Streamlined Banking Program

Agency Manual

Prepared By: Cash Management Team
Date: 7/5/07
Version: 0.1

TABLE OF CONTENTS

1.0 Streamlined Banking Overview 6

2.0 Banking Set Up 7

2.1 Agency As Is Banking Diagram 7

2.2 Agency To Be Banking Diagram 7

2.3 Bank Accounts 7

3.0 Streamlined Banking Processes 7

3.1 Bank Administration 7

3.1.1 Business Process Flow 7

3.1.2 Process Documentation 7

3.1.3 Accounting Flow 7

3.1.4 Agency Task List 7

3.2 Allotments and Commitment Control 7

3.2.1 Business Process Flow 7

3.2.2 Process Documentation 8

3.2.3 Accounting Flow 8

3.2.4 Agency Task List 8

3.3 Accounts Receivable 8

3.3.1 Business Process Flow 8

3.3.2 Process Documentation 8

3.3.3 Accounting Flow 8

3.3.4 Agency Task List 8

3.4 Bank Reconciliation 8

3.4.1 Business Process Flow 8

3.4.2 Process Documentation 8

3.4.3 Accounting Flow 8

3.4.4 Agency Task List 8

3.5 Accounts Payable 9

3.5.1 Business Process Flow 9

3.5.2 Process Documentation 9
3.5.3 Accounting Flow 9
3.5.4 Agency Task List 9
3.6 Interagency Settlements 9
3.6.1 Business Process Flow 9
3.6.2 Process Documentation 9
3.6.3 Accounting Flow 9
3.6.4 Agency Task List 9
3.7 Payroll 9
3.7.1 Business Process Flow 9
3.7.2 Process Documentation 9
3.7.3 Accounting Flow 9
3.7.4 Agency Task List 9
3.8 Local Depository Accounts 10
3.8.1 Business Process Flow 10
3.8.2 Process Documentation 10
3.8.3 Accounting Flow 10
3.8.4 Agency Task List 10
3.9 Allocations 10
3.9.1 Business Process Flow 10
3.9.2 Process Documentation 10
3.9.3 Accounting Flow 10
3.9.4 Agency Task List 10
4.0 Streamlined Banking Operating Model 10
4.1 Streamlined Banking Operational Relationships 11
4.2 Production Support 13
4.2.1 Support Structure 13
4.2.2 Initiating Streamlined Banking Service Requests 13
4.2.3 Service Levels 14

APPENDIX A: Cash Management Policies and Procedures 16

APPENDIX B: Streamlined Banking Forms 16

APPENDIX C: Streamlined Banking Reports and Queries 16

APPENDIX D: Tips and Troubleshooting Guide 16

APPENDIX E: Agency Banking Questionnaire 16

APPENDIX G: Agency As Is Interview Document 16

APPENDIX H: Agency Task List and Readiness Assessment 16

Revision History

REVISION NUMBER	DATE	COMMENT
V0.1	7/5/07	Draft Document
V1.0		Original Document

1.0 Streamlined Banking Overview

Insert presentation from Transition Session 1.

Transition Session 1 (August 8, 2007)

2.0 Banking Set Up

This would be a place holder for the Agency to insert their As Is and To Be banking set up visio docs

2.1 Agency As Is Banking Diagram

As Is Visio inserted here

2.2 Agency To Be Banking Diagram

To Be Visio Inserted here

2.3 Bank Accounts

The table below shows this agency's current bank accounts and the plan for these accounts in the Streamlined Banking structure.

Bank Account	Current Purpose	Streamlined Banking
SunTrust XXXX0909	Operating	Will close once all checks clear after go live
Wachovia XXXXX8765	Lock Box for Revenue	Will keep open until all customers start depositing in new BofA Lock Box

