orlando into a new server which is currently under maintenance until June 2012.
4	The Lottery has 51 active blackberries. The ongoing blackberry data costs are \$37.50 per month/per device.
5	ListServ is used by our Marketing and Communication staff as an e-mail marketing tool.
6	The cost represents Annual RIM support for the blackberries mobile devices, L-soft LISTSERV maintenance support, and email critical support consulting services.
7	Anti-Spam Filertering is currently hosted by Department of Health (DOH) at no cost.
8	No additional costs are reported. The Schedule IV-C category service costs reflect the alignment to the categories reported in the AIT email surveys.
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Non-Strategic IT Service: Helpdesk Service		Form: FY 2010-11 Schedule IV-C - Non-Strategics; Ver 1						
Agency: Department of Lottery		# of Assets & Resources Apportioned to this IT Service in FY 2010-11		A	Estimated IT Service Costs			D
Prepared by: Randy O'Bar					B	C		
Phone: (850) 487-7718		Footnote Number	Number used for this service	Number w/ costs in FY 2010-11	Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
Service Provisioning -- Assets & Resources (Cost Elements)								
A. Personnel			0.50		\$139,514	\$139,514	\$34,395	-\$105,119
A-1	State FTE	1, 2	0.50		\$139,514	\$139,514	\$34,395	-\$105,119
A-2	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers		0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3	Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Plant & Facility			0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
G. Total for IT Service					\$139,514	\$139,514	\$34,395	-\$105,119
Footnotes – Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	The .5 FTE represent both IT and ISM staff that are split between multiple strategic and non-strategic services categories. Staff that handles support issues uses standard desktop tools (e.g. Outlook shared tasks, email and Intranet site).							
2	The decrease in the number of FTEs is related to ISM staff allocation being moved to align with email services. The staff handle email helpdesk request.							
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Non-Strategic IT Service: IT Security/Risk Mitigation Service

Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1

Agency: **Department of Lottery**

Prepared by: **Randy O'Bar**

Phone: **(850) 487-7718**

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Column C - B)
A. Personnel		6.25		\$365,570	\$365,570	\$352,801	-\$12,769
A-1 State FTE	1	6.25		\$365,570	\$365,570	\$352,801	-\$12,769
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		18	1	\$0	\$180	\$198	\$18
B-1 Servers	2	9	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support	3	9	1	\$0	\$180	\$198	\$18
B-3 Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)	4	0	0	\$0	\$0	\$0	\$0
C. Software	5,6			\$0	\$857	\$942	\$86
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility	7	0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)	8,9			\$0	\$0	\$0	\$0
G. Total for IT Service				\$365,570	\$366,607	\$353,942	-\$12,665

Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.

1	The 6.25 FTEs include Information Security and Information Resources staff. The Lottery considers the security and operation of the gaming systems to include the Backup Data center to be strategic.
2	ISM has 9 servers that are utilized for various security functions.
3	ISM has one server that is under warranty for the IT Security Risk Mitigation Service category. FY 2010-11 is estimated at an increase of 10%.
4	Maintenance on firewalls, virus scanners, content filters, and etc. are reported in Network Services.
5	Dragon Intrusion Detection software was procured as a part of LBR Infrastructure upgrade and the core licenses are under maintenance until December 31, 2011.
6	The costs reflect the maintenance of the additional 7 licenses that were purchased to assist in securing the network. FY 2010-11 is estimated at an increase of 10%.
7	The Data Center at the Orlando backup site is provided through the online gaming contract with GTECH.
8	The Lottery's Orlando Backup Data Center (ODC) operates as hot-site and is considered a strategic service.
9	However because it functions as part of the Continuity of Operations which meets the definition of IT Risk Mitigation service, the associated costs are reported.
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Non-Strategic IT Service: **IT Support Service for Agency Financial and Administrative Systems**

Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1

Agency: **Department of Lottery**

Prepared by: **Randy O'Bar**

Phone: **(850) 487-7718**

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Column C - B)
A. Personnel		0.00		\$0	\$0	\$0	\$0
A-1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers		0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3 Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility		0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)	1			\$0	\$0	\$0	\$0
G. Total for IT Service				\$0	\$0	\$0	\$0

Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.

1	Only 2 of 27 or less than 7.5% of Lottery's business systems that run in the Business Object/Webi/Oracle 10g environments were determined to be non-strategic in nature. Therefore no resources are being reported for this service.
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Non-Strategic IT Service: **IT Administration and Management Service**

Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1

Agency: **Department of Lottery**

Prepared by: **Randy O'Bar**

Phone: **(850) 487-7718**

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel		5.00		\$540,421	\$498,869	\$498,869	\$0
A-1 State FTE	1	5.00		\$540,421	\$498,869	\$498,869	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers		0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3 Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility	2	0	0	\$125,807	\$125,807	\$125,807	\$0
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$666,228	\$624,676	\$624,676	\$0

Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.

1	Includes all IT management and administrative costs, including those supporting strategic services. FY 09-10 reflects a reduction in FTE due to a realignment of positions due to FY 08-09 legislative budget cuts.
2	Estimated floor space cost for all IT staff in Tallahassee.
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Non-Strategics; Ver 1				Agency: Department of Lottery							
				Network Service	E-Mail, Messaging, and Calendaring Service	Desktop Computing Service	Helpdesk Service	IT Security/Risk Mitigation Service	IT Support Service for Agency Financial and Administrative Systems	IT Administration and Management Service	
Budget Entity Name	BE Code	Program Component Code	Program Component Name	Identified Funding as % of Total Cost of Service							
				Costs within BE	Funding Identified for IT Service						
Department of Lottery	36010000	16010000	Governmental Operations	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
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				Sum of IT Cost Elements Across IT Services							
IT Cost Element Data as entered on IT Service Worksheets	Personnel	State FTE (#)		26.00	5.75	3.00	5.50	0.50	6.25	0.00	5.00
		State FTE (Costs)		\$1,792,993	\$364,251	\$207,691	\$334,985	\$34,395	\$352,801	\$0	\$498,869
	Personnel	OPS FTE (#)		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		OPS FTE (Cost)		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Personnel	Vendor/Staff Augmentation (# Positions)		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
		Vendor/Staff Augmentation (Costs)		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Hardware			\$119,718	\$42,416	\$30,081	\$47,022	\$0	\$198	\$0	\$0
	Software			\$199,943	\$100,266	\$18,603	\$80,132	\$0	\$942	\$0	\$0
	External Services			\$202,748	\$202,748	\$0	\$0	\$0	\$0	\$0	\$0
	Plant & Facility			\$125,807	\$0	\$0	\$0	\$0	\$0	\$0	\$125,807
	Other			\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		Totals of Costs		\$2,441,209	\$709,681	\$256,375	\$462,140	\$34,395	\$353,942	\$0	\$624,676
		Totals of FTE		26.00	5.75	3.00	5.50	0.50	6.25	0.00	5.00

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Network Service

Dept/Agency: **Department of the Lottery**
 Submitted by: **Randy O'Bar, Chief Information Officer**
 Phone: **487-7718**
 Date submitted: **October 15, 2009**

Network Service

This service enables data connectivity and transport using Local Area Network (LAN) and/or Wide Area Network (WAN) technologies. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the LAN Service:			
1	Enterasys switches	5	Cisco PIX and ASA firewalls
2	HP Windows 2003 servers	6	
3	Cisco routers	7	
4	Networker and TSM backup	8	

1. IT Service Definition

1.1. Who is the LAN service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.2. Who is the WAN service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.3. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.4. Please identify the number of users of the Network Service. 450

1.5. How many locations currently host IT assets and resources used to provide LAN services? 10

1.6. How many locations currently use WAN services? 10

1.7. What types of WAN connections are included in this service? *(Indicate all that apply)*

- | | | |
|--|--------------------------------------|---|
| <input type="checkbox"/> ATM | <input type="checkbox"/> Frame Relay | <input type="checkbox"/> Cellular Network |
| <input type="checkbox"/> SUNCOM RTS | <input type="checkbox"/> Internet | <input type="checkbox"/> Dedicated Wired connection |
| <input type="checkbox"/> Radio | <input type="checkbox"/> Satellite | <input type="checkbox"/> Dial-up connection |
| <input checked="" type="checkbox"/> Other <u>MyFlorida Network</u> | | |

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Network Service

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) Very Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

The Lottery's network provides the underlying communications infrastructure for all Lottery equipment and applications, including access to administer, monitor and audit the Gaming systems, Internal Control Systems, Prize Payment system, Business Intelligence and Sales Reporting, management of the public web site, and all financial and accounting systems, which includes the Retailer Collection system. The Lottery depends on being able to tightly monitor and audit the gaming systems and applications provided by its business partners and to manage and administer its various legislative and financial responsibilities. A secure, reliable and centrally managed network is critical to carrying out these responsibilities. Another service provider would require on-site and on-call support staff available 24/7 with 30 minute response time and potential liquidated damages provisions. Would also require coordinated cut-over.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for LAN service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Interruptions in service require immediate attention due to gaming system support requirements.

3.2. Has the agency specified the service level requirements for WAN service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Standard MyFloridaNet SLA plus emergency maintenance windows between 0030 and 0500.

3.3. Timing and Service Delivery Requirements

3.3.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) for:

- 3.3.1.1. Online availability 24/7
- 3.3.1.2. Offline and availability for maintenance 0030-0530

3.3.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)? <5 min

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Network Service

3.3.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Network provides access to all gaming monitoring, auditing and management functions. Any downtime could impact sales or gaming integrity. Note that service is available 24/7 but maintenance can be scheduled and performed, if needed, between 0030 and 0530.

3.3.3. Does the agency have a standard for required bandwidth its locations? Yes No
If yes, indicate the standard (*e.g. fiber channels for certain locations*)

Bandwidth to the desktop is 10/100/1000, backbone is gigabit Ethernet. Headquarters has two 100mb MAN connections, Orlando Data Center has a 45mb MFN connection and the 8 district offices have 3mb MFN connections.

3.3.4. Are there any agency-unique service requirements? Yes No
If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

The Network provides management, monitoring, control and auditability of all gaming functions and downtime could therefore have a significant adverse impact on sales. Outside service providers would potentially need to adhere to liquidated damages similar to those imposed on the gaming system provider. The Lottery is a member of Multi-State Lottery Association (MUSL). MUSL has a strict set of rules requiring each Party Lottery to have sufficient systems in place to mitigate and manage any and all risk associated with participating in a multi-jurisdictional lottery game. The minimum requirements include a computer gaming system (CGS), an internal control system (ICS), and various controls to protect these systems from unauthorized access, tampering, power outages, and any event or combination of events that may affect the security, integrity, or the availability of the game. The Board's Security and Integrity Committee reviews and approves or disapproves each Product Group's standards and each Member's controls for its product offerings and any significant changes to those standards and controls and forwards its conclusions to the Board. No product shall be offered by a MUSL Product Group or Member unless its systems and controls meet or exceed the Board's minimum requirements for security and integrity as determined by the Security and Integrity Committee. Should configuration changes, security issues or renegotiations result in a loss of MUSL approval to sell Powerball, it would result in a loss of Educational Enhancement Trust Fund funding. The Lottery's gaming system vendor's hardware is co-located in the Lottery's facilities. The Gaming Systems, Lottery Internal Control Systems, and Lottery Prize Payment Systems communicate in real time. The co-location of Lottery and GTECH is intended to provide for zero downtime and tight security for the Lottery's gaming systems, internal control systems and prize payment systems.

3.3.5. What are security requirements for this IT service? (*Indicate all that apply*)

- User ID/Password Access through Internet or external network
 Access through internal network only Access through Internet with secure encryption
 Other Access via Cisco Access Server

3.3.6. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

Yes No

3.3.6.1. If yes, please specify and describe:

Must meet audit requirements of Chapter 24, F.S.

4. User/customer satisfaction

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Network Service

4.1. Are service level metrics reported to business stakeholders or agency management?

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resources or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2009-10. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

Trust fund. The Lottery is "a self supporting, revenue-producing department" as mandated by F.S. 24.102(2)(c). There is no cost-recovery or cost allocation for this service.

5.2. Other comments

The Schedule IV-C considers Network Services as non-strategic. The Lottery considers these activities as very strategic since they provide the connectivity for our prize payment system, which pays prizes statewide. Additionally, the Lottery does not have any 100% dedicated IT staff for what the Schedule IV-C considers as non-strategic activities. Therefore, any potential reduction in FTE or funds will definitely impact the Lottery's ability to perform strategic activities and posture us as an organization that can only maintain what it currently has and not be able to use innovative technology solutions to grow our business.

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

Dept/Agency: **(Department of the Lottery)**
 Submitted by: **(Randy O'Bar, Chief Information Officer)**
 Phone: **(487-7718)**
 Date submitted: **October 15, 2009**

E-Mail, Messaging, and Calendaring Service

This service enables users to send and receive e-mail and attachments, perform departmental calendaring, manage address lists, create and maintain shared or private folders, and store message data provided through the e-mail service. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the E-Mail Service:			
1	Compaq Proliant Windows 2003 Servers	5	BlackBerry Enterprise Server
2	Exchange 2003 Server	6	Outlook Web Access
3	Blackberry PDAs	7	
4	Spam Filtering (through DOH)	8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.3. Please identify the number of users of this service. 450

1.4. How many locations currently host IT assets and resources used to provide e-mail, messaging, and calendaring services? 10

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider? *(Identical, Very Similar, No)* Identical

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes
- No

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

2.2.1. If yes, what must happen for your agency to use another IT service provider?

Same service level and no increase in costs to the agency. Due to reliance on secure email service of certain gaming functions such as game creation and gaming system software change management, the service level requirement is higher than standard email.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Required availability is 24/7 with immediate response by on-call Lottery staff and 4 hour response by vendor (HP Gold Support)

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (e.g., 0600-2100 M-F, 24/7): 24/7

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 5 min, 15 min, 60 min)? 5 min

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Could have significant impacts due to use of secure email for game creation and gaming software change management monitoring.

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify (include any applicable constitutional, statutory, or rule requirements)

The use of secure email for game creation and gaming software change management monitoring.

3.2.4. What are security requirements for this IT service? (Indicate all that apply)

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes
- No

3.2.5.1. If yes, please specify and describe:

4. User/customer satisfaction

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

4.1. Are service level metrics reported to business stakeholders or agency management?

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

Trust Fund. The Lottery is "a self supporting, revenue-producing department" as mandated by F.S. 24.102(2)(c). There is no cost-recovery or cost allocation for this service.

5.2. Other comments

The Lottery does not have any 100% dedicated IT staff for what the Schedule IV-C considers as non-strategic activities. Therefore, any potential reduction in FTE or funds will definitely impact the Lottery's ability to perform strategic activities and posture us as an organization that can only maintain what it currently has and not be able to use innovative technology solutions to grow our business.

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Desktop Computing Service

Dept/Agency: **Department of the Lottery**
 Submitted by: **Randy O'Bar, Chief Information Officer**
 Phone: **487-7718**
 Date submitted: **October 15, 2009**

Desktop Computing Service

This service enables use of standard office automation functions, as well as access to other applications that require standard desktop functionality. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the Desktop Computer Service:			
1	IBM and Dell Desktops & Laptops	5	
2	Compaq Proliant Windows 2003 Servers	6	
3	Microsoft Office	7	
4	Microsoft Windows XP	8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.3. Please identify the number of users of this service. 450

1.4. How many locations currently use desktop computing services? 10

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider? *(Identical, Very Similar, No, Unknown)* Identical

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

Coordinated transition to new service provider.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Desktop Computing Service

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

24/7 availability with maintenance window (if needed) between 0030 and 0500.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (e.g., 0800-1600 M-F, 24/7)

24/7

3.2.2. What are the impacts on the agency's business if the Desktop Service is not available?

Significant loss of productivity due to unavailability of critical documents, print services, project management functions, financial analysis (spreadsheets) and functional unit database applications. Many of the Lottery's desktops are used for mission critical functions. For example, the Lottery's current financial management is completely reliant on manual processes and Microsoft Office. The desktop is also the portal to the Lottery's Prize Payment system (DCW) and the gaming systems. Desktop outages of any length have the potential to adversely affect the Lottery's ability to track financials, process claims, pay prizes, collect payments and perform gaming functions such as draw functions and performing management functions required to operate our online and instant games.

3.2.3. Are there any agency-unique service requirements?

Yes No

If yes, specify (include any applicable constitutional, statutory, or rule requirements)

3.2.4. What are security requirements for this IT service? (Indicate all that apply)

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other Access Via Cisco Access Server (dial up)

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

Yes No

3.2.5.1. If yes, please specify and describe:

Audit requirements of Chapter 24 F. S. and confidentiality of retailer and player data.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Desktop Computing Service

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects (e.g., total cost more than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

Trust Fund. The Lottery is "a self supporting, revenue-producing department" as mandated by F.S. 24.102(2)(c). There is no cost-recovery or cost allocation for this service.

5.2. Other comments

The Lottery does not have any 100% dedicated IT staff for what the Schedule IV-C considers as non-strategic activities. Therefore, any potential reduction in FTE or funds will definitely impact the Lottery's ability to perform strategic activities and posture us as an organization that can only maintain what it currently has and not be able to use innovative technology solutions to grow our business.

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Helpdesk Service

Dept/Agency: **Department of the Lottery**
 Submitted by: **Randy O'Bar, Chief Information Officer**
 Phone: **487-7718**
 Date submitted: **October 15, 2009**

Helpdesk Service

This service involves the centralized or consolidated intake and resolution of IT system problems for users and stakeholders throughout the department. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify any major commercial hardware and software associated with the Helpdesk Service:			
1	Microsoft Windows 2003 Server	5	
2	Microsoft Windows XP Operating System	6	
3	Microsoft Office 2003 Application Software	7	
4		8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.3. Please identify the number of users of this service. 450

1.4. How many locations currently host IT assets and resources used to provide helpdesk services? 10

1.5. What communication channels are used for the service? *(Indicate all that apply)*

- On-line self-serve
- On-line interactive
- Telephone/IVR
- Face-to-face
- Remote desktop (e.g., PC Anywhere)
- Other

1.6. What is the scope of the service provided by the Help Desk: *(Check all boxes that apply)*

Help Desk Action	Simple problems	Moderately complex problems	Complex problems
Accepting and logging	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Referring/escalating		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Tracking and reporting	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

IT Service Requirements Worksheet: Helpdesk Service

Resolving/closing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
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2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No, Unknown) Very Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

Coordinated transition to new service provider. This service would require a high level SLA due to the extremely time-sensitive nature of Lottery operations. Also, help desk support for applications needed to support gaming systems administration could not be outsourced since these are supported under contracts with the gaming systems vendors.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Coverage is provided 24/7 through use of Computer Systems Operations for off-hours and the use of on-call analysts as needed. Normal business hour coverage is via Lottery Intranet, but can be escalated to near-immediate response time for critical functions such as Games Administration, Funds Transfers and Claims Processing.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days the Help Desk service is required (*e.g., 0800-1600 M-F, 24/7*) 24/7

3.2.2. What are the impacts on the agency's business if the Help Desk service is not available?

This function provides first level and occasionally second level support for desktop access to critical gaming system support functions. Inability to manage and audit gaming functions could have a significant impact. As an example, standard desktops are used for closing and balancing on-line games during nightly draws. Nightly draws cannot occur until the games have been closed and balanced.

