

Agency Role Mapping Handbook

Revision History

Version	Date	Revision Notes
1.0	07/30/2020	Accepted Version
2.0	1/19/2021	<p>Added roles: Agency Banking Reporter, Agency Query Writer, AP Reporter, DFS CM Accounting Approver, DFS Query Writer, GL Reporter, Security Access Manager</p> <p>Modified roles: Agency Deposit Reporter, DFS Bank Reconciliation Processor, DFS Book to Bank Reconciliation Processor, DFS Bank Account Maintainer, DFS Correspondence Processor, DFS GL Journal Approver, DFS Investment Accounting Processor, DFS Journal Processor, DFS Payment Cancellation Processor, DFS Transfer Approver, GL Journal Processor (agency), DFS GL Reconciliation Processor</p> <p>Renamed role: Agency CRA Processor (formerly Agency CRA Reporter), DFS Book to Bank Reconciliation Processor (formerly Book to Bank Reconciliation Processor, DFS GL Reconciliation Processor (formerly GL Reconciliation Processor)</p> <p>Removed roles: Agency Allocation Processor, Bank Reconciliation Processor, GL Journal Processor (DFS), DFS AP Exception Processor</p> <p>Changes in SOD Conflict roles: Agency Allocation Processor, Agency CM Reporter, Agency Requestor, Bank Account Request Processor, DFS Bank Reconciliation Processor, Cash Transfer Processor, DFS Book to Bank Reconciliation Processor, DFS Deposit Approver, DFS Deposit Processor, DFS Transfer Approver, GL Journal Approver, GL Journal Processor (agency)</p>

Table of Contents

Table of Contents.....	3
Agency Role Mapping Handbook Overview	4
Using the Agency Role Mapping Handbook	4
Separation of Duties	4
Florida PALM Roles	5
All Agency End User Roles.....	6
Agency-Specific End User Roles	10
DEO End Users Roles	10
DOR End Users Roles	11
DFS End User Roles.....	12
Workflow	28
Cash Transfer Approval.....	28
DFS Deposit Approval	28
GL Journal Approval.....	29
Agency Role Mapping Handbook v.2.0 Revision Notes (1/19/2021).....	29
Additions	29
Deletions	29
Updates to Role Names	29
Modifications to Role Descriptions and Responsibilities	30
Modifications to SOD Conflicts	30

Agency Role Mapping Handbook Overview

The Agency Role Mapping Handbook describes and documents the Florida PALM Solution (Florida PALM) roles related to the Florida PALM business process groupings being implemented during the Florida PALM Cash Management System (CMS) Wave. The Role Mapping Handbook is designed to assist agencies in completing the role mapping task for each Wave and ongoing maintenance of role assignments.

Using the Agency Role Mapping Handbook

The Role Mapping Handbook should be used by agencies to assist in completing your role mapping activities for the CMS Wave. The Florida PALM Project Team suggests agencies follow the steps below to complete your role mapping activities:

1. Review and become familiar with the roles in the Role Mapping Handbook and identify which roles your agency needs to map end users to.
 - a. All agencies should review and be familiar with the *All Agency End User Roles* section
 - b. Department of Economic Opportunity (DEO) should also review and be familiar with the *DEO End User Roles* section
 - c. Department of Revenue (DOR) should also review and be familiar with the *DOR End User Roles* section
 - d. Department of Financial Services (DFS) should also review and be familiar with the *DFS End User Roles* section
2. For each CMS Wave end user within your agency, consider the actions they perform today and the actions they will perform within Florida PALM after the CMS Wave go-live.
3. Determine the Florida PALM role(s) that appropriately align with the actions each end user will perform within Florida PALM.
4. Once the Florida PALM role(s) have been identified, complete the End User Role Mapping Spreadsheet (provided as part of the Role Mapping Workshops) for each end user.

There are a few considerations when identifying what roles each CMS Wave end user should be assigned:

- Access to multiple business units - A select number of end users can be assigned multiple business units. The business units will apply to any roles the end user is assigned.
- Role compatibility - Certain end user roles are compatible or incompatible with other roles. This information is documented in the Separation of Duties columns in the End User Role tables and expanded upon in the Separation of Duties section.

Separation of Duties

Separation of duties (SOD) identifies which roles must not be assigned to the same end user. These rules are put in place to avoid mapping an end user to roles that cause regulatory, internal, or financial control issues with a single position. For example, the end user who is assigned the Cash Transfer Processor role must not also be assigned the Cash Transfer Approver role because it would cause a control issue if the same end user approved the cash transfers they requested. CMS Wave end user roles that must not be assigned to the same CMS Wave end user are documented in the Separation of Duties columns in the End User Role tables.

