

## 90.3 Create and Maintain Contracts

This document is a draft and subject to change.

## Revision History

Version	Date	Revision Notes
1.0	11/13/2023	Initial Financials Wave Draft

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## Business Process Overview

The Create and Maintain Contracts business process addresses the set up and maintenance of Contract ChartField values and related information used for fiscal management. This business process is managed via a Custom Contracts Information Page. Contract values created or updated in this business process will systematically create or update the ChartField values within the General Ledger.

The business subprocesses included are:

- 90.3.1 Add or Modify Contract
- 90.3.2 Monitor and Closeout Contract

### 90.3.1 Add or Modify Contract

Section 215.985, Florida Statutes, requires Contract (written agreement or purchase order issued for the purchase of goods or services or receipt of state or federal financial assistance) information to be recorded within Florida Accountability and Contract Tracking System (FACTS). Agencies must record their contracts within FACTS, unless the Agency is specifically exempt per Statute. Integration with FACTS will create a new or update an existing Contract ChartField value.

A custom Contract Information page will additionally contain general contract information, including Supplier Type and any associated Federal or State assistance numbers for each contract which supports reporting needs.

### 90.3.2 Monitor and Closeout Contract

Users within agencies will be able to run financial reports for month end and year end reconciliation, reporting and monitoring needs. This subprocess is used to review a contract's financial records for the process of monitoring contract financial activity and/or closing a contract within Florida PALM.

Definitions for terminology used within this business process can be found at [Terms and Definitions Catalog](#)<sup>1</sup>.

## Dependencies and Constraints

Dependencies and Constraints describe any conditions or criteria that impact how or when the business process should be executed. These could be set within Florida PALM or from external sources (i.e., Law or Rule).

- Agencies will record their Contract values within FACTS as per 215.985, F.S.
- The Assistance Listing Number (ALN), formerly Catalog of Federal Domestic Assistance (CFDA), is assigned by the federal government and maintained in Florida PALM by Accounting and Auditing (A&A).
- The Catalog of State Financial Assistance (CSFA) is assigned, entered into Florida PALM and maintained by A&A.
- State agencies are responsible for maintaining accounting records necessary for the effective management of their programs and functions.

<sup>1</sup> <https://app.smartsheet.com/b/publish?EQBCT=0145b968d515454e9753d4943702576a>. Note: this list includes only terms related to Design Segment I and II Business Processes and will be updated with terminology supporting the remaining Design Segments during the coming months.

### 90.3 Create and Maintain Contracts

- Business Unit security is used to allow agencies exempt from using FACTS, per statute, to have add/update access to the custom Contract Information pages.
- Contract Information Page is dependent on inbound interfaces or online page entry.
- The Agency Contract Processor role, for applicable business units, will have add/update capability to all pages within the Contract Information Page, however the changes will not be effective until the Agency Contract Maintainer has updated the ChartField status.
- The Agency Contract Maintainer role, for applicable business units, will have add/update capability to all pages within the Contract Information Page, however, they will not be allowed to update the ChartField status of a contract in which they created or updated.

## Business Process Flow Details

The tables below describe steps in each business subprocess as reflected on the Business Process Flow Diagrams. The tables also reflect information associated with each step describing the intent of the specific process. Florida PALM screenshots are included within the sections to allow connections to be made from specific business subprocess steps to screens within Florida PALM.

The Business Process Flow Diagrams use horizontal swim lanes to depict where activities are performed by different parties or systems. Each swim lane is titled with a role, either agency-based or within Department of Financial Services (DFS), and in some cases, are representative of an external entity or system. The swim lanes may change from page to page within a single business subprocess as more or fewer roles are required to execute sections of the business subprocess. Optionally, the process flow diagram may reflect vertical swim lanes to further designate information such as systems or time intervals.

This information should be read in conjunction with the Business Process Flow Diagrams.

