



FLORIDA PAROLE COMMISSION

TENA M. PATE, Chair
BERNARD R. COHEN, SR., Vice-Chair
MELINDA N. COONROD, Secretary

RICK SCOTT, Governor
PAM BONDI, Attorney General
JEFF ATWATER, Chief Financial Officer
ADAM PUTNAM, Commissioner of Agriculture

LEGISLATIVE BUDGET REQUEST

Florida Parole Commission
Tallahassee, FL 32399-2450

October 15, 2012

Mr. Jerry McDaniel, Director
Office of Policy and Budget
Executive Office of the Governor
The Capitol, Room 1702
Tallahassee, Florida 32399-0001

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Florida Parole Commission is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2013-14 Fiscal Year. This submission has been approved by me, Tena M. Pate, Chair of the Commission.

Should you have any questions, please direct them to Gina Giacomo at 488-3415 or Karen Huff at 921-2815. Your thoughtful consideration of the Commission's budget needs is very much appreciated.

Sincerely,

Tena M. Pate
Chair

COMMITTED TO PROTECTING THE PUBLIC

FLORIDA PAROLE COMMISSION
PAY ADDITIVES REQUEST
FOR FY 2013-2014

Section 110.2035(7)(b), Florida Statutes, requires each state agency to include in its annual legislative budget request a proposed written plan for implementing temporary special duties – general pay additives for the next fiscal year. The agency is not requesting any additional rate or appropriations for these additives.

In accordance with previous rule authority in 60L-32.0012, Florida Administrative Code, the Commission has used existing rate and salary appropriations to grant pay additives when warranted based on the duties and responsibilities of the position. The requested additives are justified for reasons such as additional assigned duties and responsibilities not customarily assigned to the position when another position become vacant.

Pay additives are a valuable management tool which allows agencies to recognize and compensate employees for identified duties without providing a permanent pay increase.

Temporary Special Duty

The agency requests approval to continue to grant a 10% pay additive to Parole Examiners who perform additional duties as a Regional Administrator.

1. Justification:

The Division of Operations has 50 Parole Examiner positions, 5 Parole Examiner Supervisor positions and 5 Regional Administrator positions. If a Regional Administrator position becomes vacant, this creates an office that does not have supervision, then a Parole Examiner will be given additional duties of supervision until the position has been filled.

2. Length of time additive will be used:

The additive will not be used more than 90 days at any given occurrence.

3. Classes and number of positions affected:

| <u>Class Code</u> | <u>Class Title</u> | <u># of FTE</u> |
|-------------------|--------------------|-----------------|
| 8127 | Parole Examiner | 1 |

4. Area impacted:

This additive will impact employees statewide.

5. Historical data:

This pay additive was last used in July 2012.

6. Estimated cost of this additive:

Based on a base salary for a Parole Examiner, the calculation is as follows: $\$35,113.80 \times 10\% = \$3,511.38$ x 1 position = $\$3,511.38 \times .25 = \877.85 annually. The Commission is not requesting any additional rate or appropriations for this additive.

Florida Parole Commission

Department Level Exhibits or Schedules

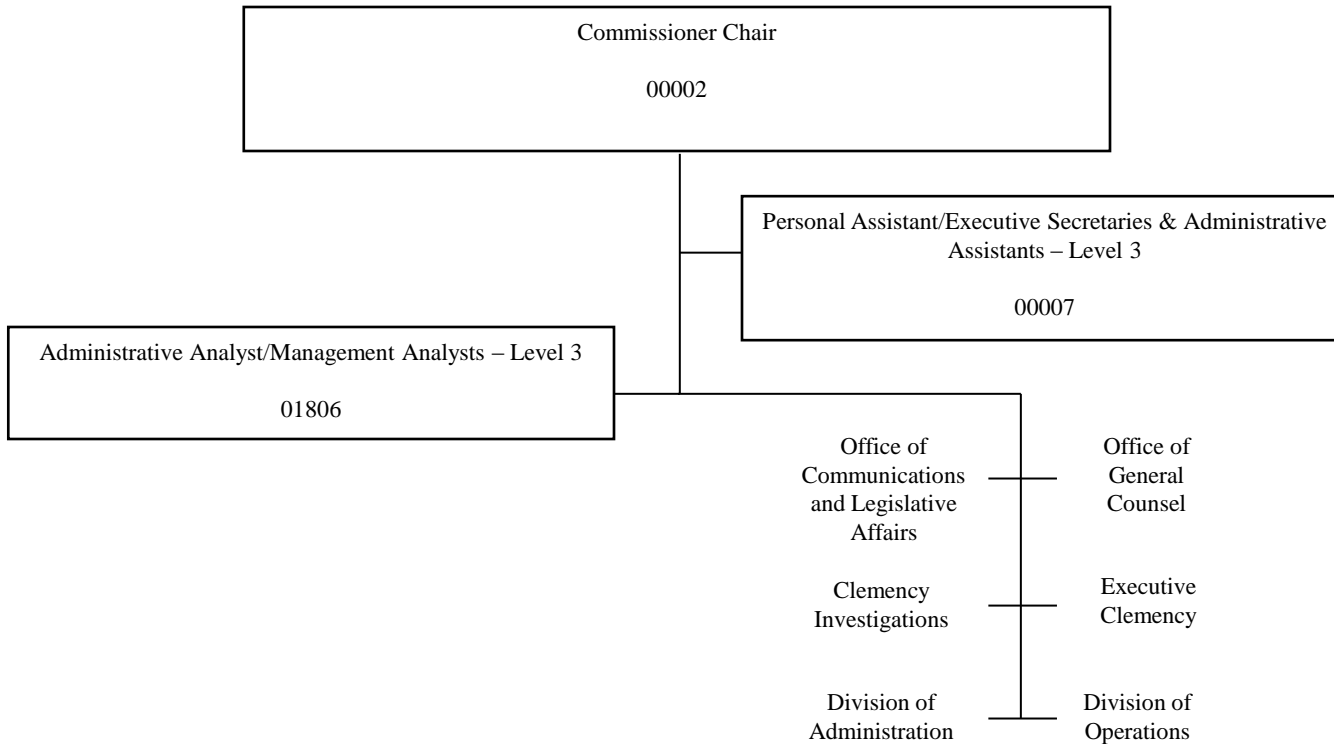
Schedule VII: Agency Litigation Inventory

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

| | | | |
|---|---|---|----------------|
| Agency: | Florida Parole Commission | | |
| Contact Person: | Sarah Rumph | Phone Number: | (850) 488-4460 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | There are no significant litigation cases pending, as defined by § 216.023(5), F.S. | | |
| Court with Jurisdiction: | N/A | | |
| Case Number: | N/A | | |
| Summary of the Complaint: | N/A | | |
| Amount of the Claim: | \$N/A | | |
| Specific Statutes or Laws (including GAA) Challenged: | N/A | | |
| Status of the Case: | N/A | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input 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 | | |

