

State of California



In Partnership With:

Department of Finance
State Controller's Office
State Treasurer's Office
Department of General Services

**Financial Information System for California
Special Project Report (SPR)
Project #8860-30**

January 9, 2018

FINAL

Revision History

Date	Revision	Last Updated By	Change	Change Approved By
7/10/17	0.1	Debbie Putnam	Create & Pre-populate SPR 7 Template	PMO, CDT
9/15/17	0.2	Debbie Putnam	Write known content	PMO
10/10/17	0.3	Debbie Putnam	First review draft sent to content providers	Chief DD
11/14/17	0.4	Debbie Putnam	11/7: Second review draft for DDs and PBEs 11/14: Printed review draft for Director	DD of SCPMD
11/16/17	0.5	Amy Norris Debbie Putnam	Edits for SCO and 2018 Departments MEC/YEC appendix	Leadership PMO
12/01/17	0.6	PMO	Feedback updates from reviews	PMO
12/03/17	0.7	PMO	Feedback updates from DD review	PMO
12/19/17	0.8	PMO	Feedback updates from Leadership, Steering Committee, and CDT review	PMO
12/23/17	0.9	PMO/ASD	Feedback updates from partner review and updated EAWs	PMO
01/05/18	0.10	PMO/CDT	Updates based on working meeting with CDT. Added letters to partner agencies	PMO
01/09/18	1.0	PMO	Finalized document; version with signatures	PMO
01/09/18	2.0	Debbie Putnam	Added Appendix I	PMO

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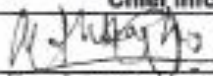

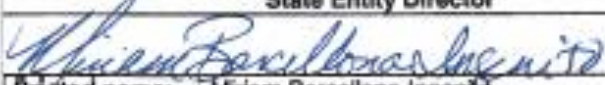
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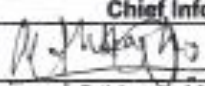


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1.0 Executive Project Approval Transmittal

Information Technology Project Request				
Special Project Report Executive Approval Transmittal				
Agency/state entity Name				
Department of Finance: in partnership with the State Controller's Office, State Treasurer's Office, and Department of General Services				
Project Title (maximum of 75 characters)			Project Acronym	
Financial Information System for California			FI\$Cal	
FSR Project ID	FSR Approval Date	State entity Priority	Agency Priority	
8860-30	7/26/05	1	N/A	
<p>I am submitting the attached Special Project Report (SPR) in support of our request for the California Department of Technology's approval to continue development and/or implementation of this project.</p> <p>I certify that the SPR was prepared in accordance with the State Administrative Manual Sections 4945-4945.2, my Agency/state entity has considered the cost benefits analysis associated with the proposed project changes and the changes are consistent with our information management strategy as expressed in our current Agency Information Management Strategy (AIMS).</p> <p>I have reviewed and agree with the information in the attached Special Project Report.</p> <p>I also certify that the acquisition of the applicable information technology (IT) product(s) or service(s) required by my department that are subject to Government Code 7405 applying Section 506 of the Rehabilitation Act of 1973 as amended meets the requirements or qualifies for one or more exceptions (see following page).</p>				
APPROVAL SIGNATURES				
Chief Information Officer			Date Signed	
			01/09/2018	
Printed name:	Subbarao Mupparaju			
Budget Officer			Date Signed	
			1/9/18	
Printed name:	Ka Xiong			
State Entity Director			Date Signed	
			1/9/18	
Printed name:	Miriam Barcelona Ingenito			
Agency Chief Information Officer			Date Signed	
N/A			N/A	
Printed name:	N/A			
Agency Secretary			Date Signed	
N/A			N/A	
Printed name:	N/A			

Information Technology Project Request			
Special Project Report Executive Approval Transmittal			
Agency/state entity Name Department of Finance: in partnership with the State Controller's Office, State Treasurer's Office, and Department of General Services			
Project Title (maximum of 75 characters)			Project Acronym
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Printed name:	Ka Xiong		
State Entity Director			Date Signed
			1/9/18
Printed name:	Miriam Barcellona Ingenito		
Agency Chief Information Officer			Date Signed
N/A			N/A
Printed name:	N/A		
Agency Secretary			Date Signed
N/A			N/A
Printed name:	N/A		
<p>California Department of Technology SPR Transmittal SIMM Section 30A</p>			
			1 April 2017

Executive Summary

The Financial Information System for California System (the FI\$Cal System or the System) is one of California state government's largest and most dynamic information technology (IT) undertakings. The FI\$Cal System combines the state's accounting, budget, cash management, and procurement operations into a single financial management system.

The System provides more standardization, transparency, discipline, effectiveness, and efficiency for the state's business processes.

The Department of FI\$Cal (FI\$Cal) employs a robust change management program with extensive training and outreach activities to ensure the System's successful implementation.

The design, development, and implementation of this System is known as the FI\$Cal Project (the Project). Implementation must overcome the technical and business challenges of unifying the different functions of over 2,500 legacy systems and processes that include everything from mainframes to desktop spreadsheets.

When completely implemented, more than 150 state entities¹ and over 15,000 state employees will use the System in some capacity to conduct the financial business of California.

Project Status

From an award-winning budget system to meeting the goals established in Special Project Report (SPR) 6, FI\$Cal's history over the last year and a half has been one of successfully onboarding state entities for departmental accounting (88 as of the 2017 Release), working closely with our Partner and client state entities to meet their diverse financial needs in a unified Enterprise Resource Planning (ERP) system, and implementing statewide functionality in three of the four major areas planned for the System: budget, procurement, and departmental accounting. The fourth area, cash management and statewide accounting and reporting, is part of the control functionality for the State Controller's Office (SCO) and State Treasurer's Office (STO), and is addressed in this SPR.

¹ FI\$Cal identifies state entities as business units for change management and onboarding purposes. Please note that it is difficult to precisely count the number of state entities. State entity counts can vary because many departments have subsidiary business units (BUs) that may or may not be significant enough to count as separate entities. As a result, while FI\$Cal carefully tracks entities being onboarded, how FI\$Cal counts entities may change depending on the purpose of the count.

Waves 1 and 2 were implemented prior to SPR 6, and that SPR provided details of their implementation.

The 2016 Release occurred under SPR 6 and was a major success for FI\$Cal, with the implementation of planned functionality and technology and the onboarding of six² state entities for departmental accounting. Budget and procurement functions were launched statewide for all state entities.

The 2017 Release continued this successful trend. FI\$Cal implemented major functionality and technology as planned in SPR 6 and onboarded 30 of 35 originally planned state entities

SPR 6 planned **SCO/STO control functionality** for the July 2017 Release and included the scope now known as Code Drop 1. However, gaps were identified in the solution during UAT, and additional business functionality was deemed essential for SCO/STO control functionality to be effective. This led to the approval of CRs for Code Drops 2, 3, and 4 to provide this additional functionality.

In February 2017 the Steering Committee approved a revised approach for the 2017 SCO/STO Release. This approach deferred the Financial Information Reporting (FI) module and associated functionality to after the July 2017 Go Live. In May 2017 the Steering Committee approved postponing the SCO/STO control functionality planned for July 2017. On June 5, 2017, FI\$Cal communicated this change to state entities.

STO completed all preparation activities for their control functionality and went live in July 2017 with Report 14, Accounts Outside Centralized State Treasury System (CTS) submissions. Then, on October 2017, FI\$Cal approved a Change Request (CR) leading to the commencement of the SCO/STO Integrated Solution and the additional functionality needed for Go Live.

Under SPR 6, **the July 2018 Release** consists of onboarding all remaining state entities and implementing Business Transaction Monitoring, State-Owned System Development Life Cycle (SDLC) and Operations Support Tools, and the Transparency Website. FI\$Cal is working to meet the SPR 6 scope for the July 2018 Release.

² While SPR 6 planned ten state entities, four entities that do not have state employees added General Ledger functionality during the 2016 Release. These entities are no longer considered "state entities," as they were in SPR 6, so the state entity tally changed from ten in SPR 6 to six in SPR 7.

SPR 7 formally recognizes 11 areas of functionality and technology as complete as of the July 2017 Release. This completed functionality and technology has been in production for months or years and is listed below:

1. Departmental Accounting
2. Budget
3. Procurement
4. DGS/ABMS
5. PeopleSoft 9.2 and PeopleTools 8.54 Upgrades
6. Hardware/Technology Refresh
7. Hyperion Upgrade
8. Legacy Data Repository
9. Oracle Business Intelligence
10. Automated User Provisioning
11. Security Information and Event Management

Reasons for Change

FI\$Cal proposes SPR 7 to address the following:

- **Re-planning implementation of SCO/STO control functions:** On May 17, 2017, the FI\$Cal Steering Committee and FI\$Cal leadership approved the decision to postpone deployment of SCO/STO control functionality originally scheduled for July 2017. This decision was made because the customization, as planned, could not be built and tested by the deadline, and the plan did not address all SCO functionality requirements to ensure an accurate, workable cutover.

The decision resulted in the subsequent development and adoption of an integrated solution for SCO/STO control functions. In this solution multiple interfaces will be built to enable the FI\$Cal System and the SCO legacy Book of Record (BOR) to run in tandem, and will allow STO control functions to go live. With the decision made, FI\$Cal began development and testing of the Integrated Solution in October 2017. This solution provides SCO with an accurate, workable cutover solution and the opportunity to validate data in the FI\$Cal System to their legacy system prior to turning off the legacy systems.

- **Closing out major portions of the Project that are in Operations and Maintenance (O&M)³, and PIER-ing out the remaining subprojects after the 2019 Release:** Major portions of the Project are complete and are no longer managed as part of Project work. SPR 7 formally closes out these parts of the Project and moves them into O&M. Any changes or enhancements arising in the future will be managed as part of FI\$Cal's IT operations, which include production support activities and managing enhancements via FI\$Cal's governance model. This schedule will allow FI\$Cal to focus on the 150+ state entities using the System after the July 2018 Release.
Upon completion of the 2019 Release, FI\$Cal will begin the process of developing a Post-Implementation Evaluation Report (PIER) to close out ("PIER" out) the remaining portions of the Project.

SPR 7 Proposal

With SPR 7, FI\$Cal is entering its final phase of Project implementation. July 2018 will become the last release to onboard state entities not yet in the System. In addition, SPR 7 outlines the timeline and components of the SCO/STO integrated solution functionality into the system.

In the last four years, FI\$Cal has onboarded 88 state entities that are now able to perform accounting, budget, and procurement functions. The final 62 state entities are slated to enter FI\$Cal in July 2018, completing the onboarding of state entities called for in the original scope of the Project.

While 2018 will have the largest influx of new entities, the state entities set to enter in 2018 will have the opportunity to benefit from the lessons learned since 2013. FI\$Cal has adjusted its approach to end user support, training, and testing year-over-year.

The 62 state entities set to enter in 2018 will have had up to seven full months to work in the system with their own data, practicing transactions and adjusting configurations as needed. They will join end users that have been transacting for one to five years, who have made FI\$Cal a normal part of their business operations.

As of November 2017, 91 percent of state entities in the System for a year or longer had completed year-end close. This is a 62 percent improvement in successful close over the previous year. The FI\$Cal System is working for existing customers, and the newly entering state entities will be better trained and prepared than their predecessors.

We anticipate that a small number of July 2018 Release state entities will encounter obstacles not addressed by the original requirements they defined when planning to

³ FI\$Cal will use the appropriate methods in accordance with State IT policies to complete any work in O&M.

enter FI\$Cal or for other unanticipated reasons. Any state entities that request and are approved to onboard after July 2018 will no longer be part of Project scope and will be reviewed case by case as part of O&M activities. FI\$Cal notes that Project releases are designed to bring on groups of state entities to meet previously defined requirements. These releases cannot accommodate unique circumstances outside of the original scope of work.

Following the July 2018 Release, FI\$Cal can address additional requirements of state entities who failed to enter as scheduled, as well as deferred state entities not required to enter the System until their existing systems become outdated. FI\$Cal will track unique costs associated with bringing these entities on board during O&M.

The State Controller's Office (SCO) and State Treasurer's Office (STO) control functions are crucial to maintaining an accurate Book of Record. FI\$Cal worked with SCO and STO on an integrated solution that will synchronize the FI\$Cal System with their legacy systems. The use of temporary interfaces will allow for replication of the ledger without duplicate work for department users. The Steering Committee reviewed and approved the Integrated Solution during meetings on Sept. 22, 2017 and Oct. 18, 2017.

FI\$Cal will test the Integrated Solution in separate components beginning July 2018. As each component is tested and accepted, it will go live.

The initial SCO/STO component consists of interfaces that deliver FI\$Cal System data to legacy systems along with interfaces that capture data from the legacy systems inbound to the FI\$Cal System. This portion of the Integrated Solution will eliminate dual entry and reduce paper processes for state entities already in the System, and also reduce state entity reconciliation.

As part of the Integrated Solution, STO will go live during the first quarter of the 2018-2019 fiscal year. This will enable STO to perform major operations and bank integration in the System.

The Integrated Solution will be complete in July 2019 with deployment of the final component that includes beginning balance conversion, ledger reconciliation, and deal management.

Following July 2019, the FI\$Cal System will run in tandem with legacy systems, will have the necessary data and functionality to complete the CAFR, and will produce a statewide ledger. This solution provides SCO/STO with an accurate, workable cutover solution and the opportunity to validate data in the FI\$Cal System to their legacy systems prior to turning off their legacy systems.

Key Elements and Benefits

SPR 7 proposes the following key elements:

- Onboards all remaining state entities in the July 2018 Release, noting that any entities that request and are approved to onboard after July 2018 will no longer be part of Project scope and will be reviewed case by case as part of O&M activities.
- Begins implementation of SCO and STO control functionality via the Integrated Solution in July 2018, with full implementation by July 2019.
- Enables STO control functions to go live in the System during first quarter FY 2018-19.
- Implements Business Transaction Monitoring, State-Owned SDLC and Operations Support Tools, and the Transparency Website as planned in July 2018.
- Implements Statewide Ledger in FI\$Cal effective July 2019.
- Closes out completed functionality in three of the Project's four key areas: Departmental Accounting, Budget, and Procurement. The fourth area, cash management, is part of the control functionality for the State Controller's Office (SCO) and State Treasurer's Office (STO), and is addressed in this SPR.
- Closes out eight additional areas of completed functionality and technology.
- Recognizes FI\$Cal will begin the PIER process for the remaining subprojects after the July 2019 Release.

SPR 7 offers the following major benefits:

- Supports onboarding 62 state entities with an implementation plan that moves testing much earlier in the cycle and allows for a second round of User Acceptance Testing (UAT) before Go Live. This strategy will ensure problems are identified early with sufficient time for resolution.
- Strengthens change management by adding engagement managers to focus on state entities' unique needs and providing the opportunity to resolve issues live in sessions with FI\$Cal staff at FI\$Cal.

- Supports an integrated solution to onboard SCO/STO functionality with multiple benefits:
 - Provides more opportunity for the SCO/STO home team to train their staff and adapt to the new control functions available in the System.
 - Implements STO control functionality in first quarter FY 2018-19.
 - Develops interfaces to ensure a single point of entry for SCO data, thus ensuring the same data is in both systems.
 - Reduces or eliminates paper processes, and eliminates dual entry.

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The FI\$Cal Steering Committee Members approved SPR 7 by consensus decision on


1/9/2018




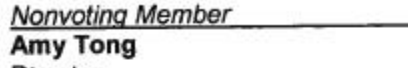
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Department of Technology


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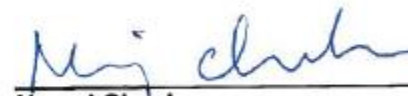

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Department of General Services


Tom Yowell
Chief Administrative Officer
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FI\$Cal Project Leadership SPR approval/concurrence:


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Director


Neeraj Chauhan
Chief Deputy/Project Director

1.1 IT Accessibility Certification

Executive Approval Transmittal IT Accessibility Certification

Yes or No

YES	The Proposed Project Meets Government Code 11135 / Section 508 Requirements and no exceptions apply.
------------	---

Exceptions Not Requiring Alternative Means of Access

Yes or No	Accessibility Exception Justification
NO	The IT project meets the definition of a national security system.
YES	The IT project will be located in spaces frequented only by service personnel for maintenance, repair, or occasional monitoring of equipment (i.e., “Back Office Exception.”)
YES	The IT acquisition is acquired by a contractor incidental to a contract.

Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
NO	Meeting the accessibility requirements would constitute an “undue burden” (i.e., a significant difficulty or expense considering all agency resources). Explain: Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.
NO	No commercial solution is available to meet the requirements for the IT project that provides for accessibility. Explain: Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.

Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
NO	No solution is available to meet the requirements for the IT project that does not require a fundamental alteration in the nature of the product or its components. Explain: Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.

2.0 Information Technology Project Summary Package

2.1 Section A: Executive Summary

1. Submittal Date

	SPR	PSP Only	Other:
2. Type of Document	X		
Project Number:	8860-30		

		Estimated Project Dates	
3. Project Title	Financial Information System for California	Start	End
Project Acronym:	FI\$Cal	8/2005	7/2019

4. Submitting Agency/state entity Department of FI\$Cal

5. Reporting Agency/state entity Department of FI\$Cal

6. Project Objectives

FI\$Cal Project Objectives are listed in Table 4.

8. Major Milestones	Est Complete Date
Design, Development, & Implementation (DD&I) Start	June 2012
Pre-Wave	July 2013
Wave 1	July 2014
Wave 2	December 2015
July 2016 Release	July 2016
July 2017 Release	July 2017
July 2018 Release	July 2018
July 2019 Release	July 2019
Key Deliverables	Est Complete Date
Project Work Plan	FY 2012-13
Training Deployment & Evaluation Plan	FY 13-14
Service Desk Plan	FY 13-14
Operational Readiness Test Complete (one per release)	FY 2014, 2015, 2016, 2017, 2018, 2019
Production Environment Transition	FY 17-18, FY 18-19

2.0 Information Technology Project Summary Package

2.1 Section A: Executive Summary, continued

7. Proposed Solution

The solution provided by Accenture, the System Integrator, includes the following Oracle applications that address the core capabilities defined in the System Requirements Matrix:

- **Oracle PeopleSoft Financials and Supply Chain Management** cover a broad array of functionality currently in the accounting and procurement categories of the Requirements Matrix.
- **Oracle’s Hyperion** software is proposed to meet planning and budgeting requirements.
- **Oracle’s Business Intelligence** product for business intelligence and analytics requirements.
- **Oracle Governance Risk and Compliance (GRC)** for access control and claims audit requirements.
- **Other Oracle applications such as:**
 - **Oracle Primavera** for enhanced project management and reporting requirements
 - **Oracle User Productivity Kit** for training development

The State of California has some unique requirements, such as registered warrants, labor distribution, and the handling of loans and bonds, that are not fully addressed by the Oracle Commercial-off-the-Shelf ERP application. However, Accenture was able to identify a limited number of customizations to address those requirements while keeping modifications and risk to a minimum. 96.5% of system requirements are met with out-of-the-box functionality. The configurable components will be united on a common Oracle platform, and will provide a flexible, scalable solution to meet FI\$Cal’s business requirements.

2.0 INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.2 Section B: Project Contacts

Project #	8860-30
Doc. Type	SPR

EXECUTIVE CONTACTS

	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
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Agency Secretary	N/A	N/A						
State Entity Director	Miriam	Ingenito	916	576-4846		916	576-4832	Miriam.Ingenito@fiscal.ca.gov
Budget Officer	Ka	Xiong	916	576-3392		916	576-4832	Ka.Xiong@fiscal.ca.gov
CIO	Subbarao	Mupparaju	916	576-5842		916	576-4832	Subbarao.Mupparaju@fiscal.ca.gov
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2.0 Information Technology Project Summary Package

2.3 Section C: Project Relevance to State and/or Agency/State Entity Plans

1.	What is the date of your current Technology Recovery Plan (TRP)?	Date	4/2017	Project #	8860-30
2.	What is the date of your current Agency Information Management Strategy (AIMS)?	Date	8/2005	Doc. Type	SPR
3.	For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	8/2005		
		Page #	17, 27		

		Yes	No
4.	Is the project reportable to Control Agencies?	X	
If YES, CHECK all that apply:			
X	The project involves a budget action.		
	A new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.		
X	The estimated total development and acquisition costs exceed the Department of Technology's established Agency/state entity delegated cost threshold and the project does not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM 4989 – 4989.3).		
	The project meets a condition previously imposed by the Department of Technology.		

2.0 Information Technology Project Summary Package

2.4 Section D: Budget Information

Project #	8860-30
Doc. Type	SPR

Budget Augmentation Required?						
No						
Yes	X	If YES, indicate fiscal year(s) and associated amount:				
FY	2018/19	FY 2019/20 FY FY FY				
	-\$53,450,162	-\$26,151,504				\$

PROJECT COSTS

1.	Fiscal Year	05/06 – 12/13	2013/14	2014/15	2015/16	2016/17	SUBTOTAL
2.	One-Time Cost	144,027,653	51,977,534	63,256,355	105,501,123	79,712,907	444,475,573
3.	Continuing Costs	15,535,464	23,364,758	36,890,344	38,827,828	32,997,874	147,616,267
4.	TOTAL PROJECT BUDGET	\$159,563,117	\$75,342,292	\$100,146,699	\$144,328,951	\$112,710,781	\$592,091,840

5.	Fiscal Year	2017/18	2018/19	2019/20			TOTAL
6.	One-Time Cost	93,197,091	13,214,000	0			550,886,644
7.	Continuing Costs	59,846,063	86,378,972	73,441,468			367,282,770
8.	TOTAL PROJECT BUDGET	\$153,043,134	\$99,592,972	\$73,441,468	\$	\$	\$918,169,414

PROJECT FINANCIAL BENEFITS

	Fiscal Year	05/06 – 12/13	2013/14	2014/15	2015/16	2016/17	SUBTOTAL
9.	Cost Savings/Avoidances	-\$159,563,117	-\$75,342,292	-\$100,146,699	-\$144,328,951	-\$112,710,781	-\$592,091,840
10.	Revenue Increase	\$0	\$0	\$0	\$0	\$0	\$0

	Fiscal Year	2017/18	2018/19	2019/20			TOTAL
11.	Cost Savings/Avoidances	-\$153,043,134	-\$99,592,972	-\$73,441,468			-\$918,169,414
12.	Revenue Increase	\$0	\$0	\$0	\$	\$	\$0

2.0 Information Technology Project Summary Package

2.5 Section E: Vendor Project Budget

Project #	8860-30
Doc. Type	SPR

Vendor Cost for SPR Development (if applicable)	\$ N/A
Vendor Name	N/A

VENDOR PROJECT BUDGET

1.	Fiscal Year	05/06 – 14/15	2015/16	2016/17	2017/18	2018/19	2019/20	TOTAL
2.	Primary Vendor Budget	114,729,034	79,938,551	55,216,036	58,562,646	12,790,000	0	321,236,267
3.	Independent Oversight Budget	1,765,813	693,567	370,120	424,400	424,000	0	3,677,900
4.	IV&V* Budget	4,718,892	1,197,340	1,664,000	1,274,000	0	0	8,854,232
5.	Other Budget	45,867,117	25,068,754	6,909,650	16,171,160	7,461,582	6,390,350	107,868,613
6.	TOTAL VENDOR BUDGET	\$167,080,856	\$106,898,212	\$64,159,806	\$76,432,206	\$20,675,582	\$6,390,350	\$441,637,012

* Independent Verification and Validation

PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT

7.	Primary Vendor	Accenture, LLP
8.	Contract Start Date	June 18, 2012
9.	Contract End Date (projected)	December 31, 2019
10.	Amount	\$321,236,267 (estimated)

PRIMARY VENDOR CONTACTS

	Vendor	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
11.	N/A								
12.	N/A								
13.	N/A								

2.0 Information Technology Project Summary Package

2.6 Section F: Risk Assessment Information

Project #	8860-30
Doc. Type	SPR

RISK ASSESSMENT

	Yes	No
Has a Risk Management Plan been developed for this project?	X	

General Comment(s)
<p>The FI\$Cal Risk and Issue Management Plan describes the processes used by the Project to identify and manage risks and/or issues. This is an ongoing iterative process throughout the Project lifecycle and is a normal and expected part of the Design, Development, and Implementation (DD&I) phase of an ERP. Formal, repeatable processes are used to identify, analyze (qualitatively and quantitatively), and plan responses for risks and/or issues. These processes are used to minimize threats and maximize opportunities as they are identified and responded to by the Project. A Project risk is an uncertain event or condition that, if it occurs, has a positive or a negative effect on at least one project objective. An issue is an unforeseen event that is impacting the Project; it may be identified in the form of a risk in which the trigger event has occurred, or as a new issue that was not previously identified.</p> <p>Risks and/or issues are inherent in any project, and this process enables program areas to formulate strategies to avert potential disasters. When risks and issues arise, they need to be resolved in a consistent and disciplined manner to maintain the quality of Project deliverables, as well as to control schedule, cost, scope, and quality. The Risk and Issue Management Plan documents processes to ensure risks and issues are resolved quickly and efficiently and are escalated for management attention when appropriate. Preparation for the unexpected eliminates wasted time and resources often associated with emergency reaction to problems. The plan also defines roles and responsibilities for participants in the risk and issue processes, the risk and issue management activities that will be carried out, and any tools and techniques that will be used.</p>

3.0 Proposed Project Changes

3.1 Project Background/Summary

FI\$Cal has been successful in implementing major portions of System functionality, including budget, procurement, and departmental accounting, as well as various technology improvements and upgrades planned in SPR 6. These components of the System have been completed in terms of Project work and moved into operations and maintenance (O&M). [Section 3.2.5, Closeout of Completed Functionality and Technology](#), provides details of completed Project work and criteria for closeout.

SPR 7 upholds July 2018 as the final release date for state entities. Maintaining this schedule is essential to allow FI\$Cal to focus on the 150+ state entities in the System, which will be by far the largest area of work effort for FI\$Cal. To support this schedule, FI\$Cal is working to onboard the remaining state entities to the System and implement the remaining July 2018 functionality and technology as planned in SPR 6. Any state entities that request and are approved to onboard after July 2018 will no longer be part of Project scope and will be reviewed case by case as part of O&M activities. If a state entity is deferred or exempted from the 2018 Release, FI\$Cal will track unique costs associated with bringing that entity on board during O&M.

Further, FI\$Cal has developed the Integrated Solution to begin implementation of SCO/STO control functionality in July 2018. This solution came about through FI\$Cal's collaboration with the California Department of Technology (CDT), SCO, STO, Accenture, and other stakeholders. The SCO/STO plan includes:

- FI\$Cal will begin testing and deployment of the SCO/STO integrated solution in parts starting July 2018. Functionality will go live as it is tested and accepted.
- STO control functions will go live in the System in first quarter FY 2018-19.
- When the Integrated Solution is complete in July 2019, the System will run in tandem with legacy systems, will have the functionality to complete the Comprehensive Annual Financial Report (CAFR), and will produce a statewide ledger.

During the O&M phase, SCO will sunset its legacy system and retire interfaces as it gains assurance in the System as the BOR. Further details are in [Section 3.4.2, Impact of Proposed Change on the Project](#).

[Section 3.3, Reason for Proposed Changes](#), highlights the reasons prompting SPR 7. The Project overview, objectives, and benefits remain unchanged since SPR 4, which described them in Section 3.1.

3.2 Project Status

The Project has made significant progress since the approval of SPR 6 in February 2016. Section 3.2.1 lists key accomplishments since SPR 6. Sections 3.2.2 through 3.2.4 describe the current status of Wave 1 through the July 2018 Release. Finally, Section 3.2.5 addresses the closeout of completed System functionality and technology.

3.2.1 Progress and Successes since SPR 6

Overall Accomplishments:

From an award-winning Budget System to meeting the goals established in SPR 6, FI\$Cal's story over the two years has been one of successfully onboarding state entities (88 as of the 2017 Release), working closely with our Partner and client state entities to meet their diverse financial needs in a unified ERP system, rolling out major technology upgrades to create a stable system, creating an increasingly strong security framework, and more. Highlights of our successes include the following:

- **Award-winning Budget System:** In partnership with the Department of Finance (Finance), FI\$Cal received the Center for Digital Government's 2017 Government-to-Government Experience Award for the State of California Budget System.
- **Finance produces Proposed and Enacted Budgets:** Finance produced the first Governor's Budget using the System in 2015, a major milestone. In 2016, Finance expanded this success by producing the \$170.9 billion Enacted Budget in the System. For the first time, Finance was able to provide the same level of detail on their website for the Enacted Budget that was previously only available for the Proposed Governor's Budget. This significantly furthered FI\$Cal's objective of increasing public transparency.
- **Budget 2.0 Partial Redesign and Hyperion Upgrade provide a stable platform and increased user friendliness, allowing successful implementation of Statewide Budgeting:** The 2016 Budget partial redesign and Hyperion upgrade have combined to provide a stable platform for budget functionality. Also in 2016, FI\$Cal deployed Statewide Budgeting, onboarding all state entities for budget functionality. SPR 7 closes out the budget, Hyperion upgrade, and statewide budgeting portions of the Project and formally moves them into O&M.
- **Department of General Service's (DGS's) complex Activity-Based Management System (ABMS) functionality is successfully implemented:** FI\$Cal was able to successfully implement DGS's ABMS functionality in 2016 and was able to realign resources to provide

DGS with extended unscripted user acceptance testing (UUAT), including providing onsite support to testers at DGS's home location. SPR 7 closes out the DGS ABMS portion of the Project and formally moves it to O&M.