3.0 Streamlined Banking Processes

This section would go over all the SLB processes by area

3.1 Bank Administration

Bank Administration covers

3.1.1 Business Process Flow

SLB BPF inserted here

3.1.2 Process Documentation

Info from TS2, Agency Process Model inserted here

3.1.3 Accounting Flow

Accounting flow from TS3 inserted here

3.1.4 Agency Task List

Agency task list inserted here

3.2 Allotments and Commitment Control

Allotments and Commitment Control covers

3.2.1 Business Process Flow

SLB BPF inserted here

3.2.2 Process Documentation
Info from TS2, Agency Process Model inserted here

3.2.3 Accounting Flow
Accounting flow from TS3 inserted here

3.2.4 Agency Task List
Agency task list inserted here

3.3 Accounts Receivable
Accounts Receivable covers

3.3.1 Business Process Flow
SLB BPF inserted here

3.3.2 Process Documentation
Info from TS2, Agency Process Model inserted here

3.3.3 Accounting Flow
Accounting flow from TS3 inserted here

3.3.4 Agency Task List
Agency task list inserted here

3.4 Bank Reconciliation
Bank Reconciliation covers

3.4.1 Business Process Flow
SLB BPF inserted here

3.4.2 Process Documentation
Info from TS2, Agency Process Model inserted here

3.4.3 Accounting Flow
Accounting flow from TS3 inserted here

3.4.4 Agency Task List
Agency task list inserted here

3.5 Accounts Payable

Accounts Payable covers

3.5.1 Business Process Flow

SLB BPF inserted here

3.5.2 Process Documentation

Info from TS2, Agency Process Model inserted here

3.5.3 Accounting Flow

Accounting flow from TS3 inserted here

3.5.4 Agency Task List

Agency task list inserted here

3.6 Interagency Settlements

Interagency Settlements covers

3.6.1 Business Process Flow

SLB BPF inserted here

3.6.2 Process Documentation

Info from TS2, Agency Process Model inserted here

3.6.3 Accounting Flow

Accounting flow from TS3 inserted here

3.6.4 Agency Task List

Agency task list inserted here

3.7 Payroll

3.7.1 Business Process Flow

SLB BPF inserted here

3.7.2 Process Documentation

3.7.3 Accounting Flow

3.7.4 Agency Task List

3.8 Local Depository Accounts

Local Depository Accounts covers

3.8.1 Business Process Flow

SLB BPF inserted here

3.8.2 Process Documentation

Info from TS2, Agency Process Model inserted here

3.8.3 Accounting Flow

Accounting flow from TS3 inserted here

3.8.4 Agency Task List

Agency task list inserted here

3.9 Allocations

Allocations cover

3.9.1 Business Process Flow

SLB BPF inserted here

3.9.2 Process Documentation

Info from TS2, Agency Process Model inserted here

3.9.3 Accounting Flow

Accounting flow from TS3 inserted here

3.9.4 Agency Task List

Agency task list inserted here

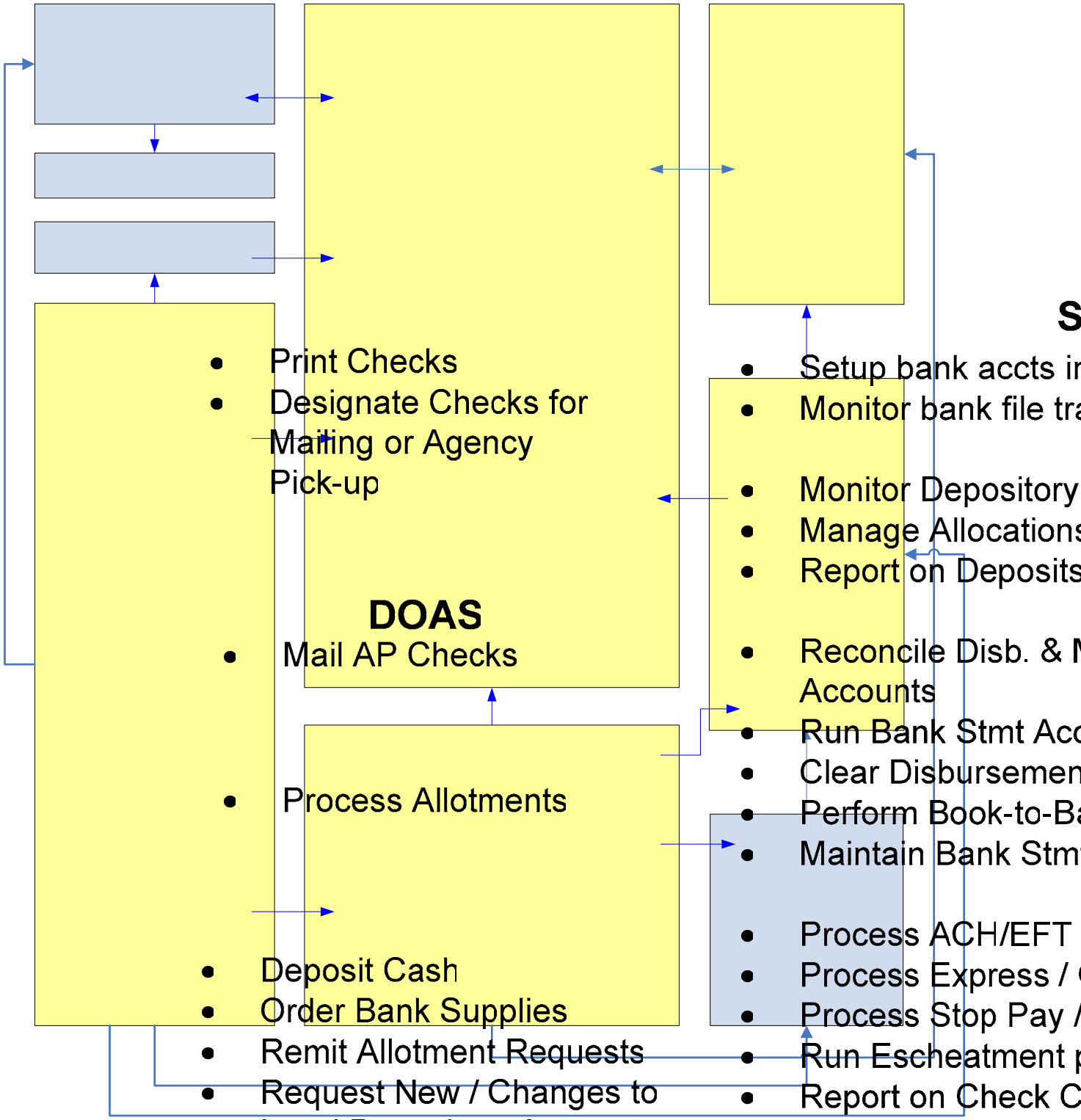
4.0 Streamlined Banking Operating Model

Information from TS4 inserted here

Operating in a Streamlined Banking environment means daily interactions across functions and agencies. It is important that each process participant understand their responsibilities, the hand-offs, and service levels. Discussed below are the day-to-day cash management activities and support structure for Streamlined Banking.