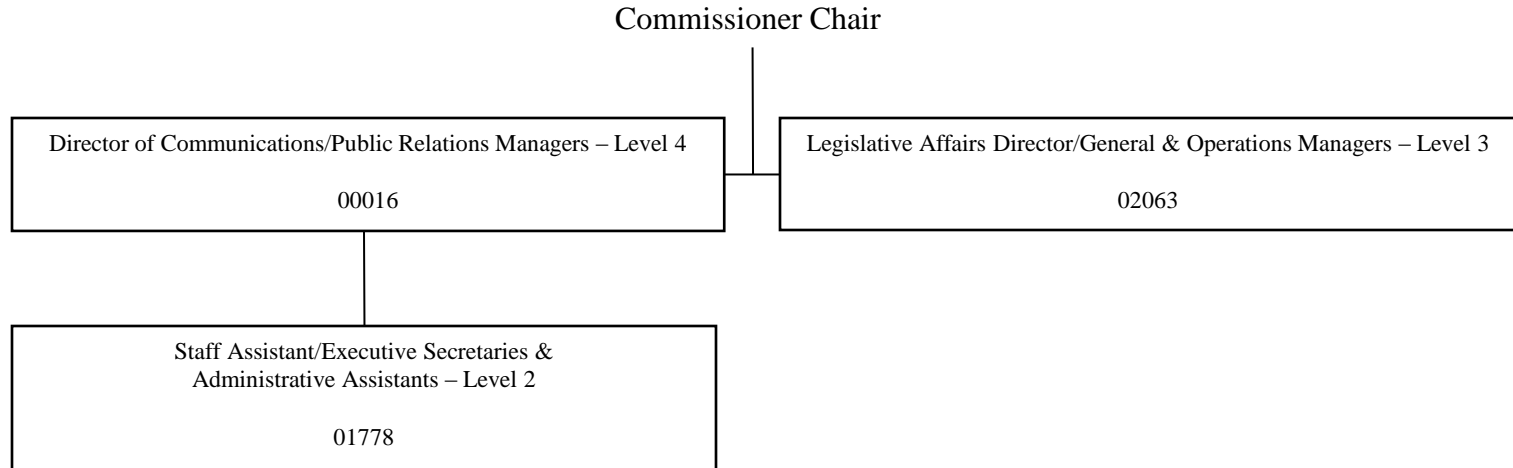
**FLORIDA PAROLE COMMISSION
OFFICE OF COMMISSIONER CHAIR**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 01 00 00 000
Authorized F.T.E.: 3
Total Authorized F.T.E: 122



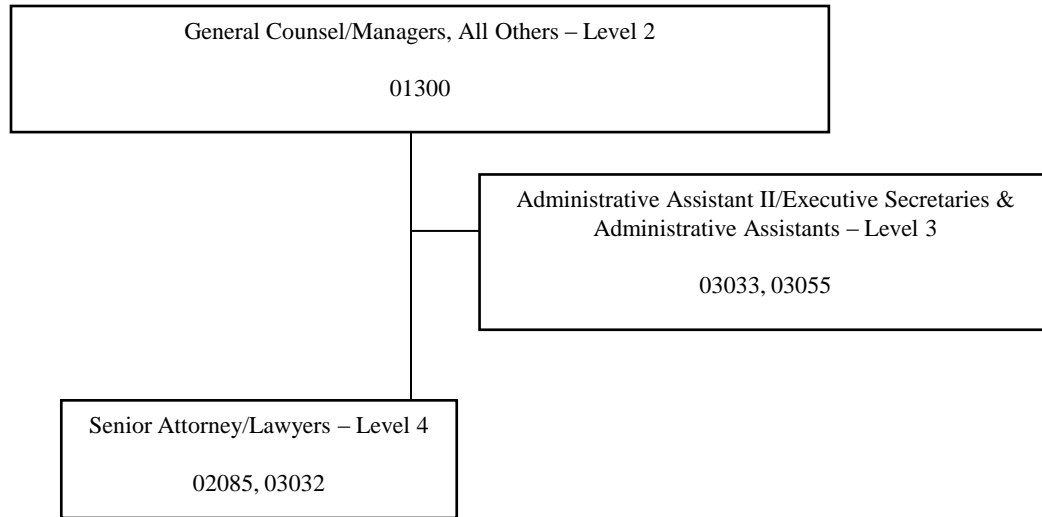
**FLORIDA PAROLE COMMISSION
OFFICE OF COMMUNICATIONS AND LEGISLATIVE
AFFAIRS**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 01 00 00 00
Authorized F.T.E.: 3



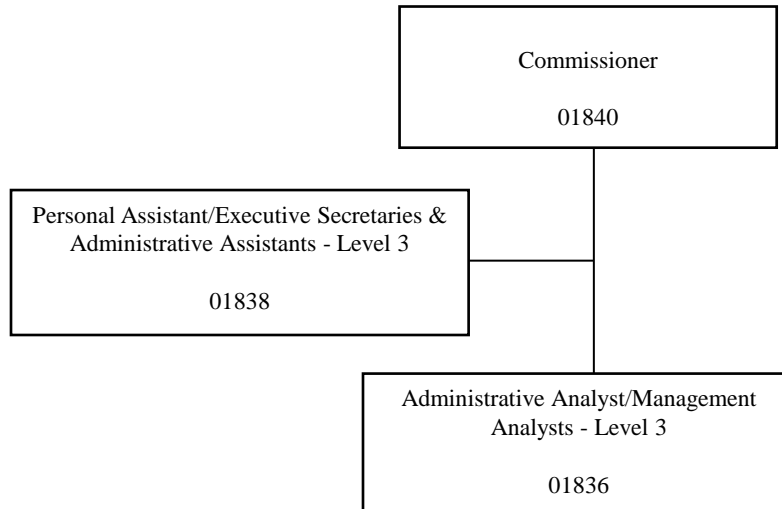
**FLORIDA PAROLE COMMISSION
OFFICE OF GENERAL COUNSEL**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 01 01 00 000
Authorized F.T.E.: 5



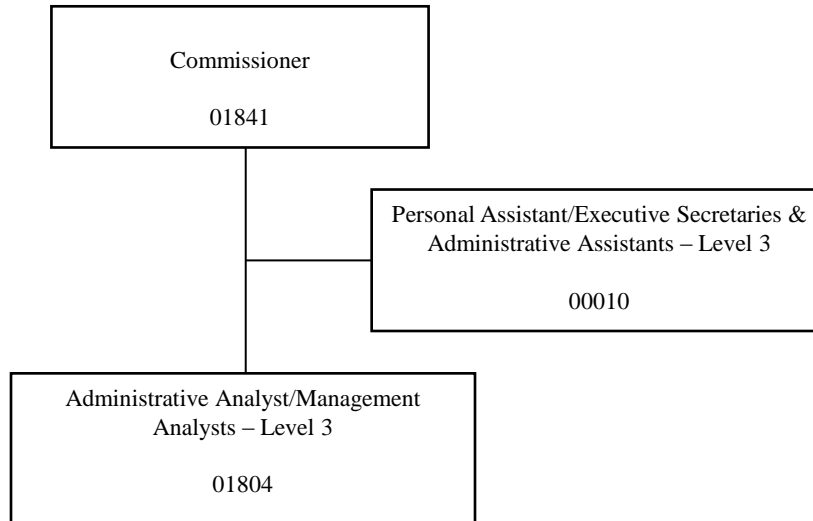
**FLORIDA PAROLE COMMISSION
OFFICE OF THE COMMISSIONERS**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 02 01 00 000
Authorized F.T.E.: 3