- **STO went live with initial control functionality:** STO completed all preparation activities for their control functionality and went live with Report 14, Accounts Outside CTS submissions.
- **Completion of most Knowledge Transfer sessions allows transition of work to state:** Knowledge Transfer (KT) was a significant focus of SPR 6. Since then FI\$Cal has successfully completed most KT from Accenture and transitioned major elements of work to the state. Highlights include the following:
 - The following were fully transitioned as of Jul. 1, 2017: FI\$Cal Service Center's (FSC's) Level 1 O&M support, Budget System O&M, Business Intelligence (BI) O&M, Network and Windows Infrastructure, Security Tools, User Access Fulfillment, and Application Security Development and Support. FSC Level 2 O&M support is partially transitioned.
 - In addition, the state has increasingly taken on the design and build from the technology side.
 - For the most recent KT reporting period, May-to-August 2017, 91 percent of Project-wide KT sessions were on target, with 100 percent complete for the Business and Operations Services Division (BOSD) and 88 percent complete for the Information Technology Division (ITD). The remaining sessions are on schedule and will be completed before July 2018.
- **Vendor Management File grows due to outreach and collaboration:** The statewide Vendor Management File, which reached 15,000 suppliers back in 2016, now has more than 85,000 suppliers.
- **Cal eProcure provides an outward, public-facing portal for usability and transparency:** More than 85,000 suppliers and 15,000 bidders are on Cal eProcure. This includes both users that have registered, logged in, and used the system, as well as those that were converted from the legacy systems. Adoption of Cal eProcure by so many suppliers and bidders in such a short time was achieved through several outreach campaigns, vendor forums, dedicated support teams, and exceptional collaboration between FI\$Cal and DGS. SPR 7 closes out the Procurement portion of the Project and formally moves it to O&M.
- **FI\$Cal expands to support increase in user base:** With significant portions of the Project complete and moved into O&M, FI\$Cal reorganized and expanded to support the 600%+ growth from 1,900 to 9,800 system users in 2016, plus an additional 2,300 users in 2017, for a total of more than 12,000 users, along with supporting the new functionality and technology upgrades. FI\$Cal further supported users with new screen-sharing ability, a self-service help-desk portal, and increased user outreach.

- Software and Hardware Refreshes provide redundancy and stability:** The July 2016 Release deployed major software and hardware refreshes that built in redundancy and created a more stable environment for California’s accounting and procurement systems. This required a complete System regression test, proving FI\$Cal’s maturity in terms of its ability to keep the System current while bringing on major changes and new state entities.
- Business Intelligence platform supports state entity analysis/reporting:** FI\$Cal launched a business intelligence platform as part of the System, which allows for analysis, graphing and reporting of California’s financial and procurement data. SPR 7 closes out the Oracle Business Intelligence portion of the Project and formally moves it to O&M.
- Improved Change Management model leads to successful onboarding:** With SPR 6, FI\$Cal revamped its change management methodology to include early engagement with customers and added a model office environment where state entities can practice realistic business scenarios in the System. FI\$Cal used this approach to bring on five state entities one year ahead of their originally scheduled deployment and with only six months’ lead time. FI\$Cal also used this approach to onboard DGS with its complex ABMS accounting system, enabling DGS to retire an aging legacy system.
- State saves \$11+ million by doing work in-house:** FI\$Cal state staff increasingly have taken on the in-house design, building, and testing of necessary changes and enhancements to the System. State staff took on 65 of these changes saving the state an estimated \$4.1 million dollars. FI\$Cal state staff is also taking a lead role on the technology refresh, and the state was able to avoid over \$7 million in costs by sharing a significant portion of the work.
- Significant improvement in State entities completing Month-End Close and Year-End Close (MEC/YEC):** For MEC, Wave 1 state entities have reconciled all months. Wave 2 Non-CFS entities showed a 9% improvement, and Wave 2 CFS entities also showed a 9% improvement. The improvement in YEC is shown below. Details are provided in [Appendix A, State Entities Onboarded by Release and MEC/YEC Progress](#).

YEC Year-Over-Year Improvement: Number of Business Units that Entered or completed YEC		
Month	As of 2016	As of 2017
August	8	28
September	14	36
October	23	47
November	40	54

3.2.2 Pre-SPR 6: Status of Waves 1 and 2 (Completed)

Waves 1 and 2 were implemented before SPR 6, and details of their implementation were provided in that SPR. Highlights are below.

Critical Wave 1 functionality was deployed in July 2014, providing a broad set of departmental accounting, budget, and procurement functionality to eleven Wave 1 state entities. Finance's budget-control-related business processes were incorporated into the System as part of Wave 1, making the FI\$Cal System the Budget System of Record.

FI\$Cal implemented Wave 2 in two 2015 releases. The Summer Release deployed accounting, budget, and procurement functionality in August 2015 to the Wave 2 state entities, along with new project, grant, and contract functionality to the Wave 1 and 2 entities. The Fall Release implemented statewide procurement functionality and Cal eProcure, the state's enhanced Vendor Portal, in December 2015.

The state entities onboarded in Waves 1 and 2 and their MEC/YEC status are listed in [Appendix A, State Entities Onboarded by Release and MEC/YEC Progress](#).

3.2.3 Post-SPR 6: 2016 and 2017 Releases (Completed)

2016 Release Status: The 2016 Release was a major success for FI\$Cal, with the implementation of all planned functionality and technology in SPR 6 and the onboarding of six⁴ state entities for departmental accounting. Table 1 shows significant events for 2016. The state entities onboarded in 2016 and their MEC/YEC status are listed in [Appendix A, State Entities Onboarded by Release and MEC/YEC Progress](#).

⁴While SPR 6 planned ten state entities, four entities that do not have state employees added General Ledger functionality during the 2016 Release. These entities are no longer considered "state entities" as they were in SPR 6, so the department tally changed from ten in SPR 6 to six in SPR 7.

Table 1. Significant Events in 2016

Date	Significant Events	Highlights
January 2016	Full statewide deployment of Cal eProcure.	<ul style="list-style-type: none"> • Provided access to bids/solicitations for approximately 50,000 suppliers/bidders. • Replaced BidSync, the state's eProcurement system that recorded \$15.8 billion in transactions (goods, services and grants) in 2015.
January 2016	For the second year running, Finance prepared the proposed Governor's Budget using FI\$Cal.	<ul style="list-style-type: none"> • The proposed Governor's Budget totaled \$170.7 billion for 2016-17.
February 2016	CDT approved SPR 6.	<ul style="list-style-type: none"> • Added one additional System release in July 2018. • Increased subsequent Knowledge Transfer to 12 months. • Created a total schedule extension of two years.
July 2016	For the first time, Finance presented the details of the Enacted Budget using data from FI\$Cal.	<ul style="list-style-type: none"> • The Enacted Budget totals \$170.9 billion for 2016-17. • For the first time, Californians and all throughout the world can see the Enacted Budget on Finance's website at the same level of detail previously available only for the proposed Governor's Budget. • New Enacted Budget features on Finance's website include fund conditions by name and code, printable budget documents, more program-level detail and a new Major Program Changes section. • Enacted Budget data will eventually flow into a Transparency Website scheduled for July 2018.
July 2016	The FI\$Cal Project was renamed the Department of FI\$Cal.	Per government statute, the FI\$Cal Project was renamed the Department of FI\$Cal.

Date	Significant Events	Highlights
July 2016	July 2016 Release	<ul style="list-style-type: none"> • <u>Budget upgrade/statewide rollout:</u> Upgraded/redesigned the budget solution; rolled out statewide to all remaining budget users. • <u>DGS implementation:</u> Implemented DGS's complex departmental accounting, as well as budgeting and procurement. • <u>Departmental onboarding:</u> Onboarded six state entities for accounting and procurement (including DGS). An additional four entities onboarded for general ledger functionality. • <u>Accounting and procurement upgrade:</u> Upgraded accounting and procurement systems to latest version. This software upgrade will also support future mobile enhancements. • <u>Hardware refresh:</u> Upgraded hardware to provide a more stable environment; this provides the hardware processing capacity to support 2018 departmental users. • <u>System regression testing:</u> Performed complete System regression test, proving FI\$Cal's maturity in terms of its ability to keep the System current while bringing on major changes and new state entities. • <u>Security enhancements:</u> Implemented a Security Information and Event Management (SIEM) for enhanced security a full year ahead of the July 2017 Release schedule. • <u>Business intelligence capability:</u> Launched business intelligence platform, which allows for financial analytics and visual representations of data for System users.

2017 Release Status: FI\$Cal implemented most major functionality and technology that was planned in SPR 6. This included STO going live with Report 14, Accounts Outside CTS submissions. FI\$Cal also onboarded 30 of 35 originally planned state entities.⁵

The initial baseline design configuration for SCO/STO control functionality was delayed 26 weeks in 2015 during development of SPR 6. SPR 6, approved in February 2016, planned the implementation of SCO/STO control functionality for the July 2017 Release. The SPR 6 scope for SCO/STO consisted of what is known as Code Drop 1. CR 586, approved in March 2016, re-baselined the design, development, testing, training, implementation, and deliverables tasks post-SPR 6.

The SCO/STO release required additional functionality for Go Live, and thus FI\$Cal added Code Drops 2 and 3. In May 2016, CR 521 approved the functional design and CR 611 approved the technical design for these enhancements. Code Drop 4 was later added as part of CR 652, which approved additional scope required for Go Live. The scope of Code Drops 1 through 4 is provided in [Section C.1.2, Scope of SCO/STO Code Drops 1 through 4](#), in Appendix C.

In February 2017, the FI\$Cal Steering Committee approved a revised approach for the 2017 SCO/STO Release. This change deferred the Financial Information Reporting (FI) module and associated functionality to after the 2017 Go Live, with a tentative target of July 2018. CR 651 documented this approach. Later, in May 2017, the Steering Committee approved postponing the SCO/STO release functionality planned for July 2017. On June 5, 2017, FI\$Cal communicated this change to state entities.

In October 2017, FI\$Cal approved CR 661, which authorized implementation of the SCO/STO Integrated Solution and the additional functionality needed for Go Live.

Table 2 shows significant events to date for 2017. State entities onboarded in 2017 and MEC/YEC status are listed in [Appendix A, State Entities Onboarded by Release and MEC/YEC Progress](#)

⁵ SPR 6 planned up to 50 state entities for the 2017 Release. Different methodologies for counting BUs in terms of Project implementation changed this count to 35, the number reported in FI\$Cal's Annual Report to the Legislature for 2016. Changes to the original 50± state entities included in the 2017 Release are detailed in [Appendix C, Changes to Project Scope](#).

Table 2. Significant Events in 2017

Date	Significant Events	Notes
January 2017	Statewide Procurement Enhancements	<ul style="list-style-type: none"> • Included California State Contracts Register (CSCR) and notification enhancements, as well as supplier/bidder registration enhancements.
January 2017	Began Automated User Provisioning	<ul style="list-style-type: none"> • Provides self-service capability to the System's user administrators at state entities.
January 2017	Legacy Data Repository (LDR) - Self-Service	<ul style="list-style-type: none"> • Allows state entities to securely store, search, discover, and view their legacy (historic) data.
June 2017	Hardware/Technology Refresh	<ul style="list-style-type: none"> • Implemented a Private Cloud Appliance (PCA), migrated the budget system to PCA, and upgraded network hardware. This Hardware/Technology Refresh enables the infrastructure to provide processing capacity to support future releases.
June 2017	Hyperion Budget 2.0 Release 2 (January, February, and July 2017)	<ul style="list-style-type: none"> • Completed the deployment of remaining in-scope budget functionality to all users of FI\$Cal's budget solution.
July 2017	STO's initial Control Functionality released	<ul style="list-style-type: none"> • STO completed all preparation activities for their control functionality and went live with Report 14, Accounts Outside CTS submissions.
July 2017	30 state entities onboarded to the System.	<ul style="list-style-type: none"> • 30 state entities onboarded for accounting and procurement. • Note: Number of entities planned changed from 50 in SPR 6 to 35 in SPR 7 because of changes listed in Appendix C.⁶
July 2017	DGS Accounting Release 2	<ul style="list-style-type: none"> • Implemented funding agreement and report enhancements.

⁶ Please note that it is difficult to precisely count the number of state entities. State entity counts can vary because many departments have subsidiary business units (BUs) that may or may not be significant enough to count as separate entities. As a result, while FI\$Cal carefully tracks entities being onboarded, how FI\$Cal counts entities may change depending on the purpose of the count.

3.2.4 Post-SPR 6: 2018 Release Status (In Progress)

Under SPR 6, the 2018 Release consists of onboarding all remaining state entities and implementing Business Transaction Monitoring, State-Owned SDLC and Operations Support Tools, and the Transparency Website. FI\$Cal is working to meet this schedule and complete all Project work with this release. The status of these implementations is described below.⁷

3.2.4.1 Onboarding the Remaining State Entities

The 2018 Departmental Release started with the global analyze phase in early 2016 and became full bore in July 2017. Currently, the in-scope state entities are expected to onboard in July 2018 as planned.

Activities to support the 2018 departmental release started with readiness, analysis, and configuration activities. This release is the largest release yet with 62 state entities scheduled to onboard in July. While this is more than double the number of entities in the 2017 release, not all do their own accounting. Accordingly, FI\$Cal often refers to an “outreach number” of 32, which is the number of state entities that the Project actively engages with in terms of onboarding activities. For example, STO has 15 Board, Commission, and Authority Business Units, but FI\$Cal talks only to STO about their planning needs.

To address the increased number of state entities, FI\$Cal is using an even more proactive approach to onboarding than in the past, employing an aggressive timeline for engagement and configuration. Details of this approach are described in [Section 3.4.4.2, Implementation Plan for 2018 State Entities](#), and [Section 4.8, Change Management](#).

Despite the tighter timeframe, state entities met the submission dates at a higher rate than they did last year, with only minor lags in meeting schedule milestones. The configuration process in August and September 2017 covered business process workshops and configurations. State entities were informed about each module and what they needed to do to prepare for user acceptance testing (UAT).

FI\$Cal has planned two rounds of UAT for the July 2018 Release, giving users early access to work with their own data in the System. State entities started the first cycle of UAT (fall UAT) on schedule on Oct. 30, 2017 and are on track to complete fall UAT as scheduled on February 2, 2018. State entities have also started Mock 1 conversion testing and started Cycle 1 interface testing.

The implementation plan for the July 2018 Release state entities is described in [Section 3.4.2, Impact of Proposed Change on the Project](#), and [3.4.4.2, Implementation Plan for 2018 State Entities](#).

⁷ Note that SPR 7 adds SCO/STO control functionality to the 2018 Release as described in Section 3.4, Proposed Project Changes. Current SCO/STO status is described above in Section 3.2.3, Status of 2016 and 2017 Activities (Post-SPR 6).

3.2.4.2 Business Transaction Monitoring

The Business Transaction Monitoring (BTM) subproject started in July 2017 as planned in SPR 6, and the design was completed in October. Installation of BTM tools is currently in progress, and this technology is on course for implementation in June 2018 as planned.

3.2.4.3 State-Owned SDLC and Operations Support Tools

The State-Owned SDLC and Operations Support Tools subproject started in July 2017 as planned in SPR 6, and the analysis and design are complete. These tools are currently being built, and this technology is on course for implementation in June 2018 as planned.

3.2.4.4 Transparency Website

The Transparency Website design is complete, and build activities are in progress. The Transparency Website is on track to begin collecting expense data from all onboarded state entities in July 2018 and to become public-facing in July 2019. The website may be implemented sooner on a pilot program basis.

3.2.5 Closeout of Completed Functionality and Technology

Starting with the vision in the 2005 Feasibility Study Report (FSR), the FI\$Cal Project has been a complex undertaking involving multiple implementations. At this point in the Project's lifecycle, SPR 7 recognizes that major areas of the System's functionality and technology are complete and have been used successfully for many months or even years. Accordingly, SPR 7 formally moves the following 11 completed areas of functionality and technology into O&M:

1. Departmental Accounting
2. Budget
3. Procurement
4. DGS/ABMS
5. PeopleSoft 9.2 and PeopleTools 8.54 Upgrades
6. Hardware/Technology Refresh
7. Hyperion Upgrade
8. Legacy Data Repository
9. Oracle Business Intelligence
10. Automated User Provisioning
11. Security Information and Event Management

The following tables provide information describing the completion of this functionality/technology:

- [Table 3, Matrix of Completed Functionality/Technology and Project Objectives](#): This matrix provides an overview of Project Objectives met by each area of functionality/technology.
- [Table 4, Description of how Completed Functionality/Technology Meets the Project Objectives](#): This table lists Project Objectives and describes how FI\$Cal functionality and technology address these objectives.
- [Table 5, Functionality/Technology Completed](#): This table provides close-out details in the following categories, which include those used for a PIER:
 - Functionality Planned
 - Functionality Delivered and When
 - Problems Encountered and How They were Overcome
 - User and Management Acceptance, and How Agency Management Views Implementation of the Project

Table 3. Matrix of Completed Functionality/Technology and Project Objectives⁸

How FI\$Cal's Completed Functionality and Technology Meet the Overall Project Objectives	FI\$Cal Project Objectives (Shortened)																
	1. Replace State's aging financial systems	2. Increase competition through bidding & vendor functions	3. Maintain central source for data	4. Increase investment returns through cash flow monitoring & forecasting*	5. Improve fiscal controls & support better decision making & transparency	6. Improve access and financial exchange of management documents & data	7. Online access to financial management information	8. Improve system for historical management information	9. Enable quicker financial reporting/booking for financial management	10. Reduce time, workload, costs to increase strategic sourcing time	11. Reduce purchase volumes/costs	12. Reduce procurement cycle	13. Streamline AR collections	14. Streamline vendor pay means	15. Improve role-based security infrastructure	16. Implement stable & secure IT	17. Implement stable & secure IT
1. Departmental Accounting	✓	N/A	✓	✓	✓	✓	✓	✓	N/A	✓	✓	✓	✓	✓	✓	✓	✓
2. Budget	✓	N/A	✓	✓	✓	✓	✓	✓	✓	✓	✓	N/A	N/A	N/A	N/A	✓	✓
3. Procurement	✓	✓	✓	N/A	✓	✓	✓	✓	✓	✓	✓	✓	✓	N/A	✓	N/A	✓
4. DGS/ABMS	✓	N/A	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	N/A	✓	✓	N/A	✓
5. PeopleSoft 9.2 and PeopleTools 8.5.4 Upgrades	✓	✓	✓	N/A	✓	✓	✓	✓	N/A	✓	✓	N/A	✓	N/A	N/A	✓	✓
6. Hardware/Technology Refresh	✓	✓	✓	N/A	✓	✓	✓	✓	N/A	✓	✓	N/A	✓	N/A	N/A	✓	✓
7. Hyperion Upgrade	✓	N/A	✓	N/A	✓	✓	✓	✓	✓	✓	✓	N/A	N/A	N/A	N/A	✓	✓
8. Legacy Data Repository	✓	N/A	N/A	N/A	N/A	N/A	N/A	N/A	✓	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
9. Oracle Business Intelligence	✓	N/A	✓	✓	✓	✓	N/A	✓	✓	✓	✓	N/A	N/A	N/A	N/A	N/A	N/A
10. Automated User Provisioning	✓	N/A	✓	N/A	✓	✓	N/A	✓	N/A	✓	✓	N/A	N/A	N/A	N/A	✓	N/A
11. Security Information and Event Management	✓	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	✓

⁸ This table uses summary titles for the Project Objectives. For the full text of the Project Objectives, please see Table 4 below.

Table 4. How the System’s Functionality/Technology Meets the Project Objectives⁹

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
<p>(1) Replace the state's aging legacy financial management systems and eliminate fragmented and diverse reporting by implementing standardized financial management processes and systems across all departments and control agencies. For purposes of this paragraph, "financial management" means accounting, budgeting, cash management, asset accounting, vendor management, and procurement.</p>	<p>As of SPR 7, FI\$Cal has a fully implemented financial management platform that includes several commercial off the shelf (COTS) products from Oracle, including PeopleSoft, Hyperion, Primavera, and Governance, Risk and Compliance (GRC), as well as a custom-built Cal eProcure website. By placing all of this functionality in a single comprehensive System, FI\$Cal standardizes the applicable financial management processes across all state entities.</p> <p>The System eliminates fragmented and diverse reporting by providing over 1,000 custom reports, as well as several hundred delivered reports, that are standardized across all state entities. This allows state entities to retire diverse and aging legacy financial management systems and report directly out of the System.</p>	<p>With the addition of SCO/STO control functionality, the state will also eliminate fragmented and diverse reporting at the control agency level.</p> <p>FI\$Cal and SCO/STO legacy applications will be integrated to have a common view of statewide accounting. This common view will allow SCO to reconcile the balances between the systems. Transactions will be shared and balances will be reconciled between the FI\$Cal and the SCO/STO legacy systems.</p> <p>The integration will allow for more streamlined MEC and YEC procedures for state entities with the Book of Record and a reduction in manual processes being done by FI\$Cal state entities. This will result in the reduction of paper-based transactions to the Book of Record by FI\$Cal state entities.</p>

⁹ Project Objectives per California Government Code Section 11854, Amended by Stats. 2016, Ch. 31, Sec. 80. Effective June 27, 2016.

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
	<p>Departmental accounting, budgeting, cash management, asset accounting, vendor management, and procurement functionality has already replaced aging legacy systems for numerous state entities. Over 150 state entities are using budget and procurement functionality in the System. For the past three years, state entities have been doing their accounting in the System. In July 2018, 62 state entities will join the 88 already using the System's accounting functionality.</p>	<p>All CalSTARS state entities will transition to FI\$Cal, which will enable the sunseting of the CalSTARS legacy system.</p>
<p>(2) Increase competition by promoting business opportunities through the use of electronic bidding, online vendor interaction, and automated vendor functions.</p>	<p>At the conclusion of the Wave 2 Fall Release in 2015, Cal eProcure replaced the state's usage of BidSync. This integrated the state's procurement functionality with the overall financial management system, while providing capabilities for state entities to post and for bidders to participate in bidding opportunities online. Cal eProcure promotes competition through improved participation. Currently more than 85,000 suppliers and 15,000 bidders, are using the capabilities of the new Cal eProcure portal. As of Nov. 27, 2017, state entities have advertised and processed 11,496 bids (solicitations) in FI\$Cal.</p>	<p>N/A – This objective is fully met.</p>

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
	<p>In addition, the System allows suppliers to register online for Small Business (SB) and Disabled Veteran’s Business Enterprise (DVBE) certifications. This has given state entities simple, online access to certified vendors to help them better achieved their procurement goals.</p> <p>Overall, FI\$Cal gives the state a single, integrated System that supports the entire procurement lifecycle – from requisition, to solicitation, to vendor selection, to contract, to purchase order, and ultimately to fulfillment and payment.</p>	
<p>(3) Maintain a central source for financial management data to reduce the time and expense of vendors, departments, and agencies collecting, maintaining, and reconciling redundant data.</p>	<p>As of December 2016, the FI\$Cal platform includes PeopleSoft, Hyperion, Primavera, GRC, and Cal eProcure and provides a multi-tenant financial management system.</p> <p>This single system allows diverse state entities to perform financial management on one centralized platform rather than requiring each entity to determine how to accomplish similar accounting, budgeting, cash management, asset accounting, vendor management, and procurement tasks.</p> <p>At the same time, diverse entities can define their own configurations in the System, but the</p>	<p>The integration will allow for more streamlined MEC and YEC procedures for state entities with the Book of Record and a reduction in manual processes being done by FI\$Cal state entities. This will result in the reduction of paper-based transactions to the Book of Record by FI\$Cal state entities.</p> <p>There will be a transaction-level and a balance-level reconciliation as part of the SCO/STO integrated solution.</p> <p>By putting all data in one System, this functionality creates a central source for the</p>

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
	<p>centralized System enables these different configurations to roll up into a single platform used for analysis, transparency, and reporting.</p>	<p>State’s accounting, budgeting, cash management, asset accounting, vendor management, and procurement data.</p>
<p>(4) Increase investment returns through timely and accurate monitoring of cash balances, cash flow forecasting, and timing of receipts and disbursements.</p>	<p>State-entity General Ledger (GL) and Modified Accrual modules are already in the System. Using this functionality, receipts and disbursements are recorded by state entities within the System. Cash balances are recorded within the state-entity general ledger and reported to the control agencies as part of their YEC procedures.</p>	<p>Statewide cash balances, cash flow forecasting, and timing of receipts and disbursements will be fully implemented statewide when Milestone 6 is realized. The accurate cash balances and cash flow forecasting will allow for enhanced and reliable cash availability information leading to the state’s ability to fully take advantage of its cash reserves for investments.</p>
<p>(5) Improve fiscal controls and support better decision-making by state managers and the Legislature by enhancing the quality, timeliness, consistency, and accessibility of financial management information through the use of powerful data access tools,</p>	<p>FI\$Cal provides financial management data that includes expense data, encumbrance data, labor-distribution data, funds, grants, and loan data in the same centralized System. This centralized data, coupled with Oracle Business Intelligence and standardized reporting, gives state managers and the Legislature the tools for better fiscal controls and decision-making.</p> <p>For example, in response to legislative requests, Finance has the ability to run reports and filter by</p>	<p>Enhanced statewide reporting is already available in the System, including BLL-based reports. The SCO/STO integrated solution implements remaining statewide controls (appropriation and cash). Automated processes will then be in place to reduce the number of manual procedures required to produce statewide reports. FI\$Cal online inquiries will be available to statewide officials</p>

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
standardized data, and financial management reports.	various parameters, such as fund source, state entity, or all prospective expenditures (“appropriation levels”) approved statewide by a certain house of the Legislature.	that have not been available in the legacy systems.
(6) Improve access and transparency of California's financial management information allowing the implementation of increased auditing, compliance reporting, and fiscal accountability while sharing information between the public, the Legislature, external stakeholders, state, federal, and local agencies.	<p>As with other objectives, departmental accounting, budgeting, cash management, asset accounting, vendor management, and procurement address this objective by providing a centralized source for data. This greatly improves access and transparency by removing the fragmentation and duplication of having over 2,500 legacy systems.</p> <p>Over 1,000 custom reports have been built in FI\$Cal, standardized across all departments, to allow state entities to retire diverse and aging legacy financial management systems and report directly and accurately out of the System.</p> <p>The State Contract & Procurement Registration System (SCPRS) tracks overall total contracting dollars and contracts procured by the State of California. Today this data is collected, analyzed and reported centrally out of the System. This is a first step in providing statewide data from the System to the public, the Legislature, external</p>	FI\$Cal will complete building and testing the Transparency Website in the July 2018 Release. This website will be part of the System and will provide future access to the state’s expense data to the general public. The scope of the Transparency Website is to publish the expense data for general funds and federal funds for the state entities in FI\$Cal for at least one year.

