

CMSW.60.2 Deposit and Apply Receipts

Revision History

Version	Date	Revision Notes
0.1	04/23/2020	Initial Submission

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Business Process Overview

The Deposit and Apply Receipts business process addresses how the State records deposits in Florida PALM and monitors that deposits are reconciled to bank data.

The business subprocesses included are:

- 60.2.4 – Manage Electronic Receipts Data
- 60.2.5 – Process FLAIR Deposits
- 60.2.6 – Treasury Receipts, Adjustments, and Returned Items

Section 116.01, Florida Statutes (F.S.), requires funds collected and due to the State to be deposited in the Treasury no later than seven working days from the close of the week in which funds were received. Section 215.31, F.S., provides revenue collected or received shall be promptly deposited in the Treasury, immediately credited to the appropriate fund, and properly accounted for by DFS as to source.

Manage Electronic Receipts Data is a process to import ePayment and ACH Notification of Change (NOC) data from financial institutions and make available to the agencies for use in customer transaction processing.

The Process FLAIR Deposits business process addresses how agencies record deposits in Departmental Florida Accounting Information Resource (FLAIR) and monitor reconciliation of bank data in Departmental FLAIR and Florida PALM. This process describes:

- The ability to interface deposit data;
- The ability to retrieve deposit information and request the Department of Financial Services (DFS), Division of Treasury (Treasury) assistance; and
- How the Department of Revenue (DOR) creates deposits on behalf of agencies.

The Treasury Receipts, Adjustments, and Returned Items business process addresses how DFS Treasury and agencies record related deposits in Florida PALM and Departmental FLAIR. If checks, credit card payments, or Automated Clearing House (ACH) payments are returned by the bank (e.g., insufficient funds, credit card disputes, or closed accounts), a debit memo is systematically generated in Florida PALM. Returned items are recorded in Florida PALM to reduce the cash balance in an agency's default fund. Agencies record a transaction in Departmental FLAIR to reduce the cash balance. If applicable, agencies enter a Departmental FLAIR transaction to update the default fund to the appropriate fund.

Dependencies and Constraints

- DFS Office of Information Technology (OIT) continues to provide ePayment data to agencies.
- The Departmental FLAIR deposit verification process mirrors the current day method for agencies, which minimizes changes to Departmental FLAIR.
- Verified Departmental FLAIR deposits are uploaded and reconciled in Florida PALM.
- Agencies access Florida PALM to run and review reports.

Business Process Flow Details

Table 1: Process Steps Included on CMSW Business Process Model Flow

CMSW.60.2.4 – Manage Electronic Receipts Data		
Swim Lanes – Definition	Agency Deposit Reporter: Agency role responsible for reviewing electronic receipts data DFS Electronic Receipts Maintainer: DFS role responsible for managing electronic receipts data	
Process Step ID	Process Step Title	Description of Process
1	OIT Receives ePayment Data	OIT receives ePayment data (e.g., credit cards) from the bank.
2	OIT Distributes ePayment Data	OIT distributes ePayment Data received from the bank to agencies through a DFS server.
3	Agency Receives ePayment Data	The agency receives ePayment data to support processing in agency business systems. This information informs decisions related to deposits.
4	ACH NOC Interface	The ACH NOC interface contains details about customer drafts that require changes to the banking information (e.g., insufficient funds, changes to bank routing/bank account numbers).
5	Import & Parse ACH NOC Data	Upon receipt, Florida PALM imports the ACH NOC data and parses the data by agency.
6	Export ACH NOC Data	Florida PALM exports agency specific ACH NOC data.
7	Agency ACH NOC Interface	The Agency Deposit Reporter receives the agency specific ACH NOC data which provides support in processing customer drafts.
8	Review ACH NOC Data	The Agency Deposit Reporter reviews the ACH NOC data online to identify updates to customer banking data.

Table 2: Process Steps Included on CMSW Business Process Model Flow

CMSW.60.2.5 – Process FLAIR Deposits		
Swim Lanes – Definition	Agency Deposit Reporter: Agency role responsible for reporting in Florida PALM and recording deposits in Departmental FLAIR DOR Agency Exception Processor: DOR role responsible for processing deposits on behalf of agencies DFS Bank Reconciliation Processor: DFS role responsible for reconciling bank accounts	
Process Step ID	Process Step Title	Description of Process
1	Enter Deposit Transaction	Agencies enter or upload deposit transactions into Departmental FLAIR.
2	Run and Review Unreconciled Deposits Reports	Before entering electronic deposits in Departmental FLAIR, the Agency Deposit Reporter runs and reviews the Unreconciled Deposits report to obtain the deposit number and confirm the deposit amount.