3.2.3. What is the average monthly volume of calls/cases/tickets? 314

3.2.4. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

There must be immediate response to any issue related to gaming system support activities.

3.2.5. What are security requirements for this IT service? (*Indicate all that apply*)

IT Service Requirements Worksheet: Helpdesk Service

- User ID/Password
- Access through internal network only
- Other _____
- Access through Internet or external network
- Access through Internet with secure encryption

3.2.6. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes
- No

3.2.6.1. If yes, please specify and describe:

Agency policies prohibit access to Lottery networks without full disclosure and successful background investigation results from each involved staff person. Additionally, the service must comply with confidentiality and audit requirements of Chapter 24, F.S.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?

- Yes
- No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

- Yes
- No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

Trust Fund. The Lottery is "a self supporting, revenue-producing department" as mandated by F.S. 24.102(2)(c). There is no cost-recovery or cost allocation for this service.

5.2. Other comments

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Helpdesk Service

The Lottery does not have any 100% dedicated IT staff for what the Schedule IV-C considers as non-strategic activities. Therefore, any potential reduction in FTE or funds will definitely impact the Lottery's ability to perform strategic activities and posture us as an organization that can only maintain what it currently has and not be able to use innovative technology solutions to grow our business.

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

Dept/Agency: **Department of the Lottery**
Submitted by: **Randy O'Bar, Chief Information Officer**
Phone: **487-7718**
Date submitted: **October 15, 2009**

IT Security/Risk Mitigation Service

This service involves the implementation of measures to reduce risk and ensure continuity of the IT Services supporting the agency. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

1. IT Service Definition

1.1. Who is the service provider? (*Indicate all that apply*)

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.2. Who uses the service? (*Indicate all that apply*)

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(*Identical, Very Similar, No*) **Similar**

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

In the areas of Information Security, it is imperative that the service provider have an in-depth understanding of the unique and highly specialized security requirements specific to the Lottery industry. Additionally, due to the administration, oversight and auditing of gaming operations, the Lottery must maintain its own backup data center in Orlando to insure the ability to properly audit the gaming vendor(s). The Orlando Data Center is included here.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

If you answered "Yes," identify major (formal or informal) service level requirements:

Service must be available 24/7, ISM staff is on-call 24/7 to deal with any access problems or breach situations. On-call staff must be reachable within 15 minutes and available on-site within 30 minutes.

3.2. Timing and Service Delivery Requirements

- 3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*): 24/7
- 3.2.2. In the event of an emergency, how quickly must essential services be restored to maintain the agency's continuity of operations? < 4 hours
- 3.2.3. How frequently must the IT disaster recovery plan be tested? Semi-annually
- 3.2.4. In the event of a security breach, what is the agency's tolerance for down time of security IT services during peak periods, i.e., time before management-level intervention occurs (*e.g., 10 min, 60 min, 4 hours*)? < 5 minutes
- 3.2.5. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

It is a contractual requirement that 98% of our vendor's network is up and running through out the state, otherwise, liquidated damages are assessed. Additionally, there are many security features that are unique to the Lottery industry.

- 3.2.6. What are security requirements for this IT service? (*Indicate all that apply*)
- User ID/Password Access through Internet or external network
 Access through internal network only Access through Internet with secure encryption
 Other _____
- 3.2.7. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?
 Yes No

If yes, please specify and describe:

Agency policy on protection of Trade Secrets and Confidential material and the Lottery must maintain confidentiality of winner information and meet audit requirements of Chapter 24, F.S.

4. User/customer satisfaction

- 4.1. Are service level metrics reported regularly to business stakeholders or agency management?
 Yes No

If yes, briefly describe the frequency of reports and how they are provided:

- 4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

- 4.2.1. If no, what changes need to be made to the current IT service? (*Briefly explain*)

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

Trust Fund. The Lottery is "a self supporting, revenue-producing department" as mandated by F.S. 24.102(2)(c). There is no cost-recovery or cost allocation for this service.

5.2. Other comments

The Schedule IV-C considers IT Security and Risk Mitigation as non-strategic. The Lottery considers these activities as very strategic. Without the IT Security and Risk Mitigation activities, the public confidence would degenerate as well as well as a potential revenue loss due to system outages. Additionally, the Lottery does not have any 100% dedicated IT staff for what the Schedule IV-C considers as non-strategic activities. Therefore, any potential reduction in FTE or funds will definitely impact the Lottery's ability to perform strategic activities and posture us as an organization that can only maintain what it currently has and not be able to use innovative technology solutions to grow our business.

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Support Service for Agency Financial and Administrative Functions

Dept/Agency: **Department of the Lottery**
 Submitted by: **Randy O'Bar, Chief Information Officer**
 Phone: **487-7718**
 Date submitted: **October 15, 2009**

IT Support Service for Agency Financial and Administrative Systems

This service enables users in the agency's administrative and support areas to operate and maintain the non-strategic applications that support agency administrative. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify major IT Systems (applications) that are included (in whole or part) in this IT Service:			
1	Microsoft Office	5	
2		6	
3		7	
4		8	

1. IT Service Definition

1.1. Who is the service provider? (*Indicate all that apply*)

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.2. Who uses the service? (*Indicate all that apply*)

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.3. Please identify the number of users of this service.

450

1.4. How many locations currently host agency financial/ administrative systems?

2

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
 (*Identical, Very Similar, No*)

No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

Coordinated transition to new service provider. Vendor would need to meet all audit requirements of Chapter 24 F.S. and potential liquidated damages provisions for non-performance. Note that Lottery has unique business related financial requirements not normally found in other State

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Support Service for Agency Financial and Administrative Functions

agencies. The Lottery performs cash activities outside of the Treasury, such as accounts receivable, cash management, accounts payable and investments.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

Answer the following questions for the primary or dominant IT system within this IT Service.

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (e.g., 0700-1800 M-F, 24/7) for:

- 3.2.1.1. User-facing components of this IT service (online) 24/7
- 3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 24/7

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 15 min, 30 min, 60 min)? 30 minutes

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Loss of this service would impact the Lottery's ability to conduct its considerable financial transactions. This would include the ability to validate and pay winners; electronic banking, investments and funds transfers; sales and marketing analysis; tax reporting and collection; and auditing of all financial transactions including those generated by gaming vendors. This could have a significant impact on the Lottery's credibility, the smooth and timely flow of funds and, ultimately, sales and transfers to the Educational Enhancement Trust Fund (EETF).

3.2.3. Are there any agency-unique service requirements? Yes No
If yes, specify (include any applicable constitutional, statutory, or rule requirements)

3.2.4. What are security requirements for this IT service? (Indicate all that apply)

- User ID/Password Access through Internet or external network
- Access through internal network only Access through Internet with secure encryption
- Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
**IT Service Requirements Worksheet: IT Support Service for Agency Financial and
 Administrative Functions**

Yes No

3.2.5.1. If yes, please specify and describe:

Audit and confidentiality requirements of Chapter 24, F.S.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

Extensive reporting of a strategic nature regarding sales and product performance are generated on a daily basis. Additionally, staff are able to conduct online analytic processing or "business intelligence" functions to provide more detailed analysis on an as-needed basis.

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

In 2008, the Lottery presented its business case for a new business accounting solution for consideration to both the State Technology Office and the Technology Review Workgroup.

A detailed requirements study for a new accounting solution has been completed identifying twenty-eight major problem areas that are hindering Lottery accounting operations and eighty-eight major needs that should be met by a new solution.

To improve upon this situation, Lottery stakeholders are seeking to purchase and implement a new comprehensive integrated Business Accounting System.

The Lottery's current in house developed prize payment system (DCW) will be replaced in January 2010 with a new in house developed prize payment system (Fortune). Ultimately, the Business Accounting system will integrate with Fortune and the Lottery's Business Intelligence (BI) infrastructure to provide important analytical information on Lottery sales, promotions, retailers, and products.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
**IT Service Requirements Worksheet: IT Support Service for Agency Financial and
Administrative Functions**

Trust Fund. The Lottery is "a self supporting, revenue-producing department" as mandated by F.S. 24.102(2)(c). There is no cost-recovery or cost allocation for this service.

5.2. Other comments

The Lottery does not have any 100% dedicated IT staff for what the Schedule IV-C considers as non-strategic activities. Therefore, any potential reduction in FTE or funds will definitely impact the Lottery's ability to perform strategic activities and posture us as an organization that can only maintain what it currently has and not be able to use innovative technology solutions to grow our business.

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Administration and Management Service

Dept/Agency: **Department of the Lottery**
Submitted by: **Randy O'Bar, Chief Information Officer**
Phone: **487-7718**
Date submitted: **October 15, 2009**

IT Administration and Management Service

This service enables the management and administration of the agency's central IT program or unit. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify major IT Systems (applications) that are included (in whole or part) in this IT Service:			
1	N/A	5	
2		6	
3		7	
4		8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.2. How many locations currently host assets and resources used to provide IT administration and management services? 1

2. Service Unique to Agency

2.1. If the same level of service could be provided through another agency or external source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes
- No

2.1.1. If yes, what must happen for your agency to use another IT service provider?

Coordinated transition to new service provider with a detailed understanding of Lottery specific issues and systems, especially as they relate to security and separation of duties. It would be necessary to ensure that the provisions of F.S. 24.105(2) to "supervise and administer the operation of the lottery" be met. An example would be to maintain direct control of critical functions, such as systems designed to monitor, control and audit the on-line and scratch off gaming systems.

2.1.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Administration and Management Service

No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

[Empty text box for service level requirements]

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) for the systems included in this service:

24/7

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)?

<4 hours

3.2.3. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

Yes No

If yes, please specify and describe:

Audit and confidentiality requirements of Chapter 24, F.S.

3.2.4. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

[Empty text box for agency-unique service requirements]

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

[Empty text box for service level metrics]

4.2. Are currently defined IT service levels adequate to support the business needs of the agency?

Yes No

If no, what changes need to be made to the current IT service? (*Briefly explain*)

[Empty text box for IT service levels]

4.3. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for

FY 2009-10 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Administration and Management Service

FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

Trust Fund. The Lottery is "a self supporting, revenue-producing department" as mandated by F.S. 24.102(2)(c). There is no cost-recovery or cost allocation for this service.

5.2. Other comments

The Lottery does not have any 100% dedicated IT staff for what the Schedule IV-C considers as non-strategic activities. Therefore, any potential reduction in FTE or funds will definitely impact the Lottery's ability to perform strategic activities and posture us as an organization that can only maintain what it currently has and not be able to use innovative technology solutions to grow our business.

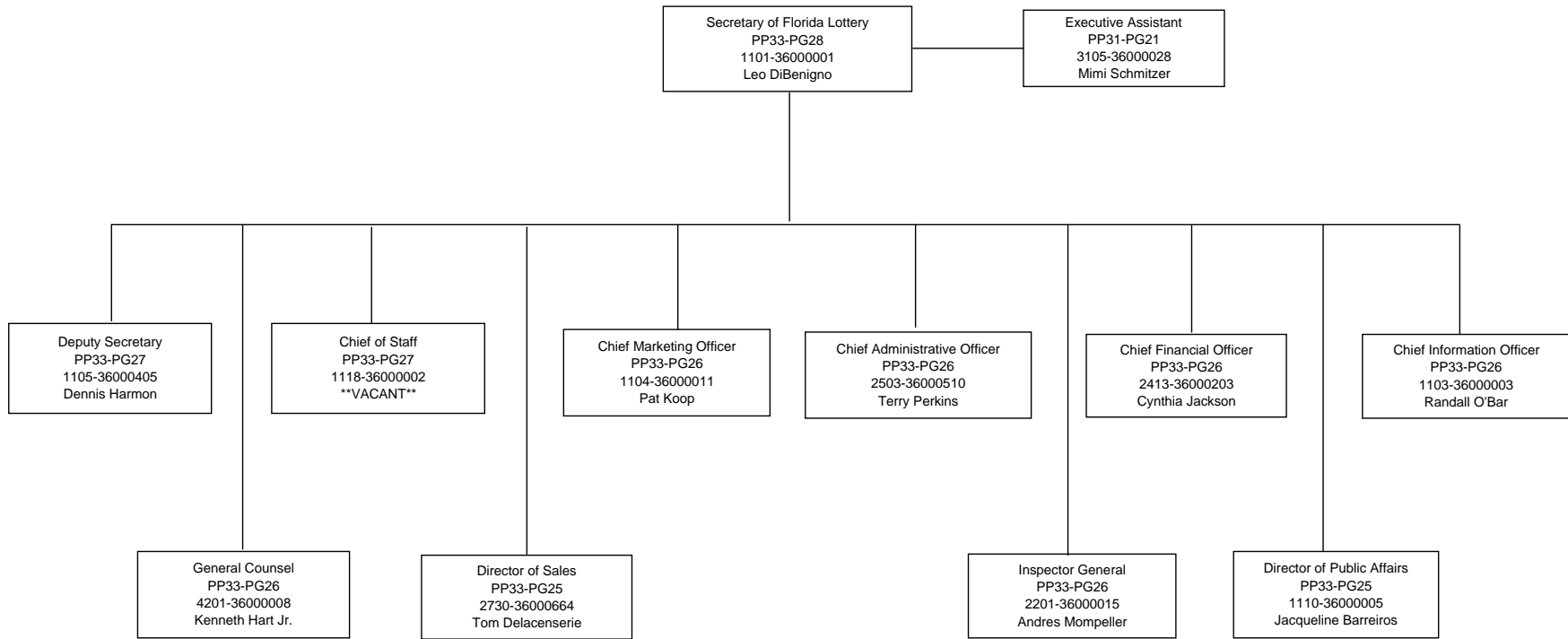
Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Lottery		
Contact Person:	Ken Hart	Phone Number:	850-487-7724
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	George McQuire vs. Florida Lottery, et al.		
Court with Jurisdiction:	Florida First District Court of Appeal		
Summary of the Complaint:	Plaintiff, a pro se individual, alleges that between 1989 – 1997, he purchased three winning lottery tickets worth a total of approximately \$50 million; that for reasons that are unclear, he did not receive payment and, therefore, seeks payment at this time.		
Amount of the Claim:	\$50 Million (approximately)		
Specific Statutes or Laws (including GAA) Challenged:	None		
Status of the Case:	Dismissed by Leon County Circuit Court; currently pending in DCA on court’s order for Appellant (Plaintiff) to show cause why the appeal should not be dismissed.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

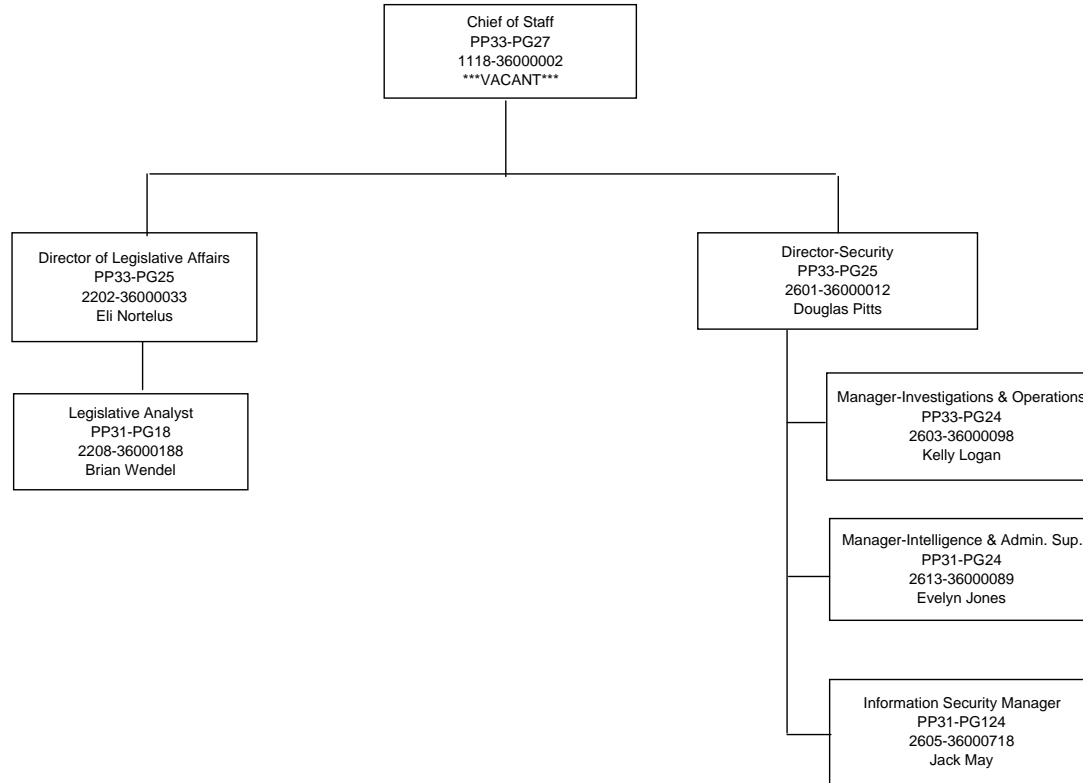
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 3610100000 - CHIEF OF STAFF
 3615000000 - OFFICE OF INSPECTOR GENERAL
 3630000000 - GENERAL COUNSEL
 3640000000 - CHIEF ADMINISTRATIVE OFFICER
 36703010000 - CHIEF INFORMATION OFFICER
 36801000000 - CHIEF FINANCIAL OFFICER
 36910000000 - CHIEF MARKETING OFFICER
 36903010000 - DIRECTOR OF SALES
 36950000000 - DEPUTY SECRETARY - BUS DEV, RESEARCH & STRATEGY

DEPARTMENT OF THE LOTTERY



Reviewed By: _____
 Terry Perkins, Chief Administrative Officer Date

DEPARTMENT OF THE LOTTERY
36101000000 - CHIEF OF STAFF
36101010000 - LEGISLATIVE AFFAIRS
36201510000 - DIRECTOR OF SECURITY