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
	<p>stakeholders, and state, federal, and local agencies.</p> <p>Because state entities are transacting in PeopleSoft, control agencies can see state entity transactions in real time. This real-time transparency gives control agencies better insight and control.</p> <p>Further, as more state entities transact in the System, Cal eProcure greatly enhances transparency into the state’s purchasing decisions.</p>	
<p>(7) Automate manual processes by providing the ability to electronically receive and submit financial management documents and data between agencies, departments, banks, vendors, and other government entities.</p>	<p>The System’s departmental accounting, budget, cash management, asset accounting, vendor management, and procurement functionality have eliminated some manual processes and instead enable the electronic transmittal of financial management documents and data between the appropriate state entities, including agencies, departments, banks, vendors, and other government entities.</p> <p>For example, in Wave 2, we created an interface between FI\$Cal and U.S. Bank National Association to receive State of California Purchase</p>	<p>The SCO/STO Integrated solution will allow for System-originated transactions to be sent via electronic interface, thus removing manual transactions currently sent to SCO in paper form. The SCO/STO integrated solution will also allow statewide transactions originating in SCO’s legacy system to be received by the System via new interfaces.</p>

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
	<p>Card (CAL-Card) data, eliminating the need for state entities to request this information themselves.</p> <p>As another example, in Wave 2, the Project built the SCPRS process into FI\$Cal. SCPRS tracks overall total contracting dollars and contracts procured by the State of California. This allowed departments live in FI\$Cal to no longer report separately to DGS on their SCPRS data, as it already resided in the System. Further, an automated interface to load SCPRS data was built from several departments (DWR, CALTRANS, and CDCR) legacy systems to FI\$Cal.</p>	
<p>(8) Provide online access to financial management information resulting in a reduction of payment or approval inquiries, or both.</p>	<p>At the conclusion of the Wave 2 Fall Release in 2015, the System allowed suppliers to make on-line inquiries or initiate updates through Vendor Self-Service, thereby freeing staff from answering requests/inquiries and performing inquiries related to those requests/inquiries.</p> <p>In addition, FI\$Cal has several delivered workflow engines that automatically route transaction approvals through the state-entity approval process. This workflow exists in several online transactions, including requisitions, purchase</p>	<p>N/A – This objective is fully met.</p>

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
	<p>orders, and payments. This has led to a reduction in approval inquiries, since the workflow includes supporting documentation for each transaction along with the proper controls.</p>	
<p>(9) Improve the state's ability to preserve, access, and analyze historical financial management information to reduce the workload required to research and prepare this information.</p>	<p>By centralizing the financial information into a single system, managers and staff at state entities now have the ability to preserve and access this information easily in the future. Numerous reports provided as part of the System and the ability to prepare ad hoc queries will reduce the workload required to research and prepare financial information.</p> <p>Additionally, control agencies and state entities have the ability to preserve pre-FI\$Cal financial information in a Legacy Data Repository (LDR) and access that information through simple search and discovery features. This LDR ability is already in place for the 88 state entities currently in the System and will be present at the conclusion of the July 2018 Release for the remaining in-scope departments.</p>	<p>The SCO/STO Integrated solution will provide a statewide source of data for financial management. Inquiries and reports available in the System will allow for efficient data retrieval. Statewide data will be available broken down at the state-entity level, a feature that is not available today.</p> <p>The System will allow managers and staff within control agencies to access both current and historical accounting, budgeting, cash management, asset accounting, vendor management, and procurement data. This data will be available through online inquiry in the System, as well as through the System's Legacy Data Repository.</p>

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
	<p>Finally, FI\$Cal's Oracle Business Intelligence platform supports further data analysis, research and information preparation needs.</p>	
<p>(10) Enable the state to more quickly implement, track, and report on changes to financial management processes and systems to accommodate new information such as statutory changes and performance information.</p>	<p>The System allows for configurable settings that can be modified based on statutory or performance information. Reports are built off of configurable settings that allow for the data to be modified in the reports based on hierarchies.</p> <p>Departmental accounting functionality already implemented, coupled with remaining SCO/STO control functionality in the July 2018 Release, will enable the state to more quickly implement, track, and report on changes to financial management processes and systems to accommodate new information such as statutory changes and performance information.</p> <p>As part of the FI\$Cal Project, we have encountered several new statutory or policy changes that have required us to change functionality in the system. For example, Finance flags Budget Change Proposals (BCPs) to tie specific expenditures with new legislation.</p>	<p>SCO/STO Integration will include the implementation of CAFR and other statewide reports that will display timely and accurate modifications leading from statutory changes.</p>

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
	<p>Additionally, FI\$Cal successfully added newly created state entities to the System in 2017.</p>	
<p>(11) Reduce the time, workload, and costs associated with capturing and projecting revenues, expenditures, and program needs for multiple years and scenarios, and for tracking, reporting, and responding to legislative actions.</p>	<p>Currently, the System provides a centralized location for departmental accounting, budget, cash management, asset accounting, vendor management, and procurement functionality for the 88 entities in the System, and will provide this for the remaining 62 in-scope entities at the conclusion of the July 2018 Release.</p> <p>This allows state entities to more quickly and efficiently retrieve financial management information that can be used for analysis required to meet this objective.</p> <p>For example, a legislator could request information on all expenditures for a specific state entity, and Finance can report on this information from the System.</p>	<p>The System will provide a single point of data entry to capture transaction data and expenditures by all in-scope state entities.</p>
<p>(12) Track purchase volumes and costs by vendor and commodity code or service code to increase strategic sourcing opportunities,</p>	<p>At the completion of Wave 2, the integrated Requisition-to-Check process facilitated contract purchasing and captured spending information for future analysis, including interfaced data from deferred and exempt state entities.</p>	<p>N/A – This objective is fully met.</p>

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
<p>reduce purchase prices, and capture total state spending data.</p>	<p>SCPRS tracks overall total contracting dollars and contracts procured by the State of California. Today, this data is collected, analyzed and reported centrally out of the System. This statewide data from the System is available to the public, the Legislature, external stakeholders, and state, federal, and local agencies. The information is provided by vendor and commodity codes, and can be seen by other vendors to increase competition for future contracts.</p>	
<p>(13) Reduce procurement cycle time by automating purchasing authority limits and approval dependencies, and easing access to goods and services available from existing sources, including, but not limited to, using leveraged procurement agreements.</p>	<p>At the conclusion of Wave 2, the System integrated procurement activities across DGS, SCO, and state entities, including fully integrated requisitioning, sourcing, contracts, and purchase order documents. These purchasing capabilities feed directly into the integrated accounts payable function within departmental accounting for invoicing and vouchering (the liquidation or relieving of the encumbrance).</p> <p>The integrated procurement functionality increases the state's ability to standardize and control its procurement functions, while reducing procurement cycle time. The integrated System automates purchasing authority limits and approval</p>	<p>N/A – This objective is fully met.</p>

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
	<p>dependencies, which eases access to goods and services available from existing sources, including the use of leveraged procurement agreements.</p>	
<p>(14) Streamline the accounts receivable collections process and allow for offset capability which will provide the ability for increased cash collection.</p>	<p>Departmental accounting functionality already implemented, coupled with remaining SCO/STO control functionality to be implemented in the future, will streamline the accounts receivable (AR) collections process and allow for offset capability, thus providing the ability for increased cash collection.</p> <p>Current System functionality provides the ability to create and print collection and dunning letters.</p> <p>The System has the capability to record the customer call conversations regarding delinquent items. The System also has option to indicate collection items that have been sent to the Franchise Tax Board (FTB).</p>	<p>Integration with FTB will send over information of customer delinquent items by department and FTB will be able to provide list of stop payments to SCO.</p>
<p>(15) Streamline the payment process and allow for faster vendor payments that will reduce late payment penalty fees paid by the state.</p>	<p>Using workflow technology, the System enables users to electronically route these transactions for review and approval within their state entity, between the state entity and SCO, and within SCO. Having the entire audit trail of the voucher in</p>	<p>N/A – This objective is fully met.</p>

<p>Project Objective</p>	<p>How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i></p>	<p>How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i></p>
	<p>the system allows state entities and SCO to have better visibility of where the voucher is in the approval process and when payment is planned. This real-time awareness was not previously available, leading to inadvertent payment penalty fees paid by the state.</p> <p>At the conclusion of Wave 1, the System streamlined the payment process by enabling state entities to enter payment voucher transactions just once, at the start of the payment process.</p>	
<p>(16) Improve role-based security and workflow authorization by capturing near-real-time data from the state's human resources (HR) system of record.</p>	<p>For security reasons, HR data is not directly tied to role-based security and workflow authorization. Accordingly, FI\$Cal has addressed this objective in two pieces as follows:</p> <p>Improvements from System capturing HR Near-Real-Time Data: At the conclusion of Wave 1, an interface was established between the System and the current SCO payroll system for employee data. The System uses this HR data in several transactions, including labor distribution and employee expense processing (e.g., the California Automated Travel Expense Reimbursement System known as CalATERS).</p>	<p>SCO/STO Integration will include control agency role based security and workflows for Statewide Accounting and Reporting.</p>

Project Objective	How Completed Functionality Meets the Objective <i>(July 2017 Release and Prior Releases)</i>	How Remaining Functionality will Meet the Objective <i>(SCO/STO Control Functionality Release)</i>
	<p>Improvements to Role-Based Security and Workflow Authorization: Role-based security and workflow authorization are initiated by state entities. The improvement is enabled through Identify Self-service portal.</p>	
<p>(17) Implement a stable and secure information technology infrastructure.</p>	<p>Provided a stable infrastructure that can be expanded for additional volume through the following:</p> <ul style="list-style-type: none"> • Implementation of ExaData X5 and ExaLogic X5, which will support user and performance needs for the at least another five years. • Implementation of Private Cloud Appliance (PCA) and migration of Hyperion, Business Intelligence, Primavera, and GRC to this PCA. • Implementation of FireEye for malware protection and Gigamon to detect and prevent encrypted malware. • Implementation of a cloud-based AT&T SIEM solution wherein the AT&T Security Operational Center monitors security events on a 24/7 basis. 	<p>N/A – This objective is fully met.</p>

Table 5. Functionality/Technology Completed

Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
1. Departmental Accounting Functionality			
<p>FI\$Cal Departmental Accounting involves accounting for all receipts, disbursements, resources, obligations, and property of the state and providing accurate and comparable records, reports, and statements in compliance with accounting and reporting statutes/standards. The System supports the 14 main areas of the state’s departmental accounting:</p> <ul style="list-style-type: none"> ▪ Payables: The processes needed to authorize, record, and disburse payments from both a departmental and statewide perspective. For the State of California, this includes General Payables, Agency Office Revolving Fund, and State Controller’s Office Payments. ▪ Asset Accounting: The process of accounting and tracking all transactions related to each asset while maintaining uniform accountability for departmental and State-level asset information for reporting. ▪ Bond Accounting: The process of accounting, tracking, and reporting all transactions related to bonds and other debt financing. ▪ Chart of Accounts: A financial coding structure of all identified accounts used by departments and statewide functions to record financial transactions. The COA allows the State to generate accurate records, reports, and statements of various functions, transactions, and activities. ▪ Cost Allocation: A process in which expenditures and encumbrances not initially charged to or directly associated with a program activity can be accumulated and then 	<p>Departmental Accounting Functionality was implemented as follows:</p> <ul style="list-style-type: none"> ▪ Payables: Delivered Wave 1 (2014) with some additional enhancements included in Wave 2 (2015). ▪ Asset Accounting: Delivered Wave 1 with some additional enhancements included in July 2017 Release. ▪ Chart of Accounts: Delivered in Wave 1. ▪ Cost Allocation: Delivered in Wave 1. ▪ Encumbrance: Delivered in Wave 1. ▪ Financial Reporting: Delivered in Wave 1 with additional functionality rolled out as production releases. ▪ General Ledger: Delivered in Wave 1. ▪ Grant Accounting: Delivered in Wave 2. ▪ Labor Distribution: Delivered in Wave 1 with additional functionality rolled out as production releases. ▪ Project Accounting: Delivered in Wave 1 with additional functionality rolled out in Wave 2. ▪ Receivables/Receipts: Delivered in Wave 1 with additional functionality rolled out in Wave 2. ▪ Vendor Management: Delivered in Pre-Wave (2013). 	<p>FI\$Cal addressed the following problems as part of implementing Departmental Accounting:</p> <p>Problem #1: Inability for State Entities to close months on time. Solution #1: Each release we progressively improved the reporting, support, and tools for tracking month-end close (MEC) process.</p> <p>Problem #2: Labor Distribution solution began as a manual, resource-heavy process that took the departments several iterations to get right. Solution #2: Implemented the following:</p> <ul style="list-style-type: none"> ▪ Labor distribution data collection during implementation ▪ Enhancements to solution post go live. ▪ FI\$Cal support for departments (MEC/YEC team). <p>Problem #3: Office Revolving Fund (ORF) process design caused frequent user errors leading to a high volume of FSC tickets. Solution #3: Implemented process improvements to ORF over time, as well as improved job aids for departments.</p> <p>Problem #4: Implementation of Bond Accounting and Loan Accounting solution. Solution #4: Functionality will be implemented as part of Deal Management in the SCO/STO Integrated Solution. (See SPR 7 scope in Section 3.4.2.2.)</p>	<ul style="list-style-type: none"> • Of 1726 approved requirements for Departmental Accounting functionality, 1617 have been met, 1 has been partially met, and 10 will be delivered by the state. 30 are parent requirements that were met by subsidiary requirements. 68 requirements were canceled. These are shown in Appendix B. • As of August 2017, 88 state entities are performing their departmental accounting in the System. Many have been working in the System for more than a year as shown below: <ul style="list-style-type: none"> ▪ 3+ years: 9 state entities onboarded in Wave 1 (2014), including Finance ▪ 2+ years: 43 state entities onboarded in Wave 2 (2015), including SCO and STO ▪ 1+ year: 6 state entities onboarded in the 2016 Release ▪ 30 state entities onboarded in the 2017 Release ▪ 62 state entities remain for the 2018 Release • State entities using the System are listed in Appendix A along with details on MEC/YEC status. • The statewide Vendor Management File, which reached 15,000 suppliers back in 2016, now has more than 85,000 suppliers.

Table 5. Functionality/Technology Completed

Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
<p>allocated to the program activities directly associated with those charges.</p> <ul style="list-style-type: none"> ▪ Encumbrance: The commitment of all or part of an appropriation for future expenditures. Encumbrances are typically posted from documents such as purchase estimates, purchase orders, and contracts. ▪ Financial Reporting: Provides timely published information about the financial position, results of operations, and changes in financial position of the State and its legally separate entities. This information is available to a wide range of users in making economic decisions and complying with governing accounting and reporting statutes/standards. ▪ General Ledger: A central repository for all financial transactions and balances, individually or in summary, based on the Chart of Accounts structure. The general ledger is supported by one or more subsidiary ledgers that provide account details. ▪ Grant Accounting: The process of capturing funding or other assets made available by a government or private organization to be used or expended for a specified purpose, activity, or facility. The State may act as a grantor and/or a grantee. ▪ Labor Distribution: The process of allocating personnel costs and hours to programs and organizations, projects, grants and other Chart of Account elements. ▪ Loan Accounting: The process of accounting, tracking, and reporting all transactions related to loans made from one fund/program/entity to another. 			

Table 5. Functionality/Technology Completed

Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
<ul style="list-style-type: none"> ▪ Project Accounting: Projects are defined as a temporary endeavor undertaken to create a unique product or service, such as a capital project to construct a new building. The Project Accounting process is used to track the accounting of projects by accumulating all accounting data in one place for those unique products or services. ▪ Receivables/Receipts: Receivables are amounts owed to the state by entities or individuals. Activities include billing, aging analysis, payroll accounts receivable, and tracking collection activities. Receipts include currency, checks, warrants, and other negotiable instruments that are received for deposit. ▪ Vendor Management: Vendor Management includes various vendor processes and provides a statewide central source of vendor information (the Master Vendor File) used by all state entities for procurement, receiving, and payment functions. The process allows the State to administrate, maintain, track, and report on vendor activities. 			
<p>2. Budget Functionality</p>			
<p>FI\$Cal Budget Functionality includes creating a single system of record that provides an official source for all of the State’s budget data, known as the Budgets Book of Record. The System supports the three main areas of state budgeting:</p> <ul style="list-style-type: none"> ▪ Budget Development and Enactment: The System supports budget development and 	<p>Core budget functionality was implemented in Wave 1 (2014) as planned.</p> <p>In addition, FI\$Cal implemented the following in the 2016 Release:</p> <ul style="list-style-type: none"> • A partial redesign of foundational elements in the areas of data entry, performance, and security. 	<p>FI\$Cal’s Wave 1 Budget Functionality (called Budget 1.0) encountered the following challenges. These were addressed in the Budget 2.0 partial redesign for the 2016 Release as described below.</p>	<ul style="list-style-type: none"> • Of 470 approved requirements for Budget functionality, 431 have been met and 39 have been canceled. These are shown in Appendix B.

Table 5. Functionality/Technology Completed

Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
<p>enactment. This involves using year-end statements of actual expenditures and/or current year initial appropriations and projected expenditures as the basis for preparing the State's annual operating plan (budget). The System also supports the state's process of making budget modifications needed for the enacted budget.</p> <ul style="list-style-type: none"> ▪ Budget Administration: Beginning with the enacted budget, Finance administers the annual budgets based on the authority provided. ▪ Budget Appropriation Control: The System also supports Finance's appropriation control, which is designed to ensure that departments are operating within their approved budget levels and that corrective action is taken in case of unforeseen circumstances. 	<ul style="list-style-type: none"> • Statewide budgeting for all state entities using FI\$Cal. 	<p>Problem #1: Users had to wait for certain times of day to run reports, and needed more current information. Solution #1: The redesign included creating certain Near-Real-Time Reports that users could run at any time for a defined portion of data.</p> <p>Problem #2: The Budget 1.0 system encountered performance degradation system and frequently went down as more users accessed the system. Stability issues from memory leaks also posed system availability problems. Solution #2: The Budget 2.0 redesign vastly improved stability and performance. Enhancements included the following</p> <ul style="list-style-type: none"> • Application efficiency— <ul style="list-style-type: none"> ○ Removal of DPs and BRs and using ITEM for simplified data entry • Database tuning and enhancements— <ul style="list-style-type: none"> ○ Combining dimensions ○ Metadata cleanup ○ Updated interfaces for Data Mart and GBPS • Reports enhancements— <ul style="list-style-type: none"> ○ Reduced lag time with multiple cubes ○ Near-real-time reports available with new Hyperion Planning (see #1 above) ○ Report generation measured in seconds compared to minutes • Security enhancements— <ul style="list-style-type: none"> ○ Updated security model enhancing security and simplifying maintenance <p>Problem #3: Users struggled with ease of use. Many forms were complicated, for example, requiring going from one form to another (back and forth) or using multiple clicks to get to what was needed.</p>	<ul style="list-style-type: none"> • To date, Finance has completed three Governor's Budgets and two Enacted Budgets in FI\$Cal. • Finance completed UAT of the Hyperion application for budget functionality. FI\$Cal and Finance worked together to document and refine the budget system based on the UAT results. • Finance went live with control budget functions in Wave 1 (2014), making the FI\$Cal System the Budget System of Record. • Budget 2.0 was implemented in 2016, providing an upgrade and partial redesign of the budget system. This upgrade created greater System stability and responsiveness, enabling the System to process the large magnitude of transactions needed for California state government. As a result, Budget 2.0 allowed all state entities to use Hyperion budget functionality. • Security guardrails allowed for more control & validation prior to submission of a form, creating a more efficient and secure process. For example, as soon as a user selects an inactive/invalid item, they receive an immediate proactive warning, saving significant time for the end user. • Hyperion budget functionality was deployed to all remaining budget users in the 2016 Release. • In July 2017, Level 1 helpdesk support for the Hyperion application finished transitioning from Accenture to the State. In November 2016,

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Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
		<p>Solution #3: The Budget 2.0 redesign focused on the user experience as well as system stability by asking the following questions for each change:</p> <ul style="list-style-type: none"> • Does it create more or fewer clicks? • Does it increase or decrease the load on the system? <p>Problem #4: Human Capital Planning (HCP) and Legislation Counsel Bureau (LCB) functionality were deferred by CRs 596 and 597.</p> <p>Solution #4: HCP: Finance understands and agrees that the “out of the box” HCP application will not be implemented until such time that a new HR system is deployed or an efficient integration with an existing HR system/database is possible. LCB: Finance decided that significant efficiency could not be achieved because of the gaps in needed functionality. The LCB Team, including state and Accenture staff, concurs. It is not likely that these gaps can be addressed until such time as either the Office of State Publishing and/or the LCB changes their existing system.</p>	<p>FI\$Cal implemented a new Enterprise Intake Process to facilitate requests for changes to the already-implemented System.</p>
<p>3. Procurement Functionality</p>			
<p>Procurement is the process of acquiring goods and/or services from vendors. This process includes requisitions, solicitations, vendor contracts, purchase orders, and receipts. It also includes the procurement card, CAL-Card payment mechanism for purchasing. There are additional control functions that are part of the overall procurement process, such as Delegated Purchasing Authority, Leveraged Procurement</p>	<p>In July 2013 (Pre-Wave) and July 2014 (Wave 1), implemented a limited departmental procurement functionality release that included the following:</p> <ul style="list-style-type: none"> • Create and Manage Requisition • Create Purchase Order using Direct PO Entry and Copy Requisition 	<p>FI\$Cal addressed the following problems as part of implementing procurement functionality:</p> <p>Problem #1: The following functionality was deferred:</p> <ul style="list-style-type: none"> • Purchasing Authority - Deferred by CR600 • CAR reporting (Contracting Activity Reporting) – planned via Operational 	<ul style="list-style-type: none"> • Of 517 approved requirements for Procurement functionality, 489 have been met, and 28 have been canceled. These are shown in Appendix B. • In 2016, FI\$Cal Procurement became the procurement book of record for the state of

Table 5. Functionality/Technology Completed

Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
<p>Agreements (LPAs), SB/DVBE Certifications, California State Contracting Register (CSCR), and Statewide Reporting on Procurement and Contracting activities.</p> <p>FI\$Cal Procurement Functionality includes creating a single system of record that provides an official source for all of the State's procurement data, known as the Procurement Book of Record.</p> <p>The FI\$Cal Procurement Solution was planned to be implemented in three waves, known as Pre-Wave, Wave 1, and Wave 2 and FI\$Cal resource documents list the planned procurement functionality as followed:</p> <p>Pre-Wave:</p> <ul style="list-style-type: none"> • Requisitions • Purchase Orders • Vendor Management – Vendors only <p>Wave 1:</p> <ul style="list-style-type: none"> • Administer and Process P-Card Transactions • Receiving, Inspection, and RTVs • Matching with Accounts Payable module:PO>Voucher>Receipt>Inspection <p>Wave 2:</p> <ul style="list-style-type: none"> • Decentralized P-Card Administration • Vendor Management - Bidders and SB/DVBE Bidders/Vendors • Maintain Items for LPA and Internal Catalogs 	<ul style="list-style-type: none"> • Purchasing Receipt (Blind Receiving) • Return to Vendor • Procurement Card <p>In August 2015 (Wave 2 Summer), implemented Departmental Procurement functionality which included the following:</p> <ul style="list-style-type: none"> • Item Upload for CALPIA items to be placed in a Catalog in the Requisition module. • Procurement Contracts, only the Contract header functionality. • Create Purchase Order using Copy from Contract • Create and approve for posting to CSCR implemented for Solicitation (Strategic Sourcing) • SCPRS Entry – For Future Release & Exempt Departments • SCPRS Upload functionality to support department performing monthly upload – For Future Release & Exempt Departments • CSCR Advertisement – For Future Release & Exempt Departments • Progress Payment – For Future Release & Exempt Departments <p>In December 2015 (Wave 2 Fall), implemented Cal eProcure Vendor Portal. This is a public, outward-facing website that state entities,</p>	<p>Decision Making Framework (ODMF) 1365 and future sprints.</p> <p>PD 264 - The System shall allow for DGS to generate standard, legislatively mandated, and ad hoc reports that consolidate statewide activity (e.g., utilization of Leveraged Procurement Agreements, number of transactions posted to the CSCR;</p> <p>PD 15.00 The System shall capture/track data provided on current forms and documents (e.g., Purchase Estimate, Agreement Summary, Contract Award Report, Publishing Order, Procurement Summary).</p> <ul style="list-style-type: none"> • Solicitation Analysis and Award – Deferred by CR600 • Contract document library – planned via ODMF 1578 and 745. Requirements listed in the ODMFs • Punch-out Catalog – planned via ODMFs 1579, 1521 and 866 <p>PD 181.00: The System shall include “punchout capability so that web-shopping can be accomplished without leaving the system.</p> <ul style="list-style-type: none"> • ERGSO Report – planned via ODMF 1376 <p>PD 264 - The System shall allow for DGS to generate standard, legislatively mandated, and ad hoc reports that consolidate statewide activity (e.g., utilization of Leveraged Procurement Agreements, number of transactions posted to the CSCR;</p> <p>PD 15.00 The System shall capture/track data provided on current forms and documents (e.g., Purchase Estimate, Agreement Summary, Contract Award</p>	<p>California. This allowed the state to retire use of the BidSync system.</p> <ul style="list-style-type: none"> • As of August 2017, onboarded state entities are using the System for procurement activities. Many have been working in the System for more than a year as shown below: <ul style="list-style-type: none"> ▪ 18+ months: Statewide procurement was implemented in the Wave 2 Fall Release. While a few entities were already using the System's procurement functionality, this release on boarded the remainder. This resulted in a total of 52 state entities using the System for procurement functionality, including SCO and STO. ▪ 1+ year: 6 state entities were on boarded in the 2016 Release. ▪ 30 state entities were on boarded in the 2017 Release ▪ 62 state entities remain for the 2018 Release. • In terms of management acceptance, by selecting InFlight software as the solution, Cal eProcure is integrated with the System. This allows PeopleSoft functionality in FI\$Cal to be leveraged to provide vendor-facing functionality cost-effectively without having to rebuild the same functionality in a separate, non-integrated portal. • For user acceptance, stakeholders and customers (suppliers and bidders) were involved from the beginning to provide design

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Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
<ul style="list-style-type: none"> • Automated Purchasing Authority request and approval process in FI\$Cal • Delegated Purchasing Authority thresholds enforced in the Solicitations, Contracts, and POs • Vendor Punchout through Requisitions • Sourcing Events – Solicitations <ul style="list-style-type: none"> ○ Solicitation creation and addenda to an existing solicitation to post to CSCR ○ Bidder / vendor submits bid response ○ Analyzes bid responses, including two envelop approach and weighting ○ Notice of Intent to Award ○ Award Solicitation to Contract and/or PO • Administer Vendor Contracts • Bar Code Scanning during Receiving • Various Required Procurement and Contracting Reports 	<p>suppliers, and bidders actively use. Cal eProcure includes the following functionality:</p> <ul style="list-style-type: none"> • Access to view bidding and contracting resources in one location. • Bidders and suppliers can register on the portal, where they can view and maintain information on their business. • Bidders/suppliers can apply for, renew, or update Small Business and Disabled Veteran Business Enterprise (SB/DVBE) certification. • The public can search for Statewide Contracts, view bid opportunities, search on SB/DVBE certification status, and view the state’s past purchases. <p>Production Releases in 2017 implemented CSCR and notification enhancements, as well as supplier/bidder registration enhancements.</p>	<p>Report, Publishing Order, Procurement Summary)</p> <ul style="list-style-type: none"> • Q&A functionality – planned via ODMF 1556 PD 94.00: The System shall manage and track vendor/bidder actions/communications (e.g., inquiries, access of solicitation on CSCR, submittals, initial protest) throughout the solicitation process; PD 232.00 The System shall include functionality currently provided by the DGS California State Contracts Register (CSCR) (See Appendix G-09 DGS Detailed Information System Descriptions), based on state need (e.g., provide public access to certain aspects of the System) • G\$Smart – planned via ODMF 1379 PD 152: The System shall manage lease and financed purchases for various situations (e.g., handling multiple assignments for lease purchases, option to buy); PD 205: The System shall allow approvers to perform various actions (e.g., approve/reject, change the approval/rejection status, insert comments, attach/return documents/notices), based on state need (e.g., only an authorized individual can override a rejection, finance language that is returned in conjunction with approval can be incorporated into the solicitation) <p>Problem #2: FI\$Cal proposed Punchout functionality for the California Prison Industry Authority (CALPIA) to sell goods on their</p>	<p>and build feedback to ensure Cal eProcure met their needs.</p> <ul style="list-style-type: none"> • Cal eProcure’s benefits to users, management, and the agencies (FI\$Cal and control agency partners) include the following: <ul style="list-style-type: none"> ▪ FI\$Cal centrally administers Cal eProcure, which eliminates the previous redundancies and inefficiencies caused by maintaining procurement data in multiple systems and applications. ▪ Vendors can access the portal on a wide range of mobile devices that are increasingly favored by California businesses. ▪ The Cal eProcure portal offers website and functionality with a modern and simplified look and feel. ▪ FI\$Cal implemented Cal eProcure’s SB/DVBE module in December 2015. The functionality is a custom-designed PeopleSoft module that is integrated into the PeopleSoft procurement and contracting modules in the System. The module is used by the public, state entities, bidders, suppliers and DGS OSDS staff. Bidders and Suppliers use it to apply for new certifications, renew existing certifications and amend certification information. The staff of the DGS Office of Small Business and Disabled Veteran Business Enterprise Services (OSDS) are able to review applications, make notes, change certification status, and send batched notifications as needed.

Table 5. Functionality/Technology Completed

Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
		<p>website. However, resource constraints inhibited building this Punchout capability.</p> <p>Solution #2: FI\$Cal created an Item Upload that allows CALPIA to put all items in an item catalog in the System. Now Department scan browse this the this CALPIA Item Catalog and select CALPIA items to add to their requisitions.</p> <p>Problem #3: The complete Return to Vendor (RTV) process doesn't work in FI\$Cal because a negative voucher will not pick up in SCO pay cycle. The RTV issue is logged as INC #3144721</p> <p>Solution #3: State entities currently use a manual process. RFC/CMR pending for a permanent solution.</p> <p>Problem #4: Contract Document requirements not met. Only a portion of the Contract can be created in FI\$Cal because the Contract Document functionality was not implemented.</p> <p>Solution #4: State entities have to create contract documents outside of FI\$Cal and attach to the contract header in FI\$Cal. Further information is available in ODMF 1578</p> <p>Problem #5: There were challenges in getting the monthly extract for the Procurement Card statement from US Bank. This extract is necessary for state entities to reconcile their accounts.</p> <p>Solution #5: The FI\$Cal team held weekly calls with US Bank to work on the solution, propose options, and finally deliver a few customizations that helped to meet the requirements for Procurement Cards.</p>	<ul style="list-style-type: none"> ▪ As more departments transact in FI\$Cal, Cal eProcure greatly enhances transparency into the state's purchasing decisions. ▪ Stakeholders, such as the Legislature and taxpayers, can access the Cal eProcure website to view the state's purchasing data.

Table 5. Functionality/Technology Completed

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<p>Problem #6: Implementing solicitation functionality, there were challenges because the delivered out of box analysis and award functionality does not adhere to State of California’s rules of competition and confidentiality. Deferred by CR600</p> <p>Solution #6: None of the provided solutions met the state concerns, hence the functionality was deferred by CR600.</p> <p>Analysis and Award functionality deferred by CR600. The solution was that the State’s concerns could not be met with the delivered functionality, so much of the Sourcing/Event/Solicitation functionality was not implemented because the delivered out of box award functionality did not adhere to State of California’s rules of competition and confidentiality.</p>			
<p>4. DGS/ABMS</p>			
<p>Includes implementing DGS’s departmental accounting functions in FI\$Cal, replacing DGS’s Enterprise Resource Planning system (ABMS), as well as budgeting and procurement and the following -</p> <ul style="list-style-type: none"> • DGS Real Property Leased functionality • Fleet Asset Management System (FAMS) interface • DGS Lease Revenue Bond Accounting and replacement of the CFS General Ledger system 	<ul style="list-style-type: none"> • DGS Departmental Accounting functionality was implemented in January 2017 including the replacement of the ABMS. • Additional ABMS enhancements, including changes to project and AR interfaces, as well as direct transfers, were delivered post-July 2016 	<p>FI\$Cal addressed the following problems as part of implementing DGS’s ABMS system:</p> <p>Problem #1: Implementation of Real Property Leased Functionality Solution #1: Functionality will be implemented in July 2018</p> <p>Problem #2: Implementation of Fleet Asset Management System (FAMS) interface Solution #2: Functionality will be implemented in December 2017</p>	<ul style="list-style-type: none"> • Of 242 approved requirements for DGS ABMS functionality, 220 have been met, 11 have been canceled, and 11 will be delivered by the state. These are shown in Appendix B. • This implementation enabled DGS to retire an aging Oracle legacy system (ABMS), • Each area of functionality went through an extensive UAT process on-site at DGS before being placed, first, in partial Production for close monitoring and then finally in Full Production upon additional validation.

Table 5. Functionality/Technology Completed

Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
		<p>Problem #3: Implementation of DGS Lease Revenue Bond Accounting and replacement of the CFS General Ledger system Solution #3: Functionality will be implemented in July 2018 as part of SCO/STO control functionality</p> <p>Problem #3: Because of complexity of ABMS functionality and the number (19) of interfaces, FI\$Cal/DGS required more time for testing and successfully implemented in January 2017 six months past the planned go-live date. Solution #3: To ensure the DGS functionality met their business needs FI\$Cal extended the schedule to allow DGS time for Unscripted User Acceptance Testing (UUAT) at their home site. To limit delays and provide timely solutions, Accenture embedded resources with DGS home staff to resolve production-related issues.</p> <p>Problem #4: The Direct Transfer functionality was complex and required input from SCO, DOF and DGS and required additional enhancement to meet the partner's needs. Solution #4: Multiple enhancements were designed/implemented, ensuring the solution met the partner's needs.</p>	<ul style="list-style-type: none"> Having UUAT performed onsite at DGS gained user confidence in the solution and contributed greatly to the successful implementation.