There are also system rules that prevent certain actions from being performed in the system. For example, as documented in the Responsibilities column of the *All Agency End User Roles* table

below, a general ledger (GL) Approver can both create and approve GL journals. However, in Florida PALM, GL approvers will not be able to approve GL journals that they create.

Florida PALM Roles

In the CMS Wave, there are five main types of Florida PALM end user roles:

1. Maintainer
2. Processor
3. Approver
4. Reporter
5. Requester.

Each type of role has primary responsibilities within each Florida PALM module:

- A Processor role adds, reviews, and updates transactions. A processor role will typically send transactions to be approved to the approver role. A Processor role also has access to run and review reports for the related business processes;
- An Approver role approves transactions added or updated by a processor role. An Approver role also has access to run and review reports for the related business processes;
- A Maintainer role is an administrative role that manages exceptions, ChartField values, or other configuration data. A Maintainer role also has access to run and review reports for the related business processes;
- A Reporter role runs and reviews reports; and
- A Requester role submits support requests (usually through Florida PALM forms) to other end users.

Each Florida PALM end user role in the CMS Wave is associated with one or more of the following five business process groupings:

- Account Management and Financial Reporting (AMFR),
- Accounts Receivables (AR),
- Cash Management (CM),
- Disbursement Management (DM), and/or
- Treasury Management (TM).

All Agency End User Roles

Agency end user roles that will support Florida PALM for the CMS Wave are documented in Table 1.

Table 1: All Agency End User Roles

End User Role Name	End User Role Description	Associated Business Processes	Florida PALM Role Responsibilities	Relationship with other Roles	Separation of Duties
Agency Banking Reporter	Agency end user who generates banking related reports in Florida PALM	<ul style="list-style-type: none"> • CMSW.60.2.4 Manage Electronic Receipts Data (AR) • CMSW.60.2.5 Process FLAIR Deposits (AR) • CMSW.60.2.6 Treasury Receipts, Adjustments, and Returned Items (AR) 	<ul style="list-style-type: none"> • Runs banking reports 	None	N/A
Agency CM Reporter	Agency end user who generates monthly interest apportionment reports in Florida PALM and processes corresponding transactions in Departmental FLAIR	CMSW.70.7.2 Distribute Interest Apportionment (TM)	<ul style="list-style-type: none"> • Views ledger inquiry • Runs custom GL reports 	None	N/A

End User Role Name	End User Role Description	Associated Business Processes	Florida PALM Role Responsibilities	Relationship with other Roles	Separation of Duties
Agency CRA Processor	Agency end user who monitors Consolidated Revolving Account (CRA) bank statements and requests payment cancellations to the Department of Financial Services (DFS) Treasury	CMSW.80.2.6 Manage Revolving Funds (CM)	<ul style="list-style-type: none"> • Completes and submits Payment Cancellation Form • Runs custom bank statement reports 	Requests CRA payments to be canceled by the DFS Payment Cancellation Processor	Must not also be assigned the: <ul style="list-style-type: none"> • DFS Payment Cancellation Processor role
Agency Deposit Reporter	Agency end user who: <ul style="list-style-type: none"> • Generates the ACH Notifications of Change (NOC) report in Florida PALM and reviews it to identify updates to customer banking data • Submits the Treasury Correspondence Form if DFS Treasury assistance is needed • Generates reports in Florida PALM to verify deposit data 	<ul style="list-style-type: none"> • CMSW.60.2.4 Manage Electronic Receipts Data (AR) • CMSW.60.2.5 Process FLAIR Deposits (AR) • CMSW.60.2.6 Treasury Receipts, Adjustments, and Returned Items (AR) 	<ul style="list-style-type: none"> • Views the custom ACH NOC page • Runs AR deposit reports • Views AR deposits and payments inquiry • View and review returned items and debit memos 	<ul style="list-style-type: none"> • Submits the Treasury Correspondence Form to the DFS Bank Reconciliation Processor if assistance is needed with manual deposit verifications or with FLAIR or bank corrections • Runs and reviews reports of deposits created by the DFS Deposit Processor 	N/A