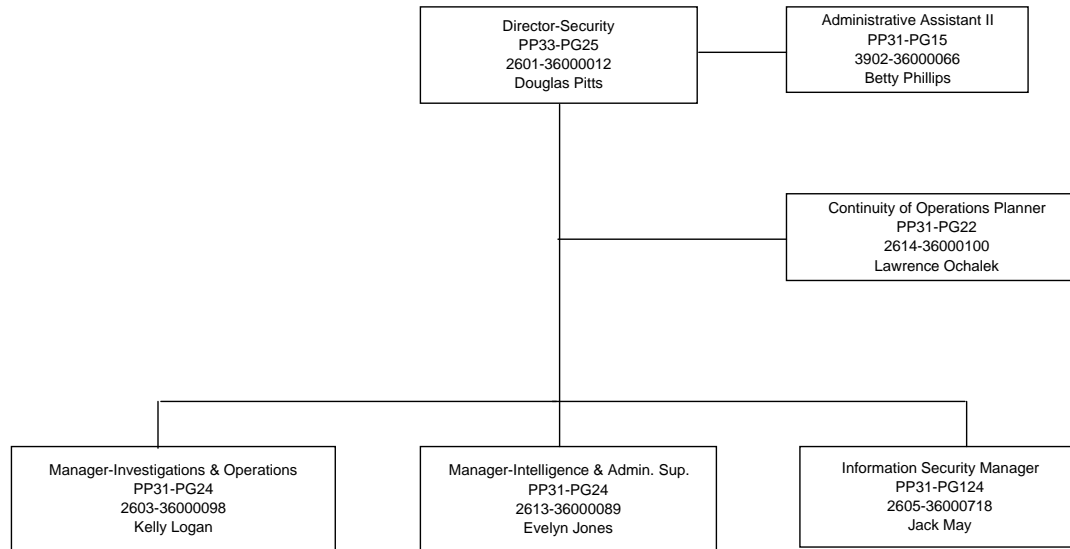
DEPARTMENT OF THE LOTTERY

36201510000 - DIRECTOR OF SECURITY

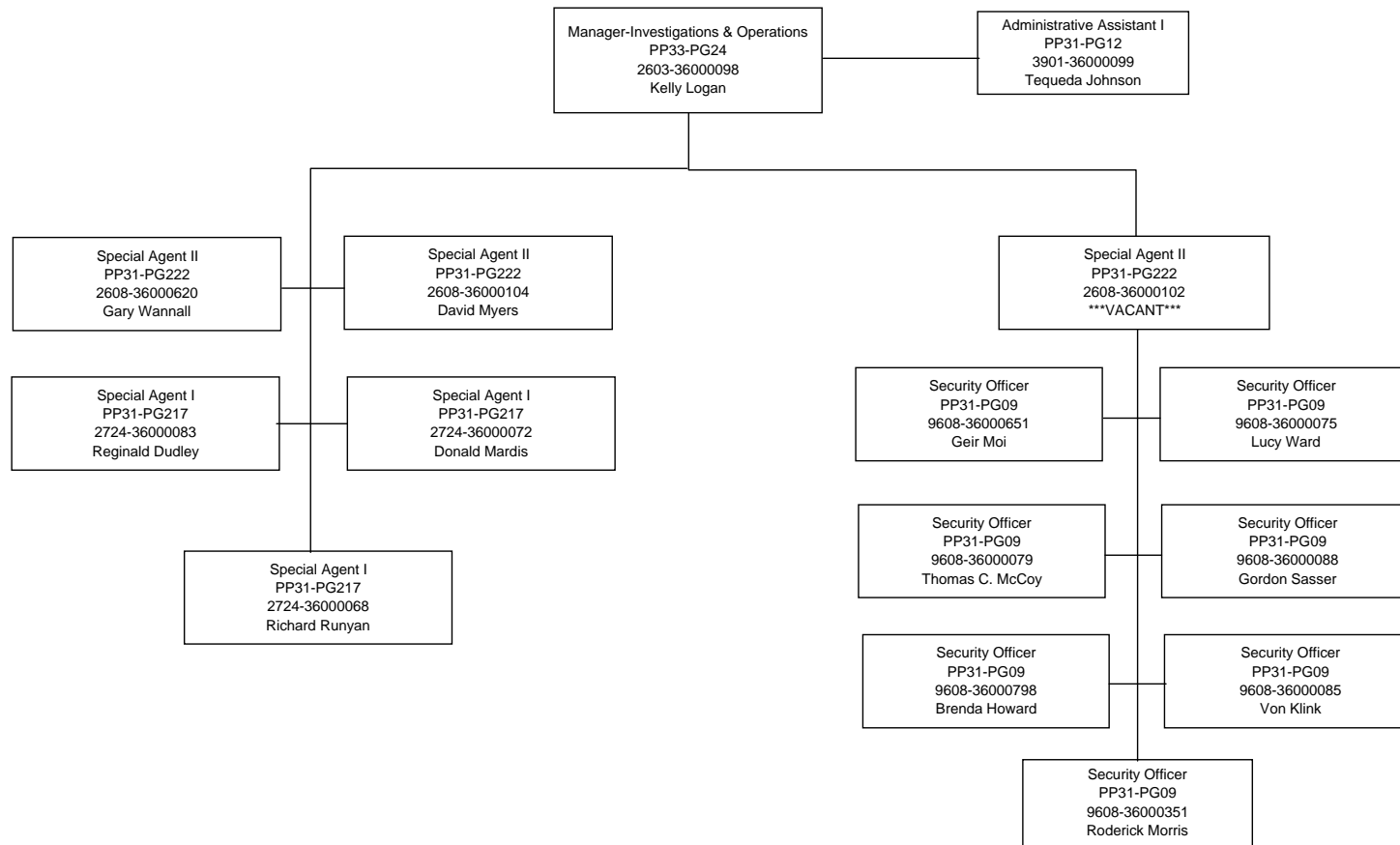
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36201535000 - INTELLIGENCE AND ADMINISTRATIVE SUPPORT

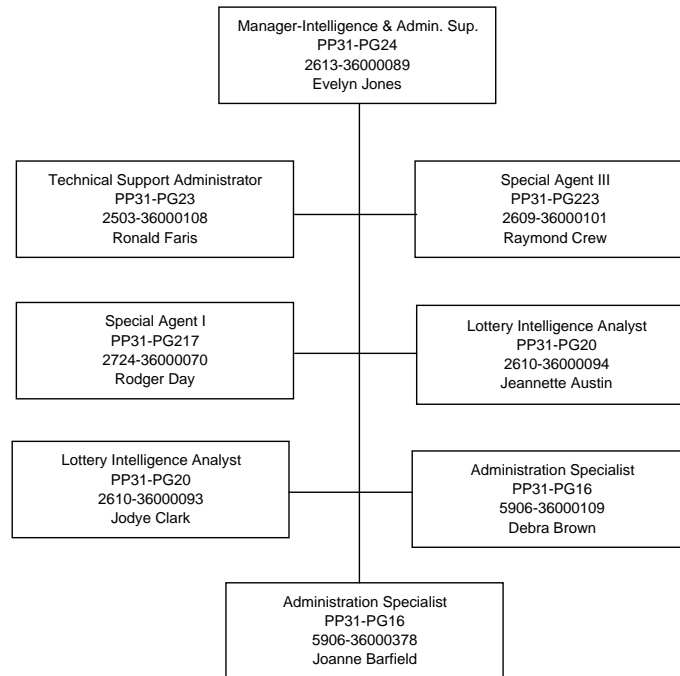
36201545000 - INFORMATION SECURITY



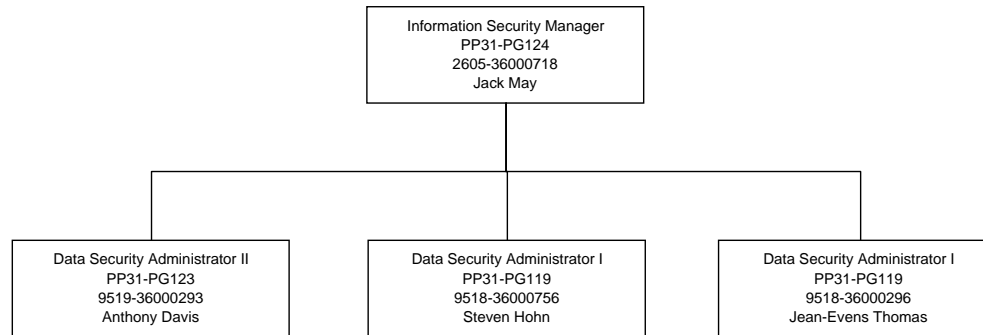
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36201530000 - INVESTIGATIONS AND OPERATIONAL SUPPORT



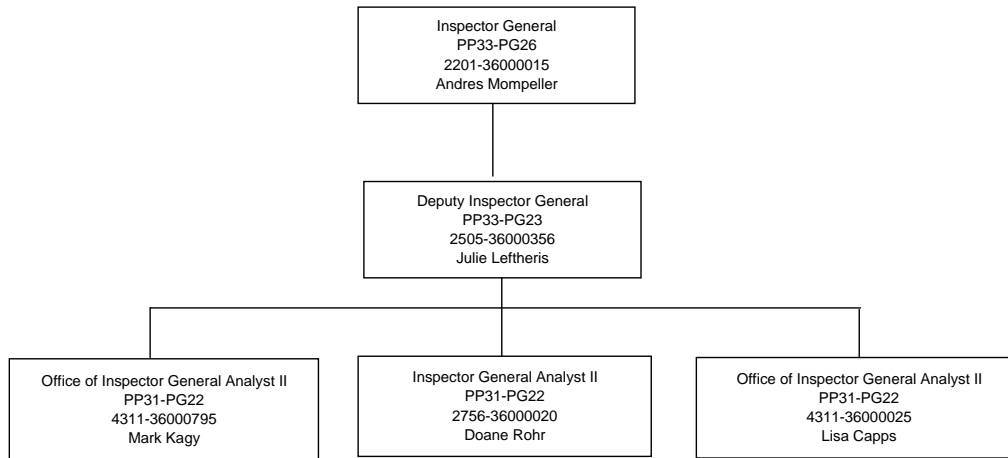
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36201535000 - INTELLIGENCE AND ADMINISTRATIVE SUPPORT



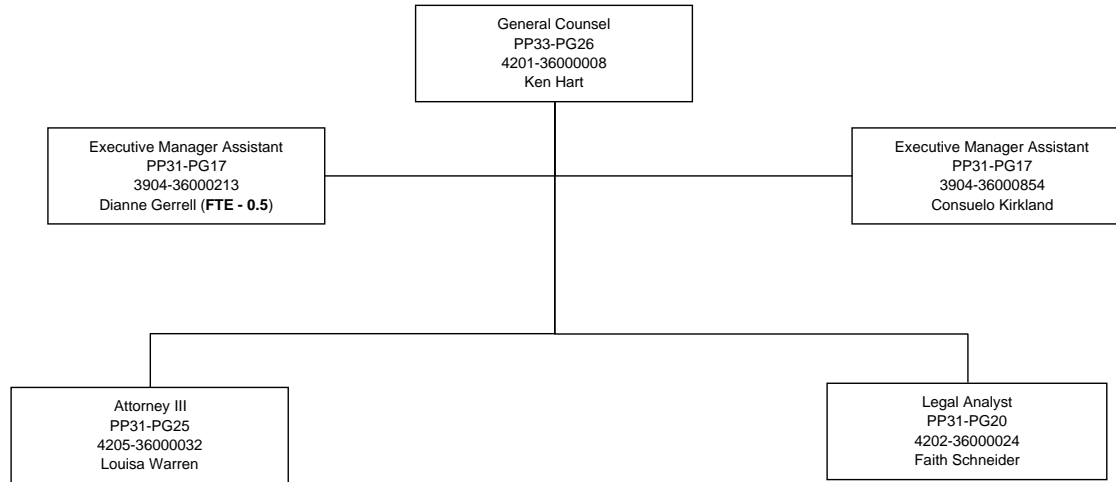
DEPARTMENT OF THE LOTTERY
36201545000 - INFORMATION SECURITY



DEPARTMENT OF THE LOTTERY
36150000000 - OFFICE OF INSPECTOR GENERAL

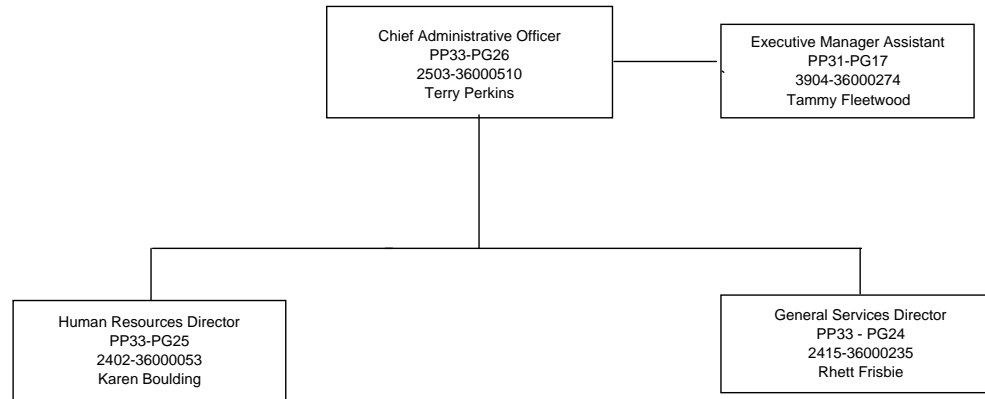


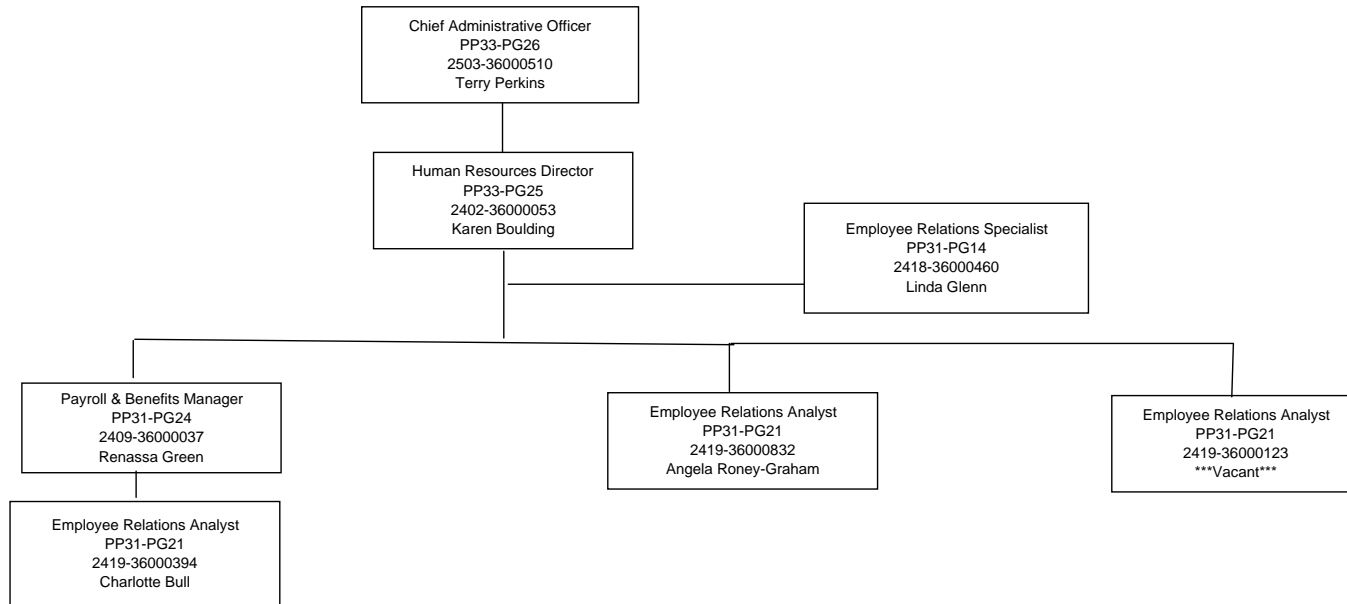
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36300000000 - GENERAL COUNSEL



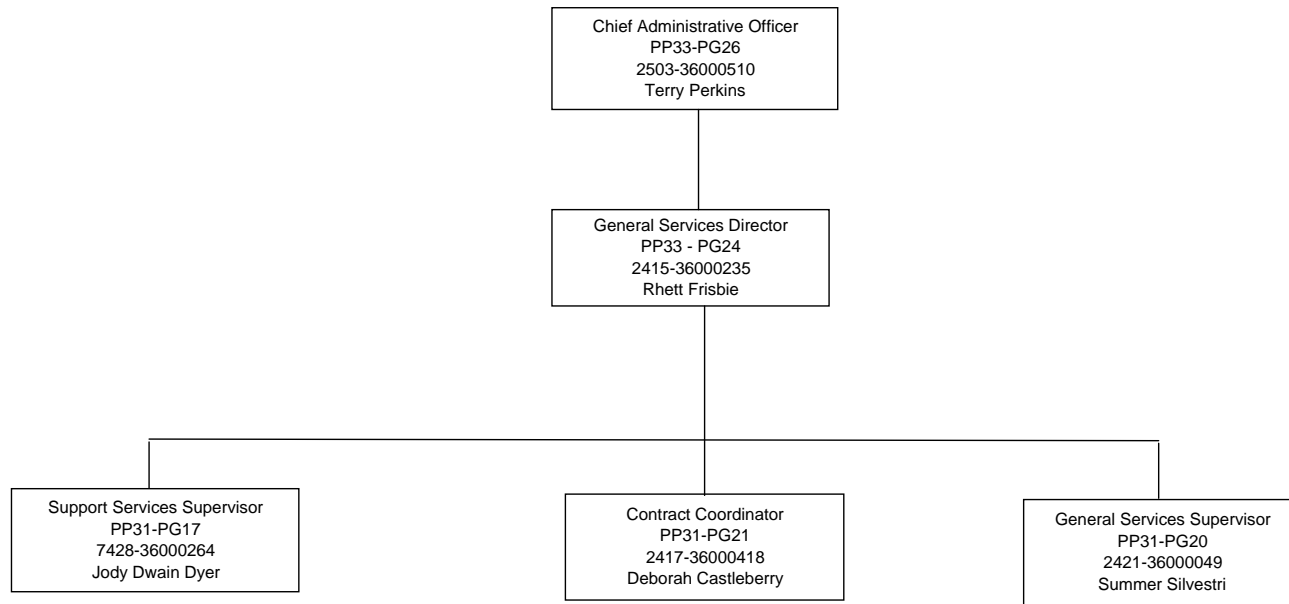
DEPARTMENT OF THE LOTTERY

3640000000 - CHIEF ADMINISTRATIVE OFFICER
36401000000 - EMPLOYEE RELATIONS AND DEVELOPMENT
36401500000 - GENERAL SERVICES
36402000000 - PURCHASING
36403000000 - SUPPORT SERVICES