Table 5. Functionality/Technology Completed

Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
5. PeopleSoft 9.2 and PeopleTools 8.5.4 Upgrades			
<p>PeopleSoft 9.2 and PeopleTools 8.5.4 Upgrades: Includes a PeopleSoft 9.2 upgrade and additional PeopleTools 8.5.4 functionality.</p>	<p>Upgraded as planned in July 2016.</p> <p>FI\$Cal upgraded PeopleSoft to Version 9.2 and PeopleTools to Version 8.5.4 as planned in July 2016. Additionally, to facilitate thorough testing and smooth implementation of the PeopleSoft upgrade, FI\$Cal implemented major hardware upgrades, upgrading the PeopleSoft ExaLogic System from X2 to X5 and their database hardware to ExaData X5. This potentially saved the state millions. Additionally, the upgrade provides hardware capacity for the next five years and the ability to scale up to support future statewide users.</p>	<p>FI\$Cal addressed the following problem in upgrading PeopleSoft and PeopleTools:</p> <p>Problem: One major problem was encountered during this upgrade. With the new version, PeopleSoft 9.2, Oracle introduced a new Security Enterprise Search. During testing, FI\$Cal found that the search wasn't working because this component was not able to handle the catalog size needed for FI\$Cal implementation.</p> <p>Solution: To resolve this issue, FI\$Cal moved the PeopleSoft 9.1 search engine into the 9.2 system, and used refactoring to make the 9.1 search engine work under the new version.</p>	<ul style="list-style-type: none"> • Of 499 approved requirements for the PeopleSoft and PeopleTools Upgrades, 429 have been met, 1 will be delivered by the state team, and 3 were partially met. These three involve Knowledge Transfer and will be met at the end of the contract. 66 requirements were canceled. These are shown in Appendix B. • The upgrade required a complete System regression test, proving FI\$Cal's maturity in terms of its ability to keep the System current while bringing on major changes and new departments. • This upgrade allows for redundancy and improved uptime to help avoid system outages and create a more stable environment. • These upgrades facilitate long-term application support and maintenance and have the added benefit of allowing future mobile enhancements.
6. Hardware/Technology Refresh			
<p>Hardware/Technology Refresh: Includes refreshing the System's hardware/technical component (e.g., servers) to ensure the infrastructure can sustain long-term usage. The Project's plan has always included a hardware/technology refresh.</p>	<p>Completed July 2017 as planned.</p> <p>FI\$Cal used an incremental approach to deploying the hardware upgrades. Network equipment was implemented first, including an F5 load balancer, followed by Oracle Private Cloud Appliance (PCA) and the latest Zettabyte File System storage device. FI\$Cal migrated about 40 servers to the Oracle PCA and migrated all load-balancer URLs to F5.</p>	<ul style="list-style-type: none"> • No problems were encountered in this implementation. 	<ul style="list-style-type: none"> • All requirements for the Hardware/Technology Refresh have been met. • Budget 2.0 Release 1 (in 2016) involved a partial redesign with no hardware changes. FI\$Cal was able to scale up the System for statewide users without a costly hardware purchase. Because the redesign was so effective, FI\$Cal was able to move the Hyperion System to lower-cost commodity virtual servers on the PCA, thus

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	<p>Additionally, FI\$Cal migrated the Budget system from ExaLogic X2, which would no longer have support, to virtual servers on PCA.</p>		<p>avoiding substantially expensive upgrades to the ExaLogic System.</p> <p>Additionally, PCA positioned FI\$Cal to move other servers to PCA when those servers reach end-of-life. The PCA has room for an increased number of servers, with the ability to increase capacity by 400%.</p>
<p>7. Hyperion Upgrade</p>			
<p>Hyperion Upgrade: Includes upgrading Hyperion software to Version 11.1.2.4 as the latest, generally accepted version. An upgrade to the latest application version has always been part of the Project’s plan. The State Technology Team and Accenture will collaboratively lead the Hyperion software upgrade and will utilize DOF expertise to address both the remaining budget scope and the Hyperion upgrade.</p>	<p>Upgraded in July 2016 as planned.</p>	<p>FI\$Cal addressed the following problem as part of the Hyperion upgrade:</p> <p>Problem: The previous version had issues with lack of sufficient memory. This turned out to be because of a Hyperion feature called “decision packages.” As a result, the System’s ability to scale up to support statewide users was a concern.</p> <p>Solution: FI\$Cal used intensive performance testing to ensure that the System could handle the state’s huge volume of users and transactions. Performance tests had to be repeated multiple times, and configurations adjusted, until the System was successful.</p>	<ul style="list-style-type: none"> • Of 434 approved requirements for the Hyperion upgrade, 312 have been met, and 122 requirements were canceled. These are shown in Appendix B. • The Hyperion software upgrade provides enhanced functionality and enables the System to handle the State’s considerable volume of budget transactions. • Upgrade reduced keystrokes for users by 43% for creating budget requests. <p>Enabled FI\$Cal to provide access to 1200 statewide budget users.</p>
<p>8. Legacy Data Repository (LDR)</p>			
<p>Using big-data technologies, implement a data platform to provide self-service features to State entities, allowing them to securely store, view, and report on their legacy data as needed. Implementing a data platform using big-data</p>	<p>Implemented February 2017 as planned.</p>	<p>No problems were encountered in this implementation.</p>	<ul style="list-style-type: none"> • All requirements for the LDR have been met. • The self-service LDR platform is available to all state departments.

Table 5. Functionality/Technology Completed

Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
<p>technologies and providing self-service features to State entities will enable the State to avoid the “conversion” of data to PeopleSoft schema. This LDR will be available for State entities who need it and will facilitate the retirement of unsupported legacy systems when State entities onboard to FI\$Cal.</p> <p>ODMF #967 has further details regarding this solution.</p>			<ul style="list-style-type: none"> No defects have been reported since it went live. DGS is currently using the LDR, and other departments can request access by contacting the FSC.
<p>9. Oracle Business Intelligence</p>			
<p>Includes deployment of the Business Intelligence, Data Warehouse, and Reporting capabilities included in the original contract scope.</p>	<p>Implemented July 2016 as planned.</p>	<p>No problems were encountered in this implementation.</p>	<ul style="list-style-type: none"> Of 146 approved requirements for Oracle Business Intelligence functionality, 142 have been met, and 4 have been canceled. These are shown in Appendix B. Demonstrated out-of-the-box business intelligence functions, which allow for financial analytics and visual representations of California’s financial and procurement data. No defects have been reported since it went live. OBI currently has more than 30 users. Departments can request access by contacting the FSC, with a limited number of licenses are available.
<p>10. Automated User Provisioning</p>			

Table 5. Functionality/Technology Completed

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<p>Improve the efficiency and accuracy of user-security provisioning by providing self-service capability to FI\$Cal user administrators within State entities. This feature will enable administrators to submit user-access requests through the System and will process such requests through automated workflows. Currently this is a manual, labor-intensive, error-prone process.</p>	<p>Implemented February 2017 as planned for state entities already using the System.</p>	<p>FI\$Cal addressed the following problem as part of implementing Automated User Provisioning:</p> <p>Problem: State entities can use this self-service tool to provision most user roles. However, segregation of duties can result in conflicts in some cases, such as where two different user roles are not permitted to have access to the same approval levels. These portions of the user provisioning workflows could not be automated.</p> <p>Solution: Manual tasks are included in the provisioning workflows to address the segregation of duties/conflict resolution. FI\$Cal looks at what level of access is being requested when there is a conflict and then reviews this with the Partner Evaluation and Review Team (PART) to resolve the conflicts. FI\$Cal then does the provisioning manually.</p>	<ul style="list-style-type: none"> • All requirements for Automated User Provisioning functionality have been met. • Implemented for most state entities currently in FI\$Cal. • State entities are using this tool, and no defects have been reported since it went live. • As more state entities onboard to the System, FI\$Cal provides them with this automated self-service solution.
<p>11. Security Information and Event Management (SIEM)</p>			
<p>Implement an SIEM and log management solution to proactively collect system logs and analyze information contained in those logs for security events as a basis for preventing and responding to security incidents per State policies. The Project's plan has always included this.</p> <p>Note that, in terms of security, the State team prepared a Plan of Action and Milestones (POAM) per State ISO requirements and is currently executing the planned actions. In accordance with State Security policies, the Project will continue to perform Independent Security Assessment (through a vendor) after the implementation of</p>	<p>Implemented in July/August 2016, about 7 months sooner than the February 2017 target in SPR 6.</p>	<p>No problems were encountered in this implementation.</p>	<ul style="list-style-type: none"> • All requirements for SIEM functionality have been met. • This approach to security monitoring is proving effective in maintaining System security. • FI\$Cal now receives alerts from the AT&T security center when there is a potential security concern. • In addition, FI\$Cal has access to a portal to review our security log information/history, which is helpful when researching events and security concerns.

Table 5. Functionality/Technology Completed

Functionality Planned	Functionality Delivered and When	Problems Encountered and How they were Overcome	User and Management Acceptance, and How Agency Management Views Implementation of the Project
every major release (i.e., Fall 2015, June 2016, June 2017, and June 2018 releases).			

3.3 Reason for Proposed Changes

In the year and a half since approval of SPR 6, the Project has seen notable successes. This includes implementation of budget, procurement, and accounting functionality, which are three of the four major areas of functionality for the System. At this point, FI\$Cal has onboarded 88 state entities¹⁰ to the accounting, procurement, and budget System. Many of these successes are listed in Section 3.2.1.

The Department is proposing SPR 7 for the following key reasons:

- **Re-planning implementation of SCO/STO control functions:** Although SPR 6 planned to implement SCO/STO control functionality in July 2017, this implementation was delayed. Further, as the July 2017 Release grew closer, FI\$Cal and SCO learned more about the PeopleSoft functionality that would be critical to SCO's ability to perform its duties as a Control Agency. This has required re-planning for SCO/STO, and is a major driver for SPR 7. As described in [Section 3.4.2, Impact of Proposed Change on the Project](#), FI\$Cal will implement remaining SCO/STO control functionality in the System starting in July 2018.

Closing out major portions of the Project that are in O&M, and PIER-ing out the remaining subprojects after the 2019 Release: Major portions of the Project are complete and are no longer managed as part of Project work. SPR 7 formally closes out these parts of the Project and moves them into O&M. Any changes or enhancements arising in the future will be managed as part of FI\$Cal's IT operations, which include production support activities and managing enhancements via FI\$Cal's governance model. This schedule will allow FI\$Cal to focus on the 150+ state entities using the System after the July 2018 Release.

FI\$Cal will make every effort to onboard the scheduled state entities in July 2018. Any state entities that request and are approved to onboard after July 2018 will no longer be part of Project scope and will be reviewed case by case as part of O&M activities.

Upon completion of the 2019 Release, FI\$Cal will begin the process of developing a Post-Implementation Evaluation Report (PIER) to close out ("PIER" out) the remaining portions of the Project.

¹⁰ Please note that it is difficult to precisely count the number of state entities. State entity counts can vary because many departments have subsidiary business units (BUs) that may or may not be significant enough to count as separate entities. As a result, while FI\$Cal carefully tracks entities being onboarded, how FI\$Cal counts entities may change depending on the purpose of the count.

3.4 Proposed Project Changes

3.4.1 Accessibility

No changes have been made to this section since SPR 4.

3.4.2 Impact of Proposed Change on the Project

3.4.2.1 Schedule

Overview: The SPR 7 timeline is as follows:

- The 2018 Departmental Release, Business Transaction Monitoring, and State-Owned SDLC and Operations Support Tools will implement as planned in July 2018.
- Also as planned, the Project will complete the Design, Build, and Test Phases for the Transparency Website prior to the July 2018 Release. In July 2018, the Transparency Website will go live and begin automatically extracting/capturing FI\$Cal expense transactions as intended. In July 2019, after the System has captured a full year of transactions, the Transparency Website will open to the public, allowing public users to view the State’s expense information. Under this plan, the Transparency Website will have a complete record of financial data at the time of its public release.
- Remaining SCO/STO control functionality will move from the July 2017 Release to begin in the July 2018 Release with staggered implementation until July 2019.

Accenture will provide Project staff with Knowledge Transfer for a full year following the July 2018 Release, and Knowledge Transfer and Project Closeout will conclude in July 2019.

[Figure 1, Gantt Chart for the Selected Alternative](#), provides an overview of the SPR 7 schedule. The full Project schedule will be available 90 days after SPR 7 approval.

Details of the schedule are described below.

2018 Departmental Release: Under SPR 7, July 2018 remains the final onboarding date for state entities. As noted previously, maintaining this schedule is essential to allow FI\$Cal to focus on O&M activities for the 150+ state entities that will be in the System, rather than supporting state entities

who request and are approved to onboard later than planned. FI\$Cal's focus will include evaluating existing processes for operational efficiencies, such as streamlining the processes and resources necessary to perform MEC/YEC tasks and supporting MEC/YEC incidents and other functional modules related to SCO/STO.

FI\$Cal will make every effort to onboard all scheduled state entities in July 2018. Any state entities that request and are approved to onboard after July 2018 will no longer be part of Project scope and will be reviewed case by case as part of O&M activities. FI\$Cal will work with those entities on a case-by-case basis to determine appropriate resources, training, scheduling, etc. FI\$Cal will track unique costs associated with bringing state entities on board during O&M.

SCO/STO Control Functionality: The Project will implement remaining SCO/STO control functionality with the Integrated Solution in parts beginning July 2018. This approach is described in [Section 3.4.2.2](#). As part of this approach, SPR 7 establishes implementation milestones to be achieved for completion of the Project. Upon completion of these milestones, the Project's implementation of SCO/STO control functionality will be complete, and future work will move into O&M.

SCO/STO implementation milestones are listed below and shown on the SCO/STO implementation timeline in [Figure 1, Gantt Chart for the Selected Alternative](#).

- Milestone 1: Deploy security features required for Integrated Solution and appropriation ledger required for STO go live.
- Milestone 2: Deploy STO Operations and Bank Integration.
- Milestone 3: Deploy Integrated Solution that builds FI\$Cal System to legacy system interfaces and legacy to FI\$Cal System interfaces.
- Milestone 4: Completion of Integrated Solution that allows legacy systems and the FI\$Cal System to run in tandem, and allows FI\$Cal to become a statewide ledger for state government financial processes.
- Milestone 5: Implementation of Statewide Financial Reporting functionality. The CAFR will be generated using data from the FI\$Cal System.
- Milestone 6: Eventual closeout of legacy system will take place in O&M when SCO has gained assurance in the System as the Book of Record.

Figure 1. Gantt Chart for the Selected Alternative

SPR 7 Selected Alternative	FY18												FY19												FY20																	
	2017						2018						2019																													
	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D												
2018/2019 Release																																										
Deployment of FI\$Cal State Entities (Rel 2018)	D	D	D	B	B	B	T	T	T	T	T	T	★	PS	PS	PS																										
Transparency Website	A	A	A	D	S	S	S	T	T	T	T	T																														
Business Transaction Monitoring	A	A	A	A	A	A	D	B	T	T	T	T	★	PS	PS	PS																										
SDLC Tools Refresh	A	A	D	D	B	B	B	T	T	T	T	T	★	PS	PS	PS																										
SCO Security and Appropriation Ledger Conversion (Milestone 1)							S	S	S	T	T	T	★	PS	PS	PS																										
STO Operations and Bank Integration (Milestone 2)							S	S	S	T	T	T	T	T	D	D	★	PS	PS	PS																						
FI\$Cal to Legacy Interfaces & Legacy to FI\$Cal Interfaces (Milestone 3)							S	S	S	S	S	S	S	S	S	S	T	T	D	T	T	D	T	T	★	PS	PS	PS														
Deal Management and SCO Ledger Conversion (Milestone 4)							S	S	S	S	S	S	S	S	S	S	T	T	D	T	T	D	T	T	★	PS	PS	PS														
CAFR/BLL Reporting (Milestone 5)							S	S	S	S	S	S	S	S	S	S	T	T	D	T	T	D	T	T	★	PS	PS	PS														
Support																																										
Knowledge Transfer, Project Closeout	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT						
PeopleSoft Production Enhancements			D	B	T	D																																				

Legend	
A Analyze	★ Deployment to Production
D Design	
B Build	
T Test	
D Deploy	
PS Production Support	
KT Knowledge Transfer	
S Sprints	

3.4.2.2 Scope

The 2018 Release will implement the following functionality, technology, and state entities.

Functionality To Be Implemented

SCO/STO Control Functionality with SCO Integrated Solution: Includes testing and deployment of remaining SCO and STO control functions beginning in July 2018.

The Integrated Solution includes developing interfaces between the System and SCO's legacy ARMS system to provide a single point of entry for SCO data. The interfaces will ensure the same data is in both systems while largely eliminating dual entry for end users.

For the SCO/STO Control Functionality subproject, FI\$Cal will be using a blended methodology. As shown at a high level on the SCO/STO implementation timeline in [Figure 1, Gantt Chart for the Selected Alternative](#), each Milestone consists of sprint, testing and deployment phases.

The sprint phase includes the creation of user stories, development, and functional testing and validation. The testing phase includes interface testing, UAT, and end-to-end testing.

Mentioned below are the key functionality and the benefits for each milestone.

- Milestone 1: Deploy security features required for Integrated Solution and appropriation ledger required for STO go live.
 - Benefit
 - Enables security to meet SCO's and STO's standards required as part of control functions and prepares STO to go live
 - Key functionality
 - STO Demand Bank Accounts
 - Control Account upload Capability
 - Voucher and Vendor Audit logging
 - Validation of Vendor File Updates
 - Enhancements to SCO Audits Communication page
 - Restrict Access on Warrant Pay Cycle
 - Secure Queries through access control
 - Log modifications to high risk configuration pages
 - Secure Purchase Orders after application to Voucher
- Milestone 2: Deploy STO Operations and Bank Integration.
 - Benefits
 - STO begins control functionality and is able to go live with major functions
 - Demand Bank reconciliation can be performed in FI\$Cal

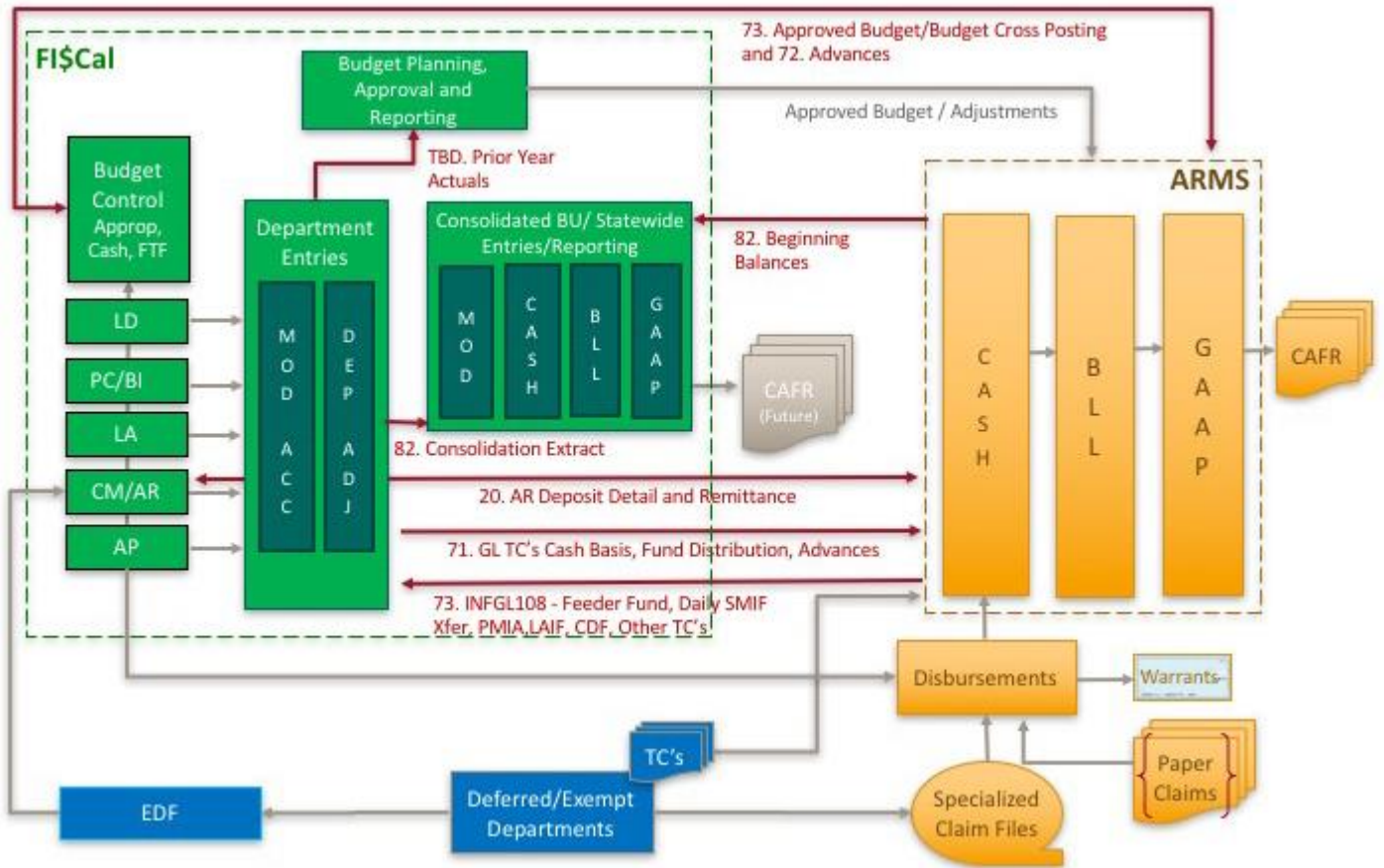
- Partial Automation of Treasury accounting
 - Automated Local Agency Investment Fund (LAIF) transactions and accounting in FI\$Cal
 - Statewide Deposit and Payment information to be available in FI\$Cal
 - Key functionality
 - Deposit Slip Functionality
 - Electronic Deposit Form Interface
 - STO Remittance Advice Deposits
 - Outgoing Payments Recorded in FI\$Cal
 - Integration with Demand Banks
 - LAIF/Zero Balance Account Interface
- Milestone 3: Deploy Integrated Solution that builds FI\$Cal System to legacy system interfaces and legacy to FI\$Cal System interfaces
 - Benefits
 - Allows FI\$Cal to send FI\$Cal-originated transactions to Legacy Book of Record. Reconciliation offered for deployed interfaces.
 - Allows Legacy Book of Record to send Legacy-originated transactions to FI\$Cal.
 - Month End and Year End procedures updated for Integrated Solution
 - Complete reconciliation between Legacy and FI\$Cal systems deployed.
 - Key functionality
 - FI\$Cal transactional data to Legacy via Interfaces
 - Journal and journal Voucher Approval Workflow
 - Statement of Cash Accountability (SOCA) Accounting Distributions
 - Bond Fund Cash Transfer
 - Cash management and bank reconciliation
 - Actuals legacy to FI\$Cal interfaces
 - Reconciliation to Legacy Reports
 - Budget Legacy to FI\$Cal Interfaces
 - Address security of social security numbers in Electronic Payment Interface claims
- Milestone 4: Completion of Integrated Solution that allows legacy systems and the FI\$Cal System to run in tandem, and allows FI\$Cal to become a statewide ledger for state government financial processes.
 - Benefits
 - Completed Ledger conversion allows for a balance reconciliation between the two systems.
 - Deal Management functionality deployed
 - Key functionality
 - Ledger Conversion
 - Cash Validation

- Cash Validation Appropriation
 - Non-FI\$Cal Appropriation Balance Adjustment
 - SOCA Balances and reports for SCO/STO
 - Control Operations live
 - Deal Management Integration
 - FTF Solution
- Milestone 5: Implementation of Statewide Financial Reporting functionality. The CAFR will generate from the FI\$Cal System.
 - Benefit
 - CAFR and BLL reports are deployed allowing FI\$Cal to produce reports as necessary for statewide annual reporting.
 - Key functionality
 - CAFR Reports
 - BLL Blackbox and Reports
 - Generally Accepted Accounting Principles Blackbox
 - Ledger Architecture (Extracts only for Consolidated BU)
- Milestone 6: Eventual closeout of SCO legacy system by SCO will take place in O&M when SCO has gained assurance in the System as the Book of Record.
 - Key functionality
 - Cutover of the state's BOR
 - Pooled Money Investment Account Interest Allocation
 - Automated General Fund Daily Borrowing
 - General Fund Disbursements and Receipts Reporting
 - General Fund Cash Forecasting

The Integrated Solution allows for complete transaction integration and reconciliation between FI\$Cal and the Statewide BOR. The Integrated Solution will consist of multiple interfaces which will allow FI\$Cal to send transactions to the Statewide BOR and also receive transactions that originate within the BOR. This allows for efficient processing for all state entities within FI\$Cal. FI\$Cal will contain all state entity financials including those for Exempt and Deferred state entities allowing for a statewide ledger to be maintained within FI\$Cal for control and reporting purposes. State entities will continue to own their department financial details and balances within the Modified Accrual ledger. A consolidated BU will use the Modified Accrual ledger for statewide year-end reporting.

The Integrated Solution interfaces will send and receive Statewide Claims, Statewide Deposits, Year End Financials, and Budget amounts. Transaction and balance information will be reconciled in FI\$Cal through improved automated processes ensuring its accuracy. FI\$Cal will consolidate financial and treasury information from multiple legacy systems into one System.

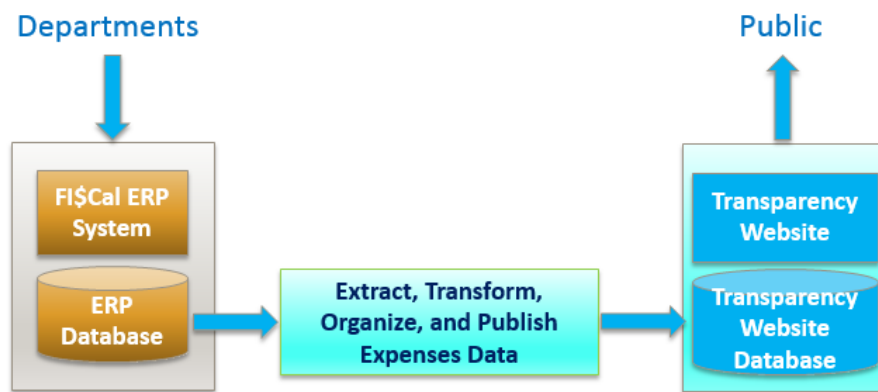
Figure 2. SCO/STO Integrated Solution Diagram



Transparency Website (No change to scope from SPR 6): The public-facing Transparency Website will allow for quick reporting of state expenditures. The flow of information for the Transparency Website is shown in Figure 3.

The Transparency Website design is complete, and build activities are in progress. The website is on track to begin collecting expense data from all onboarded departments in July 2018 and to become public-facing in July 2019. The website may be implemented sooner on a pilot program basis.

Figure 3. Information Flow for FI\$Cal Transparency Website



Technology Improvements To Be Implemented

Business Transaction Monitoring (No change to scope from SPR 6): Implement Business Transaction Monitoring to achieve real-time visibility into FI\$Cal users’ business transactions. This will give FI\$Cal operations staff the ability to track transaction status and health so as to manage transaction errors and efficiently deliver the best possible experience to State-entity users.

State-Owned SDLC and Operations Support Tools (No change to scope from SPR 6): Implement State-owned SDLC and Operations Support Tools for requirements management, test and defect management, and Information Technology Service Management (ITSM). This includes migrating FI\$Cal data from Accenture’s current shared tools before assuming System operations and maintenance.

State Entities To Be Onboarded:

The July 2018 Release will onboard the remaining 62 State entities as shown in Table 6, 2018 Release State Entities.

As stated above, FI\$Cal will make every effort to onboard all scheduled state entities in July 2018. Any state entities that request and are approved to onboard after July 2018 will no longer be part of Project scope and will be reviewed case by case as part of O&M activities.