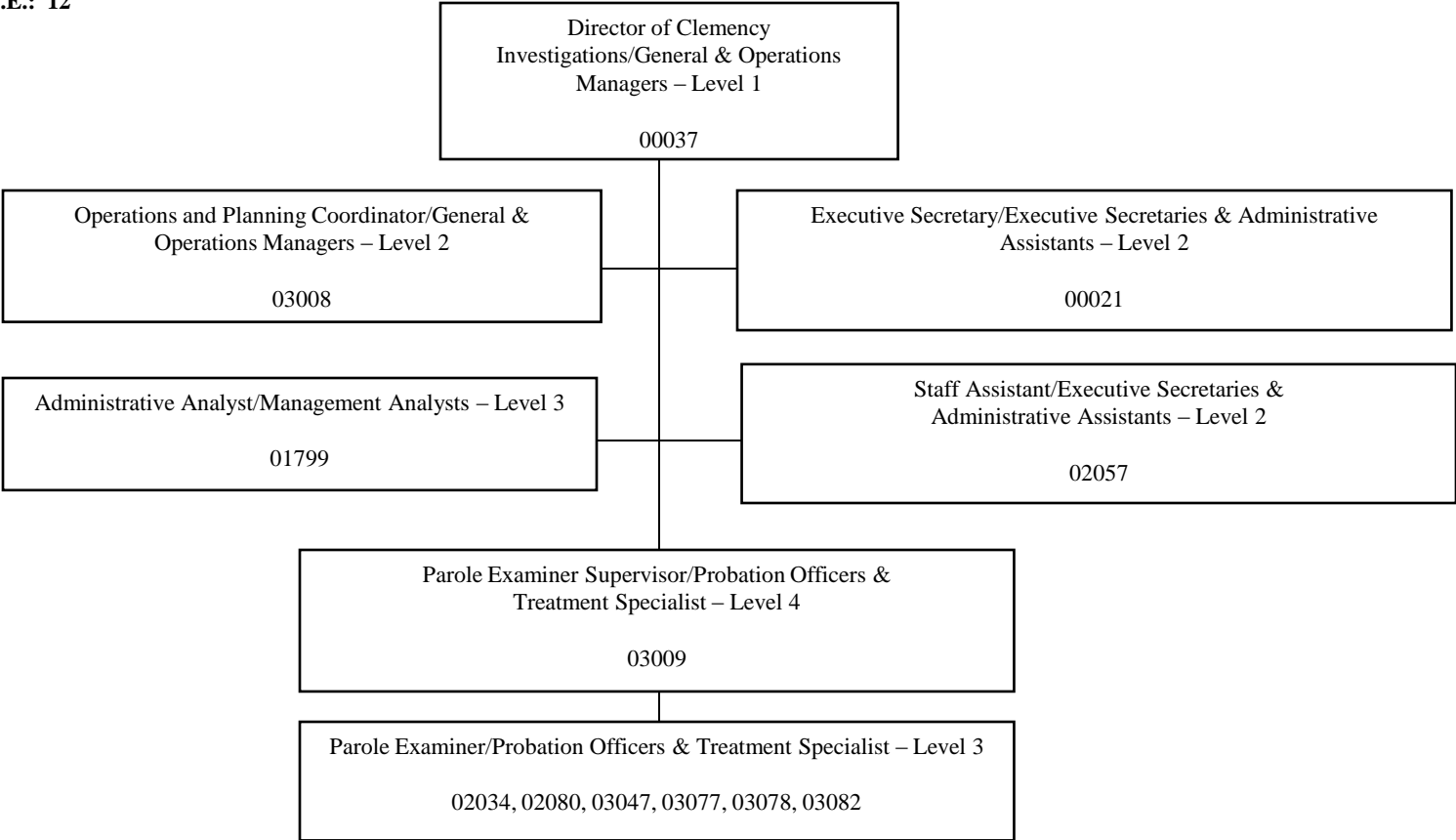
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OFFICE OF THE COMMISSIONERS**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 02 02 00 000
Authorized F.T.E.: 3



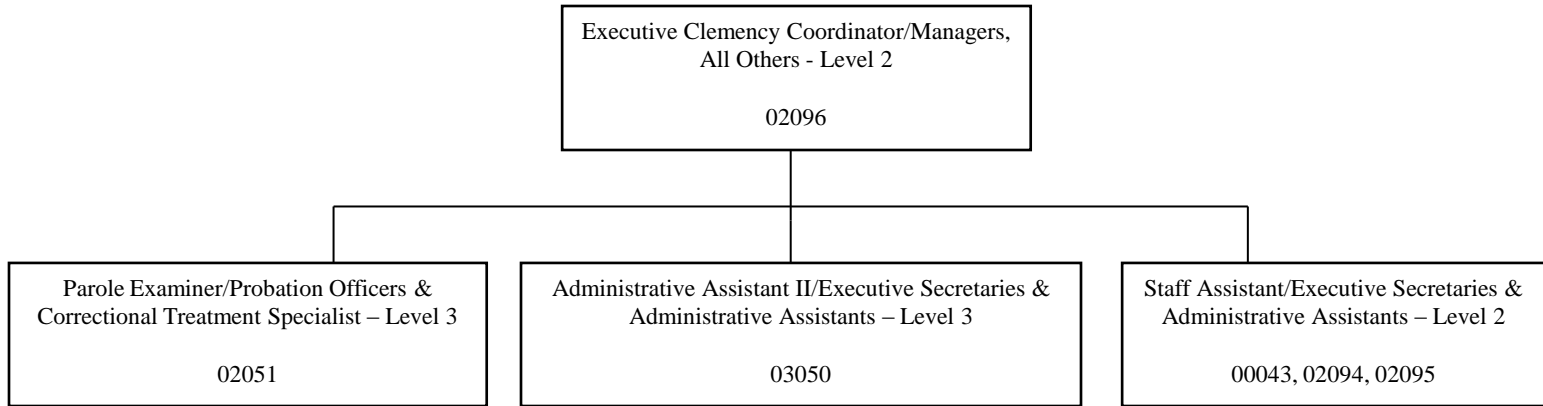
**FLORIDA PAROLE COMMISSION
CLEMENCY INVESTIGATIONS**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 03 00 00 000
Authorized F.T.E.: 12



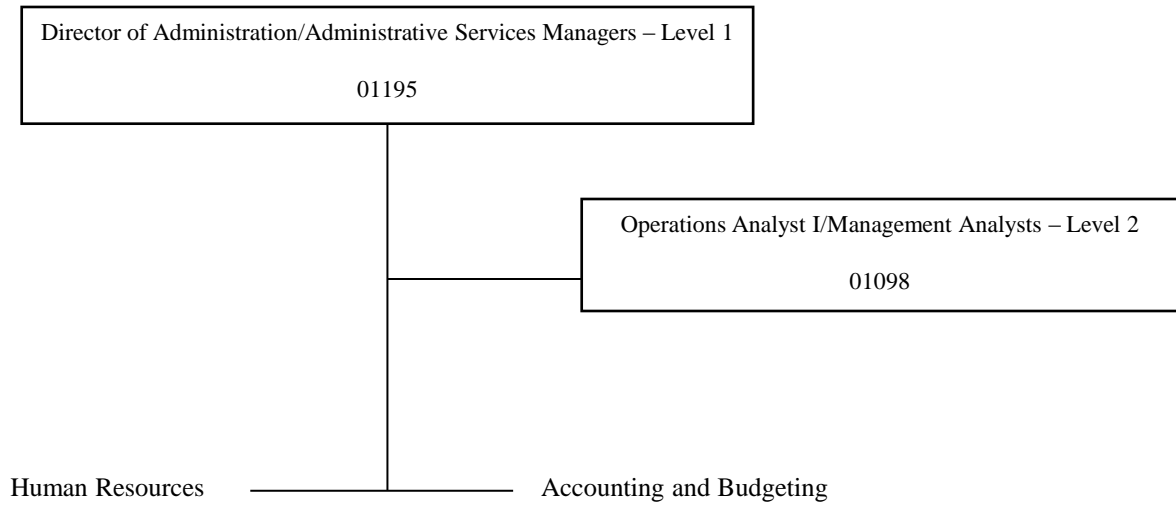
**FLORIDA PAROLE COMMISSION
EXECUTIVE CLEMENCY**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 03 01 00 000
Authorized F.T.E.: 6



**FLORIDA PAROLE COMMISSION
DIVISION OF ADMINISTRATION
DIRECTOR'S OFFICE**

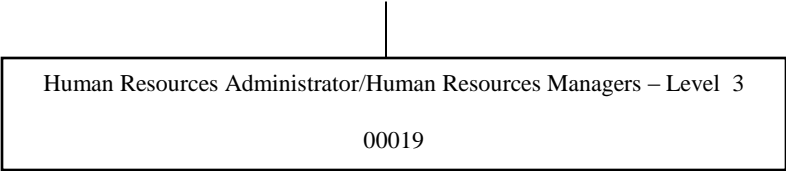
EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 04 00 00 000
Authorized F.T.E.: 2



**FLORIDA PAROLE COMMISSION
DIVISION OF ADMINISTRATION
HUMAN RESOURCES**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 04 01 00 000
Authorized F.T.E.: 1

Director of
Administration



**FLORIDA PAROLE COMMISSION
DIVISION OF ADMINISTRATION
ACCOUNTING AND BUDGETING**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 04 02 00 00
Authorized F.T.E.: 1