### 90.3.1 – Add or Modify Contract

Table 1: Add or Modify Contract

90.3.1 Add or Modify Contract	
<b>Module</b>	<b>Custom Contract Page</b>
<b>Related Module(s)</b>	<b>General Ledger</b>
<b>Swim Lane – Definition</b>	<p><b>Agency Contract Maintainer:</b> agency role responsible for ensuring accurate contract information is recorded, ability to upload Contract information to add or modify data and updating the Contract ChartField Status. This role is only applicable to agencies statutorily exempt from using FACTS.</p> <p><b>Agency Contract Processor:</b> agency role responsible for entering information on the Contract Information Page. This role is only applicable to agencies statutorily exempt from using FACTS.</p> <p><b>Agency Various Roles:</b> role(s) within the agency responsible for ensuring correct and accurate data is recorded in the Florida Accountability and Contract Tracking System (FACTS).</p> <p><b>Agency Contract Reporter:</b> (role not shown as a swimlane on flow diagram) role assigned to view contract data within Florida PALM.</p>

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Process Step ID	Process Step Title	Description of Process
1	Identify a need to Add or Modify a Contract	<p>Contract ChartField values within Florida PALM are used to track the purchase or sale of goods and services.</p> <p>Agencies exempt from recording the receipt of financial assistance in FACTS, as defined in 215.985, F.S., may add or modify Contract values online, using the Spreadsheet Upload or via an interface from their agency business system to the custom Contracts Page. All other agencies must add or modify Contract values directly within FACTS.</p>
2	Record/Modify Contract information in FACTS	<p>Agencies NOT exempt from FACTS must record contract information directly into FACTS in order to add a new or updated contract value within Florida PALM.</p> <p>If the user determines the ALN or CSFA value needed for the contract, is not available in FACTS, the user will need to request a value be added to Florida PALM via 90.2.2 Add or Modify ALN/CSFA subprocess.</p> <p>Users with the Agency Contract Reporter role will have access to reports and read only access to Grant Information page.</p>
3	Inbound Contract Data (CTI001, CTI002)	<p>Agencies exempt from recording information in FACTS per statute, may utilize the Contract Spreadsheet Upload or interface directly from their agency business system to add or modify Contract values within Florida PALM.</p> <p>Contract values and relevant information for all other agencies will be interfaced directly from the FACTS system.</p>
4	Perform Interface Error Checking	<p>If the file is rejected, all transactions in the file are rejected and the file must be resubmitted once the issue is resolved.</p> <p>If the file is not rejected, edit validations are performed on each transaction before the data is allowed to load for processing in the Contract Information Pages. Additional edits will be performed during the transaction life cycle.</p> <p>Rejected transactions are managed through the 120.1 Interface Error Handling Process</p> <p>This error checking process will validate the following information:</p> <ul style="list-style-type: none"> <li>• Supplier Validation</li> </ul>

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Process Step ID	Process Step Title	Description of Process
5	Load Contract Information	The Contract Information will be loaded to Florida PALM once the file passes interface error checking process successfully.
6	Record/Modify General Contract Information (CTE001)	<p>Agencies exempt from recording information in FACTS, as defined in 215.985, F.S., may use the custom online Contract Information Page to add or modify a contract value or associated information, directly within Florida PALM.</p> <p>See below figures 1 through 3 for examples of the Contract Information Page and the three pagelets.</p> <p>If the Agency Contract Processor determines the ALN or CSFA value needed for the contract is not available in Florida PALM, the Agency Contract Processor will need to request a value be added via 90.2.2 Add or Modify ALN/CSFA subprocess.</p>
7	Update ChartField Status	<p>The Agency Contract Maintainer will review the Contract information for completeness and update the status of the Contract value. Updating the status triggers the systematic establishment of the Contract ChartField value and makes the value available for use on transactions. This manual step is only needed for FACTS exempt agencies using online entry.</p> <p>If the Contract values are added or updated through interface, or Spreadsheet Upload, they will be loaded with the appropriate status.</p> <p>If the Agency Contract Processor determines the contract status should be closed per the 90.3.2 Monitor and Closeout Contract subprocess, the Agency Contract Processor notifies the Agency Contract Maintainer to update the status of the contract.</p>
08	Contract ChartField Value Created/Updated	The Contract ChartField value is created and available for use on a transaction. Newly activated and updated ChartField values will be reflected in the GLR091 ChartField Value Report.

### ***Contract Information Page***

The following screen shots are conceptual mockups of the Contract Information Page and related pagelets. The Contract Information Page is a group of online pages that are used to add new, update, search and view established Contract ChartField values and associated information. This group of pages will be view only for all agencies unless exempt from recording information within FACTS per 215.985, F.S.