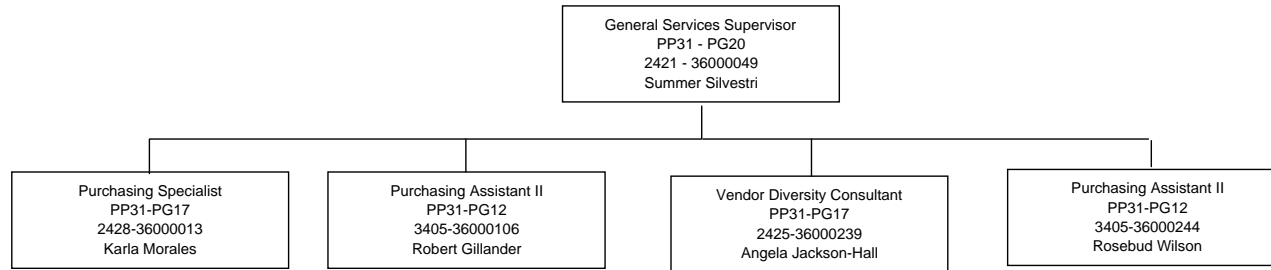




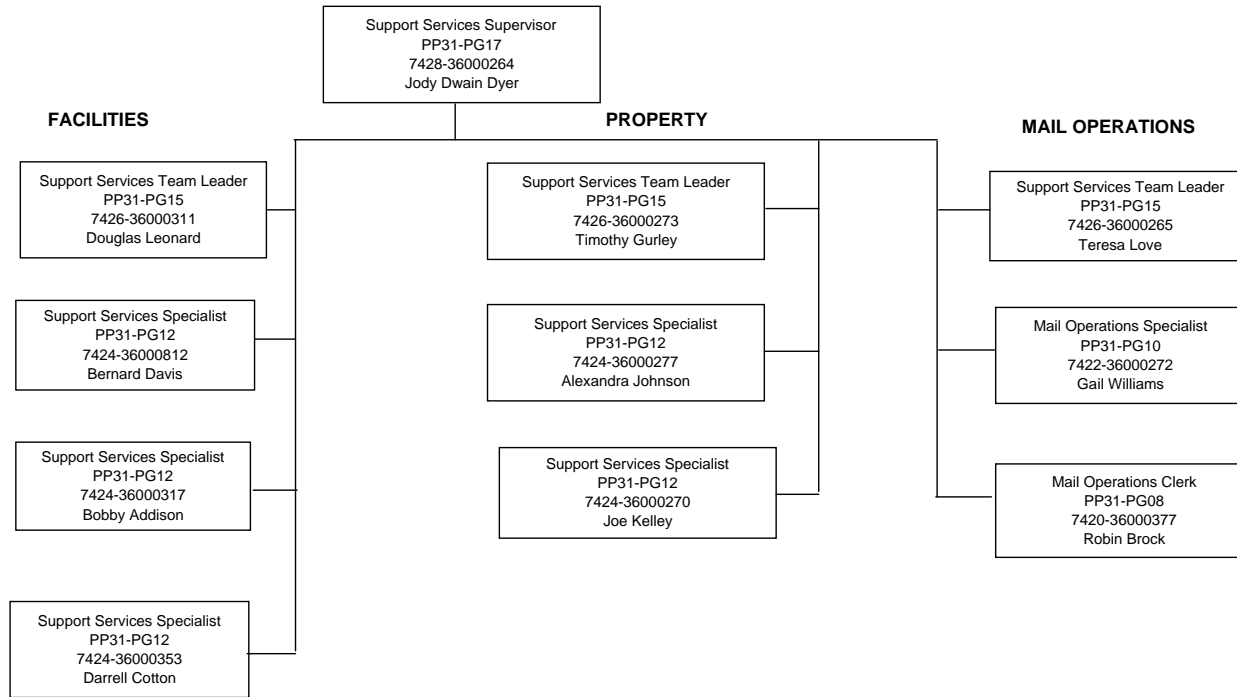
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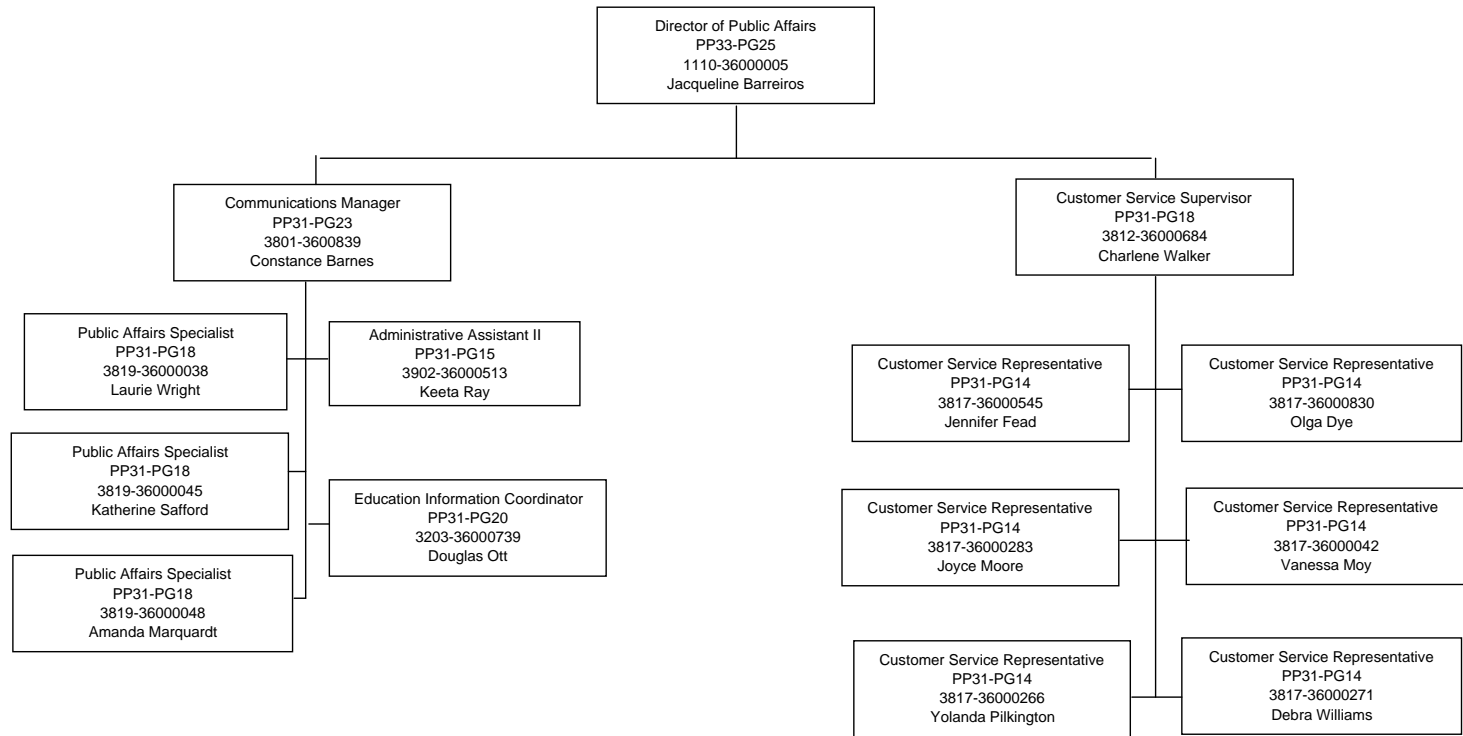


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36402000000 - PURCHASING



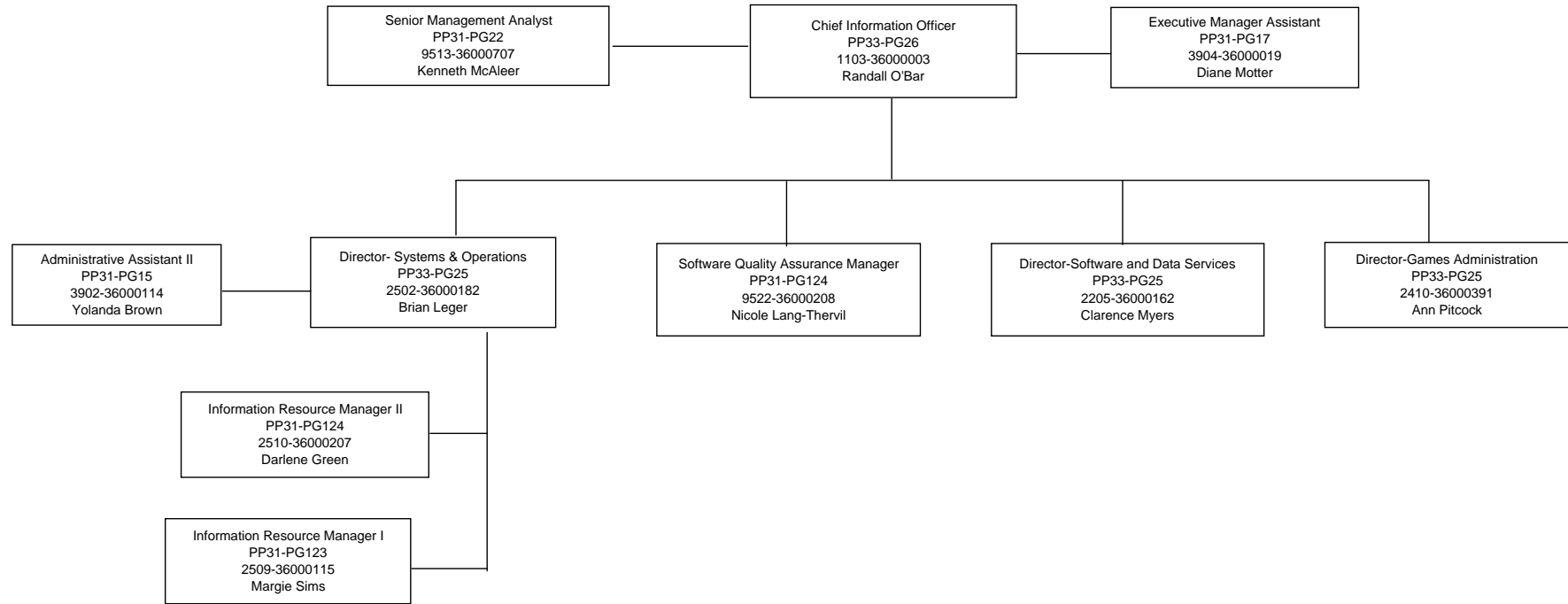
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36403000000 - SUPPORT SERVICES

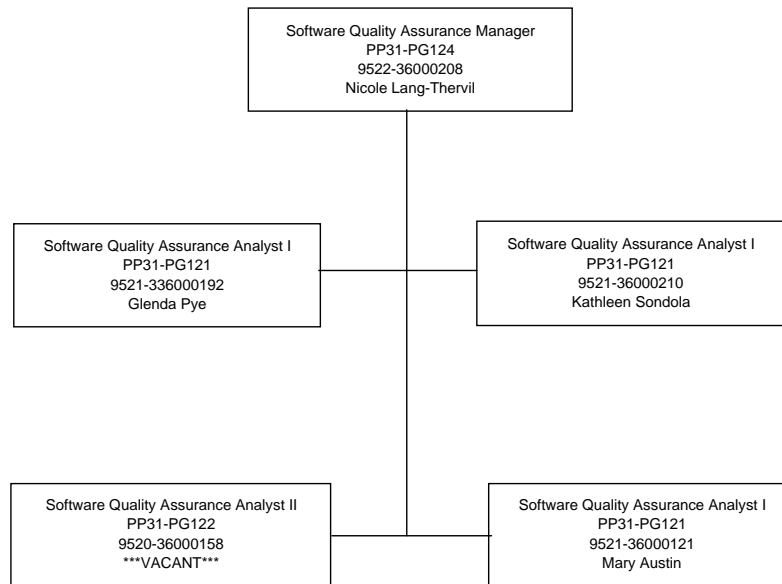


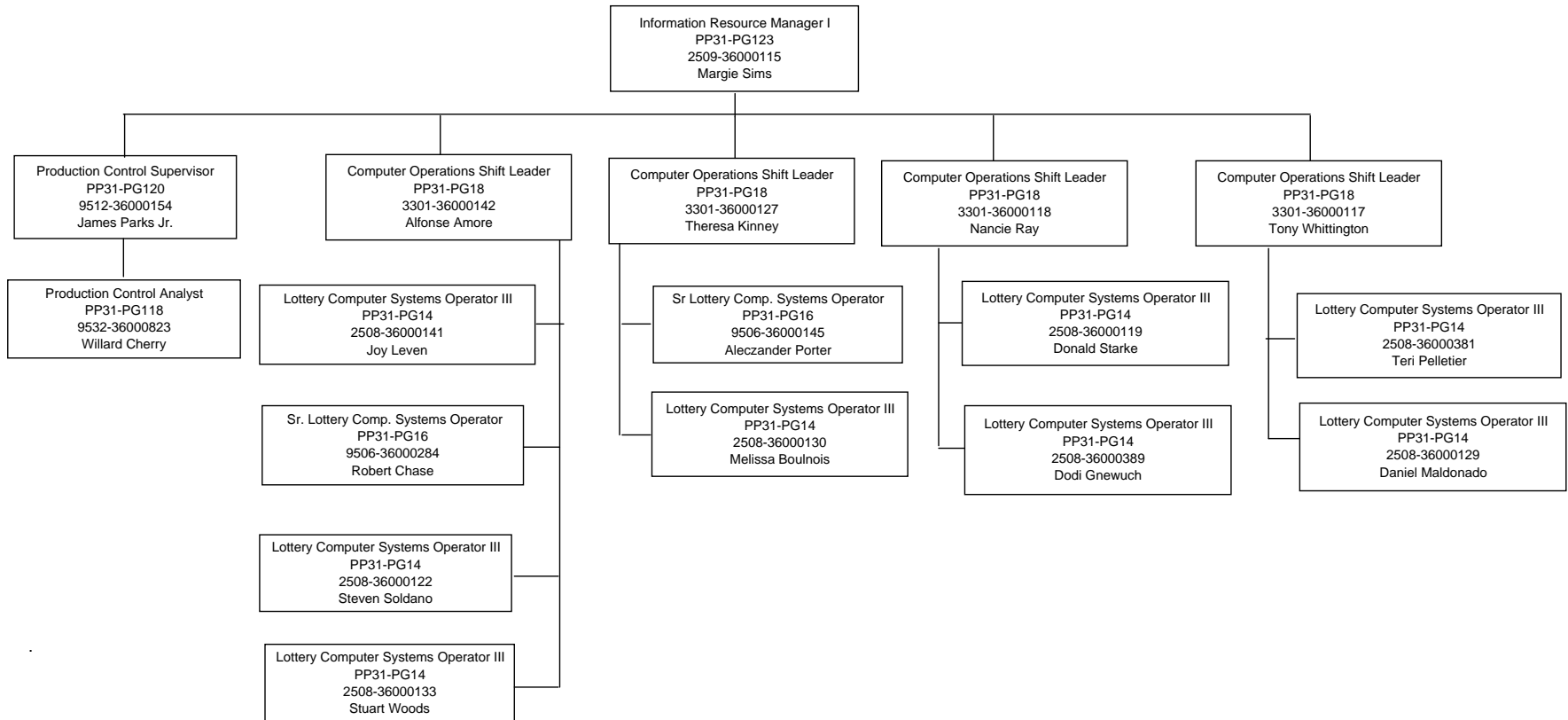


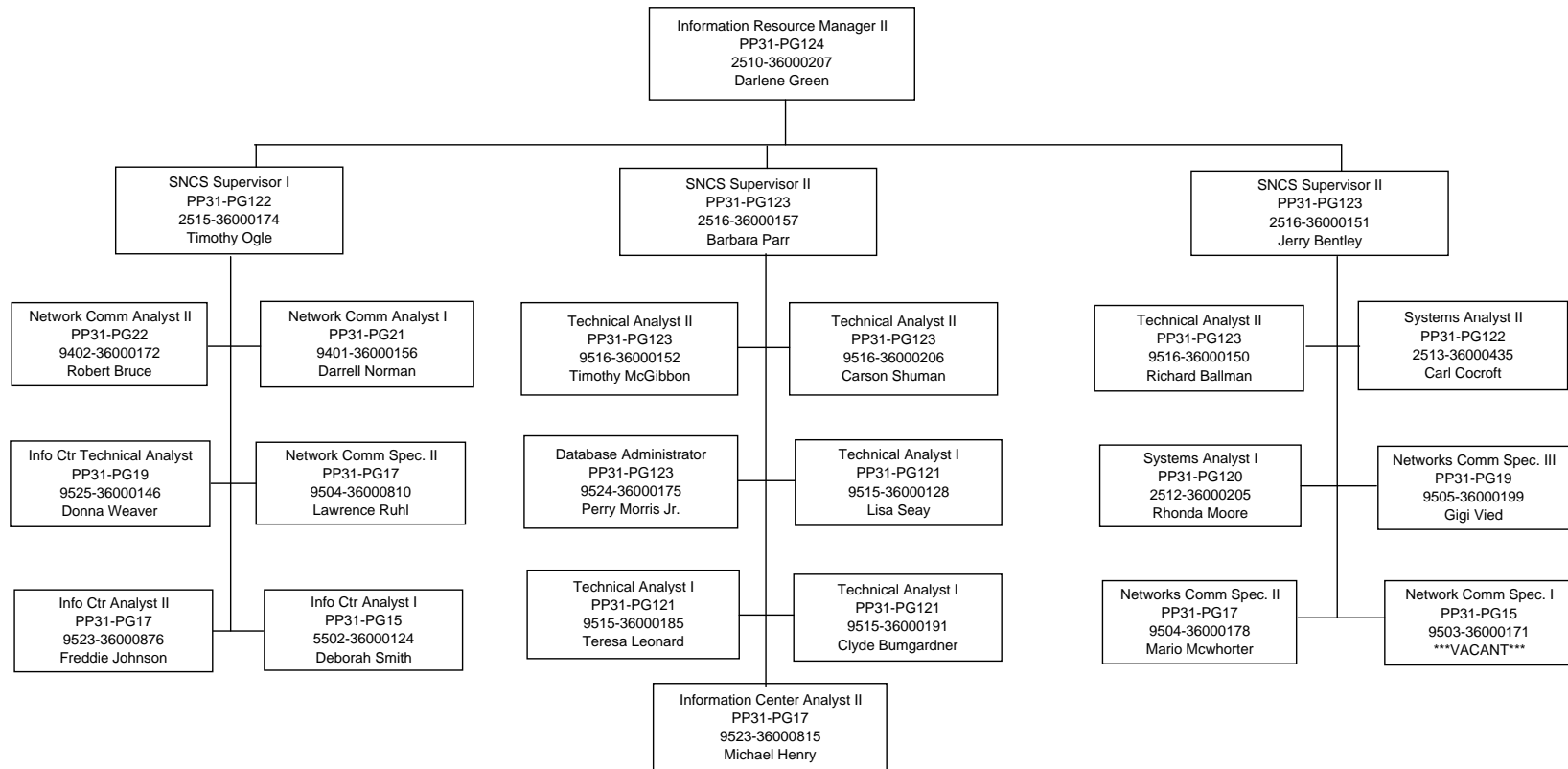
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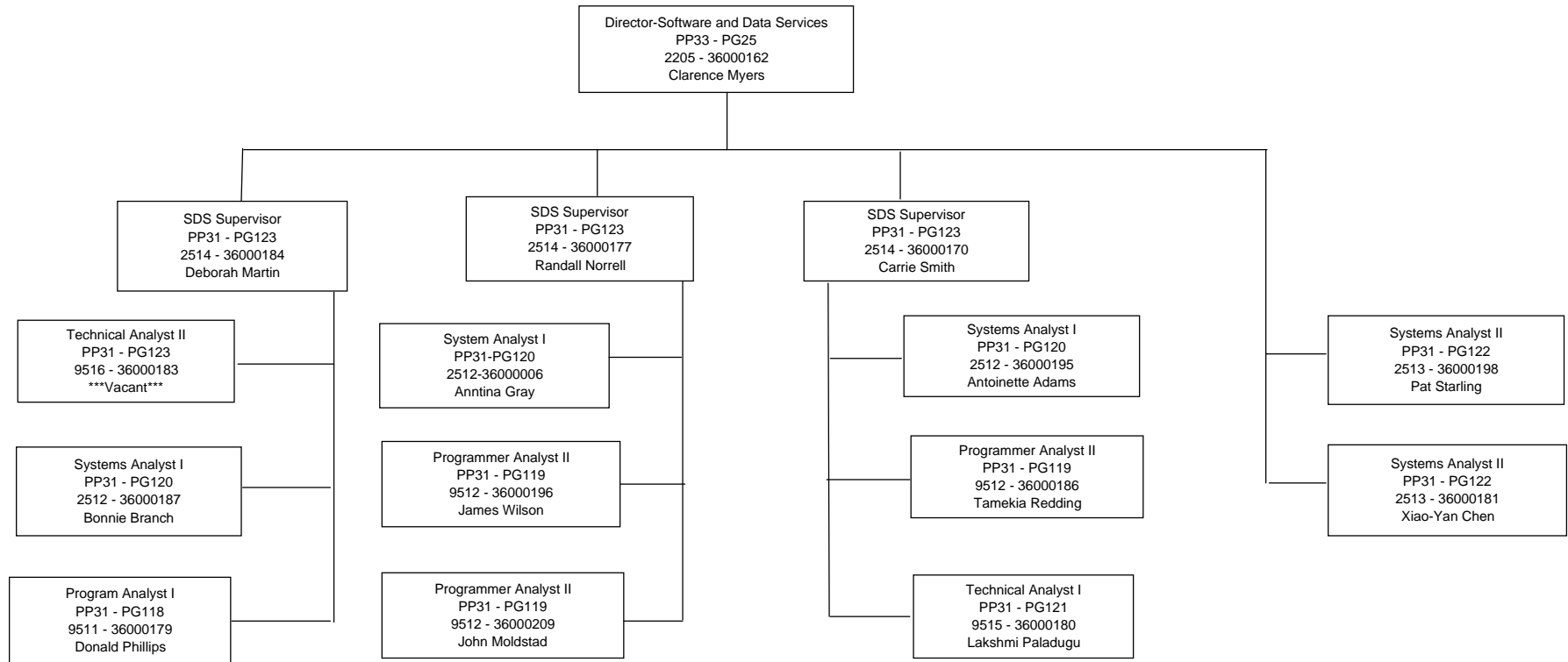
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- 36701700000 - SOFTWARE QUALITY ASSURANCE
- 36703020200 - COMPUTER SYSTEMS OPERATIONS
- 36703030100 - SYSTEMS, NETWORK AND CLIENT SERVICES
- 36704000000 - SOFTWARE AND DATA SERVICES
- 36705000000 - GAMES ADMINISTRATION