Director of
Administration

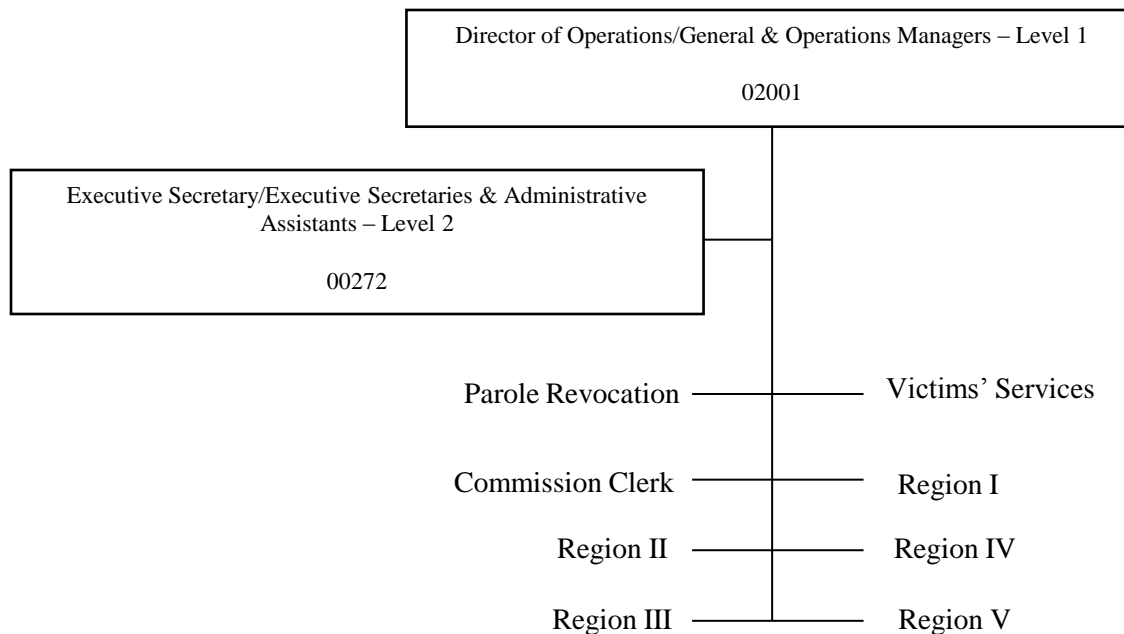


Accounting & Budgeting Administrator/Financial Managers – Level 3

00598

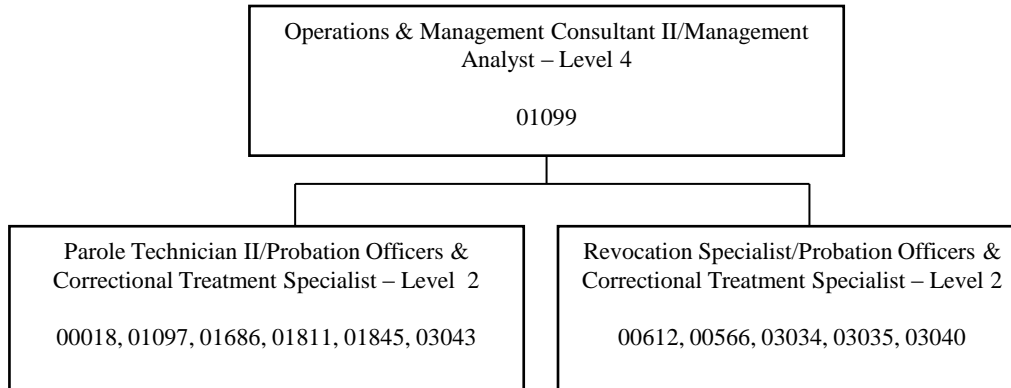
**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
DIRECTOR'S OFFICE**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 00 00 000
Authorized F.T.E.: 2



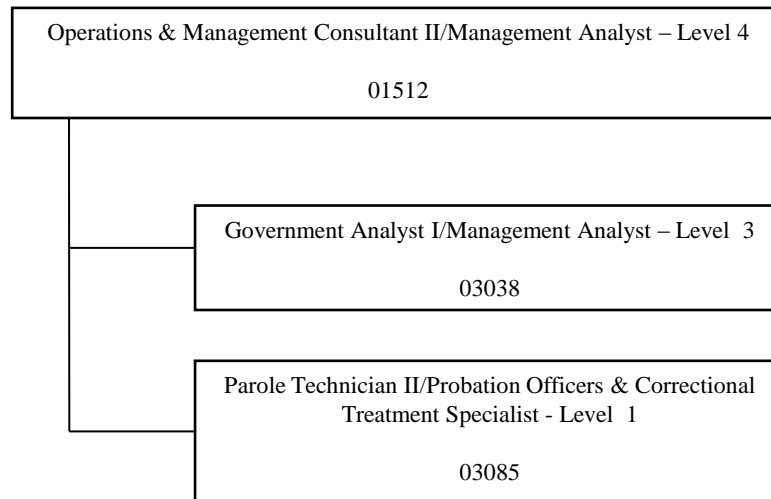
**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
PAROLE REVOCATION**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 01 00 000
Authorized F.T.E.: 12



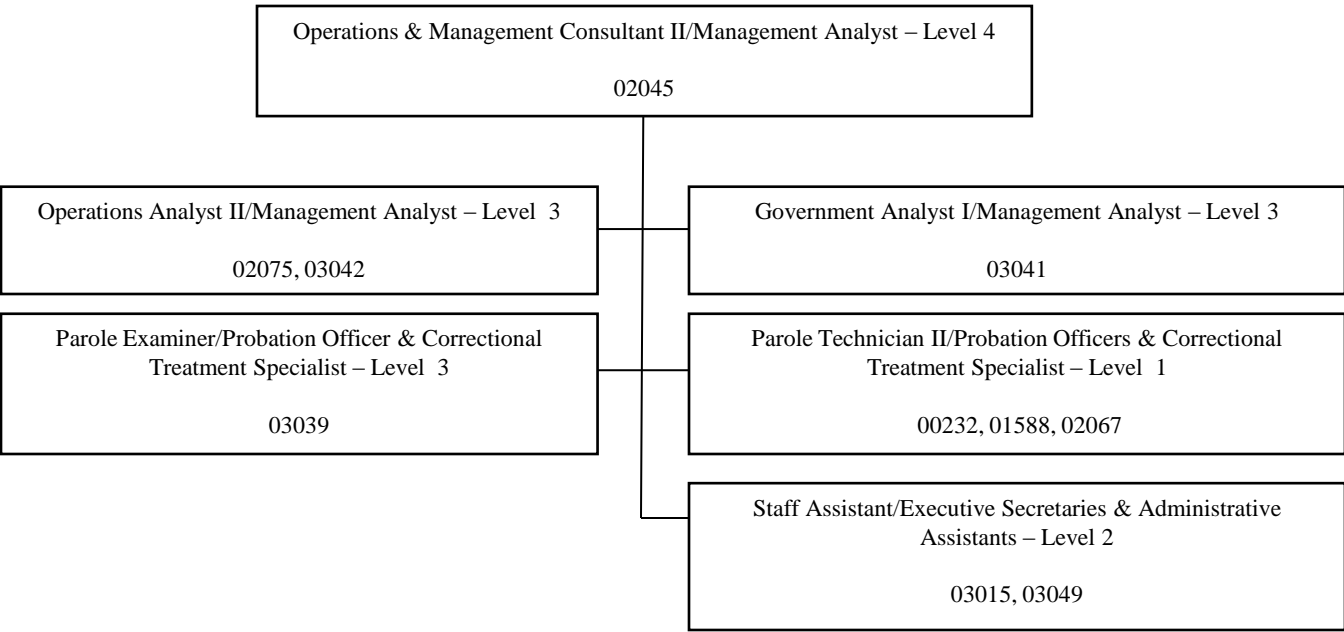
**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
VICTIMS' SERVICES**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 02 01 000
Authorized F.T.E.: 3