The Contract Information Page is divided into three pagelets:

- **General Information** – used to record the basic, or general, information about the contract. Reference Figure 1
- **ALN/CSFA** – used to record financial assistance reference numbers, both federal and state. Multiple values of each are allowed. If multiple values are recorded, a Primary ALN and Primary CSFA must be identified. Reference Figure 2
- **ChartField Activation** – used to update the status of the Contract value for use on a transaction within the Contract ChartField. This tab is populated with information from the general information tab, but is only add/update accessible, by the Agency Contract Maintainer role within Business Units exempt from recording information in FACTS. Reference Figure 3

## Contract Information Page

Contract Information		Chartfield Activation	
Business Unit:	43000	Contract Type:	Government
Contract ID:	19534	Chartfield Status:	Inactive
Short Description:	Contract FY 2023	FACTS Indicator:	<input type="checkbox"/>
Long Description:	Contract FY 2023 - Reference No#235.2352.34524		
Contract Amount:	1,220,450.00	ALN:	
Effective Date	7/1/2023	CSFA:	
		Chartfield Status:	Inactive
<b>Supplier Details</b>			
Supplier /Contractor ID:	0000124567	Supplier Name:	GBS Inc.
		Supplier Type:	C - Local Government
Added by User ID:	USER-1138 Mark Smith	Added Datetime:	06/15/2023 11:01:23 AM
Last Updated User ID:	USER-2345 John Turner	Last Updated Datetime:	6/17/2023 8:01:23 PM
<b>SAVE</b>			

Figure 1: Contract Information Page



## Contracts ALN CSFA Information

Contract Information		ALN CSFA Information		Chartfield Activation	
Business Unit:	43000	Contract ID:	19534	Contract Type:	Government
Short Description:	Contract FY 2023		Long Description:	Contract FY 2023 - Reference No#235.2352.34524	
<b>ALN Details</b>			<b>CSFA</b>		
ALN#:		Primary	CSFA#		Primary
ALN 1:	<input type="text"/>	<input checked="" type="checkbox"/>	CSFA 1:	<input type="text"/>	<input type="checkbox"/>
ALN 2:	<input type="text"/>	<input type="checkbox"/>	CSFA 2:	<input type="text"/>	<input checked="" type="checkbox"/>
ALN 3:	<input type="text"/>	<input type="checkbox"/>	CSFA 3:	<input type="text"/>	<input type="checkbox"/>
ALN 4:	<input type="text"/>	<input type="checkbox"/>	CSFA 4:	<input type="text"/>	<input type="checkbox"/>
ALN 5:	<input type="text"/>	<input type="checkbox"/>	CSFA 5:	<input type="text"/>	<input type="checkbox"/>
ALN 6:	<input type="text"/>	<input type="checkbox"/>	CSFA 6:	<input type="text"/>	<input type="checkbox"/>
ALN 7:	<input type="text"/>	<input type="checkbox"/>	CSFA 7:	<input type="text"/>	<input type="checkbox"/>
ALN 8:	<input type="text"/>	<input type="checkbox"/>	CSFA 8:	<input type="text"/>	<input type="checkbox"/>
ALN 9:	<input type="text"/>	<input type="checkbox"/>	CSFA 9:	<input type="text"/>	<input type="checkbox"/>
ALN 10:	<input type="text"/>	<input type="checkbox"/>	CSFA 10:	<input type="text"/>	<input type="checkbox"/>
ALN 11:	<input type="text"/>	<input type="checkbox"/>	CSFA 11:	<input type="text"/>	<input type="checkbox"/>
ALN 12:	<input type="text"/>	<input type="checkbox"/>	CSFA 12:	<input type="text"/>	<input type="checkbox"/>
ALN 13:	<input type="text"/>	<input type="checkbox"/>	CSFA 13:	<input type="text"/>	<input type="checkbox"/>
ALN 14:	<input type="text"/>	<input type="checkbox"/>	CSFA 14:	<input type="text"/>	<input type="checkbox"/>
ALN 15:	<input type="text"/>	<input type="checkbox"/>	CSFA 15:	<input type="text"/>	<input type="checkbox"/>