Table 6. 2018 Release State Entities

#	Dept	Name
Business, Consumer Services, and Housing Agency		
1	DBO	Department of Business Oversight
2	HCD	Department of Housing and Community Development
Education Agency		
3	CDE	Department of Education
4	CSB	School for the Blind
5	CSDF	School for the Deaf - Fremont
6	CSDR	School for the Deaf - Riverside
7	DCN	Diagnostic Centers
Environmental Protection Agency		
8	ARB	Air Resource Board
9	CALEPA	Environmental Protection Agency Secretary
10	SWRCB	State Water Resources Control Board
General Government Agency		
11	CALVET	Department of Veterans Affairs
12	COVCA	California Health Benefit Exchange (HBEX)
13	CPUC	Public Utilities Commission
14	GEO	Governor Elect and Outgoing
Government Operations Agency		
15	CACOMP	California Citizens' Compensation Commission
16	CALHR	Department of Human Resources
17	CDTFA	California Department of Tax and Fee Administration
18	FTB	Franchise Tax Board
19	SPB	State Personnel Board
Health and Human Services Agency		
20	CDPH	Department of Public Health
21	CHHS	Health and Human Services Agency Secretary
22	DDS	Department of Developmental Services
23	DHCS	Department of Health Care Services
24	DSH	Department of State Hospitals
25	DSS	Department of Social Services
26	SCDD	State Council on Developmental Disabilities

#	Dept	Name
Labor and Workforce Development Agency		
27	CWDB	California Workforce Development Board
28	DIR	Department of Industrial Relations
29	EDD	Employment Development Department
30	LABOR	Labor and Workforce Development Agency Secretary
Legislative, Judicial, and Executive Agency		
31	BOE	Board of Equalization
32	CALOES	Office of Emergency Services
33	CJP	Commission on Judicial Performance
34	DOI	Department of Insurance
35	GOV	Governor's Office
36	JUD	Judicial Council of California (Judicial Branch)
37	OPR	Governor's Office of Planning and Research
38	SOS	Secretary of State
Natural Resources Agency		
39	CALFIRE	Department of Forestry and Fire Protection
40	CNRA	Natural Resources Agency Secretary
41	CN-RA-SRP	Natural Resources Agency - Special Resources Project
42	DPC	Delta Protection Commission
43	NAHC	Native American Heritage Commission
44	SLC	State Lands Commission
Transportation Agency		
45	BOPC	Board of Pilot Commissioners
46	CHP	California Highway Patrol
47	TRANS	Transportation Agency Secretary

#	Dept	Name
State Treasurer's Office BCA's		
48	CABLEAB	California ABLE Act Board
49	CAEATFA	California Alternative Energy & Advanced Transport
50	CDIAC	California Debt and Investment Advisory Commission
51	CDLAC	California Debt Limit Allocation Committee
52	CEFA	California Educational Facilities Authority
53	CHFFA	California Health Facilities Financing Authority
54	CIDFAC	California Industrial Development Financing Advisory
55	CPCFA	California Pollution Control Financing Authority
56	CSFA	California School Finance Authority
57	CTCAC	California Tax Credit Allocation Committee
58	CTFA	California Transportation Financing Authority
59	CUWARFA	California Urban Waterfront Area Restoration Financing
60	ERFC	Economic Recovery Financing Committee
61	SCRSIB	Secure Choice Retirement Savings Investment Board
62	SIB	Scholarshare Investment Board

PURPLE = non-CalSTARS

3.4.2.3 Staffing

Staffing estimates remain the same, with SPR 7 estimating that Project staffing will peak at 386 positions.

3.4.3 Feasible Alternatives Considered

FI\$Cal took multiple approaches in identifying alternatives for the SCO Book of Record conversion during the lifecycle of the Project. Alternatives for the Book of Record conversion were presented to all stakeholders and partners (SCO, STO, DGS, DOF, CDT, state entities). The three alternatives that were considered most feasible follow.

- [Alternative 1](#) – 2019 Project Completion with SCO/STO Integrated Solution
(*Selected—Table 7*)
- [Alternative 2](#) – 2019 Project Completion with Option – Recreate Book of Record
in a new environment (*Not Selected—Table 8*)
- [Alternative 3](#) – 2019 Project Completion with Option – Create Consolidated BU Instance
(*Not Selected—Table 9*)

Upon agreement with all stakeholders, the Integrated Solution alternative was presented to the FI\$Cal Steering Committee as the recommended approach for the Book of Record solution. Stakeholders agreed on this solution following extensive deliberation. This approach allows for the greatest level of testing and time for SCO to train their staff and document business processes associated with control functions in the new system. The Integrated Solution also provides more time for SCO to validate transactional data and balances in the FI\$Cal system.

While each alternative has advantages and disadvantages, FI\$Cal has selected Alternative 1 based on the details in the tables below. For ease of review, these list key elements and pros and cons for each alternative. High-level Gantt charts for each alternative follow the tables.

**Table 7. Alternative 1—
2019 Project Completion with SCO/STO Integrated Solution**
(Selected)

Key Elements:

1. Moves State Controller’s Office (SCO) and State Treasurer’s Office (STO) control function implementation from July 2017 to phased implementation starting July 2018.
2. Enables STO to go live in the System in first quarter FY 2018-19.
3. Enables SCO/STO to add critical scope required to perform their control agency functions.
4. Enables statewide financial information to be integrated with the current Book of Record (that is in SCO legacy)
5. Eliminates State entities from duplicating the submission of financial transactions (reduces the paper process)
6. Limits the amount of conversions required when SCO/STO fully transact their control functions in the System
7. Allows complete reconciliation of financial transactions and balances between FI\$Cal System and SCO Book of Record

Advantages	Disadvantages
<ul style="list-style-type: none"> • Onboards all remaining in-scope state entities in July 2018. • Adds functionality and extends schedule for SCO/STO control functions allowing more time for testing and validation. • Develops interfaces between FI\$Cal System and SCO legacy system to ensure a single point of entry for all SCO data. This eliminates substantial duplication of effort while running systems in tandem. • Maintains momentum/knowledge base for SCO/STO, which is important since 90+% of their control functionality has been built. • Recognizes major components of the Project are complete and have moved into O&M. • Strengthens FI\$Cal’s long-term role in providing permanent support for the System. • Eliminates manual reconciliation of financial transactions and balances between FI\$Cal and SCO Book of Record leading to more efficient MEC/YEC 	<ul style="list-style-type: none"> • Significant risk of onboarding State entities at the same time as Control Agencies still exists; mitigation activities will need to be developed and closely monitored. • Risk of maintaining two systems simultaneously, and introduces additional risk to SCO of interfacing FI\$Cal data back to SCO Legacy Book of Record. • Reconciliation required between Departmental BU and Consolidated BU

Figure 4. Gantt Chart for Alternative 1 (Selected)¹¹

SPR 7 Selected Alternative	FY18												FY19												FY20														
	2017						2018						2019						2020																				
	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D									
Scope																																							
2018/2019 Release																																							
Deployment of FI\$Cal State Entities (Rel 2018)	D	D	D	B	B	B	T	T	T	T	T	*	PS	PS	PS																								
Transparency Website	A	A	A	D	S	S	S	T	T	T	T																												
Business Transaction Monitoring	A	A	A	A	A	A	D	B	T	T	T	*	PS	PS	PS																								
SDLC Tools Refresh	A	A	D	D	B	B	B	T	T	D	D	*	PS	PS	PS																								
SCD Security and Appropriation Ledger Conversion (Milestone 1)							S	S	S	T	T	*	PS	PS	PS																								
STO Operations and Bank Integration (Milestone 2)							S	S	S	T	T	T	T	T	D	D	PS	PS	PS																				
FI\$Cal to Legacy Interfaces & Legacy to FI\$Cal Interfaces (Milestone 3)							S	S	S	S	S	S	S	S	T	T	D	T	T	D	T	T	D	T	T	D	PS	PS	PS										
Deal Management and SCD Ledger Conversion (Milestone 4)							S	S	S	S	S	S	S	S	T	T	D	T	T	D	T	T	D	T	T	D	PS	PS	PS										
CAFR/BLL Reporting (Milestone 5)							S	S	S	S	S	S	S	S	T	T	D	T	T	D	T	T	D	T	T	D	PS	PS	PS										
Support																																							
Knowledge Transfer, Project Closeout	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT			
PeopleSoft Production Enhancements			D	B	T	D						D	B	T	D					D	B	T	D					D	B	T	D								

Legend	
A	Analyze
D	Design
B	Build
T	Test
D	Deploy
PS	Production Support
KT	Knowledge Transfer
S	Sprints
*	Deployment to Production

¹¹ This is the same Gantt chart shown in Section 3.4.2.1.

**Table 8. Alternative 2—
2019 Project Completion with Option:
Recreate Book of Record in a New Instance**
(Not Selected)

Key Elements:

1. Implements remaining state entities in July 2018 along with planned technology subprojects.
2. Builds a new environment that establishes FI\$Cal as the Book of Record and provides an integrated system for long term Departmental Financials.
3. Recreates Book of Record in the new environment.
4. Loads previous year accruals as state entities close their books.
5. Alleviates concern on current FI\$Cal Warrant Data.
6. Departments will duplicate transaction activity in the old instance and new instance for accrued revenue and accrued vouchers

Advantages	Disadvantages
<ul style="list-style-type: none"> • Onboards all remaining state entities in July 2018. • Book of Record established by Instance. • Creation of new instance that integrates SCO Book of Record and long term state-entity financials. • Book of Record uses Modified Accrual in FI\$CAL. • State entities can close their fiscal year in current instance of FI\$Cal. • SCO concern on current FI\$Cal Warrant data alleviated. 	<ul style="list-style-type: none"> • Significant risk of onboarding state entities at the same time as control agencies still exists; mitigation activities would need to be developed and closely monitored. • Departments will retire current financial data in the current instance of FI\$Cal. • Procurement payment history will not be available because of a new Purchase Order (PO) conversion to the new instance. (Conversion of this history may be possible.) • State entities will need to reconvert Accounts Receivable (AR) items, POs, and asset information. • Current instance of FI\$Cal will need to be retained for historical reporting of departmental financials for a TBD timeframe.

Figure 5. Gantt Chart for Alternative 2 (Not Selected)

SPR 7 Proposed Alternative 2 (New FI\$Cal Instance)	FY18												FY19												FY20			
	2017				2018				2019				2019				2020											
	J	A	S	O	N	O	J	F	N	A	M	J	J	A	S	O	N	O	J	F	N	A	M	J	J	A	S	
2018/2019 Release												★															★	
Deployment of FI\$Cal State Entities (Rel 2018)	D	D	D	B	B	B	T	T	T	T	D	PS	PS	PS	PS	PS	PS											
Build new FI\$Cal PeopleSoft Environment (BOR)				B	B	B	B	B	B	T	D																	
SCO/STO Control Functionality				B	B	B	T	T	T	D																		
SCO/STO Control Functionality - Financial Reports / CAFR												B	B	B	B	B	T	T	T	T	D							
Duplication of Control Functions in FI\$Cal and Legacy												PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS		
Production Support for Two FI\$Cal PeopleSoft Systems												PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS		
Transparency Website	D	D	D	B	B	B	T	T	T	T	D																	
Business Transaction Monitoring	A	A	D	D	B	B	B	T	T	T	D																	
SDLC Tools Refresh	A	A	D	D	B	B	B	T	T	T	D																	
Support																												
Knowledge Transfer, Project Closeout												KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT		
PeopleSoft Production Enhancements				D	B	T	D				D	B	T	D				D	B	T	D				D	B	T	D

Legend

- A Analyze
- D Design
- B Build
- T Test
- Deploy
- PS Production Support
- KT Knowledge Transfer

**Table 9. Alternative 3—
2019 Project Completion with Option:
Create Consolidated BU Instance**
(Not Selected)

Key Elements:

1. Onboards all remaining state entities in July 2018 along with planned technology subprojects.
2. Uses current environment to establish FI\$Cal System as the Book of Record
3. Starts with new fiscal year to establish the Book of Record.
4. Departments conduct YEC activities within their current department BUs and Consolidated BU will contain the converted Book of Record and all new activities for the new year

Advantages	Disadvantages
<ul style="list-style-type: none"> • Onboards all remaining state entities in July 2018. • Delivered Reports will now be reported on a statewide basis for modified accrual ledger (from the Consolidated BU) • Allows the Book of Record to be established while preserving Department financials • Departmental and SCO Financials are fully integrated in one system • Consolidated BU would follow the approved ledger architecture process flow • Configuration maintained in one system 	<ul style="list-style-type: none"> • Significant risk of onboarding state entities at the same time as control agencies still exists; mitigation activities will need to be developed and closely monitored. • Book of Record will be updated with an extract process from the department BU's to the consolidated BU. Consolidated BU will become Book of Record • Reconciliation required between Departmental BU and Consolidated BU • Current FI\$Cal Warrant data may need to be reconciled

Figure 6. Gantt Chart for Alternative 3 (Not Selected)

SPR 7 Proposed Alternative 3 (Consolidated BU) Scope	FY18												FY19												FY20					
	2017						2018						2019																	
	J	A	S	O	N	O	J	F	M	A	M	J	J	A	S	O	N	O	J	F	M	A	M	J	J	A	S			
2018/2019 Release																														
Deployment of FI\$Cal State Entities (Rel 2018)	D	D	D	B	B	B	T	T	T	T	T	D	PS	PS	PS	PS	PS	PS												
Build Consolidated BU				B	B	B	T	T	T	T	T	D																		
SCO/STO Control Functionality				B	B	B	T	T	T	T	T	D	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS				
SCO/STO Control Functionality - Financial Reports / CAFR													B	B	B	B	B	B	T	T	T	T	T	D						
Production Support for Consolidated BU													PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS	PS				
Transparency Website	D	D	D	B	B	B	T	T	T	T	T	D																		
Business Transaction Monitoring	A	A	D	D	B	B	T	T	T	T	T	D																		
SDLC Tools Refresh	A	A	D	D	B	B	T	T	T	T	T	D																		
Support																														
Knowledge Transfer, Project Closeout													KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT	KT				
PeopleSoft Production Enhancements				D	B	T	D			D	B	T				D	B	T	D				D	B	T	D				

Legend	
A	Analyze
D	Design
B	Build
T	Test
D	Deploy
PS	Production Support
KT	Knowledge Transfer

3.4.4 Implementation Plan

3.4.4.1 Implementation Schedule

The overall plan for implementing the FI\$Cal Project consists of major System deployment at planned intervals. Under SPR 7, increased flexibility will be provided with the option to use waterfall or agile development as described in [Section 4.2, Project Management Methodology](#).

FI\$Cal will make every effort to onboard all scheduled state entities in July 2018. Each state entity will receive three months of post-go-live support. Any entities that request and are approved to onboard after that date will no longer be part of Project scope and will be reviewed as part of O&M. FI\$Cal will work with those entities (if any) on a case-by-case basis to determine appropriate resources, training, scheduling, etc.

3.4.4.2 Implementation Plan for 2018 State Entities

With 62 state entities going live in 2018, FI\$Cal recognizes the need for a more aggressive onboarding schedule than in the past. This schedule ranges from understanding state-entity needs early in the process to obtaining initial configurations to providing early user acceptance testing. Further information on the change management approach is provided in [Section 4.8, Change Management](#). Highlights of the implementation plan include the following:

- Configuration work started much earlier than in previous releases. This change built in a longer, two-month period for understanding configuration and for 2018 state entities to submit their charts of accounts (COAs).
- FI\$Cal also shifted UAT much earlier in the schedule. UAT started on Oct. 30, 2017, which is five months sooner than in previous releases. Early UAT recognizes that UAT is the first time state entities get to see their data in the system and builds in time to fix problems that users encounter during this testing period. In addition, this schedule shift enabled FI\$Cal to add a second UAT testing period beginning in March 2018.
- The addition of early UAT is based on Lessons Learned from previous releases. During those releases, users identified problems during UAT, when they first saw their data in the System, rather than when they used mock data in Model Office. Since UAT was late in the onboarding process and continued until go live, there was no time to respond to or address concerns in such areas as configurations (the most common area identified) and business process re-engineering.
- Interface and conversion testing also started in late October.
- The early UAT and interface/conversion schedule has enabled state entities to begin determining their internal processes for handling change impacts at the beginning of November. This activity is scheduled to run through February 2018.
- As mentioned above, this will be followed by UAT Pass 2 beginning in March 2018.

3.4.4.2 Implementation Plan for SCO/STO Control Functionality

The implementation plan for SCO/STO control functionality is described in [Section 3.4.2.1, Schedule](#).

4.0 Updated Project Management Plan

4.1 Project Manager Qualifications

Project Manager qualifications remains the same as in SPR 6.

4.2 Project Management Methodology

FI\$Cal continues to use the Project Management Methodology described in Section 4.2 of SPR 4. Additionally, FI\$Cal has seen that selected subprojects lend themselves to the more flexible Agile approach and has experienced success using Agile on a case-by-case basis. Accordingly, SPR 7 recognizes the addition of Agile to the Project Management toolbox, enabling FI\$Cal to select Waterfall or Agile or a blended methodology depending on the needs of the subproject.

4.3 Project Organization

Figure 7 shows the current leadership and structure of the Project organization. Table 10 summarizes the current number of Project staff resources by classification.

Figure 7. Current Project Organization Chart

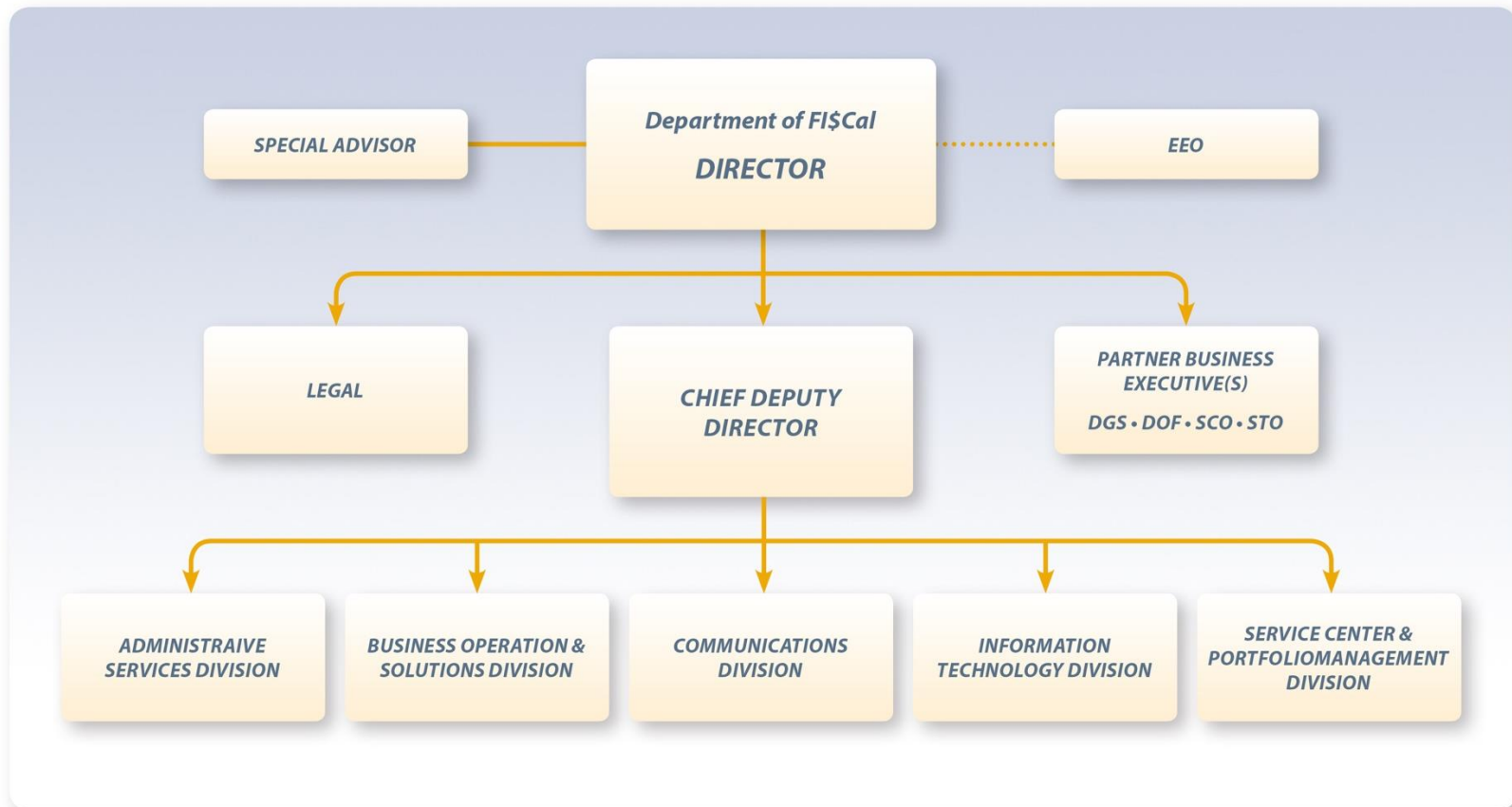


Table 10. Current Number of Staff Resources by Classification

Classification	Sum of Total Resources
Accounting Administrator I (Spec)	7
Accounting Administrator I (Sup)	2
Accounting Administrator II	11
Accounting Administrator III	6
Accounting Officer	2
Administrative Assistant I	1
Assistant Information Systems Analyst (Spec)	7
Associate Accounting Analyst	3
Associate Business Management Analyst	2
Associate Governmental Program Analyst	25
Associate Information Systems Analyst (Spec)	14
Associate Personnel Analyst	3
Associate Systems Software Specialist (Tech)	5
Attorney III	1
Business Service Officer I (Spec)	1
Career Executive Assignment B	9
Career Executive Assignment C	1
Data Processing Manager I	1
Data Processing Manager II	2
Data Processing Manager III	15
Data Processing Manager IV	6
Director	1
Information Officer II	1
Management Services Technician	0
Office Technician (Typing)	0
Personnel Specialist	2
Principal Program Budget Analyst II	3
Principal Program Budget Analyst III	1
Senior Accounting Officer	2
Senior Administrative Analyst (As)	2
Senior Advisor to the Director	1
Senior EDP Acquisition Spec.	1
Senior Information Systems Analyst (Spec)	25
Senior Information Systems Analyst (Sup)	4
Senior Programmer Analyst (Spec)	18
Staff Finance Budget Analyst	4
Staff Information Systems Analyst (Spec)	23

Staff Information Systems Analyst (Sup)	3
Staff Programmer Analyst (Spec)	3
Staff Services Analyst	9
Staff Services Manager I	16
Staff Services Manager II (Mgrl)	10
Staff Services Manager II (Sup)	3
Staff Services Manager III	2
Supervising Admin Analyst (AcctSys)	3
Supervising Mgmt Auditor	1
Systems Software Specialist I (Tech)	3
Systems Software Specialist II (Tech)	23
Systems Software Specialist III (Sup)	6
Systems Software Specialist III (Tech)	16
Training Officer I	2
Treasury Program Manager I	1
Treasury Program Manager II	1
Treasury Program Manager III	1
Grand Total	315

4.4 Project Priorities

No changes have been made since SPR 4 to Section 4.4, Project Priorities.

4.5 Project Plan

Project plan changes from SPR 6 are outlined in the sections below.

4.5.1 Project Scope

[Section 3.4.2.2, Scope](#), contains the scope changes for SPR 7. These changes center around remaining control functionality needed for SCO/STO.

[Appendix C, Changes to Project Scope](#), compares functionality by release under the SPR 6 Work Plan with subsequent changes to that functionality, including the changes under SPR 7.

4.5.2 Project Assumptions

No changes have been made since SPR 4 to Section 4.5.2, Project Assumptions. Project Assumptions are maintained in the FI\$Cal Project Charter as well.

4.5.3 Project Phasing

The Project has been implemented in multiple releases. The Project schedule is presented in [Section 3.4.2.1, Schedule](#).

4.5.4 Project Roles and Responsibilities

Table 11 lists roles and responsibilities of the major State participants in the Project. SI Roles and Responsibilities were detailed in Exhibit 8 of the RFP and are also in Appendix F of SPR 4.

Table 11. State Roles And Responsibilities	
Roles	Responsibilities
Project Directorate	<ul style="list-style-type: none"> Resolve policy issues, outstanding item(s) or other critical issues that cannot be resolved by the Steering Committee. Comprised of the four Partner Agencies. Representation is the Director of the Department of Finance, the Director of the Department of General Services, the State Controller, and the State Treasurer. Any member of the Project Directorate may call a special meeting to discuss and resolve Project issues.
Project Sponsor	<ul style="list-style-type: none"> Chair the Steering Committee. Champion statewide support for the Project. Provide sponsorship and support for the Project. Ensure project funding and resources.
Steering Committee	<ul style="list-style-type: none"> Establish Project goals and priorities. Serve as the primary champion responsible for communicating Project strategy, benefits, and direction to their respective departments. Review and approve recommendations from the Change Control Board for changes exceeding FI\$Cal-approved thresholds to Project scope, budget, or schedule. Appoint the Steering Committee Chair, who will also be the Project Sponsor. Communicate with the Director who has been appointed to the Project to serve as a key advisor to the Steering Committee. Provide statewide leadership and support for the Project. Participate in coordination and allocation of departmental and Project resources. Support the Project by communicating the vision and working to reduce barriers and mitigating risk. Facilitate the interdepartmental collaboration of a statewide system. Provide issue resolution across agencies. Provide advice regarding consistency with statewide strategies, direction, and policies. Participate in succession planning. Approve selection of the Project Director.

Table 11. State Roles And Responsibilities

Roles	Responsibilities
Customer Impact Committee	<ul style="list-style-type: none"> • Appointed by and report to their respective agency. • Elect a Chair as a voting member of the Steering Committee. • In addition to voting, the CIC Chair advises the Steering Committee on impacts to stakeholders/departments from Project approach, schedule, plans, and activities. • Coordinate communication activities between the Project and their respective agency. • Proactively identify and communicate to the Project any potential risks or issues that may impede the departments' abilities to implement FI\$Cal. • Escalate Project issues and concerns through the Customer Impact Committee Chair to the Steering Committee. • Advise the Change Control Board.
Director	<ul style="list-style-type: none"> • Lead the Project Leadership Team. • Serve as liaison between the Governor's Office and the FI\$Cal Project. • Monitor administrative decisions and policies. • Promote the Vision for the Project. • Provide leadership for the Project. • Ensure that the Project business vision, goals, objectives, and policies are identified and met. • Be a liaison to the Legislature, CDT, the Governor's Office, departments, and agencies. • Provide executive oversight for the Project and the delivery of the solution. • Report Project achievements and status to the Steering Committee. • Elevate issues to the Steering Committee. • Serve as a Project spokesperson responsible for communicating Project strategy, benefits, direction, status, and recommendations to stakeholders, the public, and the Legislature. • Approve final Project deliverables that are distributed to external stakeholders. • Participate in succession planning. • Effectively engage the PBEs in Project decision making to minimize negative impacts to State program operations while ensuring that Project objectives are achieved. • Provide leadership to State staff assigned to manage the multidisciplinary Project divisions. The divisions are the Business Operation and Solutions Division, the Service Center and Portfolio Management Division, the Communications Division, the Information Technology Division, and the Administrative Services Division.
Project Director	<ul style="list-style-type: none"> • Provide a centralized structure to coordinate and manage the Project, its staff resources, teams, activities, facilities, communication, and outreach using structured project management methodologies. • Chair the Change Control Board.

Table 11. State Roles And Responsibilities

Roles	Responsibilities
	<ul style="list-style-type: none"> • Elevate requests or issues to the CCB. • Report to the Director. • Ensure overall project process and deliverable quality; responsible for the delivery of the solution. • Ensure quality control and quality assurance are performed per the Quality Management Plan. • Ensure the solution implemented addresses the Project’s and associated program objectives. • Serve as the central point of coordination and internal communication for the Project. • Ensure alignment and cooperation between the Project stakeholders by facilitating and supporting an environment of collaboration and communication. • Effectively engage the Director and the PBEs in Project decision making to minimize negative impacts to State program operations while ensuring that Project objectives are achieved. • Ensure timely communication with the Director and PBEs through the established project management process (Project Management Plans). • Direct the activities of State and vendor personnel assigned to the Project. • Monitor the planning, execution, and control of all activities necessary to support the implementation of a statewide enterprise financial system. • Provide leadership to State staff assigned to manage the multidisciplinary Project divisions. The divisions are the Business Operation and Solutions Division, the Service Center and Portfolio Management Division, the Communications Division, the Information Technology Division, and the Administrative Services Division. • Maintain and monitor the Project schedule, plans, and performance, including contractors’ performance. • Coordinate with the Independent Verification and Validation and Independent Project Oversight consultants to address and incorporate findings and recommendations. • Participate in the identification, quantification, and mitigation of Project risks. • Direct the development of project documentation required by Partner Agencies. • Coordinate information and issues with the PBEs when the project management processes (Project Management Plans) do not provide an approach or resolution. • Make daily operations decisions. • Participate in succession planning.
<p>Partner Business Executives</p>	<ul style="list-style-type: none"> • Appointed by and report to their representative Partner Agencies. • Provide staff support function to their Steering Committee representative(s) and agencies. • Coordinate Partner Agency activities between the Project and their respective Partner Agencies.

Table 11. State Roles And Responsibilities

Roles	Responsibilities
	<ul style="list-style-type: none"> • Support the Project business vision, goals, objectives, policies, and procedures. • Assist with prioritizing and resolving business priorities related to the Project. • Serve as a Project champion and spokesperson responsible for communicating Project strategy, benefits, direction, status, and recommendations to their respective Partner Agencies. • Provide input on key project deliverables and acceptance criteria. • On an as needed basis, coordinate significant Project deliverable concerns with Project and representative Partner Agency management. • Ensure the coordination and integration of Project activities, and transition activities within their respective Partner Agency. • Identify Project risks and issues and provide input and solutions into risk mitigation strategies. • Perform responsibilities within the Project management, leadership, and processes' structures to participate in critical problem solving. • Participate as a member of the Change Control Board. • Receive delegated decision authority from their respective Steering Committee representative(s), provided that delegation is limited to decisions that are consistent with the Project's Scope Management and Change Control Plans. • Responsible for escalating issues within the established project management processes documented in the Project Management Plans. • Elevate Project concerns with their representative management at the highest levels if a critical need is not being addressed in a timely manner. • Support and facilitate the hiring of Partner Agency staff with the right skills sets and vision to support the State's transition to FI\$Cal. • Lead change management within their respective organizations.

4.5.5 Project Schedule

Under SPR 7, the Project still plans to complete in July 2019. The major schedule change is that the release of remaining SCO/STO control functionality planned for July 2017 under SPR 6 will begin in July 2018 and will be deployed in phases up to July 2019. The Project schedule is described in [Section 3.4.2.1, Schedule](#).

4.6 Project Monitoring and Oversight

No changes have been made since SPR 4 to Section 4.6, Project Monitoring and Oversight.

4.7 Project Quality

No changes have been made since SPR 6 to Section 4.7, Project Quality.

4.8 Change Management

The Change Management Office (CMO) will continue to use the change management methodology provided by Accenture. State entities will be engaged in readiness, training, and communications activities to guide the remaining release. Within this model, FI\$Cal continues to refine its implementation activities as part of the commitment to process improvement. In the remaining release, FI\$Cal will further streamline State-entity readiness activities related to configuration and end-user role mapping.

FI\$Cal's approach to change management expands on the model provided in SPR 6 as illustrated in Figure 8.