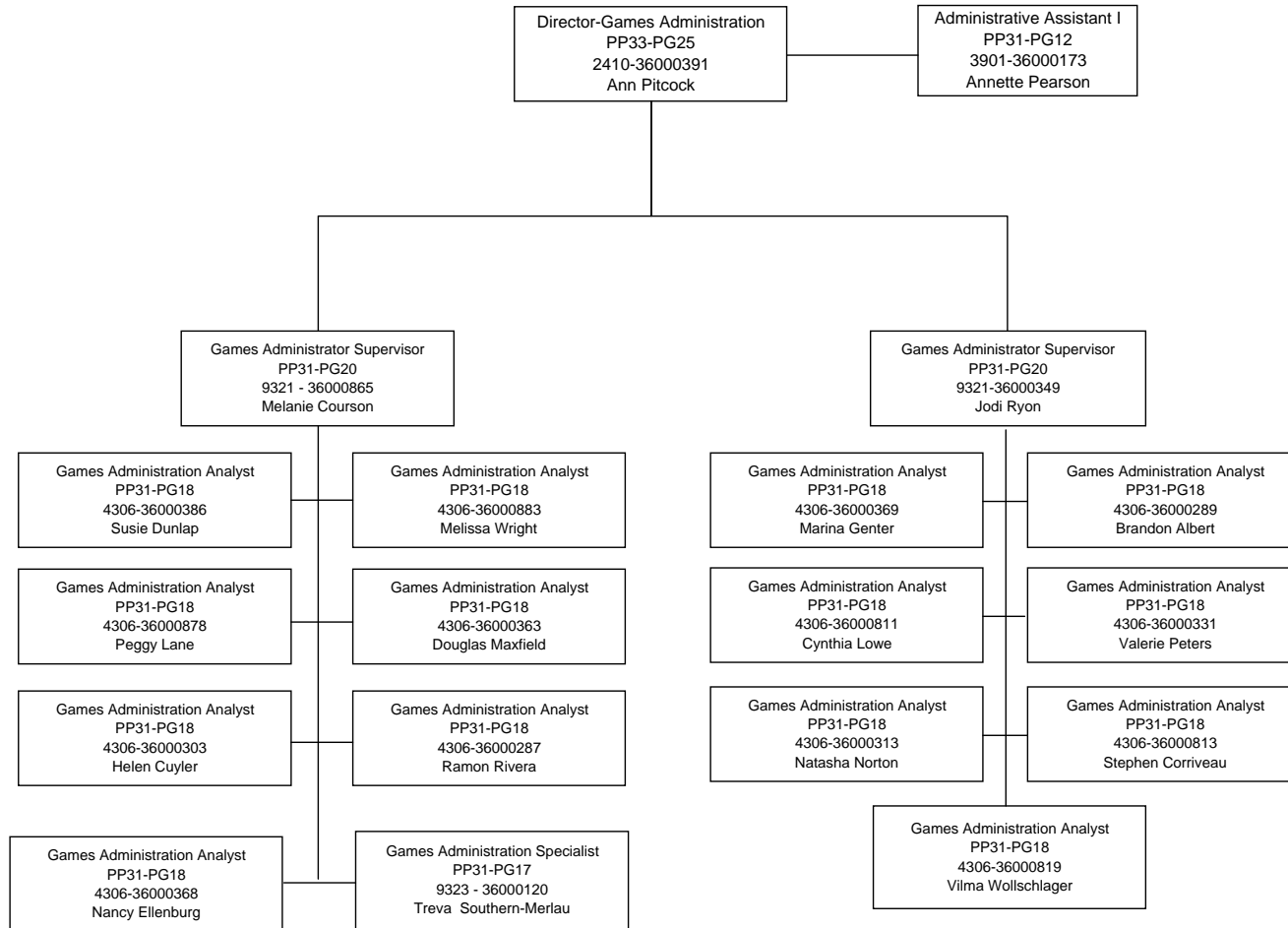




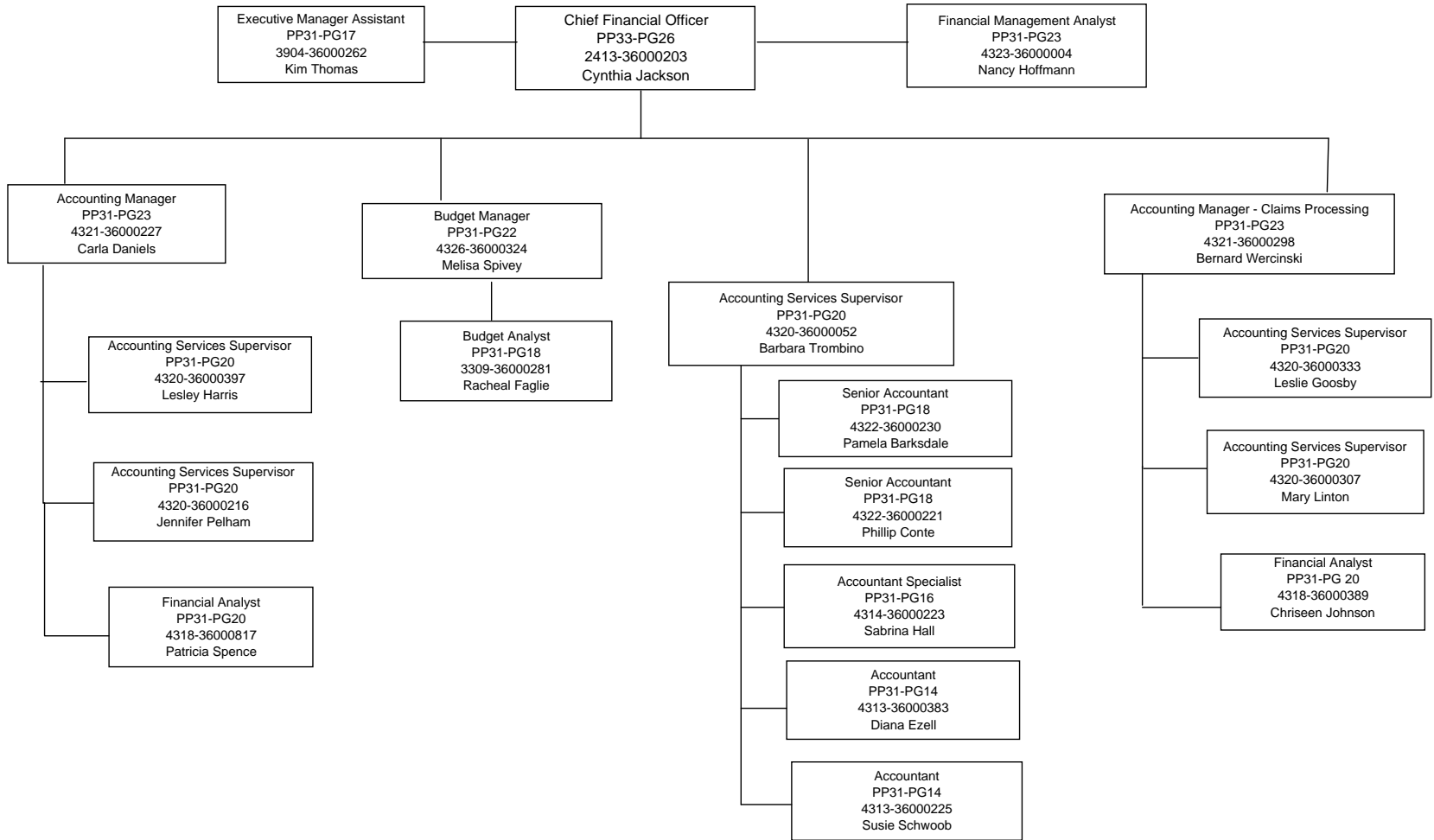


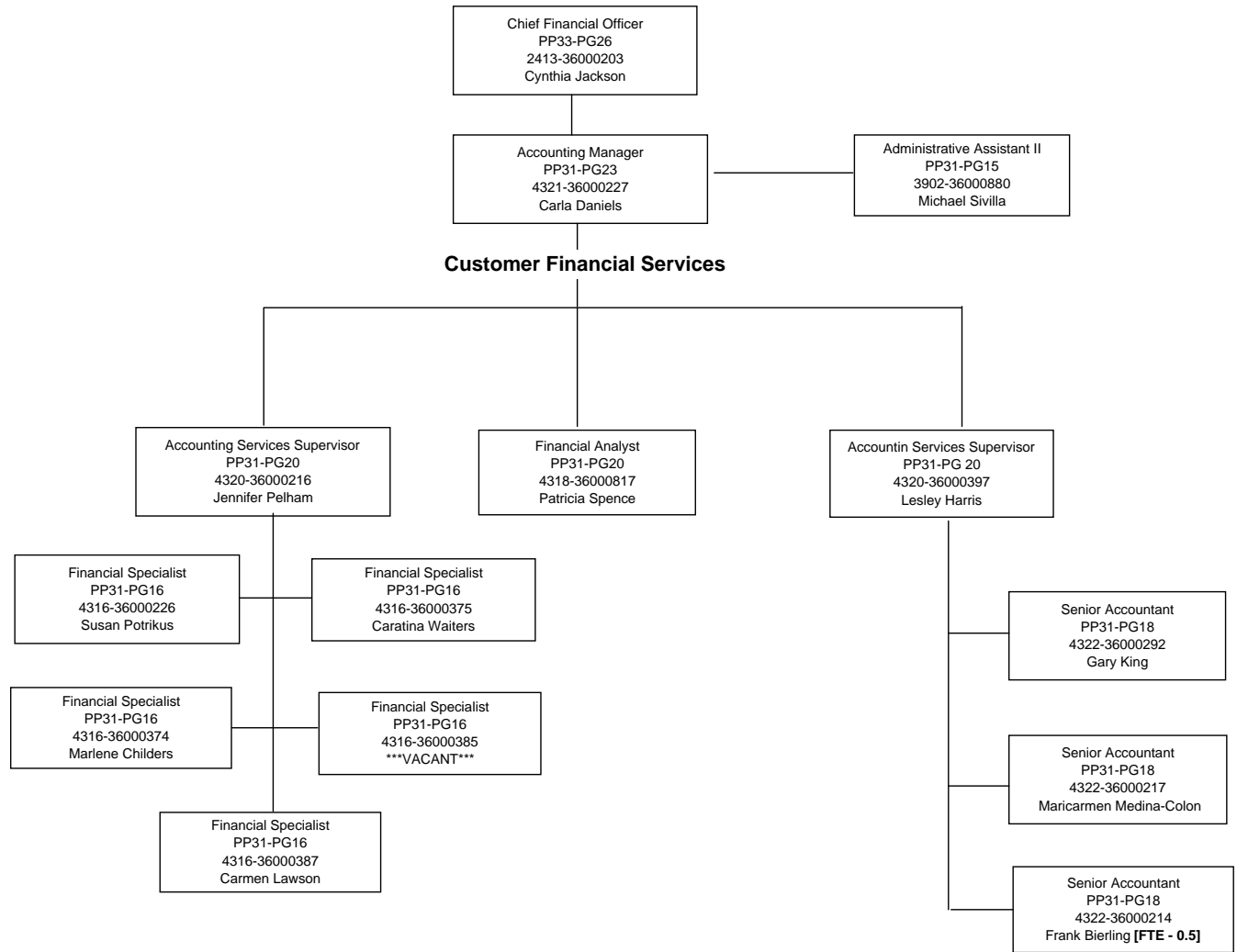




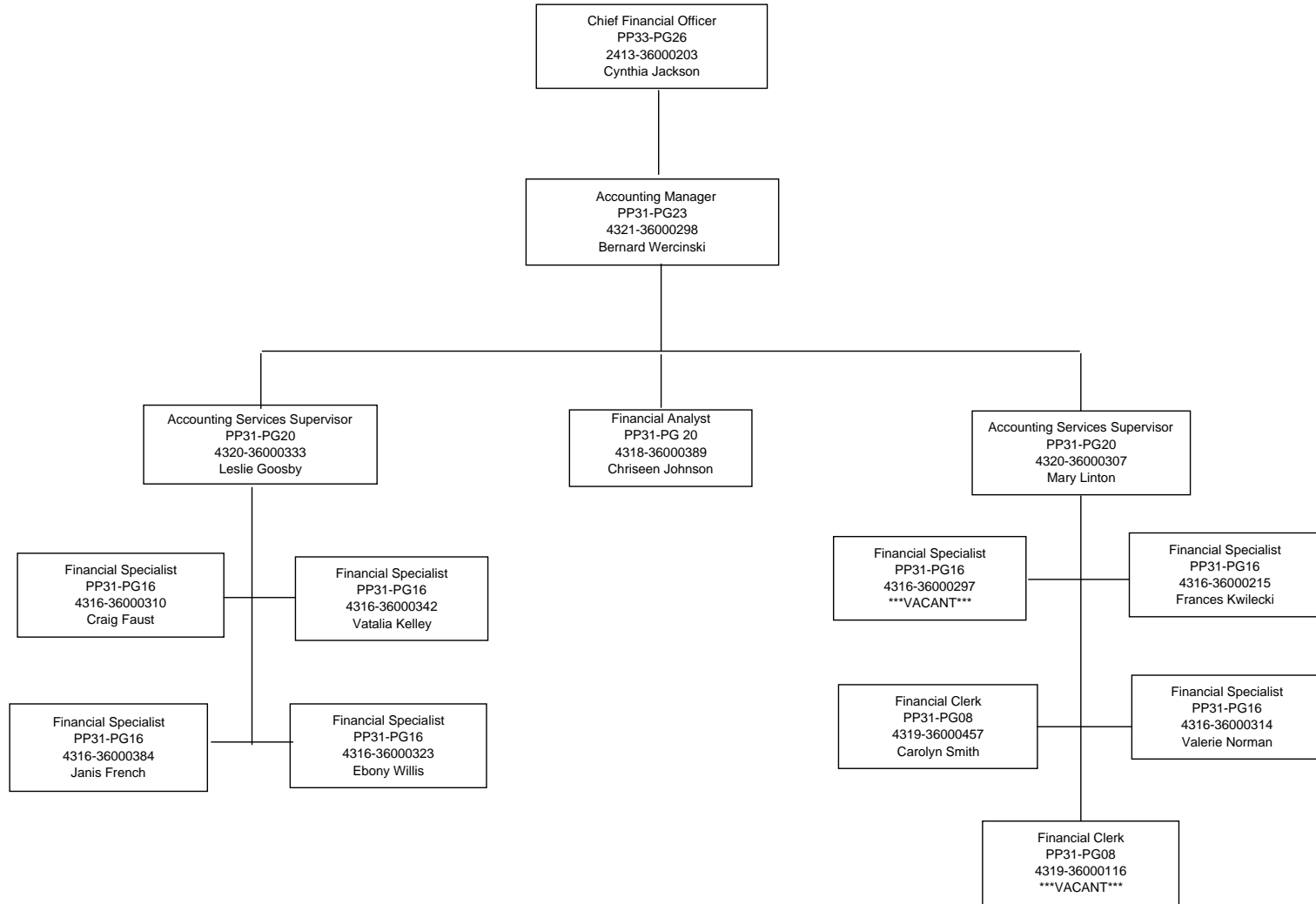


DEPARTMENT OF THE LOTTERY
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 36803030000 - GENERAL ACCOUNTING
 36803040200 - CLAIMS PROCESSING