Figure 2: Contract Information Page - ALN/CSFA Information

## Contract Information - Chartfield Activation Page





Contract Information		Chartfield Activation	
Business Unit:	43000	Contract ID:	19534
Contract Type:	Government		
Short Description:	Contract FY 2023		Long Description: Contract FY 2023 - Reference No#235.2352.34524
Effective Date:	7/1/2023 	Chartfield Status:	Active 
<div>   </div>			
<div>SAVE</div>			

Figure 3: Contract Information Page – ChartField Activation

## 90.3.2 – Monitor and Closeout Contracts

Table 2: Monitor and Closeout Contracts

90.3.2 – Monitor and Closeout Contracts		
<b>Module</b>	<b>Custom Contract Page</b>	
<b>Related Module(s)</b>	<b>General Ledger, Commitment Control, Accounts Payable, Accounts Receivable, InterUnit</b>	
<b>Swim Lanes – Definition</b>	<b>Agency Contract Processor:</b> agency role responsible for entering information on the Contract Information Page.	
Process Step ID	Process Step Title	Description of Process
1	Review Contract Financials	<p>The Agency Contract Processor will monitor Contract financial activities using a variety of reports and online screens.</p> <p>The Agency Contract Processor will review Contract transactions to confirm they are allowable and recorded correctly, using the appropriate COA values based on DFS Reference Guide for State Expenditures, GAAP or other statutory requirements.</p> <p>Corrections to Contract transactions should occur in the original source module (AP entries should be corrected in the AP module, AR entries should be corrected in the AR module etc.)</p> <p>The Agency Contract Processor should determine which source module is needed to make the corrections and take the appropriate action.</p> <p>If the original transaction was entered as an AP voucher, then use the appropriate subprocess within 30.3 Enter and Process Vouchers to correct the voucher.</p> <p>If the original transaction was recorded as an AR transaction, then use the appropriate subprocess within 60.2 Deposit and Apply Receipts to correct an AR item deposit or a direct journal deposit.</p> <p>If the original transaction was recorded as an Inter/IntraUnit transaction, then use the appropriate subprocess within 110.1 Inter/IntraUnit Transaction Processing to correct an Inter/IntraUnit transaction.</p> <p>If an entry (e.g., reclassification or original) is recorded as a GL Journal, the entry will follow steps in 10.2.3 Agency Create and Approve Journals subprocess.</p>

Process Step ID	Process Step Title	Description of Process
2	Review Reports for Financial Close	Determine if the Contract is eligible for financial closeout by reviewing the End Date and reports. If the Contract is eligible for closeout, then review various submodule and data warehouse reports for financial closure. Reviewing reports assists with validating and reconciling transaction data to the Contract details. When reviewing reports, the Agency Contract Processor needs to understand the transaction lifecycle and the statuses to make sure the transaction is complete and accurate before requesting the Contract be closed.
3	Notify Agency Contract Maintainer	Agency Contract Processor will notify the Agency Contract Maintainer or follow the FACTS closeout process, per Agency policy and procedures, that the contract is ready to be closed. The Agency Contract Maintainer follows the subprocess 90.3.1 Add or Modify Contract to update the Contract Status on the Contract Information Page to Closed and the ChartField Status to Inactive. This systematically triggers inactivation of the ChartField and it is no longer available for use on a transaction.

## Accounting Events

Accounting events originate during transaction processing in the applicable source module. The accounting events impact the source module, Commitment Control ledgers, and the General ledger (Actuals).

- Source Module accounting entries require user input (U) of the primary line (i.e., expenditure, revenues) with an automated system (S) offsetting line (i.e., payable, receivable) during transaction entry. The source model transaction must pass Edit Check, Budget Check, and Cash Check (on applicable entries) prior to posting the transaction.
- The Run Budget Check (Commitment Control) process automatically affects balances in the appropriate budget ledger (i.e., appropriation, spendable cash) if the transaction passes the budget check process.
- After the transaction is posted in the source module, an automated system process summarizes and posts the entries in the General Ledger module to the Actuals Ledger.

The table below provides the most common accounting events applicable to this business process.

Table 3: Accounting Events Included on Business Process Flow Diagrams

Ledger Impact ID	Accounting Event	Commitment Control Ledger(s) Impact	Source Module Accounting Entry	General Ledger (Actuals) Entry
N/A				

Note: The Contract ChartField is an optional field for all transactions which is included on the related accounting events if used by the agency.