End User Role Name	End User Role Description	Associated Business Processes	Florida PALM Role Responsibilities	Relationship with other Roles	Separation of Duties
Agency Query Writer	Agency end user, with experience in/knowledge of database structures, relational table joins, agency transactional data, who can create private queries on behalf of an agency	N/A	Create private agency queries	None	N/A
Agency Requestor	Agency end user who submits requests to DFS Treasury for assistance using the Treasury Correspondence Form in Florida PALM	CMSW.70.1.2 Manage Treasury Correspondence (TM)	Adds and updates Treasury Correspondence Form	Submits the Treasury Correspondence Form to the DFS Correspondence Processor	Must not also be assigned the: <ul style="list-style-type: none"> • DFS Bank Account Maintainer role • DFS Correspondence Processor role
Bank Account Request Processor	Agency end user who submits requests for new bank accounts or changes to existing bank accounts using the Banking Services Request Form or Electronic Payment Services Request Form	CMSW.70.1.1 Maintain Bank Accounts (TM)	<ul style="list-style-type: none"> • Adds and updates EPS Request Form • Adds and updates Banking Services Request Form 	Submits the EPS and Banking Services Request Forms to the DFS Bank Account Maintainer	Must not also be assigned the: <ul style="list-style-type: none"> • DFS Bank Account Maintainer role • DFS Bank Reconciliation Processor role
Fund Cash Processor	Agency end user who enters Trust Fund disinvestment GL journals in Florida PALM	CMSW.80.2.1 Monitor Trust Fund Cash Balance (CM)	<ul style="list-style-type: none"> • Adds and updates GL journals • Uploads GL journals 	None	N/A

End User Role Name	End User Role Description	Associated Business Processes	Florida PALM Role Responsibilities	Relationship with other Roles	Separation of Duties
GL Journal Approver	Agency end user who approves GL journals	CMSW.10.2.1 Create and Approve Journals (AMFR)	<ul style="list-style-type: none"> • Adds and updates GL journals • Edit checks GL journals • Budget checks GL journals • Approves GL journals • Post GL journals 	Reviews and approves GL journals received from a GL Journal Processor	A user that has both the GL Journal Processor role and the GL Journal Approver role will not be able to approve a journal they entered
GL Journal Processor	Agency end user who: <ul style="list-style-type: none"> • Reviews and resolves invested cash checking exceptions • Creates, edit checks, invested cash balance checks, and routes GL journals for approval • Reviews and addresses edit check errors 	<ul style="list-style-type: none"> • CMSW.10.2.1 Create and Approve Journals (AMFR) • CMSW.10.2.2 Edit Check (AMFR) • CMSW.80.1.2 Invested Cash Checking (AMFR) 	<ul style="list-style-type: none"> • Adds and updates GL Journals • Uploads GL journals • Edit checks GL journal • Budget checks GL journals • Deletes GL journal • Submits GL journals to workflow 	Creates and submits GL journals for review and approval by a GL Journal Approver	Must not also be assigned the: <ul style="list-style-type: none"> • <i>DFS End User Roles</i>
GL Reporter	Agency end user who can run GL Reports and access GL data via inquiry pages	N/A	<ul style="list-style-type: none"> • Runs GL Reports • Views GL data via inquiry pages 	None	N/A

End User Role Name	End User Role Description	Associated Business Processes	Florida PALM Role Responsibilities	Relationship with other Roles	Separation of Duties
Security Access Manager	Individual who is responsible for granting Florida PALM access to agency end users based on their agency's job duties and responsibilities	N/A	<ul style="list-style-type: none"> • Assign new agency end users' Florida PALM roles • Update existing agency end users' access to Florida PALM 	None	N/A

Agency-Specific End User Roles

Due to the enterprise wide activities that specific agencies perform, certain end user roles are only applicable to the agencies that perform this work. Agency-specific end user roles will be limited to users within that agencies business unit. These agency-specific end user roles that will support Florida PALM for the CMS Wave are documented in Tables 2 and 3. End user roles specific to Department of Economic Opportunity (DEO) are documented in Table 2. End user roles specific to the Department of Revenue (DOR) are documented in Table 3.

DEO End Users Roles

DEO end user roles that will support Florida PALM for the CMS Wave are documented in Table 2. The roles in Table 2 should only be role mapped by DEO.

Table 2: DEO End User Roles

End User Role Name	End User Role Description	Associated Business Processes	Florida PALM Role Responsibilities	Relationship with other Roles	Separation of Duties
Cash Transfer Approver	DEO end user who approves bank account transfers in Florida PALM	CMSW.70.4 Process Bank Cash Transfers (TM)	<ul style="list-style-type: none"> • Reviews Cash Transfers • Approves Settlements 	Approves cash transfers that are submitted by the Cash Transfer Processor	Must not also be assigned the: <ul style="list-style-type: none"> • Cash Transfer Processor role • <i>DOR End User Roles</i> • <i>DFS End User Roles</i>
Cash Transfer Processor	DEO end user who requests bank account transfers in Florida PALM	CMSW.70.4 Process Bank Cash Transfers (TM)	<ul style="list-style-type: none"> • Adds and Updates Bank Account Transfers 	Requests cash transfers that are approved by the Cash Transfer Approver and DFS Transfer Approver	Must not also be assigned the: <ul style="list-style-type: none"> • Cash Transfer Approver role • <i>DOR End User Roles</i> • <i>DFS End User Roles</i>

DOR End Users Roles

DOR end user role that will support Florida PALM for the CMS Wave are documented in Table 3. The roles in Table 3 should only be role mapped by DOR.