End user roles: FI\$Cal has automated processes for requesting user access through an identity self-service portal and streamlined the process for managing the initial loading of end users for the 2018 release.

Configuration: FI\$Cal has the opportunity to provide state entities with existing values (data) sourced from State legacy systems. Each state entity will review and validate its configuration data, providing correct data as needed. This approach will allow state entities to review and validate end user roles and configurations rather than expecting state entities to provide data from a blank slate. This process is expected to benefit both state entities and FI\$Cal by reducing the number of task submissions needed from state entities, the time required for state entities to submit their responses, and the rework associated with multiple submissions.

Business process reengineering: FI\$Cal will continue efforts related to business process reengineering. Specifically, Readiness Coordinators will work directly with state entities to identify and document process changes. The new statewide FI\$Cal business processes are established, but each state entity has options for how to implement them. As a result, each state entity implements unique business procedures, a situation that requires state-entity super users to possess a keen understanding of the System.

To support state entities in developing this expertise, FI\$Cal will provide super users for the 2018 release with early access to System. State entities have already identified their super users, and FI\$Cal has given them the current training curriculum. In addition, FI\$Cal will provide hands-on access through our model office environments. This approach will provide State entities with experience using FI\$Cal and the accompanying knowledge to identify changes to their as-is documentation much earlier.

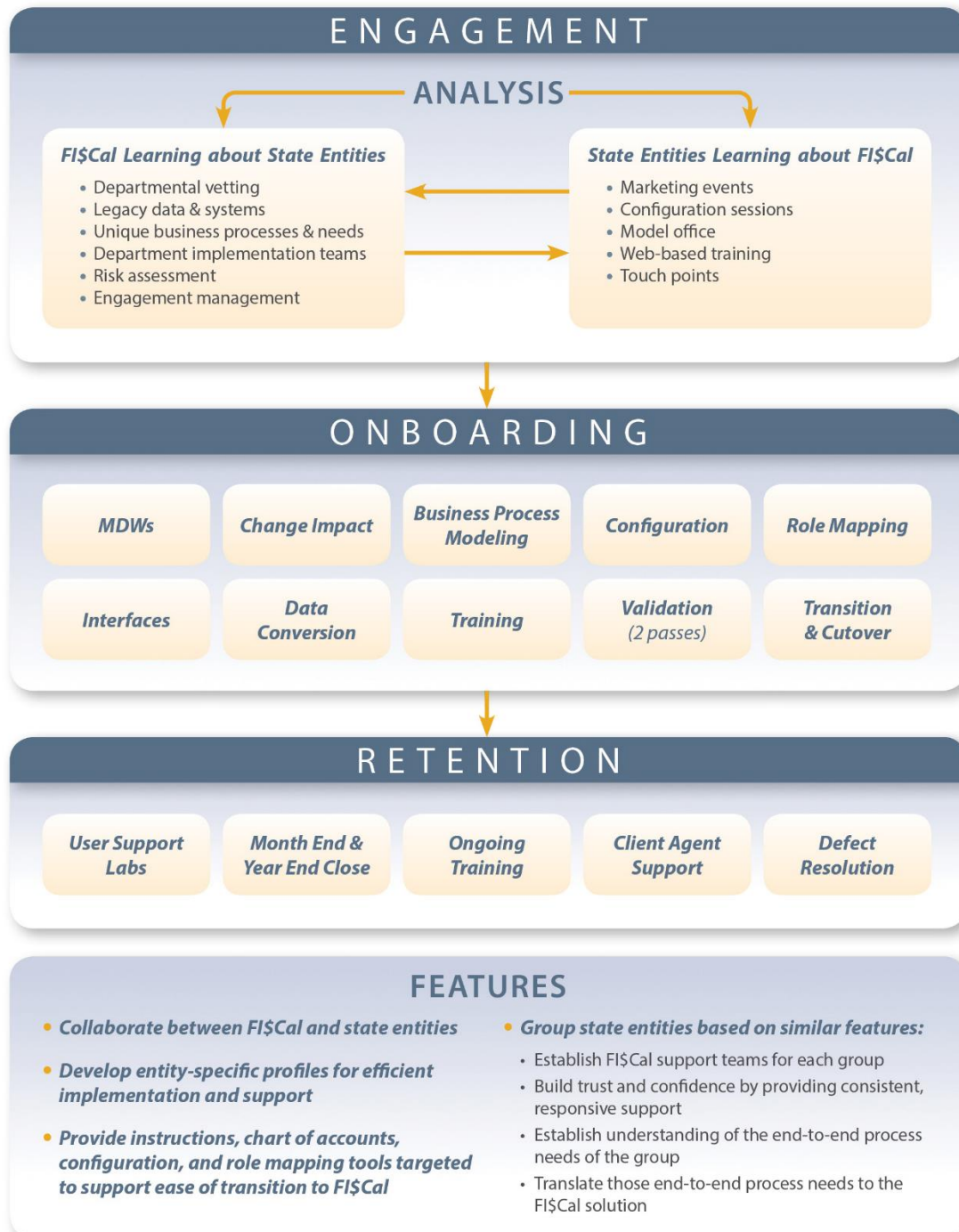
Business process modeling: To assist State entities, FI\$Cal has invested in staff training for business process modeling. FI\$Cal resources will be available to assist State entities with drafting their new procedures early. These can be updated as super users gain more expertise via the FI\$Cal model office, User Acceptance Testing, and System training.

Engagement Management: FI\$Cal conducted an in-depth assessment and interview of 2018 Release state entities to determine their specific business needs and determine the appropriate level of engagement. State entities have been assigned an Engagement Manager who is responsible for facilitating the overall readiness activities and resolving issues that put state-entity implementation at risk.

Change Management for SCO/STO: SCO/STO will continue to lead ongoing Change Management activities, including readiness, training, and communications activities, throughout the remainder of the SCO/STO release. The readiness activities will consist of assisting at-home staff with role mapping, configurations, business process reengineering, and transition support. SCO/STO will continue developing training and support materials with at-home staff to effectively address the unique training needs for SCO/STO control functionality.

Figure 8. Change Management Approach for State Entities

Department Engagement, Onboarding and Retention Program



4.9 Authorization Required

The Steering Committee, the Department of Finance, and the Department of Technology must approve this SPR.

5.0 Risk and Issue Management Plan

No major changes have been made to Sections 5.0, Risk and Issue Management Plan, through 5.2, Risk and Issue Management Worksheet, since SPR 4. There has been one change to the risk and issue management process as described below, but this change does not affect the overall management of risk for the Project.

Risk Management Process: To further facilitate the closeout or retirement of risks and issues, the Risk and Issue Workgroup recently adopted the E-vote option. This allows certain categories of risks to be considered for retirement via e-vote under specific conditions. The vote by the workgroup subject to this rule must be unanimous; otherwise, the risk or issue must be formally presented at a Risk and Issue Workgroup Meeting. Workgroup members always have the option of requesting that the risk or issue in question be presented at a formal workgroup meeting.

[Appendix D, Risk and Issue Register](#), lists the Project's open risks and issues along with mitigation/contingency steps.

6.0 Updated Economic Analysis Worksheets (EAWs)

SPR 6 identified the cost of the Project at \$910.0 million through Fiscal Year (FY) 2019-20. SPR 7 estimates the costs of the Project at \$918.2 million for the years of 2005-06 to 2019-20 as follows:

- Actual expenditures from FY 2005-06 through FY 2016-17 are \$592.1 million.
- Required funding for FY 2017-18 is \$153.0 million.
- Total Project cost is now estimated at \$918.2 million, with the FY 2018-19 cost of \$99.6 million.

6.1 Cost Assumptions

The following assumptions were used to develop the EAWs for the FI\$Cal Project, as proposed by SPR 7:

- Total staffing remains consistent with SPR 6 levels.
- Additional costs are directly related to baseline budget adjustments for increased employee compensation and associated benefits.
- Accenture's costs include \$58.6 million for Fiscal Year 2017-18. Accenture's total cost over the life of the Project is \$321.2 million. Funding assumption for DD&I remains at 47.11 percent General Fund, 39.90 percent special and nongovernmental cost funds, and 12.99 percent federal funds.
- Funding for Operations and Maintenance beginning in Fiscal Year 16-17 is 57 percent General Fund and 43 percent Central Service Cost Recovery Fund.

6.2 Existing System/Baseline Cost Worksheet

There are no changes to the Existing System/Baseline Cost Worksheet included in SPR 4.

6.3 Proposed Alternative Worksheet

[Appendix E](#) contains EAWs for the Selected (Proposed) Alternative (2019 Project Completion with SCO/STO Integrated Solution) as well as the non-selected alternatives.

Appendix A: State Entities Onboarded by Release and MEC/YEC Progress

This Appendix lists the State Entities onboarded in each Wave/Release and shows the significant MEC/YEC progress made in the past year. Sections include:

- A.1—Overview of MEC/YEC Progress
- A.2—Detail of YEC and MEC Progress by Wave/Release for each State Entity
- A.3—State Entities Onboarded by Wave/Release

A.1 Overview of MEC/YEC Progress

Over the past two years, state entities in the System have made significant strides in month-end close and year-end close (MEC/YEC). To enable this success, FI\$Cal has dedicated substantial resources to assist Finance in supporting state entities' MEC/YEC activities. FI\$Cal's support has helped state entities achieve the following overall progress in MEC/YEC:

MEC continues to improve: The 58 state entities using the System have seen a 4% improvement in number of months closed comparing November 2017 to a year ago, November 2016.

YEC has improved by 30%: 52 state entities completed YEC as of November 30, 2017, versus 40 state entities at the same time last year.

Why does FI\$Cal report these statistics? State entities' completion of month-end- and year-end-close activities is essential to effective financial management for the state. Accordingly, it is a key factor in evaluating the System's success. The expectation is that state entities should be able to complete MEC/YEC within a timeframe similar to what they were able to accomplish in their legacy systems and in accordance with statutory requirements. A variety of factors influence this outcome, including state entities' own resource constraints and knowledge of the System. Since systems do not exist in a vacuum, this array of factors would be true for any system.

A.2 Detail of YEC and MEC Progress by Wave/Release for each State Entity

Table 12 shows the current year-end-close status for the Wave 1, Wave 2, and 2016 Release state entities (shown as business units, or BUs).

Table 12. Current YEC Status¹² for State Entities¹³ in each Wave/Release

Completed YEC FY 16/17

*as of Nov 30th

Wave 1	Wave 2 CFS	Wave 2	2016 Release
Dept (BU)	Dept (BU)	Dept (BU)	Dept (BU)
ABC (2100)	BCSH (0515)	CalRecycle (3970)	CAAM (3105)
ABCAB (2120)	BSCC (5227)	CCFC (4250)	CDPR (3930)
ALRB (7300)	CATC (2600)	CCOA (4180)	CRB (3460)
BCDC (3820)	CCDA (8790)	CDA (4170)	LTG (0750)
CAC (8260)	CCSWG (8820)	DTSC (3960)	SCIENCE (3100)
CSSSA (6255)	CCTC (6360)	FI\$Cal (8880)	DGS (7760)
DFEH (1700)	CGCC (0855)	HSR (2665)	
DOF (8860)	CIRM (6445)	Library (6120)	
OEHHA (3980)	CRC (0911)	SCO (0840)	
	CSLEG (4185)	STO (0950)	
	CSM (8885)	VCGCB (7870)	
	DSC (3885)	VCGCB Fund (9671)	
	EAAP (6125)		
	EMSA (4120)		
	FPPC (8620)		
	GOBIZ (0509)		
	GOVOPS (0511)		
	LHC (8780)		
	MHSOAC (4560)		
	OAL (7910)		
	OIG (0552)		
	OSI (0531)		
	OSPD (8140)		
	RMC (3825)		
	SDRC (3845)		
	SILC (5170)		
	SMMC (3810)		
	SNC (3855)		
	SSC (1690)		
	SSJDC (3875)		
	TAHOE (3125)		

At this time in 2016, there were a total of **40 BU's** which had entered or completed YEC for 2015.

Currently, there are **54 BU's** which have entered or completed YEC for 2016.

¹² YEC status definitions:

Entered YEC = BU has closed Period 12 and is in adjustment period.

Completed YEC = BU has closed all periods and submitted financial statements.

¹³ BUs = Business Units, also called state entities. Note: State entity names are shown as abbreviations/acronyms in this section. For the full names of state entities in each wave/release, please see Section A.3.

Tables 13 through 15 show the progress over the past year in month-end-close status for these same state entities, starting with an overview and followed by detailed information for the state entities in each wave/release.

**Table 13. Month-Over-Month MEC Reconciliation Status by Wave/Release—
Dec. 2016 to Nov. 2017**

*as of Nov 30th

MEC 16/17 Reconciled Status

	Total Departments	Jul'16	Aug'16	Sep'16	Oct'16	Nov'16	Dec'16	Jan'17	Feb'17	Mar'17	Apr'17	May'17	June'17
Wave 1	9	9	9	9	9	9	9	9	9	9	9	9	9
Wave 2 (Non-CFS)	12	12	12	12	12	12	12	12	12	12	11	10	9
Wave 2 (CFS)	31	31	31	31	31	31	31	31	31	31	31	31	31
Release 2016	6	5	5	5	5	5	5	5	5	5	5	5	5
Total	58	57	57	57	57	57	57	57	57	57	56	55	54
		98.28%	98.28%	98.28%	98.28%	98.28%	98.28%	98.28%	98.28%	98.28%	96.55%	94.83%	93.10%

MEC 16/17 Reconciled Status Month-Over-Month Comparison

	Jul'16	Aug'16	Sep'16	Oct'16	Nov'16	Dec'16	Jan'17	Feb'17	Mar'17	Apr'17	May'17	June'17
Reconciled This Month	0	0	0	0	0	0	0	0	0	0	2	11
Improvement (% Change Over Previous Week)	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	3.45%	18.97%

Table 14. Month-over-Month MEC Status for State Entities¹⁴ in Wave 1, Wave 2, and the 2016 Release

MEC 16/17

*as of Nov 30th

Wave 1

Dept (BU)	1-Jul	2-Aug	3-Sep	4-Oct	5-Nov	6-Dec	7-Jan	8-Feb	9-Mar	10-Apr	11-May	12-Jun	As of Nov 2017	As of Oct 2017	% Change
ABC (2100)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
ABCAB (2120)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
ALRB (7300)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
BCDC (3820)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CAC (8260)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CSSSA (6255)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
DFEH (1700)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
DOF (8860)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
OEHHA (3980)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
Overall	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%

Note: The blue highlights indicate a change in status (to either closed or reconciled) from September 2017
Gold highlight indicates the BU has completed Year End Close

%	Legend definition
0%	Transactions Not Started
25%	Transactions in Progress
50%	Transaction completed, Labor Ran, Submodules Closed
70%	Allocations Completed, Depreciation Completed, AM/GL Closed
85%	Reconciliation or PFA Completed
100%	Month is Closed, Reconciled, and PFA Transaction Request Submitted to SCO

¹⁴ BU's = Business Units. State entity names are shown as abbreviations/acronyms in this section. For the full names of state entities in each wave/release, please see Section A.3.

Table 15. MEC Status for Wave 2 State Entities (CFS and Non-CFS) by Month

MEC 16/17

*as of Nov 30th

Wave 2 (non-CFS)

Dept(BU)	1-Jul	2-Aug	3-Sep	4-Oct	5-Nov	6-Dec	7-Jan	8-Feb	9-Mar	10-Apr	11-May	12-Jun	As of Nov 2017	As of Oct 2017	% Change
CalRecycle (3970)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CCFC (4250)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CCOA (4180)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CDA (4170)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
DTSC (3960)	100%	100%	100%	100%	100%	100%	100%	100%	100%	85%	50%	25%	88%	83%	5%
FI\$Cal (8880)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
HSR (2665)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	85%	25%	93%	93%	0%
Library (6120)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	25%	94%	94%	0%
SCO (0840)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
STO (0950)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
VCGCB (7870)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
VCGCB Fund (9671)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
Overall	100%	100%	100%	100%	100%	100%	100%	100%	100%	99%	95%	81%	98%	97%	0%

2016 Release

Dept (BU)	1-Jul	2-Aug	3-Sep	4-Oct	5-Nov	6-Dec	7-Jan	8-Feb	9-Mar	10-Apr	11-May	12-Jun	As of Nov 2017	As of Oct 2017	% Change
CAAM (3105)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CDPR (3930)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	94%	6%
CRB (3460)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
LTG (0750)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
SCIENCE (3100)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
DGS (7760)	50%	50%	50%	50%	50%	50%	50%	50%	50%	50%	50%	50%	50%	50%	0%
Overall	92%	92%	92%	92%	92%	92%	92%	92%	25%	92%	92%	92%	92%	91%	1%

MEC 16/17

*as of Nov 30th

Wave 2 (CFS)

Dept (BU)	1-Jul	2-Aug	3-Sep	4-Oct	5-Nov	6-Dec	7-Jan	8-Feb	9-Mar	10-Apr	11-May	12-Jun	As of Nov 2017	As of Oct 2017	% Change
BCSH (0515)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
BSCC (5227)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CATC (2600)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CCDA (8790)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CGSWG (8820)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CCTC (6360)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CGCC (0855)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CIRM (6445)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CRC (0911)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CSLEG (4185)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
CSM (8885)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
DSC (3885)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
EAAP (6125)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
EMSA (4120)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
FPPC (8620)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
GO BIZ (0509)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
GOVOPS (0511)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
LHC (8780)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
MHSOAC (4560)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
OAL (7910)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
OIG (0552)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
OSI (0531)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
OSPD (8140)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
RMC (3825)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
SDRC (3845)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
SILC (5170)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
SMMC (3810)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
SNC (3855)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
SSC (1690)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
SSJDC (3875)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
TAHOE (3125)	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%
Overall	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%

YEC Completed!

A.3 State Entities Onboarded by Wave/Release

Tables 16 through 19 list the state entities onboarded to the System in each Wave/Release. The abbreviations/acronyms are used in Section A.2 above to report MEC/YEC progress.

Table 16. 9 State Entities Onboarded in Wave 1
Agricultural Labor Relations Board (ALRB)
Alcoholic Beverage Control Appeals Board (ABCAB)
California Arts Council (CAC)
California State Summer School for the Arts (CSSSA)
Department of Alcoholic Beverage Control (ABC)
Department of Fair Employment and Housing (DFEH)
Department of Finance
Office of Environmental Health Hazard Assessment (OEHHA)
San Francisco Bay Conservation and Development Commission (BCDC)

Table 17. 43 State Entities Onboarded in Wave 2
California and Families Commission (CCFC)
California Commission on Aging (CCOA)
California State Library (Library)
Department of Aging (CDA)
32 Departments that Contract with the Department of General Services (Contracted Fiscal Services [CFS])
Department of Resources Recycling and Recovery (CalRecycle)
Department of Toxic Substances Control (DTSC)
High Speed Rail Authority (HSR)
State Controller's Office (SCO)
State Treasurer's Office (STO)
Victims' Compensation and Government Claims Board – 2 Business Units (VCGCB & VCGCB Fund)

Table 18. 6 State Entities Onboarded in the July 2016 Release
California African American Museum (CAAM)
Department of Pesticide Regulation (CDPR)
Colorado River Board (CRB)
Department of General Services (Control – DGS)
Office of the Lieutenant Governor (LTG)
California Science Center (Science)

**Table 19.
30 State Entities Onboarded in the July 2017 Release**

Baldwin Hills Conservancy (BHC)	Los Angeles State Building Authority (LASBA)
California Conservation Corps. (CCC)	Military Department (MILITARY)
California Community Colleges Chancellor's Office (CCCCO)	Oakland State Building Authority (OSBA)
Department of Food and Agriculture (CDFA)	Office of Statewide Health Planning and Development (OSHPD)
Department of Fish and Wildlife (CDFW)	Department of Parks and Recreation (PARKS)
California Horse Racing Board (CHRB)	Public Employment Relations Board (PERB)
California Coastal Commission (Coastal)	Peace Officer Standards and Training Commission (POST)
Student Aid Commission (CSAC)	State Public Works Board (PWB)
Coachella Valley Mountains Conservancy (CVMC)	Riverside County Public Financing Authority (RCPFA)
Department of Consumer Affairs Regulatory Boards, Bureaus & Divisions (DCA - Accounting Only)	State Coastal Conservancy (SCC)
Department of Community Services and Development (DCSD)	Sacramento City Financing Authority (SCFA)
Department of Child Support Services (DCSS)	School Facilities Aid Program (OPSC) (SFAP)
Department of Managed Health Care (DMHC)	San Francisco State Building Authority (SFSBA)
Department of Conservation (DOC)	San Joaquin River Conservancy (SJRC)
Energy Resources Conservation and Development Commission (ENERGY)	Wildlife Conservation Board (WCB)

Appendix B: Requirements Met by Completed Functionality/Technology

Table 20 summarizes the status of requirements for completed functionality/technology for the Project.

Table 20. Requirements Traceability Summary

FI\$Cal Functional Area	Met	Release 2018	Release 2019	Grand Total
Budget	432			432
Departmental Accounting	1617	11		1628
DGS ABMS	210	11		221
Hyperion Upgrade	312			312
OBI	141			141
PeopleSoft/PeopleTools	429	4		433
Procurement	488			488
Grand Total	3629	26	0	3655

- There are a total of 4495 Requirements on the FI\$Cal Project. The following are not included in the Grand Total above:
 - 592 Inactive Requirements:
 - Inactive requirements have been made inactive by following, but not limited to: CR(s), SPR(s), or Addendum 4, 5, 9, or 12
 - 248 Parent Requirements:
 - Parent requirements are not testable
- This report is a forecast based on the changes that will result with the approval and implementation of CR00681. Minor changes to totals may result from the approval and implementation of CR00681.
- SCO/STO Requirements will be addressed in the PIER after the SCO/STO Implementation.
- [Appendix G](#) provides detailed requirements analysis for completed functionality/technology.

Appendix C: Changes to Project Scope

This section provides details on changes to the FI\$Cal Project scope since SPR 6 as follows:

- Section C.1—Summary of Changes Since SPR 6 and Prior to SPR 7
- Section C.2—Summary of Changes under SPR 7
- Section C.3—Comparison of Functionality in SPR 7 to SPR 6

C.1 Summary of Changes since SPR 6 and Prior to SPR 7

The following changes have been made since SPR 6 submission. These are grouped as follows:

- Section C.1.1—Functionality
- Section C.1.2—Functionality—Scope of SCO/STO Code Drops 1 through 4
- Section C.1.3—Technology
- Section C.1.4—State Entities

C.1.1 Functionality

FI\$Cal approved the following major changes in 2016 and 2017 via the Change Control Process:

- Enhancements to DGS accounting, including funding agreements and additional reports, to be delivered between July 2016 and July 2017 per CR 602.
- Changes to requirements to support SCO's purchase and adoption of Workiva to produce the Comprehensive Annual Financial Report (CAFR). These changes will enable the System to provide the data required for Workiva processing and reporting.¹⁵
- Enhancements to statewide procurement, including delivery and support of two major work efforts: the CSCR and notifications enhancements and supplier/bidder registration enhancements.
- SCO's Financial Information Reporting (FI) functionality and generation of CAFR was moved out of the July 2017 SCO/STO Control Functions release per CR 651.¹⁶
- Additional enhancements to SCO/STO functionality requested by SCO/STO during UAT were added per CR 652.¹⁷
- Changes to AP Voucher page to include a PHI warning message prior to adding AP voucher attachments and to include a PHI checkbox on the AP voucher page.
- Confirmed removal of two Oracle applications from scope as no longer needed by the Project. Note: SPR 6 descoped these applications but did not explicitly state they were to

¹⁵ See below for details of SCO/STO Code Drops 1 through 4.

¹⁶ Same footnote as previous.

¹⁷ Same footnote as previous.

be canceled. Accordingly, FI\$Cal created CR 631 to formally remove these requirements from Project scope:

- Oracle Crystal Ball for cash forecasting requirements
- Oracle Document Capture for scanning and imaging of claims

C.1.2 Functionality—Scope of SCO/STO Code Drops 1 through 4

The functionality represented by Code Drops 1 through 4 for SCO/STO are tied to the SCO/STO implementation milestones as shown in the following table.

Table 21. Code Drop 1 through 4 Object Distribution for Milestones 1 through 5

	Milestone 1: SCO Security and Appropriation Ledger Conversion	Milestone 2: STO Operations and Bank Integration	Milestone 3: FI\$Cal to Legacy Interfaces & Legacy to FI\$Cal Interfaces	Milestone 4: Deal Management and SCO Ledger Conversion	Milestone 5: CAFR/BLL Reporting	Grand Total (Objects)
Code Drop 1	65	20	59	122	0	266
Code Drop 2	17	5	10	10	44	86
Code Drop 3	33	13	16	43	89	194
Code Drop 4	0	2	1	37	0	40
Total Objects	115	40	86	212	133	586
Percentage	20%	7%	15%	36%	23%	

Code Drop 1 was part of SPR 6 and included the following functionality:

Code Drop 1 scope included Report, Interface, Conversion, and Extension objects from the Accounts Payable (AP), Accounts Receivable (AR), Cash Management (CM), Deal Management (DM), General Ledger (GL), and Loan Accounting (LA) modules. These objects consisted of the following business processes and subprocesses:

- Requisition to Warrants
- Billing Deposits
- Loan Accounting
- Bond Accounting
- General Ledger

From the Requisition to Warrants process, the Process Payments subprocess was developed. From the Billing to Deposit process, the General and Adjust Invoices, Enter and Maintain

Receivables, and Collect Receivables subprocesses were included as part of the AR module. In the Billing to Deposits business process, the Reconcile Bank Statements sub-process was developed as part of the CM module. In the Loan Accounting business process, the Establish, Maintain, and Repay Loan subprocesses were developed as part of the LA module. In the Bond Accounting business process, the Enter and Maintain Receivables sub-process was developed as part of the AR module, and the Process Payments subprocess was developed as part of the AP module.

Code Drop 2 included the following functionality:

Code Drop 2 scope included Report, Interface, Conversion, and Extension objects from the Accounts Payable (AP), Bond Accounting (BA), Cash Management (CM), Financial Management (FI), and General Ledger (GL) modules. These objects consisted of the following business processes:

- Requisition to Warrants
- Billing Deposits
- General Ledger
- Bond Accounting

From the Requisition to Warrants process, the Outstanding Warrants Statements subprocess was developed. From the Billing to Deposit process, the Process Payments (Remittance Advice) subprocess was developed as part of the AR module, and the Cash Management Reporting subprocess was developed as part of the CM module. From the General Ledger business process, the Outbound Ledger Details for Agency Reconciliation, Outbound Fund Reconciliation Details, Inbound/Outbound SAM 99, and Investment Accounting subprocesses were developed as part of the GL module. From the Bond Accounting business process, the Create and Manage Bond, Authorize Bond, Issue Bond, Distribute Funds, Track Funds and Debt Service, and Investment Accounting subprocesses were developed. The Bond Accounting business process also included the Process Payments, Process Payments, and Create and Maintain Project Budgets subprocesses from the AR, AP, and PC modules.

Code Drop 3 included the following functionality:

Code Drop 3 scope included Report, Interface, Conversion, and Extension objects from the Accounts Payable (AP), Bond Accounting (BA), Cash Management (CM), Financial Reporting (FI), and General Ledger (GL) modules. These objects consisted of the following business processes:

- Billing Deposits
- General Ledger
- Financial Reporting

From the Billing to Deposit process, the Manage Cash, Cash Forecasting, and Investment Pools subprocesses were developed from the CM module. From the General Ledger business process, the Enter and Process Labor Distribution, Process Allocations, and Process Financial Statements subprocesses were developed. From the Financial Reporting business process, the Ledger Architecture subprocess was developed.

Code Drop 4 includes the following functionality:

Code Drop 4 scope included Report, Interface, Conversion, and Extension objects from the Accounts Payable (AP), Bond Accounting (BA), Cash Management (CM), Financial Reporting (FI), and General Ledger (GL) modules. These objects consisted of the following business processes:

- Billing Deposits
- General Ledger
- Financial Reporting

From the Billing to Deposit process, the Manage Cash, Cash Forecasting, and Investment Pools subprocesses were developed from the CM module. From the General Ledger business process, the Enter and Process Labor Distribution, Process Allocations, and Process Financial Statements subprocesses were developed. From the Financial Reporting business process, the Ledger Architecture subprocess was developed.

C.1.3 Technology

- FI\$Cal implemented the SIEM system in July 2016, a full year ahead of the planned July 2017 Release implementation
- To replace aging hardware, FI\$Cal procured Private Cloud Appliance (PCA) Nodes to add capacity to host the Hyperion application on the PCA as per CR 633

C.1.4 State Entity Onboarding

FI\$Cal approved the following changes to state entities scheduled for the 2016, 2017, and 2018 Releases:

July 2016 Release:

There was no change to the state entities planned versus onboarded in the July 2016 Release. However, the numbers cited have changed. The July 2016 Release was originally scheduled to onboard 10 state entities according to SPR 6. Four entities that do not have state employees added General Ledger functionality during the 2016 Release. These entities are no longer counted as individual state entities as they were in SPR 6, making 6 state entities the final tally for the July 2016 Release.

State entities onboarded in July 2016 are listed in [Table 18, 6 State Entities Onboarded in the July 2016 Release](#), in Appendix A.

July 2017 Release:

The July 2017 Release was originally scheduled to onboard 51 state entities (SPR 6 estimated 50). The final number of 30 onboarded in July 2017 resulted from the changes shown in Table 22.