DEPARTMENT OF THE LOTTERY
36803040200 - CLAIMS PROCESSING

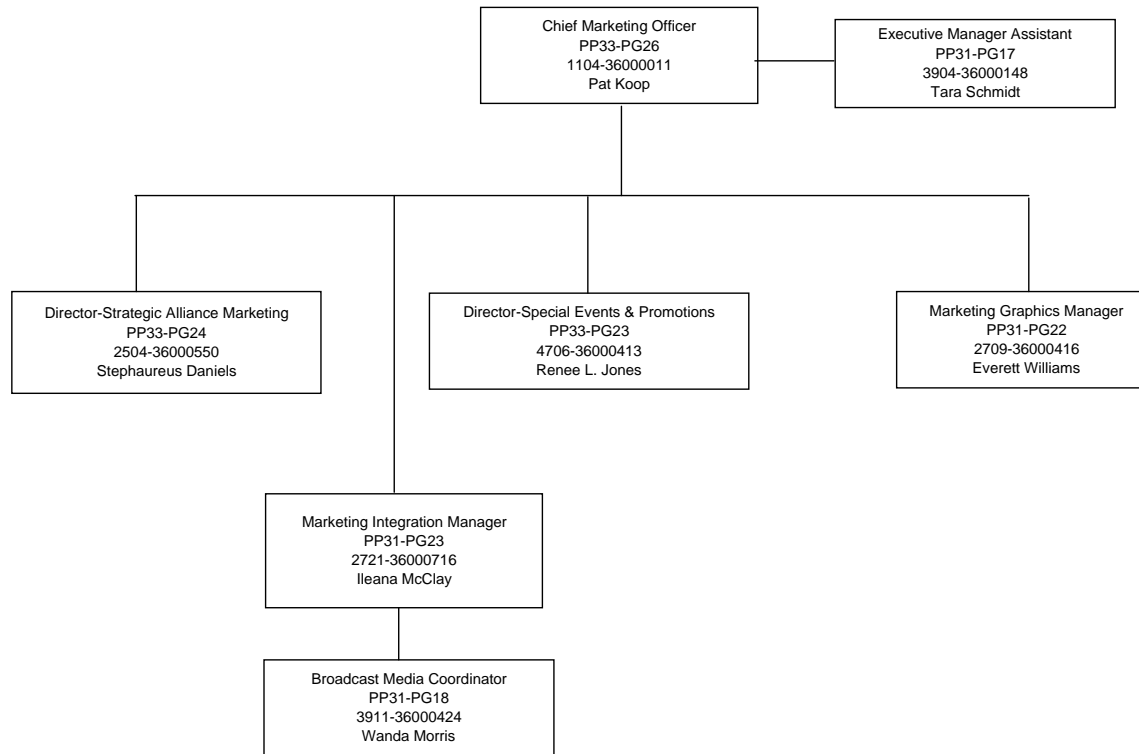


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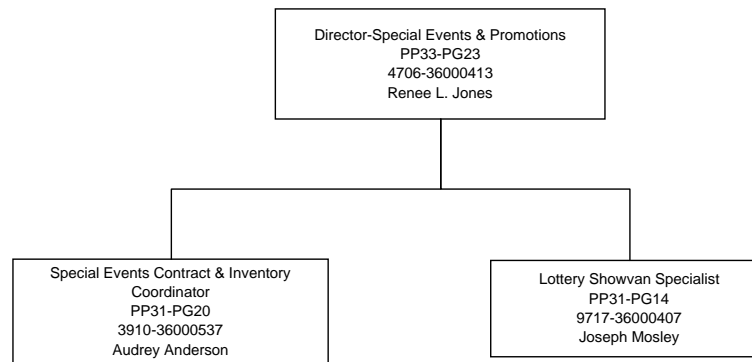
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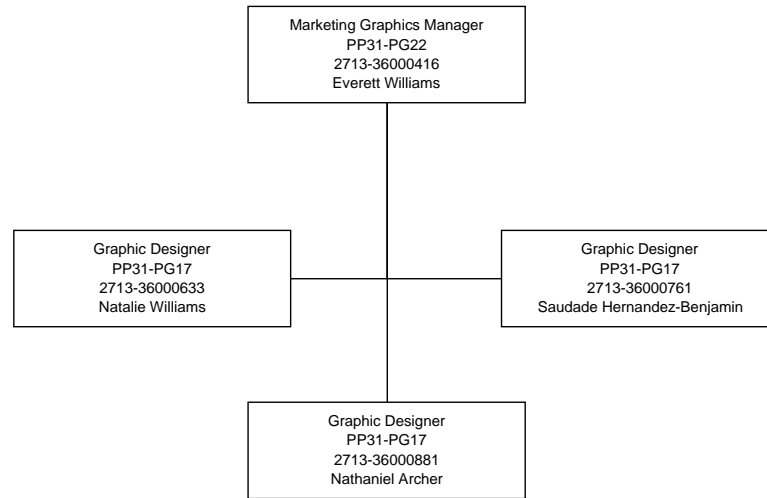
36901500000 - SPECIAL EVENTS AND PROMOTIONS

36902000000 - GRAPHICS



DEPARTMENT OF THE LOTTERY
36901500000 - SPECIAL EVENTS AND PROMOTIONS





DEPARTMENT OF THE LOTTERY

36903010000 - CORPORATE SALES

36903040101 - TALLAHASSEE DISTRICT (01)

36903040103 - PENSACOLA DISTRICT (03)

36903040104 - JACKSONVILLE DISTRICT (04)

36903040105 - GAINESVILLE DISTRICT (05)

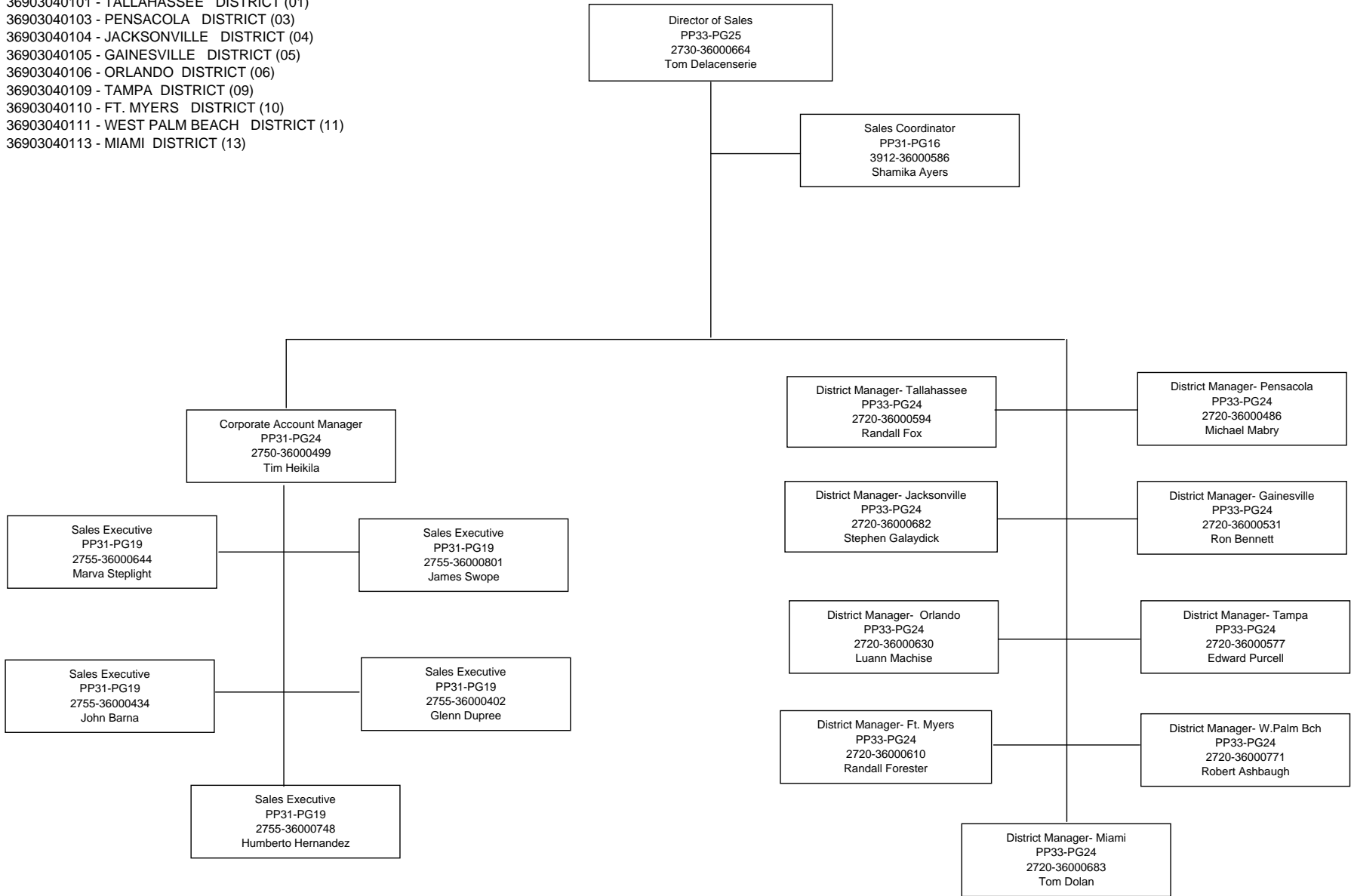
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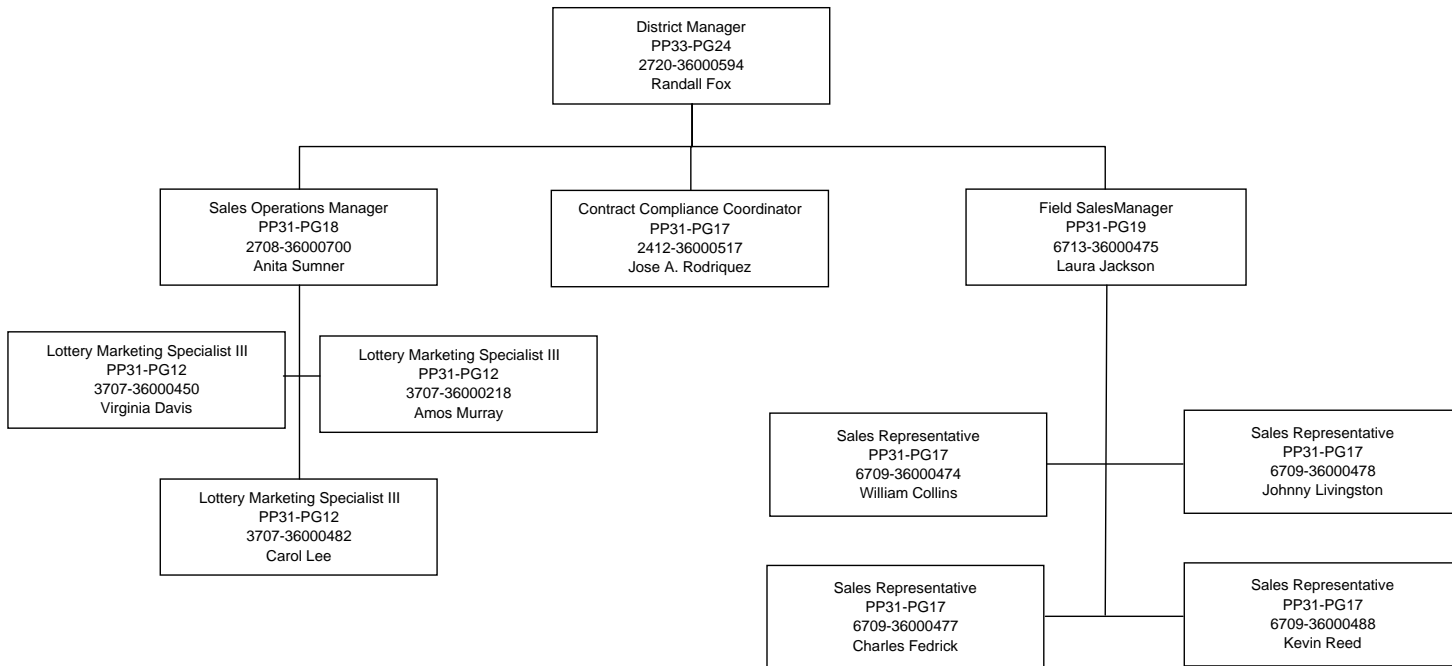
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36903040110 - FT. MYERS DISTRICT (10)

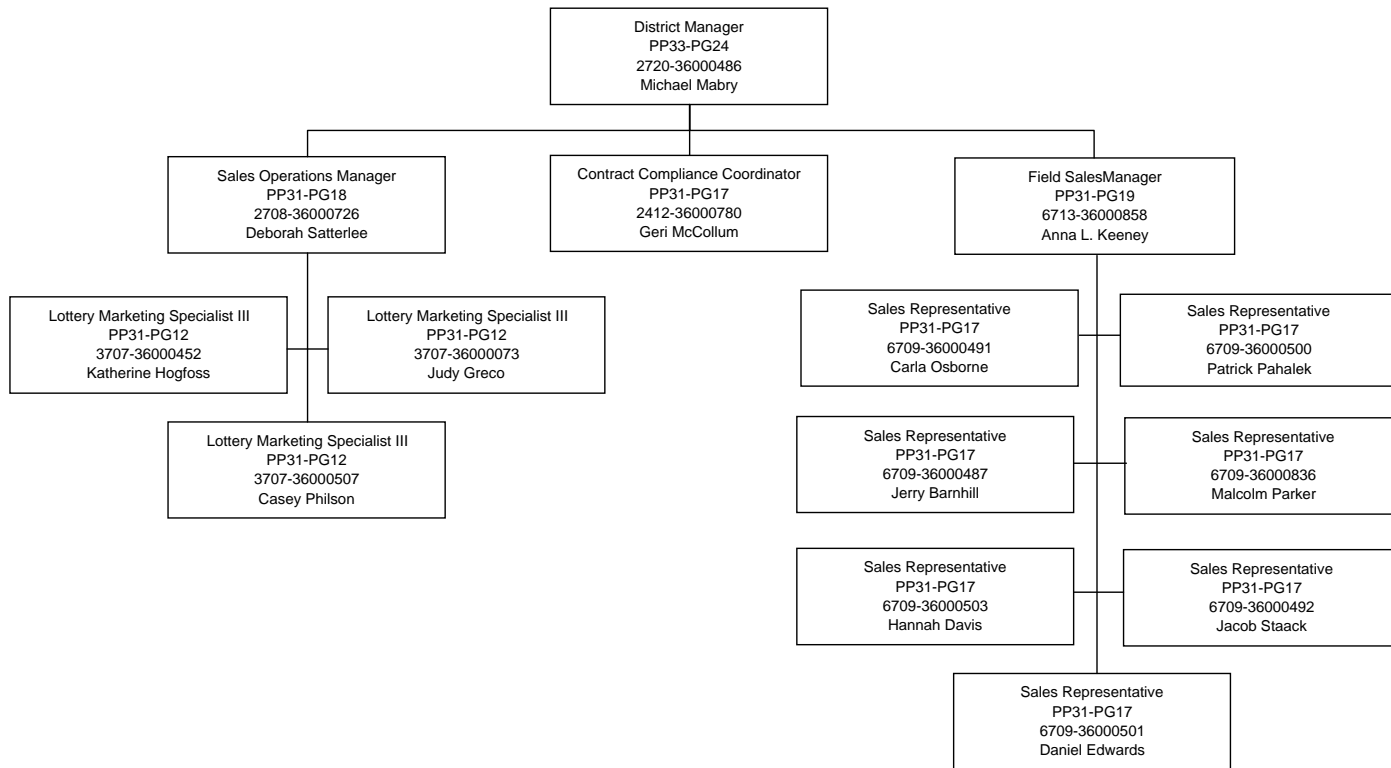
36903040111 - WEST PALM BEACH DISTRICT (11)

36903040113 - MIAMI DISTRICT (13)

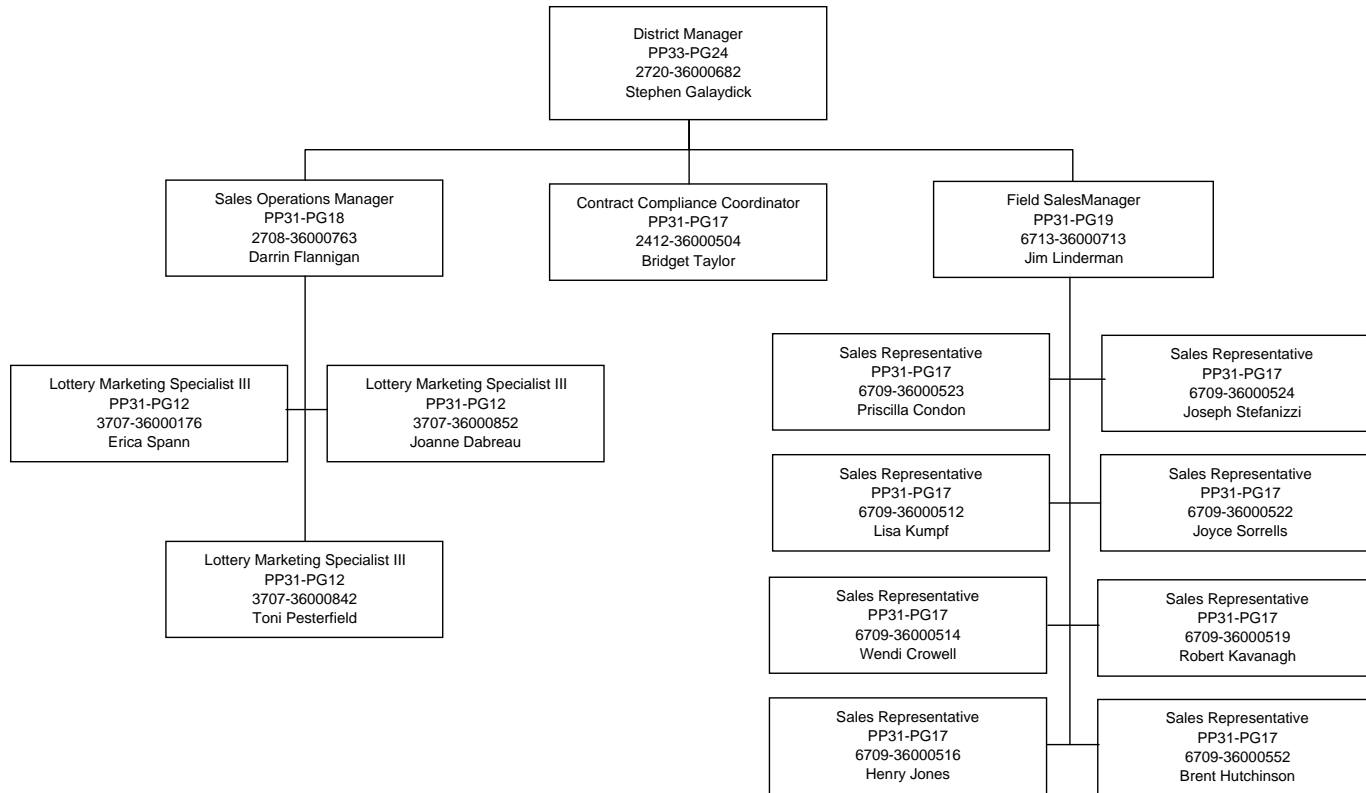




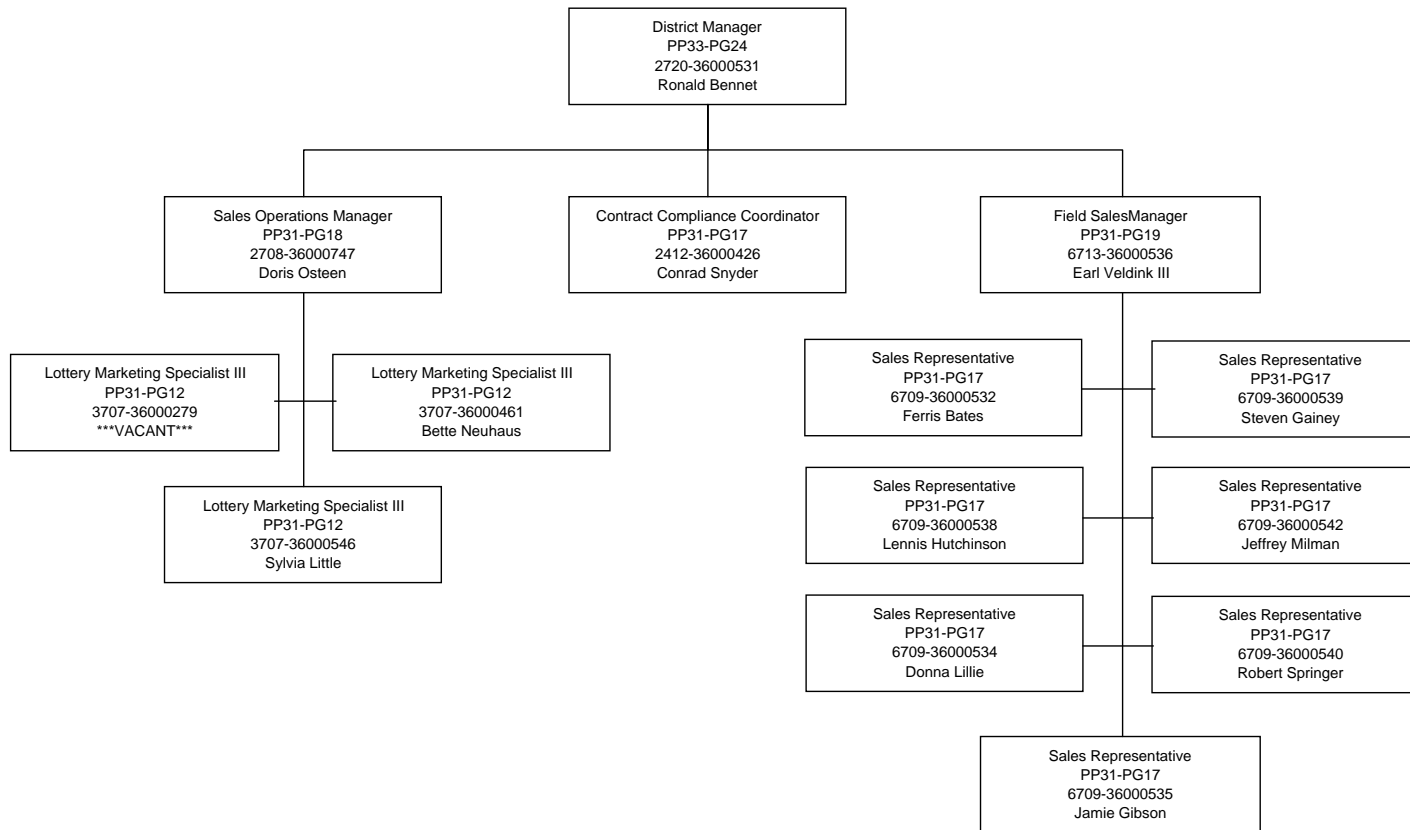
DEPARTMENT OF THE LOTTERY
 36903040103 - PENSACOLA DISTRICT (03)