Table 3: DOR End User Roles

End User Role Name	End User Role Description	Associated Business Processes	Florida PALM Role Responsibilities	Relationship with other Roles	Separation of duties
DOR Agency Exception Processor	DOR end user who generates and reviews the Unreconciled Deposits report and updates direct journal deposits in Florida PALM	CMSW.60.2.5 Process FLAIR Deposits (AR)	<ul style="list-style-type: none"> • Adds and Updates Deposits • Views AR Deposits and Payments Inquiry • Runs AR Deposit Reports 	None	Must not also be assigned the: <ul style="list-style-type: none"> • DEO End User Roles • DFS End User Roles

DFS End User Roles

DFS end user roles that will support Florida PALM for the CMS Wave are documented in Table 4. The roles in Table 4 should only be role mapped by DFS.

Table 4: DFS End User Roles

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
AP Reporter	DFS end user who can run AP Reports and access AP data via inquiry pages	N/A	<ul style="list-style-type: none"> • Run AP Reports • Views GL data via inquiry pages 	None	N/A
Cash Transfer Processor	DFS end user who requests bank account transfers in Florida PALM	CMSW.70.4 Process Bank Cash Transfers (TM)	Adds and updates bank account transfers	Requests cash transfers that are approved by the DFS Transfer Approver	Must not also be assigned the: <ul style="list-style-type: none"> • Cash Transfer Approver role • DEO End User Roles • DFS AP Exception Processor role

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
					<ul style="list-style-type: none"> • DFS Bank Reconciliation Processor role • DFS CM Accounting Approver role • DFS COA Maintainer role • DFS GL Close Processor role • DFS Override Processor role • DFS Transfer Approver role • <i>DOR End User Roles</i>

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
DFS Bank Account Maintainer	DFS end user who processes requests from the Banking Services Request Form and EPS Request Form for banking services and maintains banking configuration in Florida PALM (this role will have access to protected data)	CMSW.70.1.1 Maintain Bank Accounts (TM)	<ul style="list-style-type: none"> • Adds and updates EPS Request Form • Adds and updates Banking Services Request Form • Adds and updates banking information (e.g., banks, branches, and accounts) • Runs banking reports • Views banking inquiry pages 	Processes agency requests for banking services and Florida PALM banking configuration requested by the Bank Account Request Processor	Must not also be assigned the: <ul style="list-style-type: none"> • Agency Requestor role • Bank Account Request Processor role • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS Book to Bank Reconciliation Processor role • DFS COA Maintainer role • DFS GL Close Processor role • DFS Override Processor role • <i>DOR End User Roles</i>
DFS Bank Reconciliation Processor	DFS end user who: <ul style="list-style-type: none"> • Reviews the Treasury Correspondence Form in Florida PALM, and determines the 	<ul style="list-style-type: none"> • CMSW.60.2.5 Process FLAIR Deposits (AR) • CMSW.70.2 Manage and Reconcile Bank Statements (TM) 	<ul style="list-style-type: none"> • Runs AR deposit reports • Views bank statements • Views AR deposits and payments inquiry • Performs bank reconciliation 	• Reviews the request for assistance submitted by the Agency Deposit Reporter and determines the next step	Must not also be assigned the: <ul style="list-style-type: none"> • Bank Account Request Processor role • Cash Transfer Processor role

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
	type of assistance needed • Monitors daily reconciliation of Florida PALM transactions to bank account activity (this role will have access to protected data)			<ul style="list-style-type: none"> • Resolves reconciliation issues by coordinating with DFS end users, agency end users, and external parties of various roles to resolve exceptions 	<ul style="list-style-type: none"> • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS Book to Bank Reconciliation Processor role • DFS CM Accounting Approver role • DFS COA Maintainer role • DFS Correspondence Processor role • DFS Deposit Processor role • DFS GL Close Processor role • DFS GL Journal Processor role • DFS Investment Accounting Processor role • DFS Override Processor role • <i>DOR End User Roles</i> • DFS GL Reconciliation Processor role