4.1 Streamlined Banking Operational Relationships

The diagram below shows the major groups affected by Streamlined Banking and the responsibilities of each. The arrows depict the directional relationship between the different entities.


S
Print Checks
Designate Checks for Mailing or Agency Pick-up
DOAS
Mail AP Checks
Process Allotments
Deposit Cash
Order Bank Supplies
Remit Allotment Requests
Request New / Changes to Local Depository Account
Reconcile and Clear Depository Exceptions
Setup bank accts in
Monitor bank file tra
Monitor Depository
Manage Allocations
Report on Deposits
Reconcile Disb. & M
Accounts
Run Bank Stmt Acc
Clear Disbursemen
Perform Book-to-Ba
Maintain Bank Stm
Process ACH/EFT
Process Express /
Process Stop Pay /
Run Escheatment p
Report on Check C
Validate Check Pro
Process Check Ima
Manage Returned

4.2 Production Support

The Streamlined Banking agencies will now depend on OTFS, the SAO Cash Management Group, and PeopleSoft for cash management functions they previously managed themselves. Administering stop pays, transferring cash, generating express checks, and the daily management of cash are just some of the important areas that will change in terms of security access, process, and responsibility. Critical to the success of the program is that agencies receive prompt, adequate service and support.

Discussed below are the key components of the Streamlined Banking production support which include Support Structure, Initiating Service Requests, and Service Levels.

4.2.1 Support Structure

Depicted below is the support structure required for Streamlined Banking operations from a customer's view point. Agencies will require assistance in 3 general areas:

- **Business Support** - for the functions and processes that have been centralized with the SAO (i.e. the Cash Management Group). Examples of requests a user may contact this area which include:
  - Requesting a check image
  - A stop payment was requested but the check was cashed
  - Agency did not receive all AP checks that were marked with the return to agency special handling code
- **Application Support** – for assistance with purely system related questions or problems. Examples of issues a user may contact this area which include:
  - The control group register report does not appear in view direct
  - When trying to save a wire template in the cash management module the user receives a PeopleSoft error
  - The daily BAI files error upon attempting to load
- **Technical Support** – for assistance with system access, security, and printing issues.
  - A Streamlined Banking end-user with responsibilities for reconciling the agency main depository account does not have access to the Reconciliation Manager screens
  - Issues printing express checks at remote locations

4.2.2 Initiating Streamlined Banking Service Requests

Depending on the support needed, users will initiate a service request in various ways as explained below.

- **Service Request Forms**

Several forms have been developed for agencies to request services from the centralized areas. These are electronic forms that are available on the Streamlined Banking Web Site. See appendix "B" for the forms.

- **Help Desk**

The SAO help desk is accessible by either a local or toll free number between the hours of 8am and 5pm. Callers can now choose between Options 1 - 5 (and sub-options within PeopleSoft financials) listed below: (insert table from TS4)

4.2.3 Service Levels

Meeting the established service levels will be key to gaining trust and confidence from the agencies, especially in the early roll-outs where perceptions are formed. Relinquishing physical cash control is a big step for many agencies, and as the central organizations driving Streamlined Banking, SAO and OTFS must demonstrate knowledge, capability, and efficiency to the agencies under this new operating model.

- **Business Requests**

Requests for routine services from the cash management group are communicated via the forms outlined in Appendix "B". The associated service levels are listed below and are also documented in the associated Policy and Procedure.

Request	Service Level	Policy & Procedure No.
Banking Service	TBD	CM100002
Wire Transfer Request	Same day processing if received by 11am	CM100006
New Bank Account	TBD	CM100002
Accounts Payable Express Check	Same day processing if received by 2pm	CM100004
Vendor Stop Payment / Cancellation Request	Same day processing if received by 2pm	CM100003
Payroll On-Line Check	Same day processing if received by 2pm	CM100005
Payroll Stop Payment Request	Same day processing if received by 2pm	CM100003
Check Image	Same day processing if received by 2pm	CM100010
Revenue Collections Fund Source Code	TBD	CM100011

Request	Service Level	Policy & Procedure No.
Returning phone calls	By close of business each day	N/A

APPENDIX A: Cash Management Policies and Procedures

APPENDIX B: Streamlined Banking Forms

APPENDIX C: Streamlined Banking Reports and Queries

APPENDIX D: Tips and Troubleshooting Guide

APPENDIX E: Agency Banking Questionnaire

APPENDIX G: Agency As Is Interview Document

APPENDIX H: Agency Task List and Readiness Assessment