Table 22. Changes to July 2017 Release State Entities

State Entity (BU)	Change (Type)	Change (Quantity)
26 Remained in 2017 (No Change)		
Baldwin Hills Conservancy	No change	
Board of Governors of Community Colleges/California Community Colleges Chancellor's Office	No change	
California Coastal Commission	No change	
California Conservation Corps	No change	
California Horse Racing Board	No change	
Coachella Valley Mountains Conservancy	No change	
Department of Conservation	No change	
Department of Consumer Affairs Regulatory Boards, Bureaus & Divisions - Accounting Only (DCA)	No change	
Department of Fish and Wildlife	No change	
Department of Food and Agriculture	No change	
Department of Managed Health Care	No change	
Department of Parks and Recreation	No change	
Energy Resources Conservation and Development Commission (formerly CA Energy Commission) (Energy)	No change	
Los Angeles State Building Authority	No change	
Oakland State Building Authority	No change	
Peace Officer Standards and Training Commission	No change	
Public Employment Relations Board	No change	
Riverside County Public Financing Authority	No change	
Sacramento City Financing Authority	No change	
San Francisco State Building Authority	No change	
San Joaquin River Conservancy	No change	
School Facilities Aid Program/Office of Public School Construction	No change	
State Coastal Conservancy	No change	
State Public Works Board	No change	
Student Aid Commission	No change	
Wildlife Conservation Board	No change	

State Entity (BU)	Change (Type)	Change (Quantity)
13 Moved to July 2018 Release		
California Law Revision Commission	Moved to 2018; (Note: Later deferred out of 2018)	-1
Department of Insurance	Moved to 2018	-1
Department of Justice – Accounting Only	Moved to 2018	-1
Department of Justice – Settlements and Judgments	Moved to 2018	-1
Department of Veterans Affairs (CalVet)	Moved to 2018	-1
Department of Education (CDE)	Moved to 2018	-1
Department of Forestry and Fire Protection	Moved to 2018	-1
Health Benefit Exchange	Moved to 2018	-1
Natural Resources Agency	Moved to 2018	-1
Natural Resources Agency – Special Resources Program	Moved to 2018	-1
Office of Emergency Services	Moved to 2018	-1
Secretary of State	Moved to 2018	-1
Water Resources Control Board	Moved to 2018	-1
11 Rolled Up into Other Entities		
Energy Resources Revenue Bond (BU3360) bond accounting is done by CFS	Rolled up to Energy	-1
Department of Consumer Affairs, Boards - Accounting Only (DCA)	Rolled up to DCA	-1
Department of Social Services - Foster Care	Rolled up to DSS (2018 state entity)	-1
Office of the Patient Advocate	Rolled up to CHHS (2018 state entity)	-1
Veterans' Home of California - Barstow	Rolled up to CalVet; (CalVet then moved to 2018-see above)	-1
Veterans' Home of California - Chula Vista	Rolled up to CalVet; (CalVet then moved to 2018-see above)	-1
Veterans' Home of California - Yountville	Rolled up to CalVet; (CalVet then moved to 2018-see above)	-1

State Entity (BU)	Change (Type)	Change (Quantity)
California School for the Blind	Rolled up to CDE; (CDE then moved to 2018-see above)	-1
California School for the Deaf - Fremont	Rolled up to CDE; (CDE then moved to 2018-see above)	-1
California School for the Deaf - Riverside	Rolled up to CDE; (CDE then moved to 2018-see above)	-1
Diagnostic Centers	Rolled up to CDE; (CDE then moved to 2018-see above)	-1
0 Deferred from FI\$CAL		
N/A		
1 Exempted from FI\$CAL		
Enhanced Tobacco Asset-Backed Bonds	Moved to Exempt	-1
4 Added to 2017 Release (Moved from 2018)		
Department of Child Support Services	Moved to 2017 from 2018	1
Department of Community Services and Development	Moved to 2017 from 2018	1
Military Department	Moved to 2017 from 2018	1
Office of Statewide Health Planning and Development	Moved to 2017 from 2018	1

July 2018 Release:

The July 2018 Release will onboard 62 state entities. Changes to state entities included in this Release are shown in Table 23.

Table 23. Changes to July 2018 Release State Entities

State Entity (BU)	Change (Type)	Change (Quantity)
44 Remained in 2018 (No Change)		
Air Resources Board	No Change	
Board of Equalization	No Change	
Board of Pilot Commissioners	No Change	
California Alternative Energy and Advanced Transportation Financing Authority	No Change	
California Citizens Compensation Commission	No Change	
California Debt and Investment Advisory Commission	No Change	
California Debt Limit Allocation Committee	No Change	
California Educational Facilities Authority	No Change	
California Health Facilities Financing Authority	No Change	
California Highway Patrol	No Change	
California Industrial Development Financing Advisory Commission	No Change	
California Pollution Control Financing Authority	No Change	
California School Finance Authority	No Change	
California Tax Credit Allocation Committee	No Change	
California Transportation Financing Authority	No Change	
California Urban Waterfront Area Restoration Financing Authority	No Change	
California Workforce Development Board	No Change	
Commission on Judicial Performance	No Change	
Delta Protection Commission	No Change	
Department of Business Oversight	No Change	
Department of Developmental Services (DDS)	No Change	
Department of Health Care Services (CHHS)	No Change	
Department of Housing and Community Development	No Change	
Department of Human Resources	No Change	

State Entity (BU)	Change (Type)	Change (Quantity)
Department of Industrial Relations	No Change	
Department of Public Health	No Change	
Department of Social Services (DSS)	No Change	
Department of State Hospitals	No Change	
Economic Recovery Financing Committee	No Change	
Employment Development Department	No Change	
Environmental Protection Agency	No Change	
Franchise Tax Board	No Change	
Governor's Office	No Change	
Health and Human Services Agency (CHHS)	No Change	
Labor and Workforce Development Agency	No Change	
Native American Heritage Commission	No Change	
Office of Planning and Research	No Change	
Public Utilities Commission	No Change	
Scholarshare Investment Board	No Change	
Secure Choice Retirement Savings Investment Board	No Change	
State Council on Developmental Disabilities	No Change	
State Lands Commission	No Change	
State Personnel Board	No Change	
Transportation Agency	No Change	
13 Moved to from July 2017 to July 2018 Release		
California Law Revision Commission	Moved from 2017	1
Department of Education (CDE)	Moved from 2017	1
Department of Forestry and Fire Protection	Moved from 2017	1
Department of Insurance	Moved from 2017	1
Department of Justice (DOJ) - Accounting	Moved from 2017, then deferred	1
DOJ - Settlements & Judgements	Moved from 2017, then deferred	1
Department of Veterans Affairs	Moved from 2017	1
Health Benefit Exchange	Moved from 2017	1
Natural Resources Agency	Moved from 2017	1
Natural Resources Agency - Special Resources Program	Moved from 2017	1
Office of Emergency Services	Moved from 2017	1
Secretary of State	Moved from 2017	1
Water Resources Control Board	Moved from 2017	1

State Entity (BU)	Change (Type)	Change (Quantity)
4 Rolled Down		
California Diagnostic Centers	Rolled down from CDE	1
California School for the Blind	Rolled down from CDE	1
California School for the Deaf - Fremont	Rolled down from CDE	1
California School for the Deaf - Riverside	Rolled down from CDE	1
4 Added to 2018 Release		
California Achieving a Better Life Experience (CalABLE) Act Board		1
Department of Tax and Fee Administration	New BU (DGS CFS)	1
Governor Elect and Outgoing	New BU (DGS CFS)	1
Judicial Council of California	Moved from Exempt	1
14 Rolled Up into Other Entities		
DDS - Canyon Springs Small Facility - Cathedral City	Rolled up to DDS	-1
DDS - Fairview Developmental Center	Rolled up to DDS	-1
DDS - Porterville Developmental Center	Rolled up to DDS	-1
DDS - Sonoma Developmental Center	Rolled up to DDS	-1
Department of State Hospitals - Atascadero	Rolled-up to State Hospitals	-1
Department of State Hospitals - Coalinga	Rolled up to State Hospitals	-1
Department of State Hospitals - Metropolitan LA	Rolled up to State Hospitals	-1
Department of State Hospitals - Napa	Rolled up to State Hospitals	-1
Department of State Hospitals - Patton	Rolled up to State Hospitals	-1
Department of State Hospitals - Sacramento	Rolled up to State Hospitals	-1
Department of State Hospitals - Salinas Valley	Rolled up to State Hospitals	-1
Department of State Hospitals - Stockton	Rolled up to State Hospitals	-1
Department of State Hospitals - Vacaville	Rolled up to State Hospitals	-1
Office of Traffic Safety	Rolled up to Transportation Agency	-1
0 Split Out as Separate Entities		
N/A		
0 Exempted from FI\$CAL		
N/A	Moved to Exempt	

State Entity (BU)	Change (Type)	Change (Quantity)
4 Deferred from FI\$CAL		
California Law Revision Commission	Moved to Deferred	-1
Department of Rehabilitation (DOR)	Moved to Deferred	-1
Department of Justice (DOJ) - Accounting	Moved to Deferred	-1
DOJ - Settlements & Judgements	Moved to Deferred	-1
4 Moved Earlier to July 2017 Release		
Department of Child Support Services	Moved to 2017	-1
Department of Community Services and Development	Moved to 2017	-1
Military Department	Moved to 2017	-1
Office of Statewide Health Planning and Development	Moved to 2017	-1

C.2 Summary of Changes resulting from SPR 7

SPR 7 includes the following changes:

- Shifts SCO and STO Control Agency functions from the July 2017 Release to a phased 2018 Release.

C.3 Comparison of Functionality in SPR 7 to SPR 6

For easy reference, Table 24 compares functionality by wave under SPR 6 with changes in the implementation schedule for that functionality. The “Functionality by Wave per SPR 6” column is taken directly from the SPR 6 Work Plan.

Table 24. Changes to Scope since SPR 6

SPR 6 Implementation	Functionality by Wave per SPR 6	Changes in Functionality since SPR 6
<p>Pre-Wave (July 2013)</p>	<ul style="list-style-type: none"> • Need to completely update from SPR 6 work plan DEL 1.02. Old content is from SPR 5 work plan. • Establishes a Statewide Chart of Accounts (COA) and budget structure • Defines to-be Statewide business processes • Accenture will provide a recommendation on the disposition of legacy systems • Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system • Participate in the analysis of wave assignments for departments: <ul style="list-style-type: none"> ▪ Validate alignment of the BAFO and the Bidder’s Library ▪ Analyze impact of Governor’s Reorganization ▪ Validate assumptions made for BAFO wave assignments • Implements Requisition and PO functionality (automated work flow processing for requisitions, purchase orders, and receiving to demonstrate the benefits of automation to the State) for the following departments; Agricultural Labor Relations Board, Office of Environmental Health Hazard Assessment, Department of Aging (including Commission on Aging), California Arts Council and Department of Fair Employment & Housing 	<ul style="list-style-type: none"> • No change

Table 24. Changes to Scope since SPR 6

SPR 6 Implementation	Functionality by Wave per SPR 6	Changes in Functionality since SPR 6
	<ul style="list-style-type: none"> Converts the following departments into Master File in FI\$Cal; Agricultural Labor Relations Board, Office of Environmental Health Hazard Assessment, Department of Aging (including Commission on Aging), California Arts Council and Department of Fair Employment & Housing 	
<p>Wave 1 (July 2014 Release)</p>	<ul style="list-style-type: none"> Establishes Statewide configuration of common tables and department level configuration for Wave 1 departments Wave 1 departments use FI\$Cal as their primary accounting system Wave 1 departments use FI\$Cal to develop their departmental budget through the entire budget life cycle in new COA and budget structure Wave 1 departments use FI\$Cal for procurement, including requisitions, purchase orders, paying Office Revolving Fund (ORFs), and matching DOF transitions departmental accounting, budgeting and procurement functions to FI\$Cal Limited DOF staff perform control functions in FI\$Cal to support Wave 1 departments FI\$Cal becomes the Budget System of Record Converts remaining Wave 1 department vendors into the Vendor Management File in FI\$Cal 	<ul style="list-style-type: none"> No change

Table 24. Changes to Scope since SPR 6

SPR 6 Implementation	Functionality by Wave per SPR 6	Changes in Functionality since SPR 6
	<ul style="list-style-type: none"> Accenture will provide a recommendation on the disposition of legacy systems. Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system impacted by Wave 1 	
<p>Wave 2 Summer Release (August 2015)</p>	<ul style="list-style-type: none"> DGS control functions transition into FI\$Cal CalRecycle, Toxics, CFS and others transition departmental accounting, budgeting and procurement functions to FI\$Cal DCA transitions procurement functions to FI\$Cal Accenture will provide a recommendation on the disposition of legacy systems Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system impacted by Wave 2 	<ul style="list-style-type: none"> No change
<p>Wave 2 Fall Release (December 2015)</p>	<ul style="list-style-type: none"> FI\$Cal becomes the Procurement System of Record Converts all procurement vendors statewide into the Vendor Management File in FI\$Cal 	<ul style="list-style-type: none"> No change
<p>DGS/ ABMS Release (July 2016)</p>	<ul style="list-style-type: none"> Brings on the departmental accounting, budgeting and procurement functions for DGS, replacing their legacy ABMS Financials system Deploy DGS-specific enhancements and interfaces to support their 	<ul style="list-style-type: none"> No change

Table 24. Changes to Scope since SPR 6

SPR 6 Implementation	Functionality by Wave per SPR 6	Changes in Functionality since SPR 6
	<p>complex billing end to end business processes</p> <ul style="list-style-type: none"> Accenture will provide a recommendation on the disposition of legacy systems. Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system impacted by this release 	
<p>July 2016 Release</p>	<ul style="list-style-type: none"> CDPR, SCIENCE, CAAM, CRB, and LTG transition departmental accounting, budgeting and procurement functions to FI\$Cal DOJ transitions departmental procurement functions to FI\$Cal All departments begin budget development in FI\$Cal, using upload templates or entering data directly into the System Deploy the upgraded FI\$Cal application (e.g., PeopleSoft 9.1 to 9.2 Upgrade) Technical hardware refresh planned Expands the fully implemented and stabilized functionality to a subset of in-scope departments Accenture will provide a recommendation on the disposition of legacy systems. Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system impacted by this release 	<ul style="list-style-type: none"> No change

Table 24. Changes to Scope since SPR 6

SPR 6 Implementation	Functionality by Wave per SPR 6	Changes in Functionality since SPR 6
<p><i>STO/SCO Release (July 2017)</i></p>	<ul style="list-style-type: none"> • FI\$Cal becomes the Accounting Book of Record • SCO and STO control functions transition into FI\$Cal • Accenture will provide a recommendation on the disposition of legacy systems. • Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system impacted by this release • Expands the fully implemented and stabilized functionality to a subset of in-scope departments • Accenture will provide a recommendation on the disposition of legacy systems. • Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system impacted by this release 	<ul style="list-style-type: none"> • SPR 7 moves out of July 2017 Release: <ul style="list-style-type: none"> ▪ Remaining STO and SCO control functions.
<p><i>July 2017 Departmental Release</i></p>	<ul style="list-style-type: none"> • Expands the fully implemented and stabilized functionality to a subset of in-scope departments • Accenture will provide a recommendation on the disposition of legacy systems. • Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system impacted by this release 	<ul style="list-style-type: none"> • No change

Table 24. Changes to Scope since SPR 6

SPR 6 Implementation	Functionality by Wave per SPR 6	Changes in Functionality since SPR 6
<p>July 2018 Release</p>	<ul style="list-style-type: none"> • Deploy the Transparency website • Expands the fully implemented and stabilized functionality to a subset of in-scope departments • Accenture will provide a recommendation on the disposition of legacy systems. • Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system impacted by this release 	<ul style="list-style-type: none"> • Begin implementation of SCO/STO integrated solution: <ul style="list-style-type: none"> ▪ Milestone 1: Deploy security features required for integrated solution and appropriation ledger required for STO go live. ▪ Milestone 2: Deploy STO Operations and Bank Integration. ▪ Milestone 3: Deploy integrated solution that builds FI\$Cal System to legacy system interfaces and legacy to FI\$Cal System interfaces. ▪ Milestone 4: Completion of integrated solution that allows legacy systems and the FI\$Cal System to run in tandem, and allows FI\$Cal to become a statewide ledger for state government financial processes. ▪ Milestone 5: Implementation of Statewide Financial Reporting functionality. The CAFR will be generated using data from the FI\$Cal System.

Appendix D: Risk and Issue Register

Table 25 is a snapshot of the Project’s Risk and Issue Register as of the date of SPR 7.

Table 25. Risk and Issue Register				
Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Risk	505	SCO Acceptable Risk Tolerance for Departments not Closing by established due dates	High	<ol style="list-style-type: none"> 1. Implement FI\$Cal Mitigation Steps: <ol style="list-style-type: none"> a. Automated Month End Closing (MEC) tool for departments to report b. Communication of Common Errors c. Communication of estimated dates for Financial Statement to be submitted by mandated dates d. Strike Teams developed to communicate to departments to ensure they are closing & reconciling as they go 2. Review and revise BOR conversion methodology if needed and practicable. (Part of War Room Sessions) 3. Control Support Teams which would handle MEC would also be available to help condense timeline. They will help provide adequate support and resources for control functions for closing. 4. Authorize CR 611 to implement the Integrated Solution 5. Monitor departments MEC until the SCO/STO conversion BOR occurs: <ol style="list-style-type: none"> a. (SCO /DOF) Communication of estimated dates for Financial Statement to be submitted by mandated dates for current Fiscal year. b. (FI\$Cal / DOF) On-site Support / MEC/YEC Support Teams in collaboration with DOF assist departments for closing and reconciling.

Table 25. Risk and Issue Register

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
				<ul style="list-style-type: none"> c. (FI\$Cal) Communication of Common Errors. Due Date 4/30/2018 6. Build and test the BOR Integration Solution Due Date 4/30/2018
Issue	492	Hyperion Budget 2.0: Performance Issues with NRT Reports	Medium	<ul style="list-style-type: none"> 1. Re-run Cycle 3 Performance Test for 13 NRT Reports. If an NRT report fails additional Cycle 3 Performance Test, this report will not be promoted to Production. DOF can still use FR / SmartView reports after every 2 hour data refresh. 2. Oracle to deliver patch for Hyperion planning application which is blocking 3 NRT Reports. If an NRT report fails after patch testing, this report will not be promoted to Production. DOF can still use FR / SmartView reports after every 2 hour data refresh. 10/9/2017 - NRT reports have been modified to work as originally designed for a single BU. Reports are in UAT environment for users to validate. The reports will be migrated to production upon user acceptance. Due Date 1/5/2018
Issue	471	Not all software components that comprises the FI\$Cal System comply with contract requirements for accessibility	Medium	<ul style="list-style-type: none"> 1. Create an ODMF to document the Project approach to addressing accessibility defects identified in vendor software products and software customizations. Due Date 12/15/2017 2. Recommend Project leadership require Accenture to test for all disabilities on previously tested content, and address all existing defects.

Table 25. Risk and Issue Register

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Issue	467	Duplicate Vendors set to archive/inactive with active transactions attached	High	<ol style="list-style-type: none"> 1. Complete analysis of potential duplicates to identify true vendor duplicates 2. Determine transactions tied to the duplicate and inactive vendors (Due Date 6/30/2018) As of 8/9/2016: This mitigation step is ongoing. VMG runs a query on a weekly basis to determine any transactions tied to duplicate and inactive vendors, and works with the departments to resolve any problems toward issuing payment. Due Date 6/30/2018 3. Work with Departments to update/cleanup transactions tied to duplicate and inactive vendors First communication targeted at four departments regarding one vendor with multiple duplicates and transactions tied to the duplicates released 3/10/2016. As of 8/9/2016: ongoing - tied to mitigation steps 1 and 2. Due Date 6/30/2018 4. Identify and cleanup SB/DVBE entities which are included in the vendor file Tied to ODMF 1465 5. Draft ODMF looking at options for updating vendor conversion approach for future releases (e.g. business rules for checking for duplicates, using FI\$Cal IDs instead of legacy IDs) 6. Build filter on the Audit Tool to identify vouchers tied to vendors on payment hold. SCO to reject these vouchers with a cut code indicating vendor is on payment hold due to no STD 204 on file. 7. Open an ODMF to request a customization to stop the AP Processor from creating a voucher for vendors where the payment hold flag is checked. In addition to this, mask the SCPRS vendors from the view of the AP Processor to

Table 25. Risk and Issue Register

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
				<p>make the AP module consistent with how a vendor appears to the PO Processor when the open for ordering box is unchecked. Due Date 6/30/2018</p> <p>8. Communicate with departments and vendor community to push for STD 204 collection. Publish a public notice and list of vendors without STD 204 on file on FI\$Cal website, and request that partner agencies publish same notice with a link to FI\$Cal on their websites. List has been published to the FI\$Cal website, and has increased STD 204 collection.</p> <p>9. Develop and implement IRS TIN match interface to help resolve duplicates and maintain all future vendor TIN data. As of 8/9/2016: VMG Manager has registered with IRS as principal FI\$Cal representative to perform IRS TIN match. VMG staff have been tasked with registering. Once all are registered VMG can begin using the service on an individual basis (up to 25 TINs can be input for validation at one time). ODMF in draft to establish batch TIN matching process.</p>
Risk	437	Hyperion Code Versioning	Low	<ol style="list-style-type: none"> 1. Receive demo on the use of Phire for Hyperion Code Versioning in conjunction with manual procedures. 2. Draft the business process, procedures, and system controls for using Phire for Hyperion Code versioning and the implementation plan. 3. Hold follow-up meeting to discuss and agree on the drafted procedures and the implementation plan. 4. Select feasible tools and/or process. Need to conduct research and analysis for best fit in our environment with existing software. Due Date 1/5/2018

Table 25. Risk and Issue Register

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
				5. Implement mitigation plan Due Date 12/31/2017
Risk	312	Potential Non-Compliance with HIPAA due to lack of Read Audit Capability - Wave 4	Low	<ol style="list-style-type: none"> 1. Conduct Data Classification task with Wave 4 departments no later than September 1, 2016 in order to identify any potential HIPAA issues. 2. Eliminate HIPAA data from the FI\$Cal solution until such time as the "READ Audit" capability can be implemented. 3. Opened ODMF 569 "READ Audit for data within the FI\$Cal System". SI is working on the deployment solutions. 4. Collaborate with Department of State Hospitals to obtain details of data elements that they will classify as PHI for their transactions in FI\$Cal in 2018.
Risk	187	Likelihood of key state and contractor staff turnover throughout Project	Medium	<ol style="list-style-type: none"> 1. Identify and map key roles identified in the SI's proposal to associated Project teams/staff. 2. Document responsibilities of key roles for use in training backups and backfills. 3. Include succession planning for each phase of the Project's lifecycle in the Staff Management Plan. 4. State staff will be cross-trained to reduce dependency on single resources. As part of staff development, State staff are beginning to partner up in order to back each other up or take on the workload if the person leaves. This will be ongoing. Due Date 1/1/2018 5. Maintain current duty statements and position allocation justifications for staffing of key positions kept in a state of readiness for future use in the staff recruitment process. On-going. Due Date 1/1/2018

Table 25. Risk and Issue Register

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
				<ol style="list-style-type: none"> 6. Provide a positive working environment. Include team building outings when time permits. On-going. Due Date 1/1/2018 7. Monitor vacancy rate. This will be on-going in order to prevent over allocation of staff resources. Due Date 1/1/2018
Risk	122	Separation of powers among statutory and constitutional control agencies	Low	<ol style="list-style-type: none"> 1. Include in FI\$Cal RFP requirements from control agencies/departments detailing functionality required to support their constitutional and statutory responsibilities. 2. Require bidders to attest to their ability to meet FI\$Cal requirements through bid responses and submission of Governance white papers. 3. Develop an operational decision making model to support the preservation of constitutional and statutory responsibilities during SDLC phases. 4. For Wave 1 FI\$Cal control agencies/departments will have approval authority to ensure the design supports the requirements (Functional Designs). Reference Risk 210 5. Through testing, FI\$Cal control agencies/departments will validate that the Wave 1 FI\$Cal solution supports the requirements. (Wave Functional Designs; 2nd UAT Milestone). Reference Risk 210 6. Create a Data Governance Policy, and obtain approval of the Governance Plan, Data Governance Plan, and Data Governance Policy. Due Date 7/31/2018

Appendix E: Economic Analysis Worksheets

Copies of the Project's EAWs are provided below for reference. The Project will provide the Microsoft Excel version of these EAWs under separate cover for California Department of Technology review and analysis.

SIMM 30C, Rev. 06/2014		EXISTING SYSTEM /BASELINE COST WORKSHEET											Date Prepared: 12/22/2017	
Agency/state entity: Financial Information System of California		All costs to be shown in whole (unrounded) dollars.												
Project: FI\$CAL														
	FY 05/06-12/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY 2017/18		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Information ^{/1}														
Technology Costs														
Staff (salaries & benefits)	1048.8	100,112,480	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	1704.3	162,682,780
Hardware Lease/Maintenance		13,853,640		1,731,705		1,731,705		1,731,705		1,731,705		1,731,705		22,512,165
Software Maintenance/Licenses		22,446,416		2,805,802		2,805,802		2,805,802		2,805,802		2,805,802		36,475,426
Contract Services		21,968,720		2,746,090		2,746,090		2,746,090		2,746,090		2,746,090		35,699,170
Data Center Services		45,609,560		5,701,195		5,701,195		5,701,195		5,701,195		5,701,195		74,115,535
Agency Facilities		5,743,456		717,932		717,932		717,932		717,932		717,932		9,333,116
Other		7,793,344		974,168		974,168		974,168		974,168		974,168		12,664,184
Total IT Costs	1048.8	217,527,616	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	1704.3	353,482,376
Continuing Program Costs:														
Staff	66028.0	4,773,406,992	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	107295.5	7,756,786,362
Other		776,683,880		97,085,485		97,085,485		97,085,485		97,085,485		97,085,485		1,262,111,305
Total Program Costs	66028.0	5,550,090,872	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	107295.5	9,018,897,667
TOTAL EXISTING SYSTEM COSTS	67076.8	5,767,618,488	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	108999.8	9,372,380,043

^{/1} Continuing Existing Costs are reported from SPR #8860-30, October 30, 2006 (does not include subsequent General Salary Increases)



SIMM 30C, Rev. 06/2014		EXISTING SYSTEM/BASELINE COST WORKSHEET										Date Prepared: 12/22/2017		
Agency/state entity: Financial Information System of California		All costs to be shown in whole (unrounded) dollars.												
Project: FI\$CAL														
	Subtotal		FY 2018/19		FY 2019/20		FY 2020/21						TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
Continuing Information ^{/1}														
Technology Costs														
Staff (salaries & benefits)	1704.3	162,682,780	131.1	12,514,060	131.1	12,514,060			0.0	0	0.0	0	1966.5	187,710,900
Hardware Lease/Maintenance		22,512,165		1,731,705		1,731,705				0		0		25,975,575
Software Maintenance/Licenses		36,475,426		2,805,802		2,805,802				0		0		42,087,030
Contract Services		35,699,170		2,746,090		2,746,090				0		0		41,191,350
Data Center Services		74,115,535		5,701,195		5,701,195				0		0		85,517,925
Agency Facilities		9,333,116		717,932		717,932				0		0		10,768,980
Other		12,664,184		974,168		974,168				0		0		14,612,520
Total IT Costs	1704.3	353,482,376	131.1	27,190,952	131.1	27,190,952	0.0	0	0.0	0	0.0	0	1966.5	407,864,280
Continuing Program Costs:														
Staff	107295.5	7,756,786,362	8253.5	596,675,874	8253.5	596,675,874			0.0	0	0.0	0	123802.5	8,950,138,110
Other		1,262,111,305		97,085,485		97,085,485				0		0		1,456,282,275
Total Program Costs	107295.5	9,018,897,667	8253.5	693,761,359	8253.5	693,761,359	0.0	0	0.0	0	0.0	0	123802.5	10,406,420,385
TOTAL EXISTING SYSTEM COSTS	108999.8	9,372,380,043	8384.6	720,952,311	8384.6	720,952,311	0.0	0	0.0	0	0.0	0	125769.0	10,814,284,665

^{/1} Continuing Existing Costs are reported from SPR #8860-30, October 30, 2006 (does not include subsequent General Salary Increases)



Special Project Report 7
Project #8860-30

Rev. 2.0
January 2018

SIMM 30C, Rev. 06/2014	PROPOSED ALTERNATIVE: SCO/STO Integrated Solution												Date Prepared: 12/22/2017	
Agency/state entity: Financial Information System of California	All Costs Should be shown in whole (unrounded) dollars.													
Project: FI\$CAL														
	FY 05/06-12/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY 2017/18		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs														
Staff (Salaries & Benefits)	537.7	54,565,965	124.8	14,281,434	83.2	9,775,680	78.6	10,332,849	113.7	18,831,312	136.0	18,702,170	1074.0	126,489,410
Hardware Purchase		3,890,391		436,334		68,110		179,938		0		0		4,574,773
Software Purchase/License		2,134,453		610,110		87,556		10,885		159,727		110,000		3,112,731
Telecommunications		0		9,571		18,822		0		0		0		28,393
Contract Services														
Software Customization		43,183,121		26,219,313		38,820,963		74,516,856		55,177,036		58,562,646		296,479,935
Project Management		4,781,860		180,958		428,000		1,203,802		943,360		1,203,802		7,712,980
Project Oversight		1,122,613		310,000		333,200		693,567		370,120		424,400		3,253,900
IV&V Services		2,846,892		936,000		936,000		1,197,340		1,664,000		1,274,000		8,854,232
Other Contract Services		18,702,091		6,361,326		8,725,303		14,305,228		3,071,714		10,750,200		61,915,862
TOTAL Contract Services		70,636,577		34,007,597		49,243,466		91,916,793		60,457,869		71,954,606		378,216,908
Data Center Services		119,866		0		0		0		0		0		119,866
Agency Facilities		5,958,395		0		0		0		0		0		5,958,395
Other		6,722,006		2,632,488		4,062,722		3,060,658		263,998		2,430,295		19,172,167
Total One-time IT Costs	537.7	144,027,653	124.8	51,977,534	83.2	63,256,356	78.6	105,501,123	113.7	79,712,907	136.0	93,197,071	1074.0	537,672,644
Continuing IT Project Costs														
Staff (Salaries & Benefits)	63.2	6,674,270	122.0	14,000,266	166.8	21,644,809	177.7	21,337,375	183.9	22,784,159	246.0	36,559,965	959.6	123,000,844
Hardware Lease/Maintenance		1,054,106		750,620		406,458		510,571		690,150		1,283,960		4,695,865
Software Maintenance/Licenses		653,041		395,013		894,802		1,640,843		1,204,365		5,550,021		10,338,085
Telecommunications		0		134,511		119,790		186,096		154,000		165,600		759,997
Contract Services		2,043,689		1,498,011		9,651,517		9,559,724		3,662,936		4,477,600		30,893,477
Data Center Services		842,625		405,551		646,352		772,123		1,411,326		2,805,923		6,883,900
Agency Facilities		2,869,078		3,911,684		1,990,590		2,312,346		2,089,287		3,590,650		16,763,635
Other		1,398,655		2,269,102		1,536,025		2,508,749		1,001,652		5,412,344		14,126,527
Total Continuing IT Costs	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	177.7	38,827,828	183.9	32,997,874	246.0	59,846,063	959.6	207,462,330
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,699	256.3	144,328,951	297.6	112,710,781	382.0	153,043,134	2033.6	745,134,974
Continuing Existing Costs ^{1/}														
Information Technology Staff	1048.8	100,112,480	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	1704.3	162,682,780
Other IT Costs		117,415,136		14,676,892		14,676,892		14,676,892		14,676,892		14,676,892		190,799,596
Total Continuing Existing IT Costs	1048.8	217,527,616	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	1704.3	353,482,376
Program Staff	66028.0	4,773,406,992	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	107295.5	7,756,786,362
Other Program Costs		776,683,880		97,085,485		97,085,485		97,085,485		97,085,485		97,085,485		1,262,111,305
Total Continuing Existing Program Costs	66028.0	5,550,090,872	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	107295.5	9,018,897,667
Total Continuing Existing Costs	67076.8	5,767,618,488	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	108999.8	9,372,380,043
TOTAL ALTERNATIVE COSTS	67677.7	5,927,181,603	8631.4	796,294,603	8634.6	821,099,010	8640.9	865,281,262	8682.2	833,663,092	8766.6	873,995,445	111033.4	10,117,515,017
INCREASED REVENUES		0		0		0		0		0		0		0