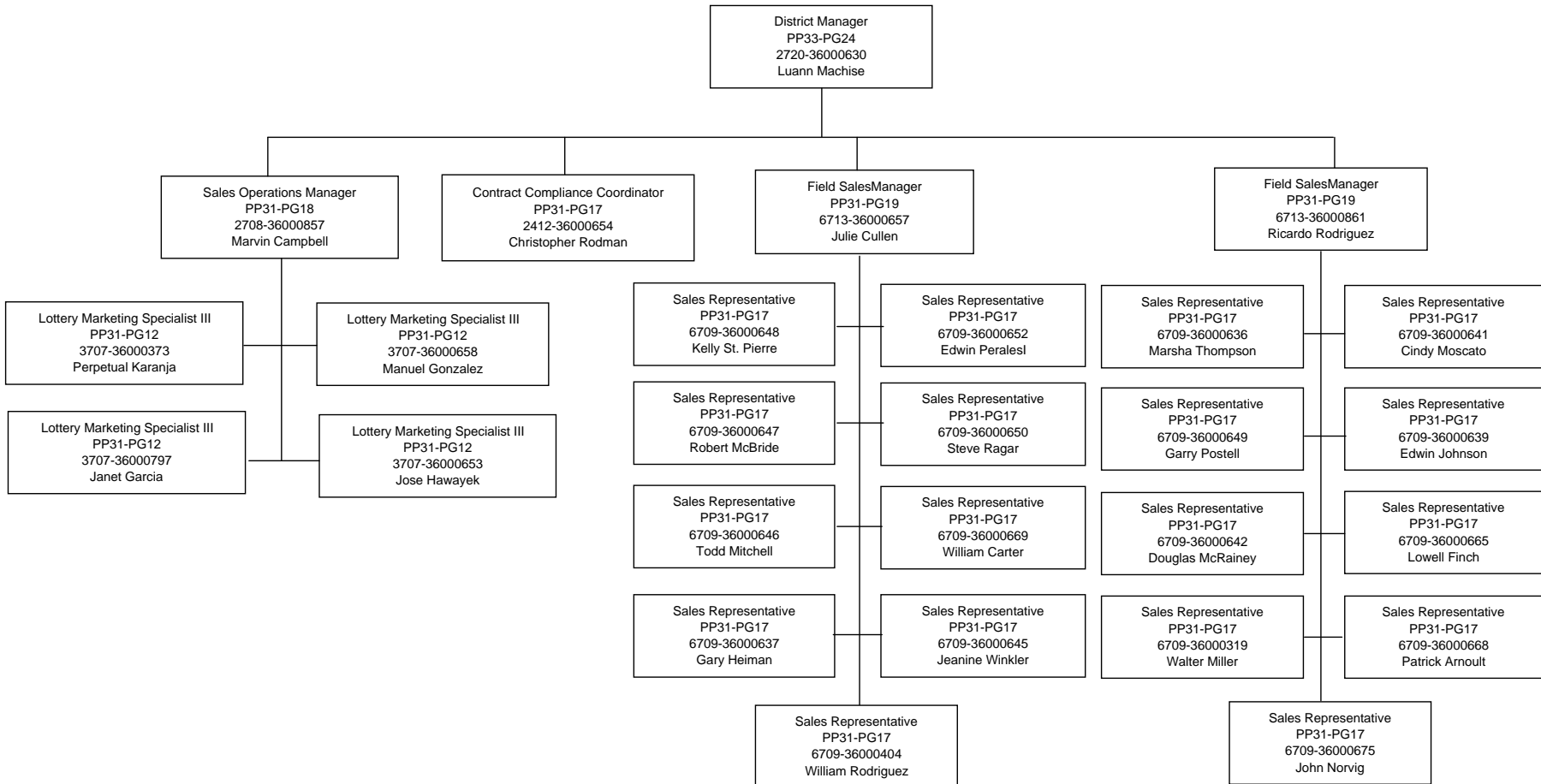


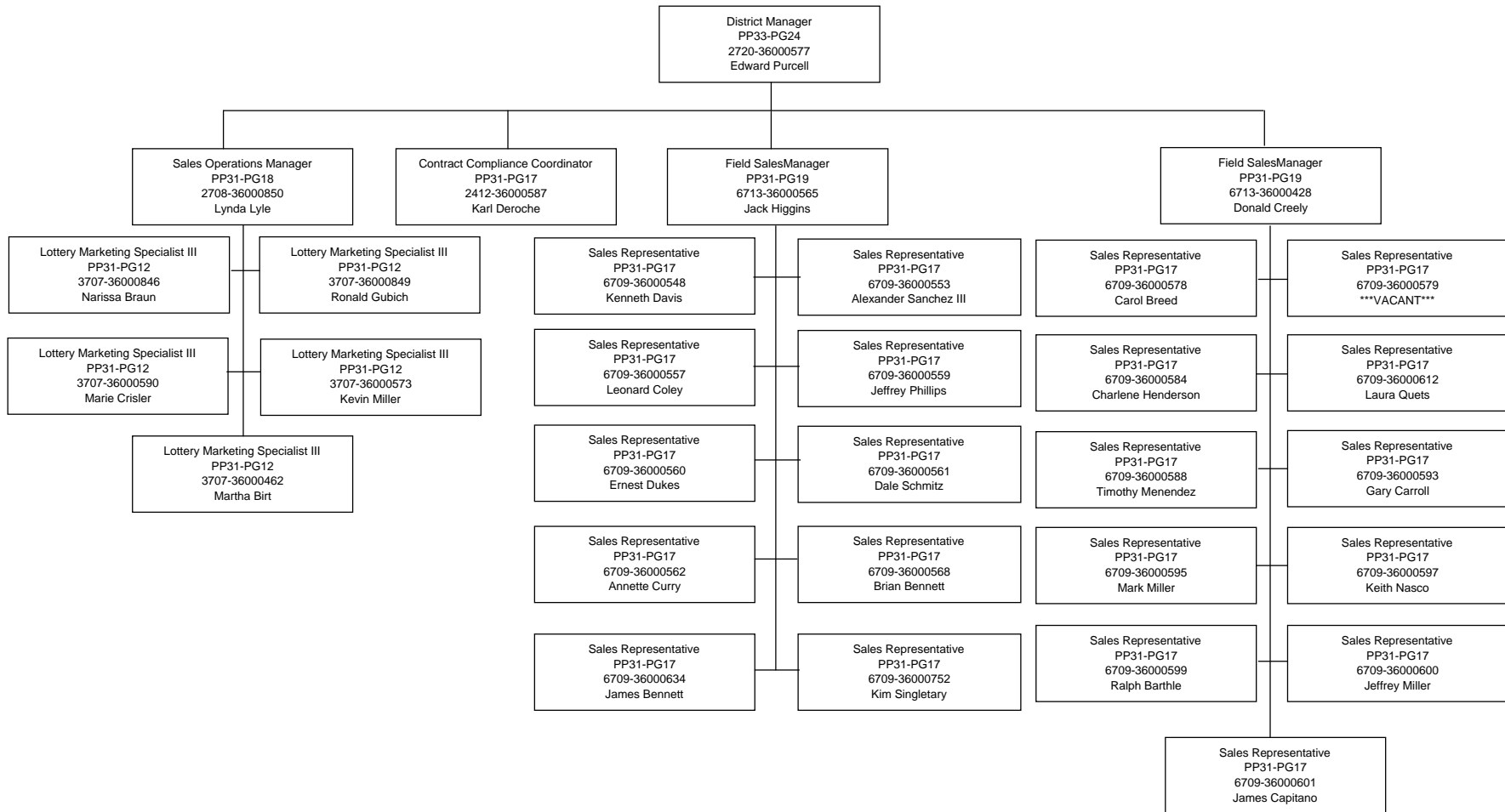
DEPARTMENT OF THE LOTTERY
 36903040104 - JACKSONVILLE DISTRICT (04)



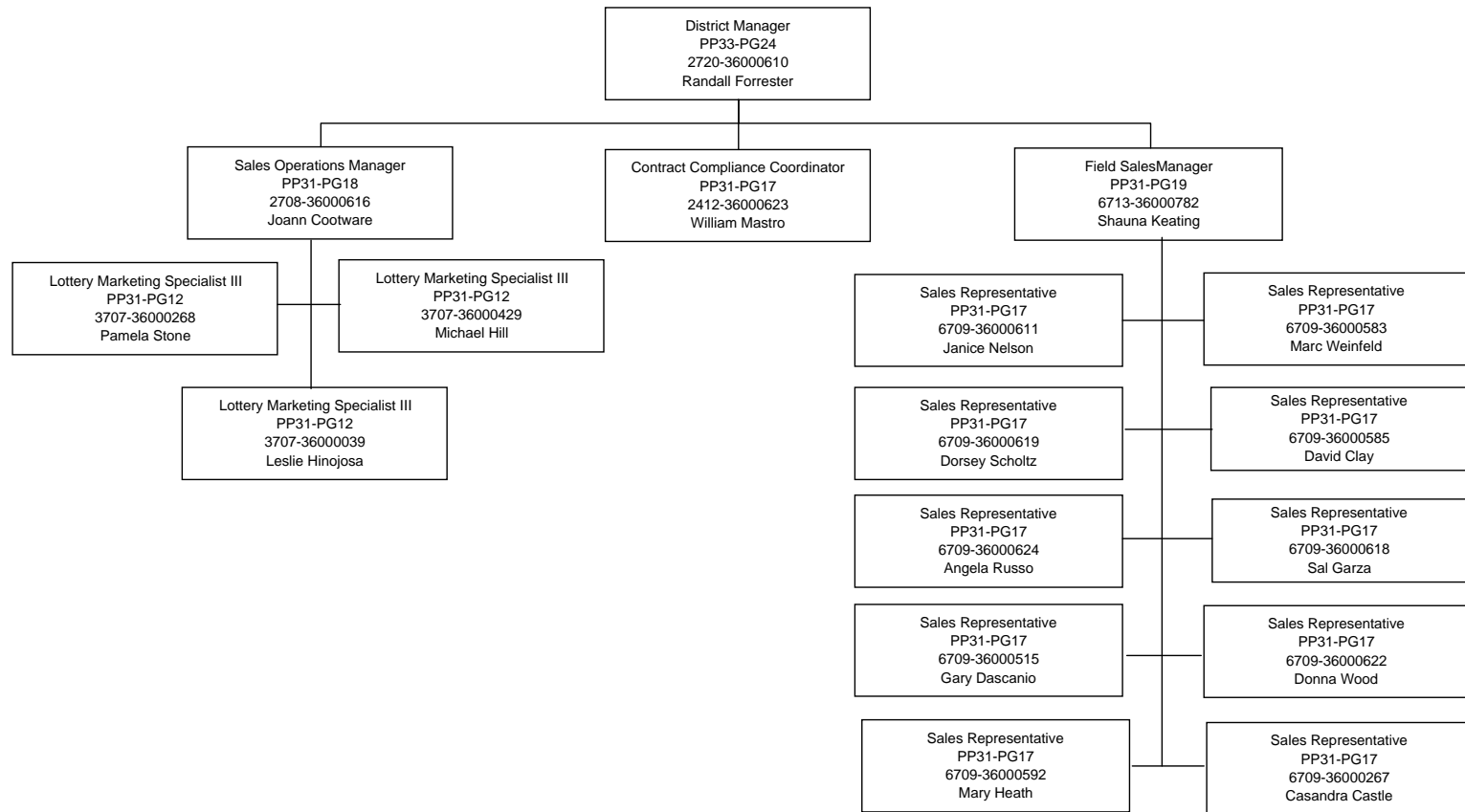
DEPARTMENT OF THE LOTTERY
 36903040105 - GAINESVILLE DISTRICT (05)



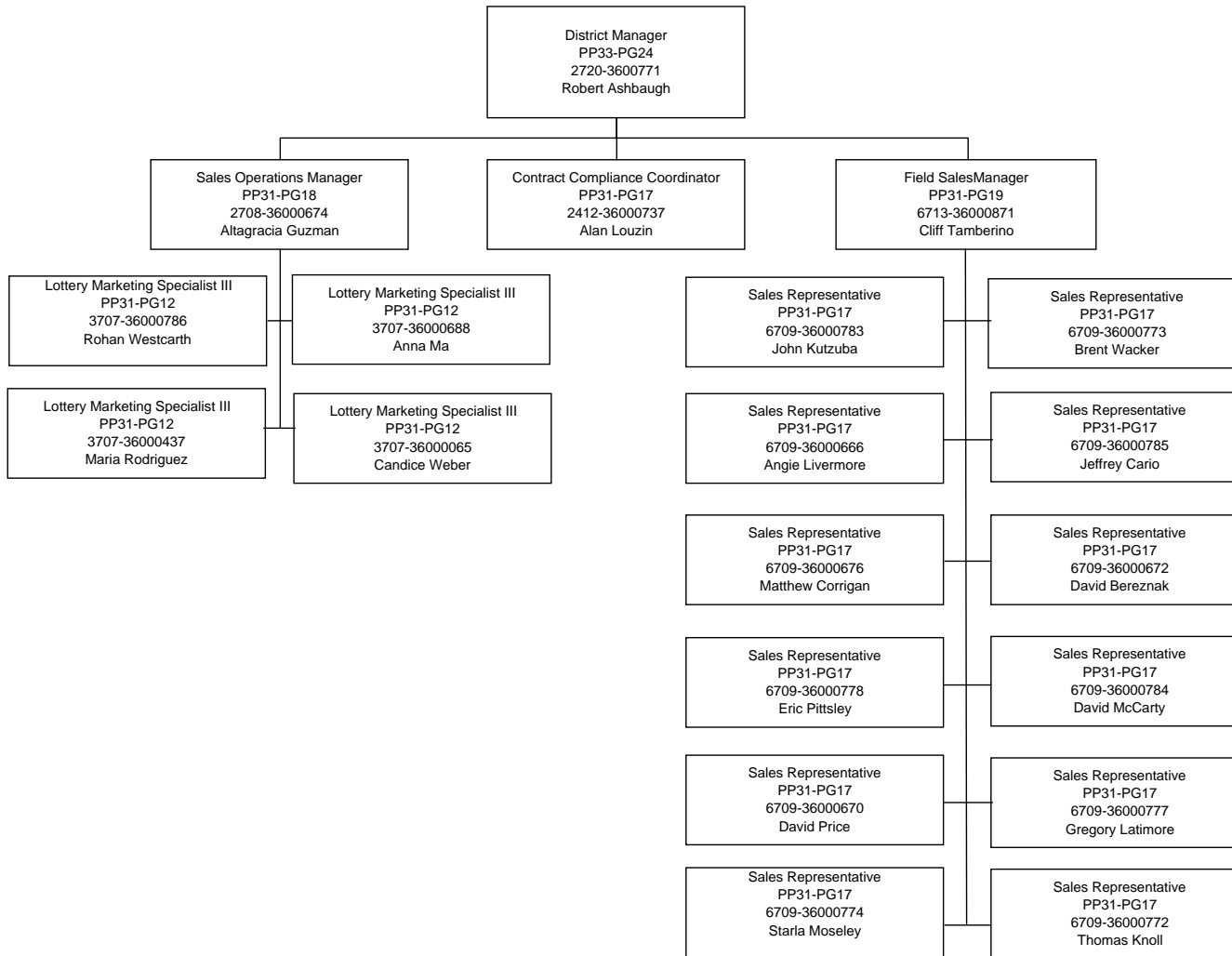


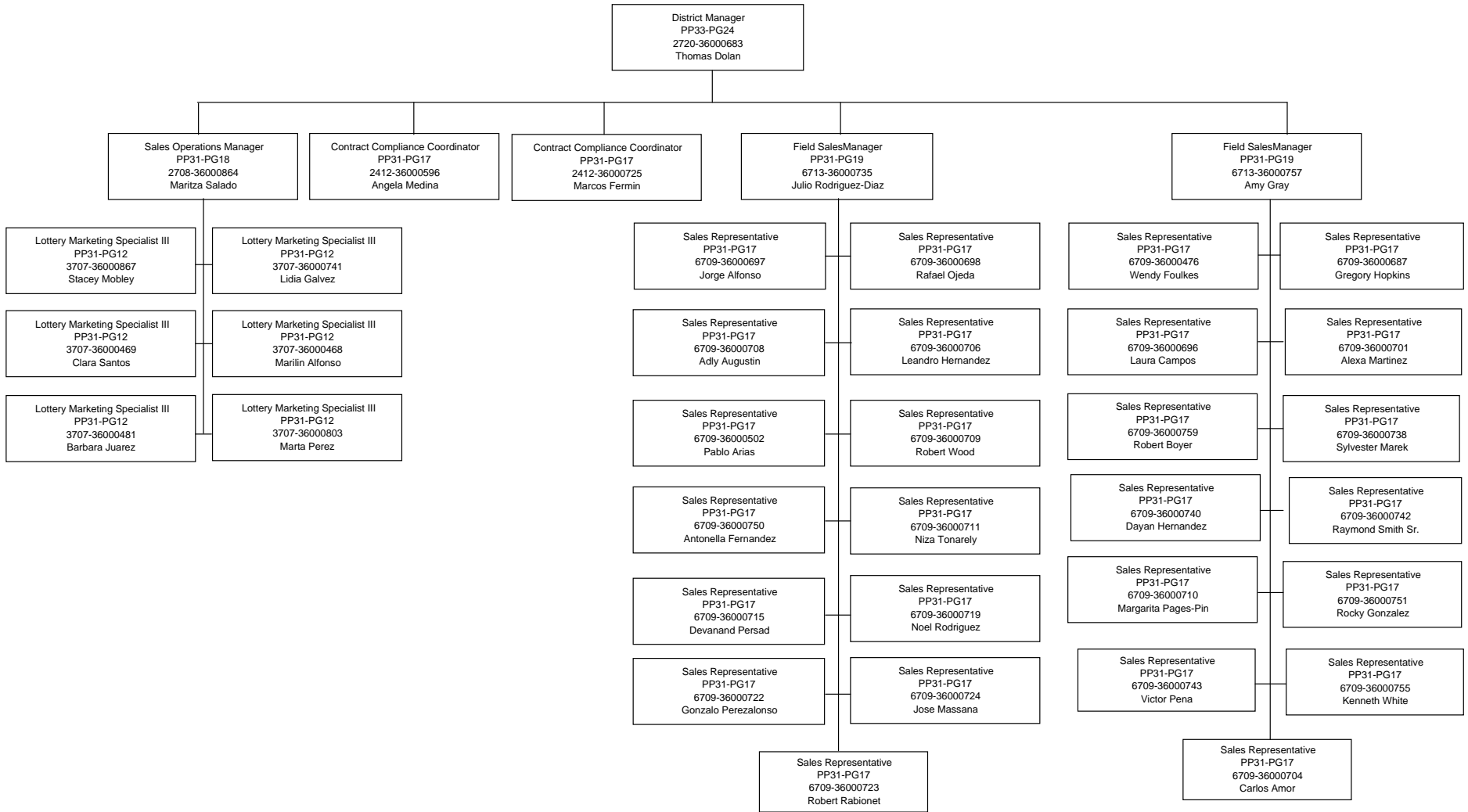


DEPARTMENT OF THE LOTTERY
 36903040110 -FT. MYERS DISTRICT (10)