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
					<ul style="list-style-type: none"> • DFS Payment Cancellation
DFS Book to Bank Reconciliation Processor	DFS end user who reconciles bank account balances to ledger balances using Book to Bank Reconciliation in Florida PALM (this role will have access to protected data)	CMSW.70.5 Reconcile Book to Bank Balances (TM)	Resolves reconciliation exceptions between bank account balances and ledger balances	Identifies reconciliation exceptions between bank account balances and ledger balances by coordinating with DFS end users, agency end users, and external parties of various roles	<ul style="list-style-type: none"> • <i>Must not also be assigned the:</i> • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS Bank Account Maintainer role • DFS Bank Reconciliation Processor role • DFS COA Maintainer role • DFS GL Close Processor role • DFS GL Journal Processor role • DFS Investment Accounting Processor role • DFS Override Processor role • <i>DOR End User Roles</i>

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
DFS CM Accounting Approver	DFS end user who approves Treasury related accounting entries that are marked for additional review	<ul style="list-style-type: none"> • CMSW.60.2.5 Process FLAIR Deposits (AR) • CMSW.70.2 Manage and Reconcile Bank Statements (TM) • CMSW.70.4 Process Bank Cash Transfers (TM) • CMSW.70.6 Create and Maintain Deals (TM) 	<ul style="list-style-type: none"> • Approves CM accounting entries 	Approves Treasury accounting entries marked for additional review based on the accounting template selected by the Cash Transfer Processor role	Must not also be assigned the: <ul style="list-style-type: none"> • Cash Transfer Processor role • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS Bank Reconciliation Processor role • DFS Transfer Approver role
DFS COA Maintainer	DFS end user who: <ul style="list-style-type: none"> • Completes approved updates and modifications to ChartFields • Completes approved updates and modifications 	<ul style="list-style-type: none"> • CMSW.10.1.2 Add or Modify Statewide ChartField (AMFR) • CMSW.10.1.3 Add or Modify Fund Values (AMFR) • CMSW.10.1.5 Set Up and Maintain Trees 	<ul style="list-style-type: none"> • Adds and updates ChartField values • Adds and updates COA Crosswalk • Adds and updates trees (Tree Manager) • Adds and updates combination edits 	None	Must not also be assigned any other role except the: <ul style="list-style-type: none"> • <i>All Agency End User Roles</i> • Cash Transfer Processor role

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
	to Combination Edits and Trees • Updates the COA Crosswalk with the appropriate mapping	and/or Combination Edits (AMFR) • CMSW.10.2.2 Edit Check (AMFR)			<ul style="list-style-type: none"> • DFS AP Exception Processor role • DFS Bank Account Maintainer • DFS Bank Reconciliation Processor role • DFS Book to Bank Reconciliation Processor role • DFS Correspondence Processor • DFS Deposit Approver • DFS Deposit Processor • DFS GL Close Processor role • DFS GL Journal Processor • DFS Investment Accounting Processor • DFS Override Processor role • DFS Payment Cancellation Processor • DFS Transfer Approver

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
DFS Correspondence Processor	DFS end user who approves the request in the Treasury Correspondence Form (this role will have access to protected data)	CMSW.70.1.2 Manage Treasury Correspondence (TM)	Adds and updates Treasury Correspondence Form	Reviews and approves agency requests submitted by the Agency Requestor	Must not also be assigned the: <ul style="list-style-type: none"> • Agency Requestor role • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS Bank Reconciliation Processor role • DFS COA Maintainer role • DFS GL Close Processor role • DFS Override Processor role • <i>DOR End User Roles</i>
DFS Deposit Approver	DFS end user who reviews and approves deposits (i.e., date, amount, deposit number, and accounting)	CMSW.60.2.6 Treasury Receipts, Adjustments, and Returned Items (AR)	<ul style="list-style-type: none"> • Approves deposits • Views AR deposits and payments inquiry 	Reviews and approves Direct Journal Deposits routed by the DFS Deposit Processor	A user that has both the DFS Deposit Processor and the DFS Deposit Approver role will not be able to approve a deposit they entered. Must not also be assigned the:

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
					<ul style="list-style-type: none"> • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS COA Maintainer role • DFS GL Close Processor role • DFS Override Processor role • <i>DOR End User Roles</i>
DFS Deposit Processor	DFS end user who: <ul style="list-style-type: none"> • Creates direct journal deposits for Treasury receipts and deposit adjustments within Florida PALM and routes them for approval • Adds foreign item support to returned item deposits upon receipt 	CMSW.60.2.6 Treasury Receipts, Adjustments, and Returned Items (AR)	<ul style="list-style-type: none"> • Adds and updates deposits • Views AR deposits and payments inquiry • Runs AR deposit reports 	Routes Direct Journal Deposits to the DFS Deposit Approver for review and approval	Must not also be assigned the: <ul style="list-style-type: none"> • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS Bank Reconciliation Processor role • DFS COA Maintainer role • DFS GL Close Processor role • DFS Override Processor role • <i>DOR End User Roles</i>