Process Step ID	Process Step Title	Description of Process
3	"T" Deposit for Verification	Agencies confirm that the deposit number and amount are correct on the Cash Receipts Utility screen (CP function) in Departmental FLAIR and mark the deposit record with a "T" to transfer to the deposit verification process.
4	Submit Treasury Correspondence Form	If an agency requires deposit verification prior to receiving the bank deposit (i.e., large ACH or wire deposits), the agency submits a Treasury Correspondence Form via workflow.
5	Manual Deposit Verification	The DFS Bank Reconciliation Processor reviews and validates the deposit in the banking portal and changes the status of the deposit record to "V" in Departmental FLAIR to indicate the deposit is verified.
6	Verification Process	The verification process in Departmental FLAIR systematically reconciles the agency's deposit entry and the corresponding bank deposit data to confirm the deposit details match. Florida PALM provides bank deposit data from the CMSW.70.2 Manage and Reconcile Bank Statements business process.
7	Run and Review Unreconciled Deposits Report	If the deposit doesn't reconcile, the Agency Deposit Reporter runs and reviews the Unreconciled Deposits Report to determine why the deposit didn't reconcile. If necessary, the Agency Deposit Reporter may contact the DFS Bank Reconciliation Processor to facilitate a deposit rejection or a bank correction.
8	Submit Treasury Correspondence Form	If necessary, the Agency Deposit Reporter submits a Treasury Correspondence Form via workflow.
9	Review Assistance Needed	The DFS Bank Reconciliation Processor reviews the request for assistance and determines the next step.
10	Notify Bank and Manually Verify	If a bank correction is necessary, the DFS Bank Reconciliation Processor notifies the bank and determines whether to update the status of the deposit record to "V" in Departmental FLAIR or wait for the correction on the bank statement to follow the standard verification process.
11	Change Deposit Status to "R"	If a Departmental FLAIR deposit correction is necessary, the DFS Bank Reconciliation Processor changes the deposit status to Rejected by marking it with an "R".
12	Reverse and Enter Deposit Transaction	Once the DFS Bank Reconciliation Processor rejects the deposit transaction in Departmental FLAIR, the Agency Deposit Reporter reverses and enters the deposit entry in Departmental FLAIR to match the bank deposit information.
13	Verified Deposit Data	Departmental FLAIR extracts verified deposit records to record Direct Journal Deposits in Florida PALM.
14	Import and Create Direct Journal Deposits	Florida PALM imports verified deposit data from the Departmental FLAIR deposit data file and creates Direct Journal Deposits.

Process Step ID	Process Step Title	Description of Process
		Florida PALM systematically reconciles the agency's deposit entry to the corresponding bank deposit data to confirm the deposit details match. Florida PALM provides bank deposit data from the CMSW.70.2 Manage and Reconcile Bank Statements business process.
15	Run Ledger Update	A Florida PALM process systematically updates Cash and Revenue ledger balances.
16	Deposits, TR Receipts, ADJ, and Returns Data	Florida PALM extracts the DOR deposit data to record transactions in Central FLAIR.
17	Load DOR Deposit Data	Central FLAIR imports the DOR Receipts data to update Central FLAIR cash and revenue balances.
18	Run and Review Reports	The Agency Deposit Reporter runs and reviews applicable reports to support the agency's business process.
19	Import Deposit Data	Florida PALM provides bank statement data from the CMSW.70.2 Manage and Reconcile Bank Statements business process. The DOR Agency Exception Processor imports deposit data from the bank statement files into their agency business system.
20	Agency Deposit Data	The DOR Agency Exception Processor generates a deposit file for import into Florida PALM to create Direct Journal Deposits when creating deposits on behalf of other agencies.
21	Run and Review Unreconciled Deposits Report	The DOR Agency Exception Processor runs and reviews the Unreconciled Deposits Report to determine whether updates are needed to achieve reconciliation.
22	Update Direct Journal Deposit	If the deposit did not reconcile, the DOR Agency Exception Processor updates the amount or bank subaccount to reconcile.
23	Agency Deposit Data	The DOR Agency Exception Processor generates a Departmental FLAIR deposit file for applicable agencies.
24	Enter Departmental FLAIR Only Transaction	The DOR file creates a Departmental FLAIR only transaction, to record the agency's cash and revenue balances, or the agencies enter directly to reconcile to Florida PALM. If the Agency Deposit Reporter determines a need to reclassify revenue, the agency enters a \$0 deposit (TR30) or revenue transfer (TR94) transaction in Departmental FLAIR. Revenue reclassifications include redistributions and corrections.