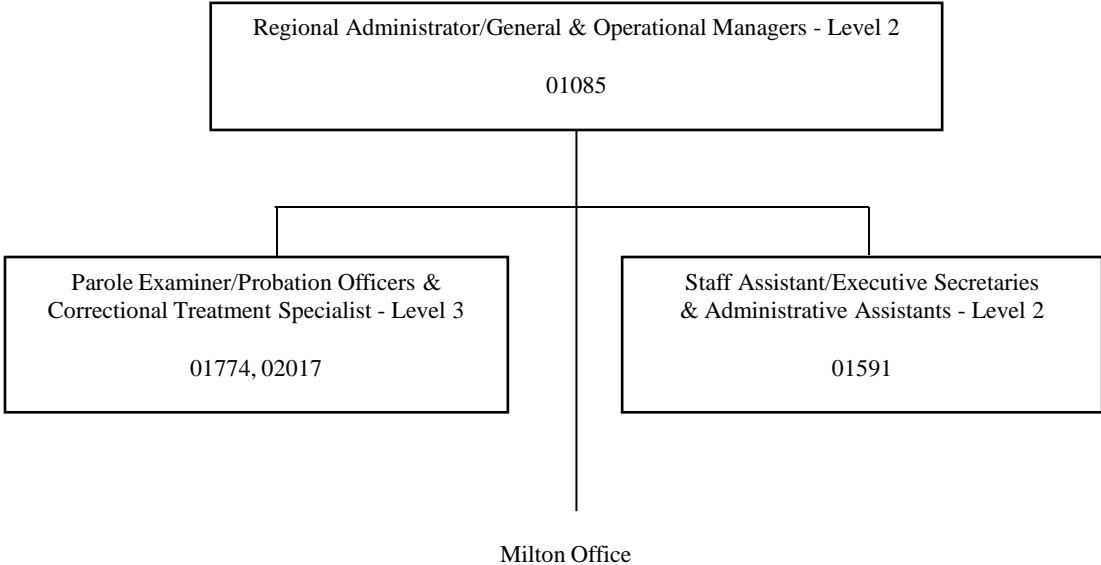
**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
OFFICE OF THE COMMISSION CLERK**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 04 00 000
Authorized F.T.E.: 10



**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION I – QUINCY**

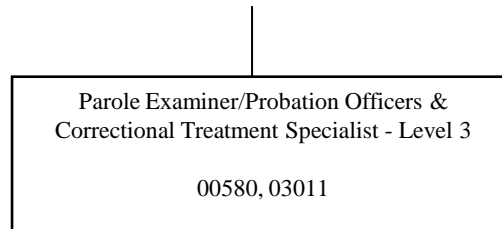
EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 05 01 000
Authorized F.T.E.: 4



**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION I – MILTON**

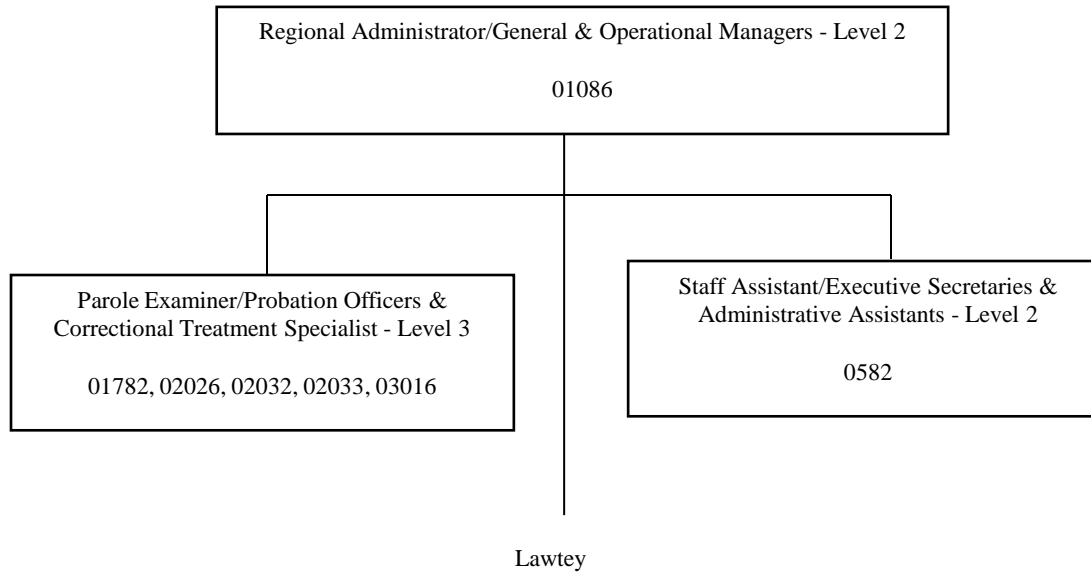
EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 05 01 010
Authorized F.T.E.: 2

Regional Administrator



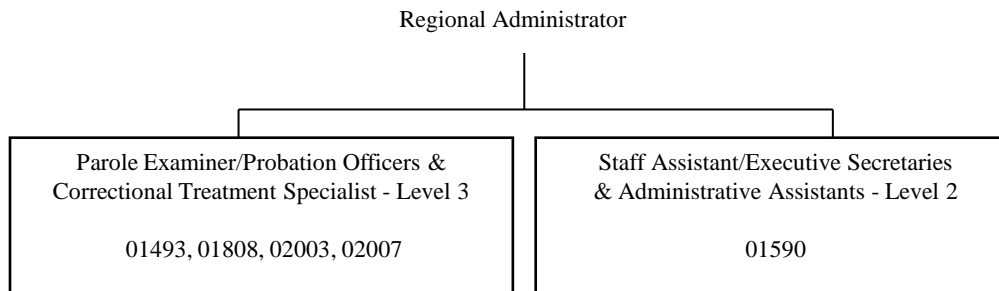
**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION II – JACKSONVILLE**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 05 02 010
Authorized F.T.E.: 7



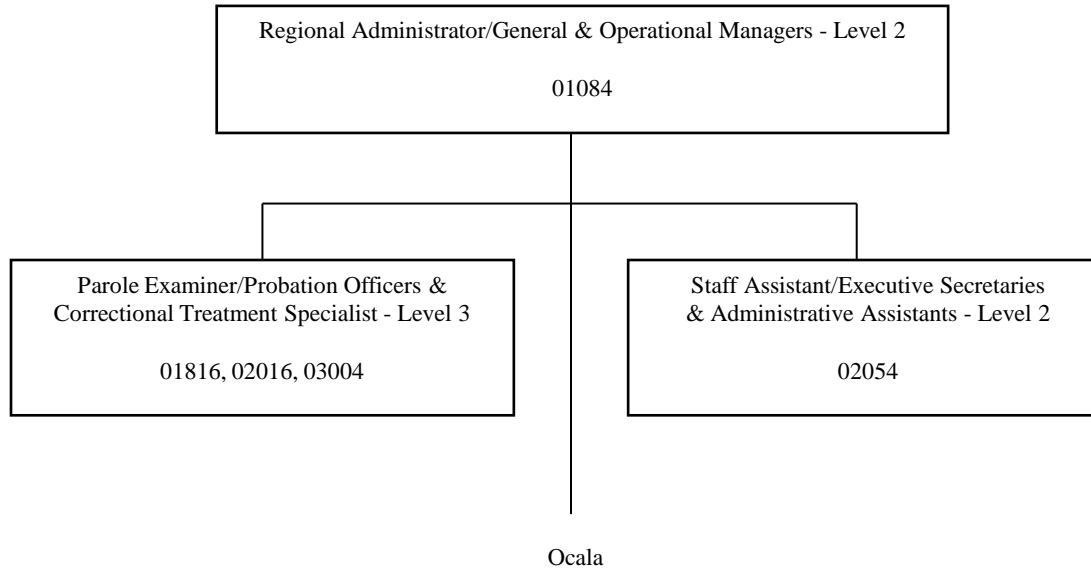
**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION II – LAWTEY**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 05 02 000
Authorized F.T.E.: 5