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
DFS GL Close Processor	DFS end user who completes enterprise-level close activities, including opening/closing periods and running the Journal Generator process	CMSW.10.3.1 Perform Month End Close (AMFR)	<ul style="list-style-type: none"> • Runs journal generator • Opens and closes GL periods • Opens and closes Source Module periods (e.g., AR, AP) • Defines close configuration • Runs close 	None	Must not also be assigned any other role except the: <ul style="list-style-type: none"> • <i>All Agency End User Roles</i> • Cash Transfer Processor • DFS AP Exception Processor role • DFS Bank Account Maintainer • DFS Bank Reconciliation Processor role • DFS Book to Bank Reconciliation Processor role • DFS COA Maintainer role • DFS Correspondence Processor • DFS Deposit Approver • DFS Deposit Processor • DFS GL Journal Processor • DFS Investment Accounting Processor

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
					<ul style="list-style-type: none"> • DFS Override Processor role • DFS Payment Cancellation Processor • DFS Transfer Approver
DFS GL Journal Approver	DFS end user who approves redistribution journals	CMSW.10.2.1 Create and Approve Journals (AMFR)	<ul style="list-style-type: none"> • Adds and updates journals • Edit checks journals • Budget checks journals • Approves redistribution journals • Posts journals 	Reviews and approves GL journals received from an Agency GL Journal Processor	Must not also be assigned the: <ul style="list-style-type: none"> • DFS AP Exception Processor role • GL Journal Processor role (agency)
DFS GL Journal Processor	DFS end user who: <ul style="list-style-type: none"> • Monitors the average daily balance and allocation processes that distribute income for Special Purpose Investment Account (SPIA) Participants, Trust Funds, and General Revenue 	<ul style="list-style-type: none"> • CMSW.70.7.1 Manage SPIA Balances (TM) • CMSW.70.7.2 Distribute Interest Apportionment (TM) 	<ul style="list-style-type: none"> • Adds and updates journal • Uploads journals • Adds and updates Average Daily Balance configuration • Configures allocation rules • Updates allocations • Runs allocation processes • Runs GL reports 	Initiates the interest apportionment for the Agency CM Reporter to review the results	Must not also be assigned the: <ul style="list-style-type: none"> • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS Bank Reconciliation Processor role • DFS Book to Bank Reconciliation Processor role • DFS COA Maintainer role

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
	<ul style="list-style-type: none"> • Monitors loading of SPIA GL journals into Florida PALM • Configures and updates allocations • Runs allocation processes 				<ul style="list-style-type: none"> • DFS GL Close Processor role • DFS Override Processor role • <i>DOR End User Roles</i>
DFS GL Reconciliation Processor	DFS end user who proactively runs and reviews reports throughout the month, at month-end and at year-end to reconcile the GL	CMSW.10.3.1 Perform Month End Close (AMFR)	<ul style="list-style-type: none"> • Runs month-end and year-end reports • Processes GL journal transactions • Coordinates source module transactions to assist with GL reconciliation 	None	Must not also be assigned the: <ul style="list-style-type: none"> • DFS AP Exception Processor role • DFS Bank Reconciliation Processor role
DFS Investment Accounting Processor	DFS end user who: <ul style="list-style-type: none"> • Monitors transactions loaded into Deal Management (DM) • Approves and dispatches settlements • Performs reconciliation • Resolves exceptions 	CMSW.70.6 Create and Maintain Deals (TM)	Adds and updates deals	None	Must not also be assigned the: <ul style="list-style-type: none"> • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS Bank Reconciliation Processor role • DFS Book to Bank Reconciliation Processor role • DFS COA Maintainer role

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
					<ul style="list-style-type: none"> • DFS GL Close Processor role • DFS Override Processor role • <i>DOR End User Roles</i>
DFS Investment Reporter	DFS end user who reviews reports in DM to make investment decisions	CMSW.70.6 Create and Maintain Deals (TM)	Runs DM reports	None	Must not also be assigned the: <ul style="list-style-type: none"> • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS COA Maintainer role • DFS GL Close Processor role • DFS Override Processor role • <i>DOR End User Roles</i>
DFS Override Processor	DFS end user who overrides invested cash checking exceptions on disinvestment journal transactions	CMSW.80.1.2 Invested Cash Checking (CM)	<ul style="list-style-type: none"> • Overrides budget check exceptions • Updates GL journals • Deletes GL journals 	None	Must not also be assigned the: <ul style="list-style-type: none"> • DFS Correspondence Processor role • DFS Investment Accounting Processor role • Cash Transfer Processor role