DEPARTMENT OF THE LOTTERY
 36903040111 - WEST PALM BEACH DISTRICT (11)





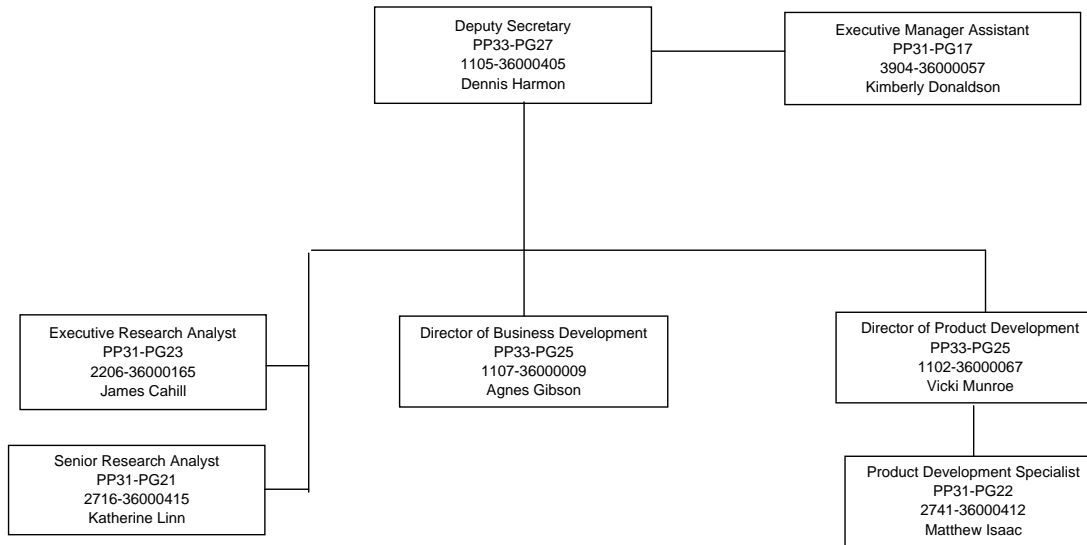
DEPARTMENT OF THE LOTTERY

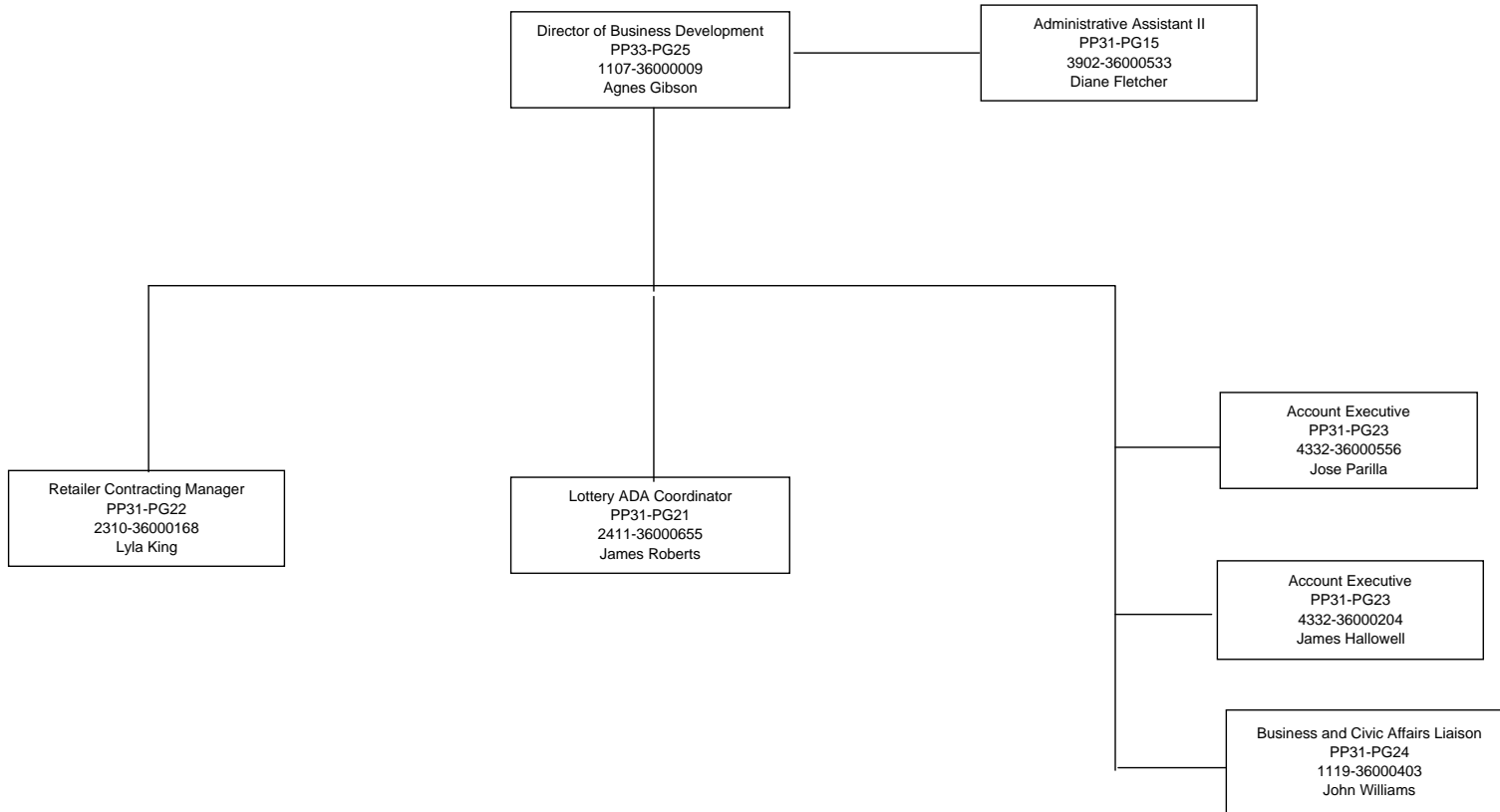
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36951000000 - BUSINESS DEVELOPMENT

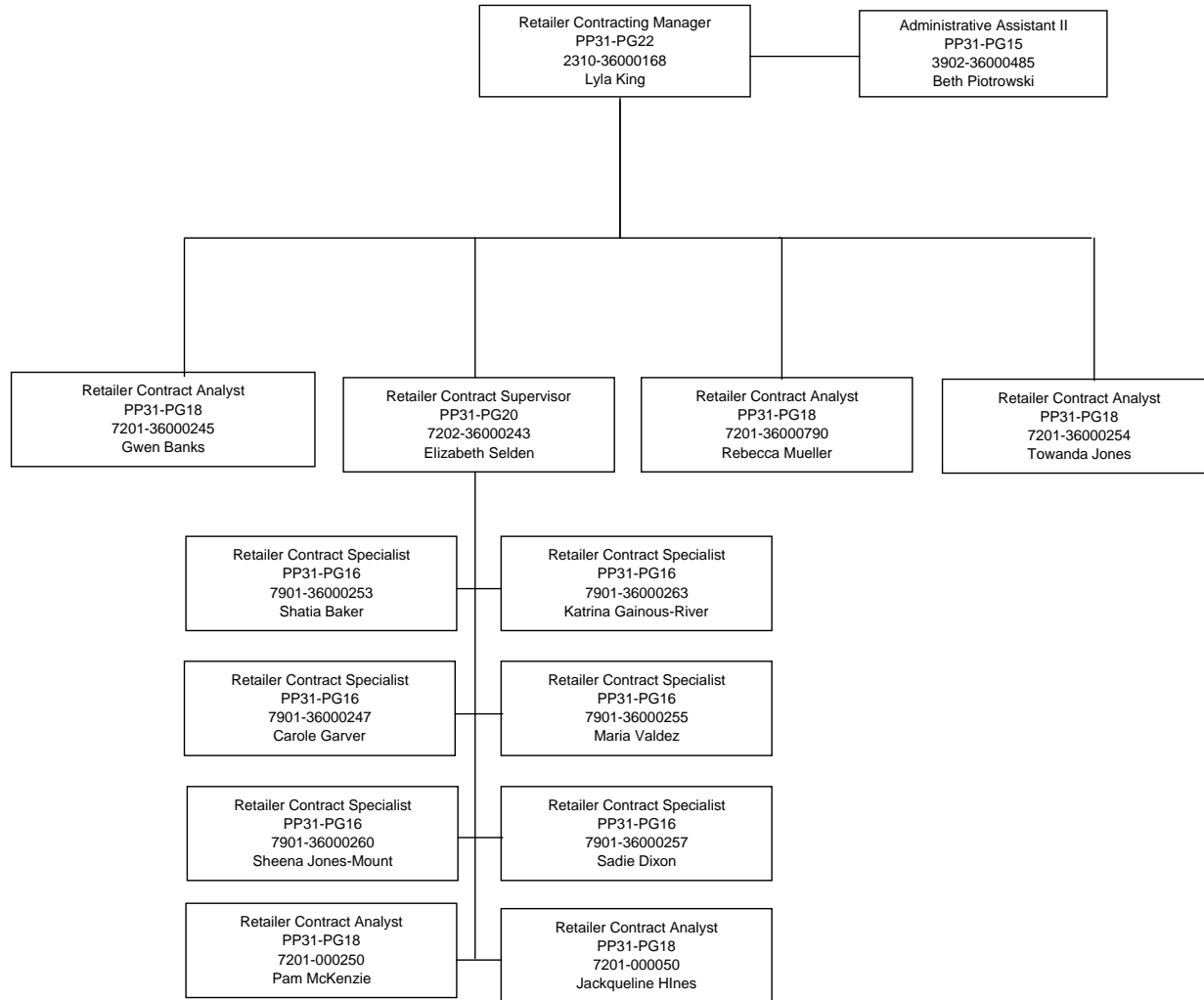
36952000000 - MARKETING RESEARCH

36120000000 - PRODUCT DEVELOPMENT





DEPARTMENT OF THE LOTTERY
 36951010000 - RETAILER CONTRACTING



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**Schedule I Series
Budget Request Year 2010-2011**

Leo DiBenigno, Secretary

October 2009

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2010 - 2011 Florida Lottery
Trust Fund Title:	Operating Trust Fund
Budget Entity:	36010000
LAS/PBS Fund Number:	2510

	Balance as of 6/30/2009		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	85,596.40	(A)		
ADD: Other Cash (See Instructions)	313,601.44	(B)		
ADD: Investments	125,181,429.83	(C)		
ADD: Outstanding Accounts Receivable	45,831,611.16	(D)		
ADD: Inventories	843,357.92	(E)		
Total Cash plus Accounts Receivable	172,255,596.75	(F)		
LESS Allowances for Uncollectibles	1,466,119.94	(G)		
LESS Approved "A" Certified Forwards	8,209,476.93	(H)		
Approved "B" Certified Forwards	159,030.00	(H)		
Approved "FCO" Certified Forwards		(H)		
LESS: Other Accounts Payable (Nonoperating)	81,723,572.86	(I)		
LESS: Due to Education	80,697,397.02	(J)		
Unreserved Fund Balance, 07/01/09	(0.00)	(K)		**

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: 2010 - 2011

Department Title:	<u>Florida Lottery</u>
Trust Fund Title:	<u>Operating Trust Fund</u>
LAS/PBS Fund Number:	<u>2510</u>

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-09 (A)

Add/Subtract:

(B)

Other Adjustment(s):

Invested in restricted Lottery assets of \$128,283,338.32 is intended to reflect the portion of net assets that are associated with non-liquid, capital assets, and is restricted to cover future jackpots, supplemented jackpots, depreciation and asset disposal in future years. Therefore the Lottery has no unreserved fund balance at year end.

(C)

(C)

ADJUSTED BEGINNING TRIAL BALANCE:

(D)

UNRESERVED FUND BALANCE, SCHEDULE IC

(E)

DIFFERENCE:

(F)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2010 - 2011

Department: Lottery

Chief Internal Auditor: Andy Mompeller

Budget Entity: Lottery Operations

Phone Number: 850-487-7726

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
07/08-27-A	12/31/2008	General Services/Contract Management	<p>For contract administration overseen by the Lottery's Division of General Services, there is limited monitoring of and reporting on contract deliverables to contract administration staff, as well as insufficient oversight over the Agency's contract managers. These are critical components of the contracting process and the audit recommended that General Services management ensure that staff perform these important functions.</p> <p>Florida Lottery expectations of and directives to contract managers should be more formalized and processes involving the establishment, monitoring and work processes for tracking of performance bonds and securities as well as contract approval processes should be improved. Recommendations were made to implement internal controls as well as improve and formalize the Lottery's requirements and expectations of its contract managers.</p>	<p>Lottery General Services concurred with a portion of the audit recommendations and agreed to take corrective action. In their response to the audit findings, they stated that they do not believe Lottery contract managers should formally report to General Services contract monitoring activities. Additionally, they disagreed with the audit recommendation that contract managers enforce Lottery procedures which require contractors to mail invoices directly to accounts payable.</p> <p>Lottery General Services management partially agreed with the audit recommendations. While they agreed to formalize contract management expectations into written form, they felt that existing position descriptions for staff with contract management responsibilities were sufficiently descriptive of their overall management responsibilities. While the audit recommended that the Lottery's Contract Coordinator be the sole individual who delivers and retrieves securities relating to contracts to and from the Chief Financial Officer's securities custodian, General Services management restricted implementation of the recommendation to contracts administered by the General Services Office.</p> <p>A follow-up assessment to corrective action taken will be performed in Fiscal Year 2009-2010.</p>	

06/07-16-A	6/30/2007	Operations	The Florida Lottery does not have a disaster recovery plan in effect for its information technology resources. The Florida Lottery's Information Technology Disaster Recovery Plan (ITDRP) is in draft form, and has not been completed, approved or implemented and is not in sufficient detail to efficiently and effectively restore and support information technology resources. Recommendations were made to identify staff resources to task with completing the ITDRP.	Lottery Information Resources Management has completed the update and formalization of the Lottery's Information Technology Disaster Recover Plan.	
06/07-41-A	12/31/2007	Games Administration	The audit found that the system used to process retailer adjustments had internal control deficiencies and unsecured access existed to active tickets received by the Division and that tickets received were not individually tracked/monitored. Retailer adjustment requests granted by the Division are done so without time limits and at times without required documentation. The Division has not established any type of formal monitoring of retailer adjustments granted for abnormalities or unusual adjustment activity.	Lottery management concurred with the findings and recommendations and has fully addressed the audit findings and recommendations.	
2008-069	6/30/2007	Florida Lottery	The Florida Auditor General issued a report on the financial statements of the Florida Lottery dated June 30, 2007. The report contained four findings that related to strengthening IT controls, amending existing contracts with its scratch-off and online gaming vendors addressing the ownership of marketing and research funds, the improvement of controls over electronic funds payments, and the Lottery's continued non-compliance with Section 24.113, Florida Statutes pertaining to minority retailer participation.	Lottery management concurred with the findings and recommendations and is in the process of taking corrective action. The finding relating to Section 24.133, Florida Statutes compliance has been an unsuccessful legislative issue for several years.	

Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): DEPARTMENT OF THE LOTTERY

Agency Budget Officer/OPB Analyst Name: MELISA SPIVEY/LEE MOORE

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

	Program or Service (Budget Entity Codes)			
Action	3601			

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Y				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y				

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has security been set correctly? (CSDR, CSA)	Y				
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
--	-----	--	--	--	--

AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
--	---	--	--	--	--

Action		3601				
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.) <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) <i>Please note that the LBR Instructions reference the wrong B column.</i>	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.					

		Program or Service (Budget Entity Codes)			
Action		3601			
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 2008-09 approved budget. Amounts should be positive.				
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.				
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)					
6.1	Are issues appropriately aligned with appropriation categories?	Y			
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
7. EXHIBIT D-3A (EADR, ED3A)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y			
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	Y			
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	N/A			

Action		3601				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	N/A				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	N/A				
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A				
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					

Action		3601				
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A				
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A				
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	N/A				

Action		3601				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	N/A				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	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				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For	Y				

Action		3601				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y				
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 124 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	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 OADI or OADR to identify agency other salary amounts requested	N/A				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y				
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				

Action		3601				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y				
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				
17.5	Are the appropriate counties identified in the narrative?	N/A				

		Program or Service (Budget Entity Codes)			
Action		3601			
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.				
18. FLORIDA FISCAL PORTAL					
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			