**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION III – COCOA**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 05 03 000
Authorized F.T.E.: 5



**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION III – OCALA**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 05 03 010
Authorized F.T.E.: 3

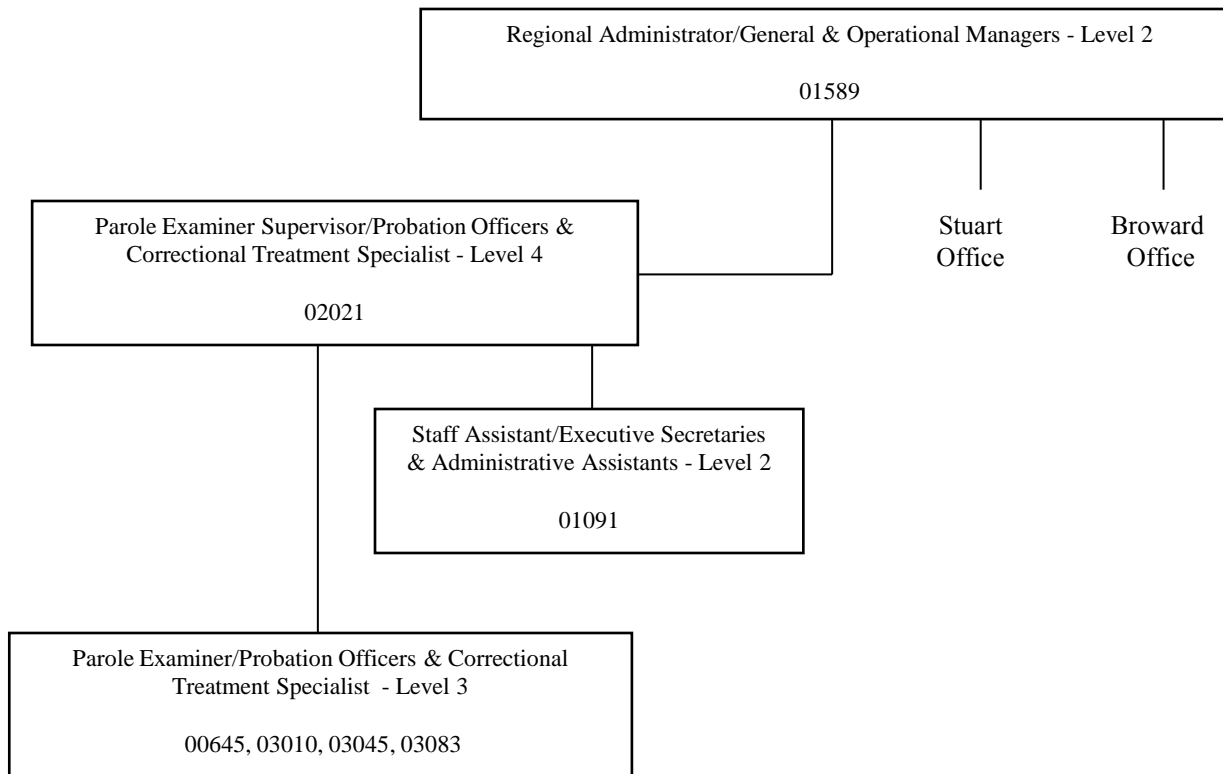
Regional Administrator

Parole Examiner/Probation Officers &
Correctional Treatment Specialist - Level 3

01783, 02012, 03012

**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION IV – MIAMI/DADE**

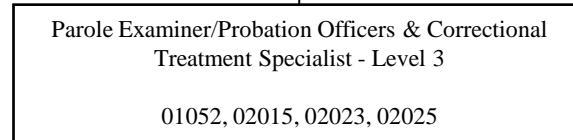
EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 05 04 000
Authorized F.T.E.: 7



**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION IV – STUART**

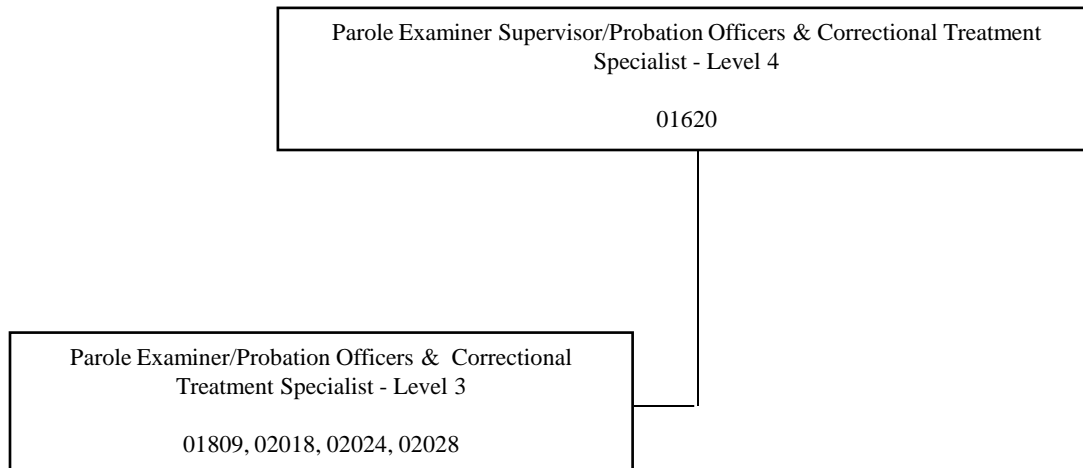
EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 05 04 020
Authorized F.T.E.: 4

Regional Administrator



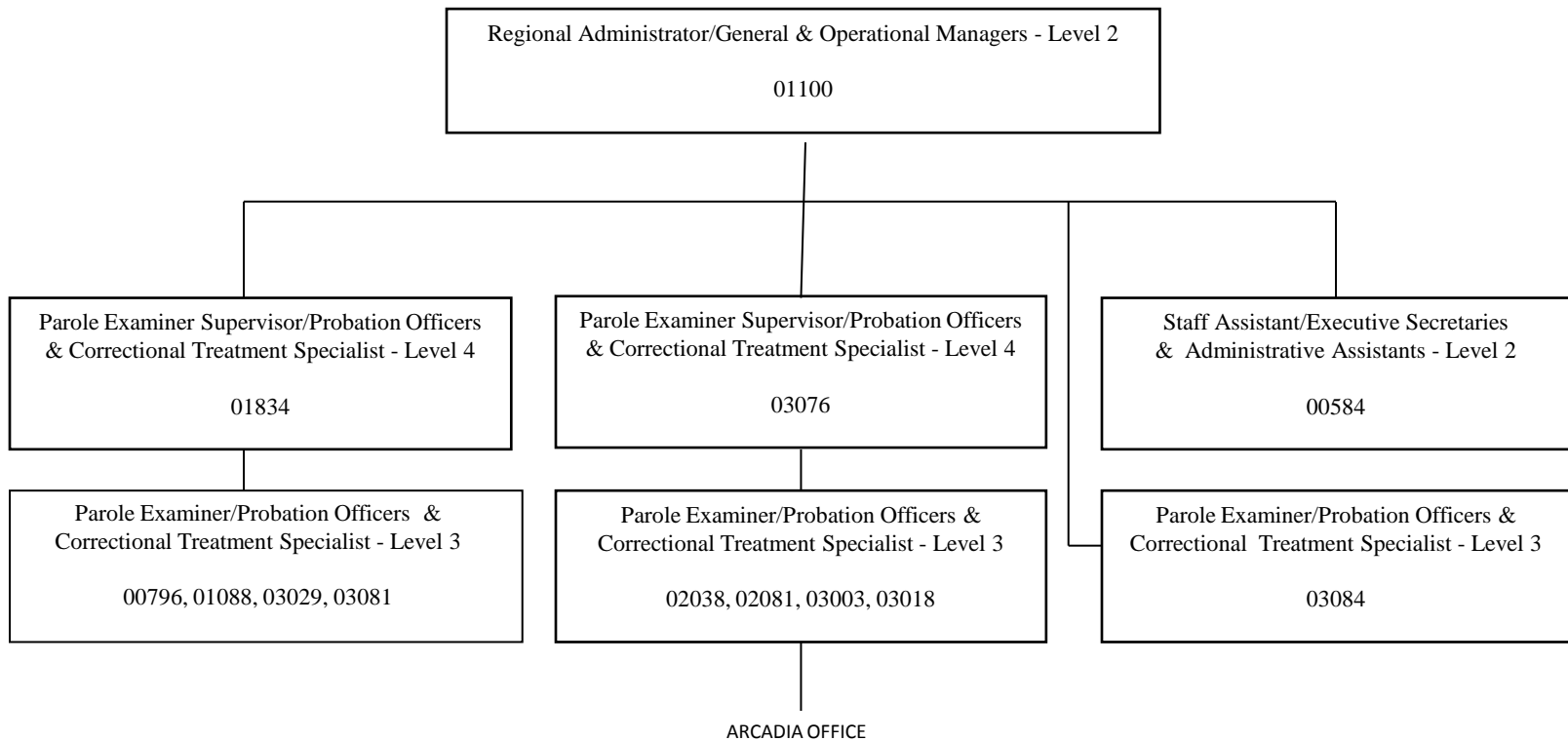
**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION IV – BROWARD**