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
					<ul style="list-style-type: none"> • DEO End User Roles • DFS AP Exception Processor role • DFS Bank Account Maintainer role • DFS Bank Reconciliation Processor role • DFS Book to Bank Reconciliation Processor role • DFS COA Maintainer role • DFS Correspondence Processor role • DFS Deposit Approver role • DFS Deposit Processor role • DFS GL Close Processor • DFS GL Journal Processor role • DFS Investment Reporter role • DFS Payment Cancellation Processor role • DFS Transfer Approver role

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
					<ul style="list-style-type: none"> • <i>DOR End User Roles</i>
DFS Payment Cancellation Processor	DFS end user who cancels CRA payments and notifies agencies of payment cancellation (this role will have access to protected data)	CMSW.80.2.6 Manage Revolving Funds (CM)	Approves CRA Payment Cancellation Form	Processes agency payment cancellations requested by the Agency CRA Processor	Must not also be assigned the: <ul style="list-style-type: none"> • Agency CRA Processor role • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS Bank Reconciliation Processor role • DFS COA Maintainer role • DFS GL Close Processor role • DFS Override Processor role • <i>DOR End User Roles</i>
DFS Query Writer	The DFS end user, with experience in/knowledge of database structures, relational table joins, agency transactional data, who can create public and private queries on	N/A	Create public and private queries	N/A	N/A

End User Role Name	End User Role Description	Associated Business Processes	Role Responsibilities	Relationship with other Roles	Separation of Duties
	behalf of DFS and agencies.				
DFS Transfer Approver	DFS end user who approves and dispatches all transfers between bank accounts (this role will have access to protected data)	CMSW.70.4 Process Bank Cash Transfers (TM)	<ul style="list-style-type: none"> • Reviews cash transfers • Approves settlements • Dispatches payments • Confirms payments 	Approves and dispatches all cash transfer requests submitted by the Cash Transfer Processor	Must not also be assigned the: <ul style="list-style-type: none"> • Cash Transfer Processor role • <i>DEO End User Roles</i> • DFS AP Exception Processor role • DFS CM Accounting Approver role • DFS COA Maintainer role • DFS GL Close Processor role • DFS Override Processor role • <i>DOR End User Roles</i>

Workflow

Workflow is the defined process of routing transactions between two or more end user roles in Florida PALM to obtain approval. Multiple end users can be assigned to the same end user role, which may mean they have shared responsibilities in a workflow process. For the CMS Wave, there are three transaction workflows; Cash Transfer Approval, DFS Deposit Approval, GL Journal Approval. During the CMS Wave, agency workflow will be contained within a Business Unit.

Cash Transfer Approval

Workflow occurs between the Cash Transfer Processor role (assigned to an end user within the DEO Business Unit or an end user within the DFS Business Unit), the Cash Transfer Approver role (assigned to an end user within the DEO Business Unit), and the DFS Transfer Approver role (assigned to an end user within the DFS Business Unit). The process steps for this workflow are documented in Figure 1.

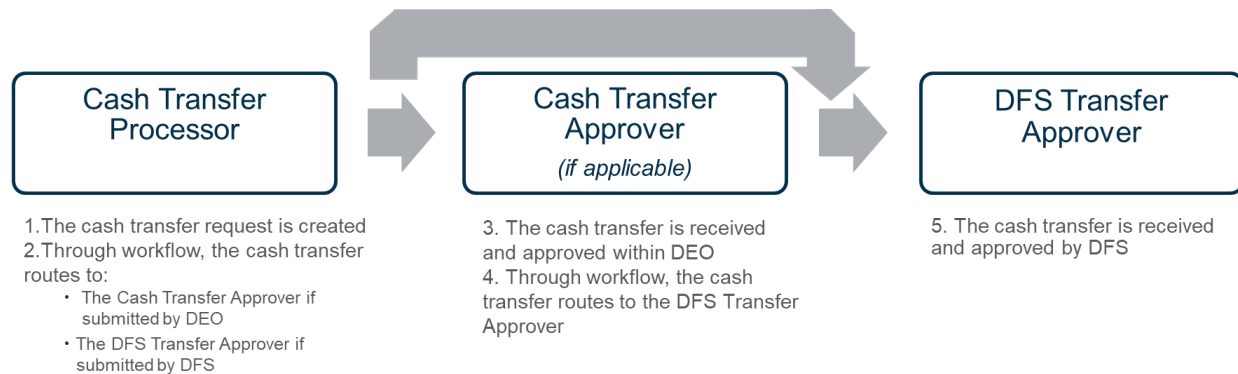


Figure 1: Cash Transfer Approval Workflow Steps

DFS Deposit Approval

Workflow occurs between the DFS Deposit Processor role and the DFS Deposit Approver role. The process steps for this workflow are documented in Figure 2.