## Key Reports

Key Reports are displayed as icons with the Report Number on the Business Process Flow Diagrams. The table below provides the reports identified to be produced at a particular process step or is used to support the completion of a process step.

Table 4: Key Reports Included on Business Process Flow Diagrams

Report Number	Report RICEFW ID	Report Description	Report Source	Report Frequency	Audience
R1	GLR091	<b>ChartField Value Report</b> - Listing of ChartField values established.	PeopleSoft	Periodic, Monthly	Agency, DFS
R2	GLR099	<b>Trial Balance Report</b> - A custom report that lists debit and credit activity by ChartField and date.	PeopleSoft	Monthly	Agency, DFS

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Report Number	Report RICEFW ID	Report Description	Report Source	Report Frequency	Audience
R3	KKR008	<b>Schedule of Allotment Balances Report</b> - Custom report reflecting recorded allotments, encumbrances, expenditures, and associated remaining balances for designated time periods grouped by designated ChartFields and ChartField combinations.	PeopleSoft	Monthly	Agency
R4	APR051	<b>Contract Expenditures Report</b> - A report of contract payment information by Vendor Name, contract ID number, Payment Number, Posted Invoice #, Date Posted Invoice posted, Payment Amount, document number unique to document payment, or available fields with the ability to export data into an excel format.	Data Warehouse	Daily	Agency
R5	ARR007	<b>Deposit Report</b> - A report that provides detailed information for deposits.	PeopleSoft	Daily	Agency
R6	POR009	<b>Outstanding Encumbrance Errors Report</b> - A report that lists unresolved encumbrance exceptions.	PeopleSoft	Daily	Agency
R7	KKR018	<b>Agency Obligations Report</b> - A custom report that provides encumbrances and payables by ChartField combinations.	PeopleSoft	Daily	Agency

**Note:** A complete list of reports may be found in the [Reports Catalog](#)<sup>2</sup>.

## Conversions

The table below identifies the Conversions related to this Business Process. These items are not included within the Business Flow Diagrams; however, these items are important elements of each Business Process.

<sup>2</sup> <https://app.smartsheet.com/b/publish?EQBCT=78f9327c658040d0bc1e8cc829e51efa>

Table 5: Data Converted from External System to Florida PALM

Conversion Number	Conversion Description	Source
CTC001	<b>Contracts (for Accounting Purposes)</b> – Conversion of titling and administrative information required to manage financial activity for active contracts.	FACTS, FLAIR

**Note:** A complete list of conversions may be found in the [Conversion Catalog](#)<sup>3</sup>.

## Interfaces

The table below provides the Interface IDs for each interface identified on the Business Process Flow Diagrams.

Table 6: Interfaces Included on Business Process Flow Diagrams

Interface Number	Interface Description	Interface Frequency	Source	Target
CTI001	<b>Inbound Contract ChartField</b> – Inbound interface containing Contract details from agency business systems or FACTS.	Daily	ABS, FACTS	Florida PALM
CTI002	<b>Inbound Contract Spreadsheet Upload</b> – Inbound interface to allow mass upload of Contract values via spreadsheet (Excel) upload.	Daily	ABS	Florida PALM

**Note:** A complete list of interfaces may be found in the [Interface Catalog](#)<sup>4</sup>.

<sup>3</sup> <https://app.smartsheet.com/b/publish?EQBCT=78f9327c658040d0bc1e8cc829e51efa>

<sup>4</sup> <https://app.smartsheet.com/b/publish?EQBCT=78f9327c658040d0bc1e8cc829e51efa>

## Forms

The table below provides the Form Numbers for any forms identified on the Business Process Flow Diagrams.

*Table 7: Forms Included on Business Process Flow Diagrams*

Form Number	Form Description	Audience
N/A		

## Workflows

The table below provides the Workflow Numbers for any workflows identified on the Business Process Flow Diagrams.

*Table 8: Workflows Included on Business Process Flow Diagrams*

Workflow Number	Workflow Description	Audience
N/A		

## Agency Configurations

The table below identifies the Agency Configurations related to this Business Process. These items are not included within the Business Flow Diagrams; however, these items are important elements of each Business Process.

*Table 9: Configurations Defined and/or Maintained by Agencies*

Configuration Number	Configuration Description	Configuration Maintainer
N/A		

## Appendix

N/A