EFFECTIVE DATE: July 1, 2012
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Authorized F.T.E.: 5



**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION V – TAMPA**

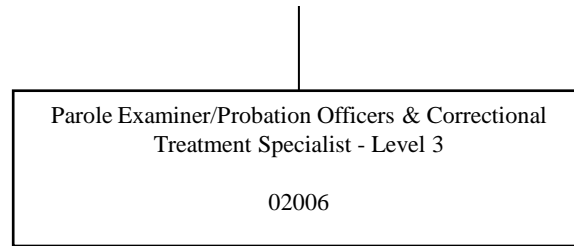
EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 05 05 000
Authorized F.T.E.: 13



**FLORIDA PAROLE COMMISSION
DIVISION OF OPERATIONS
REGION V – ARCADIA**

EFFECTIVE DATE: July 1, 2012
ORGANIZATIONAL CODE: 78 06 05 05 010
Authorized F.T.E.: 1

Parole Examiner Supervisor



| PAROLE COMMISSION | FISCAL YEAR 2011-12 | | | |
|--|---------------------|---------------|------------------------------|----------------------|
| SECTION I: BUDGET | OPERATING | | | FIXED CAPITAL OUTLAY |
| TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT | | | 8,229,821 | 0 |
| ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.) | | | 402,995 | 0 |
| FINAL BUDGET FOR AGENCY | | | 7,826,826 | 0 |
| SECTION II: ACTIVITIES * MEASURES | Number of Units | (1) Unit Cost | (2) Expenditures (Allocated) | (3) FCO |
| Executive Direction, Administrative Support and Information Technology | | | | |
| CONDITIONAL RELEASE/Number of Conditional and Addiction Recovery Release Cases Handled | 7,362 | 81.78 | 602,032 | |
| OFFENDER REVOCATIONS/Number of Revocation Determinations | 1,724 | 1,353.17 | 2,332,873 | |
| CLEMENCY SERVICES/Number of clemency cases handled | 73,569 | 40.92 | 3,010,160 | |
| PAROLE DETERMINATIONS/Number of parole/conditional medical release decisions | 1,486 | 607.70 | 903,048 | |
| VICTIMS' SERVICES/Number of victim's assisted | 21,415 | 33.62 | 719,880 | |
| TOTAL | | | | |
| SECTION III: RECONCILIATION TO BUDGET | | | | |
| PASS THROUGHS | | | 0 | |
| TRANSFER - STATE AGENCIES | | | 0 | |
| AID TO LOCAL GOVERNMENTS | | | 0 | |
| PAYMENT OF PENSIONS, BENEFITS AND CLAIMS | | | 0 | |
| OTHER | | | 0 | |
| REVERSIONS | | | 258,839 | |
| Total Budget for Agency (Total Activities + Pass Throughs + Reversions) | | | 7,826,832 | |
| SCHEDULE XI/EXHIBIT VI: AGENCY-LEVEL UNIT COST SUMMARY | | | | |

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

Agency: Florida Parole Commission

Contact: Karen Huff

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2012 contain revenue or expenditure estimates related to your agency?

Yes No

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

| | Issue (Revenue or Budget Driver) | R/B* | FY 2013-2014 Estimate/Request Amount | |
|---|----------------------------------|------|--------------------------------------|----------------------------|
| | | | Long Range Financial Outlook | Legislative Budget Request |
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |
| f | | | | |

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

* R/B = Revenue or Budget Driver

Florida Parole Commission

Post-Incarceration Enforcement and Victims' Rights Program Exhibits or Schedules

Florida Parole Commission

Post-Incarceration Enforcement and Victims' Rights Program Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Florida Parole Commission |
| Budget Entity: | Federal Grants Trust Fund |
| LAS/PBS Fund Number: | 78010000 - Post-Incarceration Enforcement and Victims' Rights |
| | 2261 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 21131 | (A) | | 21131 |
| ADD: Other Cash (See Instructions) | | (B) | | |
| ADD: Investments | | (C) | | |
| ADD: Outstanding Accounts Receivable | | (D) | | 0 |
| ADD: _____ | | (E) | | |
| Total Cash plus Accounts Receivable | 21131 | (F) | | 21131 |
| LESS Allowances for Uncollectibles | | (G) | | |
| LESS Approved "A" Certified Forwards | | (H) | | |
| Approved "B" Certified Forwards | | (H) | | |
| Approved "FCO" Certified Forwards | | (H) | | |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | |
| LESS: _____ | | (J) | | |
| Unreserved Fund Balance, 07/01/12 | 21131 | (K) | | 21131** |

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: 2013 - 2014 | |
| Department Title: | Florida Parole Commission |
| Trust Fund Title: | Federal Grants Trust Fund |
| LAS/PBS Fund Number: | 2261 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|--------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | (16,937.00) | (A) |
|--|--------------------|-----|

Subtract Nonspendable Fund Balance (GLC 56XXX)

| | | |
|--|--|-----|
| | | (B) |
|--|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|------------|-----|
| SWFS Adjustment # and Description | (4,194.00) | (C) |
|-----------------------------------|------------|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

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

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

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

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

ADJUSTED BEGINNING TRIAL BALANCE:

| | | |
|--|--------------------|-----|
| | (21,131.00) | (E) |
|--|--------------------|-----|

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I)

| | | |
|--|------------------|-----|
| | 21,131.00 | (F) |
|--|------------------|-----|

DIFFERENCE:

| | | |
|--|-------------|------|
| | 0.00 | (G)* |
|--|-------------|------|

***SHOULD EQUAL ZERO.**

COL A03 COL A04 COL A05
AGY REQUEST AGY REQ N/R AG REQ ANZ
FY 2013-14 FY 2013-14 FY 2013-14
POS AMOUNT POS AMOUNT POS AMOUNT
----- CODES

NO RECORDS SELECTED FOR REPORTING

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Florida Parole Commission
Budget Entity: 78010000

Budget Period 2013-14

| (1) | (2) | (3) | (4) |
|----------------------------|------------------------------|---------------------------------|-------------------------------|
| SECTION I | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
| Interest on Debt | (A) N/A | N/A | N/A |
| Principal | (B) N/A | N/A | N/A |
| Repayment of Loans | (C) N/A | N/A | N/A |
| Fiscal Agent or Other Fees | (D) N/A | N/A | N/A |
| Other Debt Service | (E) N/A | N/A | N/A |
| Total Debt Service | (F) N/A | N/A | N/A |