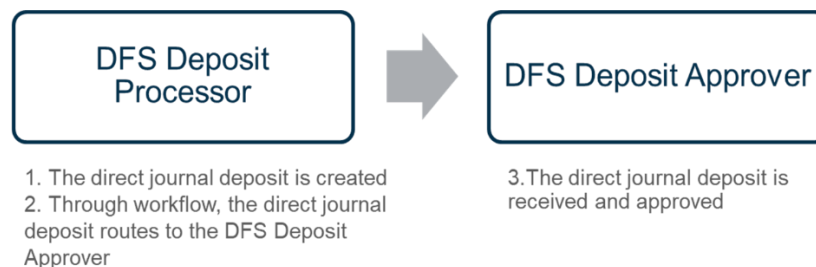


Figure 2: DFS Deposit Approval Workflow Steps

GL Journal Approval

Workflow occurs between the GL Journal Processor role (assigned to an end user within an agency Business Unit), the GL Journal Approver role (assigned to an end user within an agency Business Unit), and the DFS GL Journal Approver role (assigned to an end user within the DFS Business Unit). The process steps for this workflow are documented in Figure 3.



Figure 3: GL Journal Approval Workflow Steps

Agency Role Mapping Handbook v.2.0 Revision Notes (1/19/2021)

This section documents the revisions that were made to the Agency Role Mapping Handbook between the July 30, 2020 release and the January 19, 2021 release. Revisions include additions, deletions, and modifications to the CMS Wave Florida PALM role descriptions, responsibilities and SOD conflicts.

Additions

The following Florida PALM roles were added:

- Agency Banking Reporter
- Agency Query Writer
- AP Reporter
- DFS CM Accounting Approver
- DFS Query Writer
- GL Reporter
- Security Access Manager

Deletions

The following Florida PALM roles were removed:

- Agency Allocation Processor
- Bank Reconciliation Processor
- GL Journal Processor (DFS role)
- DFS AP Exception Processor

Updates to Role Names

- The Agency CRA Reporter role was renamed to be the Agency CRA Processor role.

- The Book to Bank Reconciliation Processor was renamed DFS Book to Bank Reconciliation Processor
- The GL Reconciliation Processor was renamed DFS GL Reconciliation Processor

Modifications to Role Descriptions and Responsibilities

The following Florida PALM roles had changes to their role descriptions or responsibilities:

- Agency CM Reporter – modified responsibilities to view GL reports instead of CM reports
- Agency CRA Processor – removed responsibility to add and update CRA payments
- Agency Deposit Reporter – additional responsibility to view and review returned items and debit memos
- DFS Bank Reconciliation Processor – additional responsibility to monitor daily reconciliation of Florida PALM transactions to bank account activity
- DFS GL Journal Approver – additional responsibility to approve distribution journals and removal of responsibility to submit journals to workflow
- DFS GL Journal Processor – additional responsibility to configure and update allocations and run allocation processes
- DFS GL Reconciliation Processor – additional responsibility to run month-end reports, process GL Journal transactions, and coordinate source module transactions
- DFS Investment Accounting Processor – modified responsibilities to add and update deals
- GL Journal Processor (agency role) – additional responsibility to budget check GL Journals, GL Journal transactions, and coordinate source module transactions to assist with GL reconciliation

The following Florida PALM roles have access to protected data:

- DFS Bank Account Maintainer
- DFS Bank Reconciliation Processor
- DFS Book to Bank Reconciliation Processor
- DFS Correspondence Processor
- DFS Payment Cancellation Processor
- DFS Transfer Approver

Modifications to SOD Conflicts

The following SOD conflicts were added:

- SOD conflict between DFS CM Accounting Approver and the Cash Transfer Processor, the DFS Bank Reconciliation Processor, and the DFS Transfer Approver

The following SOD conflicts were removed:

- SOD conflict between the Bank Account Request Processor and the Agency Requestor
- SOD conflict between the DFS Bank Reconciliation Processor and the Agency Allocation Processor
- SOD conflict between the DFS Deposit Approver and the DFS Deposit Processor
- SOD conflict between the GL Journal Approver and the GL Journal Processor (agency role)

- SOD conflicts between Agency CM Reporter role and the DFS Bank Reconciliation Processor
- SOD conflict between Agency CM Reporter and the DFS Book to Bank Reconciliation Processor
- SOD conflict between DFS AP Exception Processor and all roles