Table 3: Process Steps Included on CMSW Business Process Model Flow

CMSW.60.2.6 – Treasury Receipts, Adjustments and Returned Items		
Swim Lanes – Definition	<p>Agency Deposit Reporter: Agency role responsible for reporting and recording returned items</p> <p>DFS Deposit Approver: DFS role responsible for reviewing and approving deposits</p> <p>DFS Deposit Processor: DFS role responsible for returned items data from the Bank</p>	
Process Step ID	Process Step Title	Description of Process
1	Returned Items Data	The Bank provides a Returned Items Data file to Florida PALM.
2	Import and Create Direct Journal Deposits	<p>Florida PALM imports and creates the returned item deposit as a Direct Journal Deposit to the agency’s default ChartField values.</p> <p>Florida PALM systematically reconciles the agency’s deposit entry to the corresponding bank deposit data to confirm the deposit details match. Florida PALM provides bank deposit data from the CMSW.70.2 Manage and Reconcile Bank Statements business process.</p>
3	Treasury Receipt and Deposit Adjustment	The DFS Deposit Processor compiles Treasury Receipts and Deposit Adjustments to record in Florida PALM.
4	Create Direct Journal Deposit	<p>The DFS Deposit Processor creates a Direct Journal Deposit manually or via a spreadsheet upload for Treasury Receipts and Deposit Adjustments. The DFS Deposit Processor routes the Direct Journal Deposits to the DFS Deposit Approver for review and approval.</p> <p>Florida PALM systematically reconciles the agency’s deposit entry to the corresponding bank deposit data to confirm the deposit details match. Florida PALM provides bank deposit data from the CMSW.70.2 Manage and Reconcile Bank Statements business process.</p>
5	Run Ledger Update	Florida PALM systematically updates Cash and Revenue ledger balances.
6	Deposits, TR Receipts, ADJ, and Returns Data	Florida PALM extracts the deposit data which includes manual and systematic Treasury receipts to record transactions in Central FLAIR. Florida PALM systematically generates Treasury Receipts from the CMSW.70.2 Manage and Reconcile Bank Statements and the CMSW.70.6 Create and Maintain Deals business processes.
7	Load Deposits, TR Receipts, ADJ, and Returns Data	Central FLAIR imports the Deposits, TR Receipts, Adjustments, and Returns data.
8	Run and Review Reports	The Agency Deposit Reporter runs and reviews applicable reports to support the agency’s business process.

Process Step ID	Process Step Title	Description of Process
9	Enter Deposit Transaction	The Agency Deposit Reporter enters a Departmental FLAIR only transaction to record the returned items. If the Agency Deposit Reporter determines a need to reclassify revenue, the agency enters a \$0 deposit (TR30) or revenue transfer (TR94) transaction in Departmental FLAIR. Revenue reclassifications include redistributions, updates to returned item default accounting, and corrections.
10	Export Returned Items Data	This process generates and exports a Returned Item Data file for agencies.
11	Returned Items Data	Agencies receive a Returned Items Data file which includes images.
12	Add Foreign Item Support	Upon receiving documentation to support Foreign Item returns, the DFS Deposit Processor attaches the image and additional information to the deposit for the agency's collection process.

Ledger Impacts

Table 4: Ledger Impacts Included on CMSW Business Process Model Flow

Ledger Impact ID	Ledger - Ledger Impact Title	Ledger Impact Description
LI1	Actuals Ledger – Direct Journal	Increases Subaccount Cash Increases Revenue
LI2	Actuals Ledger – Returned Item Deposit	Decreases Revenue in Default ChartField string Decreases Subaccount Cash in Default ChartField string

Reports

Table 5: Reports Included on CMSW Business Process Model Flow

Report Number	Report Description	Report Frequency	Audience
R1	ACH Notifications of Change Report – provides a query and drilldown capability to the NOC detail	Periodic	Agencies
R2	Agency Bank Deposit Extract – provides a query to prepopulate the deposit spreadsheet from the bank statement file to assist agencies in recording deposits	Periodic	Agencies
R3	Unreconciled Deposits Report – provides a report of unreconciled deposits	Periodic	Agencies
R4	Reconciled Deposits Report – provides a report of reconciled deposits	Periodic	Agencies

Report Number	Report Description	Report Frequency	Audience
R5	Deposits Report – provides detailed information for deposits	Periodic	Agencies
R6	Verified Deposit Summary Report – provides total count and dollar amount for all receipts, provided daily with a monthly total	Periodic	Agencies
R7	Aging Verified Deposit Summary Report – provides the counts, percentages, and total dollar of deposits verified by age	Periodic	Agencies
R8	Debit Memo – provides returned item information	Periodic	Agencies