Explanation: _____

SECTION II

ISSUE: _____

| (1) | (2) | (3) | (4) | (5) |
|----------------------------|----------------------|------------------------------|---------------------------------|-------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2013 | June 30, 2014 |
| (6) | | (7) | (8) | (9) |
| | | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
| Interest on Debt | (G) | | | |
| Principal | (H) | | | |
| Fiscal Agent or Other Fees | (I) | | | |
| Other | (J) | | | |
| Total Debt Service | (K) | | | |

ISSUE: _____

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2013 | June 30, 2014 |
|----------------------------|----------------------|------------------------------|---------------------------------|-------------------------------|
| | | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
| Interest on Debt | (G) | | | |
| Principal | (H) | | | |
| Fiscal Agent or Other Fees | (I) | | | |
| Other | (J) | | | |
| Total Debt Service | (K) | | | |

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-14

Department: Florida Parole Commission

Chief Internal Auditor: None (Gina Giacomo)

Budget Entity: 78010000

Phone Number: (850) 488-3415

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|-------------------------|-------------------------|------------------|---|--|----------------------|
| None | | | | | |

Fiscal Year 2013-14 LBR Technical Review Checklist

| |
|---|
| Department/Budget Entity (Service): Florida Parole Commission (7801) |
| Agency Budget Officer/OPB Analyst Name: Karen Huff (Griffin Kolchakian) |

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

| | | | | | |
|--------|--|----|----|----|----|
| Action | Program or Service (Budget Entity Codes) | | | | |
| | 78 | 01 | 00 | 00 | 00 |

1. GENERAL

| | | | | | |
|--|-----|--|--|--|--|
| 1.1 Are Columns A01, A02, A04, A05, A36, A93, IA1, IA5, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI) | Yes | | | | |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI) | Yes | | | | |

AUDITS:

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

2. EXHIBIT A (EADR, EXA)

| | | | | | |
|---|-----|--|--|--|--|
| 2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions? | Yes | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | Yes | | | | |
| 2.3 Are the issue codes and titles consistent with Section 3 of the LBR Instructions (pages 15 through 30)? Do they clearly describe the issue? | Yes | | | | |
| 2.4 Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through 30) been followed? | Yes | | | | |

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 | | | | |
| 3.2 Are the 33XXXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXXX0 - a unique issue should be used for issues that net to zero or a positive amount. | Yes | | | | |

AUDITS:

| | | | | | |
|---|-----|--|--|--|--|
| 3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found") | Yes | | | | |
|---|-----|--|--|--|--|

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|----|----|----|----|
| Action | | 78 | 01 | 00 | 00 | 00 |
| 3.4 | Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero") | Yes | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 4.1 | Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions? | Yes | | | | |
| 4.2 | Is the program component code and title used correct? | Yes | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | Yes | | | | |
| AUDITS: | | | | | | |
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report") | Yes | | | | |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.) | Yes | | | | |
| 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.) | Yes | | | | |
| TIP | If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data. | | | | | |
| TIP | If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01. | | | | | |
| TIP | Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2011-12 approved budget. Amounts should be positive. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|--|----|----|----|----|
| Action | | 78 | 01 | 00 | 00 | 00 |
| <p>TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.</p> | | | | | | |
| 6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.) | | | | | | |
| 6.1 | Are issues appropriately aligned with appropriation categories? | Yes | | | | |
| <p>TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.</p> | | | | | | |
| 7. EXHIBIT D-3A (EADR, ED3A) | | | | | | |
| 7.1 | Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 30 of the LBR Instructions.) | Yes | | | | |
| 7.2 | Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 66-67 of the LBR Instructions.) | Yes | | | | |
| 7.3 | Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions? | N/A | | | | |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | N/A | | | | |
| 7.5 | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 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. | Yes | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. | Yes | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Yes | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Yes | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003? | N/A | | | | |
| 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 | | | | |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|---------------|--|--|----|----|----|----|
| | | 78 | 01 | 00 | 00 | 00 |
| 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? | Yes | | | | |
| 7.15 | Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 29 and 88 of the LBR Instructions.) | 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 (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)? | N/A | | | | |
| 7.17 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.18 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 13-010? | Yes | | | | |
| AUDIT: | | | | | | |
| 7.19 | Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting") | Yes | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 7.23 | Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L)) | N/A | | | | |
| TIP | Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative. | | | | | |
| TIP | The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions. | | | | | |
| TIP | Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|--|----|----|----|----|
| Action | | 78 | 01 | 00 | 00 | 00 |
| TIP | If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds). | | | | | |
| TIP | If an appropriation made in the FY 2012-13 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto. | | | | | |
| 8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) | | | | | | |
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency? | Yes | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | Yes | | | | |
| 8.3 | Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)? | Yes | | | | |
| 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)? | Yes | | | | |
| 8.6 | Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year? | N/A | | | | |
| 8.7 | If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds? | N/A | | | | |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <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)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)? | Yes | | | | |
| 8.10 | Are the statutory authority references correct? | Yes | | | | |
| 8.11 | Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.) | N/A | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | N/A | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Yes | | | | |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | Yes | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Yes | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|----|----|----|----|
| Action | | 78 | 01 | 00 | 00 | 00 |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Yes | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | Yes | | | | |
| 8.18 | Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued? | N/A | | | | |
| 8.19 | Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided? | N/A | | | | |
| 8.20 | Are appropriate service charge nonoperating amounts included in Section II? | N/A | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | N/A | | | | |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.) | N/A | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | N/A | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01? | Yes | | | | |
| 8.25 | Are current year September operating reversions appropriately shown in column A02? | Yes | | | | |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Yes | | | | |
| 8.27 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Yes | | | | |
| 8.28 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Yes | | | | |
| AUDITS: | | | | | | |
| 8.29 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | Yes | | | | |
| 8.30 | Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report") | Yes | | | | |
| 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) | Yes | | | | |
| TIP | The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible! | | | | | |
| TIP | Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund. | | | | | |

| | | Program or Service (Budget Entry Codes) | | | | |
|--|---|---|----|----|----|----|
| Action | | 78 | 01 | 00 | 00 | 00 |
| TIP | Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status. | | | | | |
| TIP | Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified. | | | | | |
| 9. SCHEDULE II (PSCR, SC2) | | | | | | |
| AUDIT: | | | | | | |
| 9.1 | Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.) | Yes | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.) | Yes | | | | |
| 10.2 | Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 97 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested. | Yes | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | N/A | | | | |
| TIP | If IT issues are not coded 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? | Yes | | | | |
| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 14. SCHEDULE VIIIB-2 (EADR, S8B2) | | | | | | |
| 14.1 | Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? | Yes | | | | |
| 15. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detailed instructions) | | | | | | |
| 15.1 | Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.) | Yes | | | | |
| 15.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | Yes | | | | |
| AUDITS INCLUDED IN THE SCHEDULE XI REPORT: | | | | | | |
| 15.3 | Does the FY 2011-12 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1) | Yes | | | | |
| 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") | Yes | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|----|----|----|----|
| Action | | 78 | 01 | 00 | 00 | 00 |
| 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 standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.) | N/A | | | | |
| 15.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | No | | | | |
| TIP | If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable. | | | | | |
| 16. MANUALLY PREPARED EXHIBITS & SCHEDULES | | | | | | |
| 16.1 | Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete? | Yes | | | | |
| 16.2 | Are appropriation category totals comparable to Exhibit B, where applicable? | Yes | | | | |
| 16.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | Yes | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| TIP | Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions. | | | | | |
| TIP | Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error. | | | | | |
| 17. CAPITAL IMPROVEMENTS PROGRAM (CIP) | | | | | | |
| 17.1 | Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? | Yes | | | | |
| 17.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | Yes | | | | |
| 17.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | Yes | | | | |
| 17.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | | | | |
| 17.5 | Are the appropriate counties identified in the narrative? | N/A | | | | |
| 17.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | N/A | | | | |
| TIP | Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. | | | | | |
| 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? | Yes | | | | |