^{1/} Continuing Existing Costs are reported from SPR #8860-30, October 30, 2006 (does not include subsequent General Salary Increases)

SIMM 30C, Rev. 06/2014		PROPOSED ALTERNATIVE: SCO/STO Integrated Solution						Date Prepared: 12/22/2017	
Agency/state entity: Financial Information System of California		All Costs Should be shown in whole (unrounded) dollars.							
Project: FI\$CAL									
	Subtotal		FY 2018/19		FY 2019/20		TOTAL		
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	
One-Time IT Project Costs									
Staff (Salaries & Benefits)	1074.0	126,489,410	0.0	0	0.0	0	1074.0	126,489,410	
Hardware Purchase		4,574,773		0		0		4,574,773	
Software Purchase/License		3,112,731		0		0		3,112,731	
Telecommunications		28,393		0		0		28,393	
Contract Services									
Software Customization		296,479,935		12,790,000		0		309,269,935	
Project Management		7,712,980		0		0		7,712,980	
Project Oversight		3,253,900		424,000		0		3,677,900	
IV&V Services		8,854,232		0		0		8,854,232	
Other Contract Services		61,915,862		0		0		61,915,862	
TOTAL Contract Services		378,216,908		13,214,000		0		391,430,908	
Data Center Services		119,866		0		0		119,866	
Agency Facilities		5,958,395		0		0		5,958,395	
Other		19,172,167		0		0		19,172,167	
Total One-time IT Costs	1074.0	537,672,644	0.0	13,214,000	0.0	0	1074.0	550,886,644	
Continuing IT Project Costs									
Staff (Salaries & Benefits)	959.6	123,000,844	386.0	57,486,198	335.0	46,558,775	1680.6	227,045,817	
Hardware Lease/Maintenance		4,695,865		2,439,401		2,499,266		9,634,532	
Software Maintenance/Licenses		10,338,085		7,839,915		7,215,604		25,393,604	
Telecommunications		759,997		165,600		165,600		1,091,197	
Contract Services		30,893,477		7,461,582		6,390,350		44,745,409	
Data Center Services		6,883,900		2,056,349		2,056,349		10,996,598	
Agency Facilities		16,763,635		3,196,525		3,352,123		23,312,283	
Other		14,126,527		5,733,402		5,203,401		25,063,330	
Total Continuing IT Costs	959.6	207,462,330	386.0	86,378,972	335.0	73,441,468	1680.6	367,282,770	
Total Project Costs	2033.6	745,134,974	386.0	99,592,972	335.0	73,441,468	2754.6	918,169,414	
Continuing Existing Costs ^{/1}									
Information Technology Staff	1704.3	162,682,780	131.1	12,514,060	131.1	12,514,060	1966.5	187,710,900	
Other IT Costs		190,799,596		14,676,892		14,676,892		220,153,380	
Total Continuing Existing IT Costs	1704.3	353,482,376	131.1	0	131.1	0	1966.5	353,482,376	
Program Staff	107295.5	7,756,786,362	8253.5	596,675,874	8253.5	596,675,874	123802.5	8,950,138,110	
Other Program Costs		1,262,111,305		97,085,485		97,085,485		1,456,282,275	
Total Continuing Existing Program Costs	107295.5	9,018,897,667	8253.5	693,761,359	8253.5	693,761,359	123802.5	10,406,420,385	
Total Continuing Existing Costs	108999.8	9,372,380,043	8384.6	693,761,359	8384.6	693,761,359	125769.0	10,759,902,761	
TOTAL ALTERNATIVE COSTS	111033.4	10,117,515,017	8770.6	793,354,331	8719.6	767,202,827	128523.6	11,678,072,175	
INCREASED REVENUES		0		0		0		0	

^{/1} Continuing Existing Costs are reported from SPR #8860-30, October 30, 2006 (does not include subsequent General Salary Increases)



ALTERNATIVE #1: Recreate Book of Record in a New Environment												Date Prepared: 12/22/2017		
Agency/state entity: Financial Information System of California												All Costs Should be shown in whole (unrounded) dollars.		
Project: FI\$CAL														
	FY 05/06-12/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY 2017/18		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs														
Staff (Salaries & Benefits)	537.7	54,565,965	124.8	14,281,434	83.2	9,775,680	78.6	10,332,849	113.7	18,831,312	136.0	18,702,170	1074.0	126,489,410
Hardware Purchase		3,890,391		436,334		68,110		179,938		0		0		4,574,773
Software Purchase/License		2,134,453		610,110		87,556		10,885		159,727		110,000		3,112,731
Telecommunications		0		9,571		18,822		0		0		0		28,393
Contract Services														
Software Customization		43,183,121		26,219,313		38,820,963		74,516,856		55,177,036		58,562,646		296,479,935
Project Management		4,781,860		180,958		428,000		1,203,802		943,360		7,712,980		7,712,980
Project Oversight		1,122,613		310,000		333,200		693,567		370,120		424,400		3,253,900
IV&V Services		2,846,892		936,000		936,000		1,197,340		1,664,000		1,274,000		8,854,232
Other Contract Services		18,702,091		6,361,326		8,725,303		14,305,228		3,071,714		10,750,200		61,915,862
TOTAL Contract Services		70,636,577		34,007,597		49,243,466		91,916,793		60,457,869		71,954,606		378,216,908
Data Center Services		119,866		0		0		0		0		0		119,866
Agency Facilities		5,958,395		0		0		0		0		0		5,958,395
Other		6,722,006		2,632,488		4,062,722		3,060,658		263,998		2,430,295		19,172,167
Total One-time IT Costs	537.7	144,027,653	124.8	51,977,534	83.2	63,256,356	78.6	105,501,123	113.7	79,712,907	136.0	93,197,071	1074.0	537,672,644
Continuing IT Project Costs														
Staff (Salaries & Benefits)	63.2	6,674,270	122.0	14,000,266	166.8	21,644,809	177.7	21,337,375	183.9	22,784,159	246.0	36,559,965	959.6	123,000,844
Hardware Lease/Maintenance		1,054,106		750,620		406,458		510,571		690,150		1,283,960		4,695,865
Software Maintenance/Licenses		653,041		395,013		894,802		1,640,843		1,204,365		5,550,021		10,338,085
Telecommunications		0		134,511		119,790		186,096		154,000		165,600		759,997
Contract Services		2,043,689		1,498,011		9,651,517		9,559,724		3,662,936		4,477,600		30,893,477
Data Center Services		842,625		405,551		646,352		772,123		1,411,326		2,805,923		6,883,900
Agency Facilities		2,869,078		3,911,684		1,990,590		2,312,346		2,089,287		3,590,650		16,763,635
Other		1,398,655		2,269,102		1,536,025		2,508,749		1,001,652		5,412,344		14,126,527
Total Continuing IT Costs	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	177.7	38,827,828	183.9	32,997,874	246.0	59,846,063	959.6	207,462,330
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,699	256.3	144,328,951	297.6	112,710,781	382.0	153,043,134	2033.6	745,134,974
Continuing Existing Costs ^{1/}														
Information Technology Staff	1048.8	100,112,480	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	1704.3	162,682,780
Other IT Costs		117,415,136		14,676,892		14,676,892		14,676,892		14,676,892		14,676,892		190,799,596
Total Continuing Existing IT Costs	1048.8	217,527,616	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	1704.3	353,482,376
Program Staff	66028.0	4,773,406,992	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	107295.5	7,756,786,362
Other Program Costs		776,683,880		97,085,485		97,085,485		97,085,485		97,085,485		97,085,485		1,262,111,305
Total Continuing Existing Program Costs	66028.0	5,550,090,872	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	107295.5	9,018,897,667
Total Continuing Existing Costs	67076.8	5,767,618,488	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	108999.8	9,372,380,043
TOTAL ALTERNATIVE COSTS	67677.7	5,927,181,605	8631.4	796,294,603	8634.6	821,099,010	8640.9	865,281,262	8682.2	833,663,092	8766.6	873,995,445	111033.4	10,117,515,017
INCREASED REVENUES		0		0		0		0		0		0		0

^{1/} Continuing Existing Costs are reported from SPR #8860-30, October 30, 2006 (does not include subsequent General Salary Increases)



SIMM 30C, Rev. 06/2014		ALTERNATIVE #1: Recreate Book of Record in a New Environment						Date Prepared: 12/22/2017	
Agency/state entity: Financial Information System of California		All Costs Should be shown in whole (unrounded) dollars.							
Project: FI\$CAL		Subtotal		FY 2018/19		FY 2019/20		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	
One-Time IT Project Costs									
Staff (Salaries & Benefits)	1074.0	126,489,410	0.0	0	0.0	0	1074.0	126,489,410	
Hardware Purchase		4,574,773		0		0		4,574,773	
Software Purchase/License		3,112,731		0		0		3,112,731	
Telecommunications		28,393		0		0		28,393	
Contract Services									
Software Customization		296,479,935		12,790,000		0		309,269,935	
Project Management		7,712,980		0		0		7,712,980	
Project Oversight		3,253,900		424,000		0		3,677,900	
IV&V Services		8,854,232		0		0		8,854,232	
Other Contract Services		61,915,862		0		0		61,915,862	
TOTAL Contract Services		378,216,908		13,214,000		0		391,430,908	
Data Center Services		119,866		0		0		119,866	
Agency Facilities		5,958,395		0		0		5,958,395	
Other		19,172,167		0		0		19,172,167	
Total One-time IT Costs	1074.0	537,672,644	0.0	13,214,000	0.0	0	1074.0	550,886,644	
Continuing IT Project Costs									
Staff (Salaries & Benefits)	959.6	123,000,844	386.0	57,486,198	335.0	46,558,775	1680.6	227,045,817	
Hardware Lease/Maintenance		4,695,865		2,439,401		2,499,266		9,634,532	
Software Maintenance/Licenses		10,338,085		7,839,915		7,215,604		25,393,604	
Telecommunications		759,997		165,600		165,600		1,091,197	
Contract Services		30,893,477		7,461,582		6,390,350		44,745,409	
Data Center Services		6,883,900		2,056,349		2,056,349		10,996,598	
Agency Facilities		16,763,635		3,196,525		3,352,123		23,312,283	
Other		14,126,527		5,733,402		5,203,401		25,063,330	
Total Continuing IT Costs	959.6	207,462,330	386.0	86,378,972	335.0	73,441,468	1680.6	367,282,770	
Total Project Costs	2033.6	745,134,974	386.0	99,592,972	335.0	73,441,468	2754.6	918,169,414	
Continuing Existing Costs ^{1/1}									
Information Technology Staff	1704.3	162,682,780	131.1	12,514,060	131.1	12,514,060	1966.5	187,710,900	
Other IT Costs		190,799,596		14,676,892		14,676,892		220,153,380	
Total Continuing Existing IT Costs	1704.3	353,482,376	131.1	0	131.1	0	1966.5	353,482,376	
Program Staff	107295.5	7,756,786,362	8253.5	596,675,874	8253.5	596,675,874	123802.5	8,950,138,110	
Other Program Costs		1,262,111,305		97,085,485		97,085,485		1,456,282,275	
Total Continuing Existing Program Costs	107295.5	9,018,897,667	8253.5	693,761,359	8253.5	693,761,359	123802.5	10,406,420,385	
Total Continuing Existing Costs	108999.8	9,372,380,043	8384.6	693,761,359	8384.6	693,761,359	125769.0	10,759,902,761	
TOTAL ALTERNATIVE COSTS	111033.4	10,117,515,017	8770.6	793,354,331	8719.6	767,202,827	128523.6	11,678,072,175	
INCREASED REVENUES		0		0		0		0	

^{1/1} Continuing Existing Costs are reported from SPR #8860-30, October 30, 2006 (does not include subsequent General Salary Increases)



Special Project Report 7
Project #8860-30

Rev. 2.0
January 2018

SIMM 30C, Rev. 06/2014	ALTERNATIVE #2: Create Consolidated BU Instance												Date Prepared: 12/22/2017		
Agency/state entity: Financial Information System of California	All Costs Should be shown in whole (unrounded) dollars.														
Project: FI\$CAL															
	FY 05/06-12/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY 2017/18		SUBTOTAL		
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	
One-Time IT Project Costs															
Staff (Salaries & Benefits)	537.7	54,565,965	124.8	14,281,434	83.2	9,775,680	78.6	10,332,849	113.7	18,831,312	136.0	18,702,170	1074.0	126,489,410	
Hardware Purchase		3,890,391		436,334		68,110		179,938		0		0		4,574,773	
Software Purchase/License		2,134,453		610,110		87,556		10,885		159,727		110,000		3,112,731	
Telecommunications		0		9,571		18,822		0		0		0		28,393	
Contract Services															
Software Customization		43,183,121		26,219,313		38,820,963		74,516,856		55,177,036		58,562,646		296,479,935	
Project Management		4,781,860		180,958		428,000		1,203,802		175,000		943,360		7,712,980	
Project Oversight		1,122,613		310,000		333,200		693,567		370,120		424,400		3,253,900	
IV&V Services		2,846,892		936,000		936,000		1,197,340		1,664,000		1,274,000		8,854,232	
Other Contract Services		18,702,091		6,361,326		8,725,303		14,305,228		3,071,714		10,750,200		61,915,862	
TOTAL Contract Services		70,636,577		34,007,597		49,243,466		91,916,793		60,457,869		71,954,606		378,216,908	
Data Center Services		119,866		0		0		0		0		0		119,866	
Agency Facilities		5,958,395		0		0		0		0		0		5,958,395	
Other		6,722,006		2,632,488		4,062,722		3,060,658		263,998		2,430,295		19,172,167	
Total One-time IT Costs	537.7	144,027,653	124.8	51,977,534	83.2	63,256,356	78.6	105,501,123	113.7	79,712,907	136.0	93,197,071	1074.0	537,672,644	
Continuing IT Project Costs															
Staff (Salaries & Benefits)	63.2	6,674,270	122.0	14,000,266	166.8	21,644,809	177.7	21,337,375	183.9	22,784,159	246.0	36,559,965	959.6	123,000,844	
Hardware Lease/Maintenance		1,054,106		750,620		406,458		510,571		690,150		1,283,960		4,695,865	
Software Maintenance/Licenses		653,041		395,013		894,802		1,640,843		1,204,365		5,550,021		10,338,085	
Telecommunications		0		134,511		119,790		186,096		154,000		165,600		759,997	
Contract Services		2,043,689		1,498,011		9,651,517		9,559,724		3,662,936		4,477,600		30,893,477	
Data Center Services		842,625		405,551		646,352		772,123		1,411,326		2,805,923		6,883,900	
Agency Facilities		2,869,078		3,911,684		1,990,590		2,312,346		2,089,287		3,590,650		16,763,635	
Other		1,398,655		2,269,102		1,536,025		2,508,749		1,001,652		5,412,344		14,126,527	
Total Continuing IT Costs	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	177.7	38,827,828	183.9	32,997,874	246.0	59,846,063	959.6	207,462,330	
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,699	256.3	144,328,951	297.6	112,710,781	382.0	153,043,134	2033.6	745,134,974	
Continuing Existing Costs ^{1/1}															
Information Technology Staff	1048.8	100,112,480	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	131.1	12,514,060	1704.3	162,682,780	
Other IT Costs		117,415,136		14,676,892		14,676,892		14,676,892		14,676,892		14,676,892		190,799,596	
Total Continuing Existing IT Costs	1048.8	217,527,616	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	1704.3	353,482,376	
Program Staff	66028.0	4,773,406,992	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	8253.5	596,675,874	107295.5	7,756,786,362	
Other Program Costs		776,683,880		97,085,485		97,085,485		97,085,485		97,085,485		97,085,485		1,262,111,305	
Total Continuing Existing Program Costs	66028.0	5,550,090,872	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	107295.5	9,018,897,667	
Total Continuing Existing Costs	67076.8	5,767,618,488	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	108999.8	9,372,380,043	
TOTAL ALTERNATIVE COSTS	67677.7	5,927,181,605	8631.4	796,294,603	8634.6	821,099,010	8640.9	865,281,262	8682.2	833,663,092	8766.6	873,995,445	111033.4	10,117,515,017	
INCREASED REVENUES		0		0		0		0		0		0		0	

^{1/1} Continuing Existing Costs are reported from SPR #8860-30, October 30, 2006 (does not include subsequent General Salary Increases)



SIMM 30C, Rev. 06/2014		ALTERNATIVE #2: Create Consolidated BU Instance						Date Prepared: 12/22/2017	
Agency/state entity: Financial Information System of California		All Costs Should be shown in whole (unrounded) dollars.							
Project: FI\$CAL		Subtotal		FY 2018/19		FY 2019/20		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	
One-Time IT Project Costs									
Staff (Salaries & Benefits)	1074.0	126,489,410	0.0	0	0.0	0	1074.0	126,489,410	
Hardware Purchase		4,574,773		0		0		4,574,773	
Software Purchase/License		3,112,731		0		0		3,112,731	
Telecommunications		28,393		0		0		28,393	
Contract Services									
Software Customization		296,479,935		12,790,000		0		309,269,935	
Project Management		7,712,980		0		0		7,712,980	
Project Oversight		3,253,900		424,000		0		3,677,900	
IV&V Services		8,854,232		0		0		8,854,232	
Other Contract Services		61,915,862		0		0		61,915,862	
TOTAL Contract Services		378,216,908		13,214,000		0		391,430,908	
Data Center Services		119,866		0		0		119,866	
Agency Facilities		5,958,395		0		0		5,958,395	
Other		19,172,167		0		0		19,172,167	
Total One-time IT Costs	1074.0	537,672,644	0.0	13,214,000	0.0	0	1074.0	550,886,644	
Continuing IT Project Costs									
Staff (Salaries & Benefits)	959.6	123,000,844	386.0	57,486,198	335.0	46,558,775	1680.6	227,045,817	
Hardware Lease/Maintenance		4,695,865		2,439,401		2,499,266		9,634,532	
Software Maintenance/Licenses		10,338,085		7,839,915		7,215,604		25,393,604	
Telecommunications		759,997		165,600		165,600		1,091,197	
Contract Services		30,893,477		7,461,582		6,390,350		44,745,409	
Data Center Services		6,883,900		2,056,349		2,056,349		10,996,598	
Agency Facilities		16,763,635		3,196,525		3,352,123		23,312,283	
Other		14,126,527		5,733,402		5,203,401		25,063,330	
Total Continuing IT Costs	959.6	207,462,330	386.0	86,378,972	335.0	73,441,468	1680.6	367,282,770	
Total Project Costs	2033.6	745,134,974	386.0	99,592,972	335.0	73,441,468	2754.6	918,169,414	
Continuing Existing Costs ¹									
Information Technology Staff	1704.3	162,682,780	131.1	12,514,060	131.1	12,514,060	1966.5	187,710,900	
Other IT Costs		190,799,596		14,676,892		14,676,892		220,153,380	
Total Continuing Existing IT Costs	1704.3	353,482,376	131.1	0	131.1	0	1966.5	353,482,376	
Program Staff	107295.5	7,756,786,362	8253.5	596,675,874	8253.5	596,675,874	123802.5	8,950,138,110	
Other Program Costs		1,262,111,305		97,085,485		97,085,485		1,456,282,275	
Total Continuing Existing Program Costs	107295.5	9,018,897,667	8253.5	693,761,359	8253.5	693,761,359	123802.5	10,406,420,385	
Total Continuing Existing Costs	108999.8	9,372,380,043	8384.6	693,761,359	8384.6	693,761,359	125769.0	10,759,902,761	
TOTAL ALTERNATIVE COSTS	111033.4	10,117,515,017	8770.6	793,354,331	8719.6	767,202,827	128523.6	11,678,072,175	
INCREASED REVENUES		0		0		0		0	

¹ Continuing Existing Costs are reported from SPR #8860-30, October 30, 2006 (does not include subsequent General Salary Increases)



ECONOMIC ANALYSIS SUMMARY														
SIMM 30C, Rev. 06/2014				All costs to be shown in whole (unrounded) dollars.								Date Prepared: 12/22/2017		
Agency/state entity: Financial Information System of California														
Project: FI\$CAL														
	FY 05/06-12/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY 2017/18		SUBTOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
EXISTING SYSTEM														
Total IT Costs	1048.8	217,527,616	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	131.1	27,190,952	1704.3	353,482,376
Total Program Costs	66028.0	5,550,090,872	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	8253.5	693,761,359	107295.5	9,018,897,667
Total Existing System Costs	67076.8	5,767,618,488	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	108999.8	9,372,380,043
PROPOSED ALTERNATIVE														
	0													
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,699	256.3	144,328,951	297.6	112,710,781	382.0	153,043,134	2033.6	745,134,974
Total Cont. Exist. Costs	67076.8	5,767,618,488	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	108999.8	9,372,380,043
Total Alternative Costs	67677.7	5,927,181,605	8631.4	796,294,603	8634.6	821,099,010	8640.9	865,281,262	8682.2	833,663,092	8766.6	873,995,445	111033.4	10,117,515,017
COST SAVINGS/AVOIDANCES	(600.9)	(159,563,117)	(246.8)	(75,342,292)	(250.0)	(100,146,699)	(256.3)	(144,328,951)	(297.6)	(112,710,781)	(382.0)	(153,043,134)	(2033.6)	(745,134,974)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(600.9)	(159,563,117)	(246.8)	(75,342,292)	(250.0)	(100,146,699)	(256.3)	(144,328,951)	(297.6)	(112,710,781)	(382.0)	(153,043,134)	(2033.6)	(745,134,974)
Cum. Net (Cost) or Benefit	(600.9)	(159,563,117)	(847.7)	(234,905,409)	(1097.7)	(335,052,108)	(1354.0)	(479,381,059)	(1651.6)	(592,091,840)	(2033.6)	(745,134,974)		
ALTERNATIVE #1														
	0													
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,699	256.3	144,328,951	297.6	112,710,781	382.0	153,043,134	2033.6	745,134,974
Total Cont. Exist. Costs	67076.8	5,767,618,488	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	108999.8	9,372,380,043
Total Alternative Costs	67677.7	5,927,181,605	8631.4	796,294,603	8634.6	821,099,010	8640.9	865,281,262	8682.2	833,663,092	8766.6	873,995,445	111033.4	10,117,515,017
COST SAVINGS/AVOIDANCES	(600.9)	(159,563,117)	(246.8)	(75,342,292)	(250.0)	(100,146,699)	(256.3)	(144,328,951)	(297.6)	(112,710,781)	(382.0)	(153,043,134)	(2033.6)	(745,134,974)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(600.9)	(159,563,117)	(246.8)	(75,342,292)	(250.0)	(100,146,699)	(256.3)	(144,328,951)	(297.6)	(112,710,781)	(382.0)	(153,043,134)	(2033.6)	(745,134,974)
Cum. Net (Cost) or Benefit	(600.9)	(159,563,117)	(847.7)	(234,905,409)	(1097.7)	(335,052,108)	(1354.0)	(479,381,059)	(1651.6)	(592,091,840)	(2033.6)	(745,134,974)		
ALTERNATIVE #2														
	0.0													
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,699	256.3	144,328,951	297.6	112,710,781	382.0	153,043,134	2033.6	745,134,974
Total Cont. Exist. Costs	67076.8	5,767,618,488	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	8384.6	720,952,311	108999.8	9,372,380,043
Total Alternative Costs	67677.7	5,927,181,605	8631.4	796,294,603	8634.6	821,099,010	8640.9	865,281,262	8682.2	833,663,092	8766.6	873,995,445	111033.4	10,117,515,017
COST SAVINGS/AVOIDANCES	(600.9)	(159,563,117)	(246.8)	(75,342,292)	(250.0)	(100,146,699)	(256.3)	(144,328,951)	(297.6)	(112,710,781)	(382.0)	(153,043,134)	(2033.6)	(745,134,974)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(600.9)	(159,563,117)	(246.8)	(75,342,292)	(250.0)	(100,146,699)	(256.3)	(144,328,951)	(297.6)	(112,710,781)	(382.0)	(153,043,134)	(2033.6)	(745,134,974)
Cum. Net (Cost) or Benefit	(600.9)	(159,563,117)	(847.7)	(234,905,409)	(1097.7)	(335,052,108)	(1354.0)	(479,381,059)	(1651.6)	(592,091,840)	(2033.6)	(745,134,974)		



ECONOMIC ANALYSIS SUMMARY														Date Prepared: 12/22/2017	
SIMM 30C, Rev. 06/2014				All costs to be shown in whole (unrounded) dollars.								Date Prepared: 12/22/2017			
Agency/state entity: Financial Information System of California												Date Prepared: 12/22/2017			
Project: FI\$CAL															
	SUBTOTAL		FY 2018/19		FY 2019/20		FY 2020/21		PYs	Amts	PYs	Amts	TOTAL		
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts					PYs	Amts	
EXISTING SYSTEM															
Total IT Costs	1704.3	353,482,376	131.1	27,190,952	131.1	27,190,952	0.0	0	0.0	0	0.0	0	1966.5	407,864,280	
Total Program Costs	107295.5	9,018,897,667	8253.5	693,761,359	8253.5	693,761,359	0.0	0	0.0	0	0.0	0	123802.5	10,406,420,385	
Total Existing System Costs	108999.8	9,372,380,043	8384.6	720,952,311	8384.6	720,952,311	0.0	0	0.0	0	0.0	0	125769.0	10,814,284,665	
PROPOSED ALTERNATIVE															
	0														
Total Project Costs	2033.6	745,134,974	386.0	99,592,972	335.0	73,441,468	0.0	0	0.0	0	0.0	0	2754.6	918,169,414	
Total Cont. Exist. Costs	108999.8	9,372,380,043	8384.6	693,761,359	8384.6	693,761,359	0.0	0	0.0	0	0.0	0	125769.0	10,759,902,761	
Total Alternative Costs	111033.4	10,117,515,017	8770.6	793,354,331	8719.6	767,202,827	0.0	0	0.0	0	0.0	0	128523.6	11,678,072,175	
COST SAVINGS/AVOIDANCES	(2033.6)	(745,134,974)	(386.0)	(72,402,020)	(335.0)	(46,250,516)	0.0	0	0.0	0	0.0	0	(2754.6)	(863,787,510)	
Increased Revenues		0		0		0		0		0		0		0	
Net (Cost) or Benefit	(2033.6)	(745,134,974)	(386.0)	(72,402,020)	(335.0)	(46,250,516)	0.0	0	0.0	0	0.0	0	(2754.6)	(863,787,510)	
Cum. Net (Cost) or Benefit	(2033.6)	(745,134,974)	(386.0)	(72,402,020)	(335.0)	(46,250,516)	0.0	0	0.0	0	0.0	0	(2754.6)	(863,787,510)	
ALTERNATIVE #1															
	0														
Total Project Costs	2033.6	745,134,974	386.0	99,592,972	335.0	73,441,468	0.0	0	0.0	0	0.0	0	2754.6	918,169,414	
Total Cont. Exist. Costs	108999.8	9,372,380,043	8384.6	693,761,359	8384.6	693,761,359	0.0	0	0.0	0	0.0	0	125769.0	10,759,902,761	
Total Alternative Costs	111033.4	10,117,515,017	8770.6	793,354,331	8719.6	767,202,827	0.0	0	0.0	0	0.0	0	128523.6	11,678,072,175	
COST SAVINGS/AVOIDANCES	(2033.6)	(745,134,974)	(386.0)	(72,402,020)	(335.0)	(46,250,516)	0.0	0	0.0	0	0.0	0	(2754.6)	(863,787,510)	
Increased Revenues		0		0		0		0		0		0		0	
Net (Cost) or Benefit	(2033.6)	(745,134,974)	(386.0)	(72,402,020)	(335.0)	(46,250,516)	0.0	0	0.0	0	0.0	0	(2754.6)	(863,787,510)	
Cum. Net (Cost) or Benefit	(2033.6)	(745,134,974)	(386.0)	(72,402,020)	(335.0)	(46,250,516)	0.0	0	0.0	0	0.0	0	(2754.6)	(863,787,510)	
ALTERNATIVE #2															
	0														
Total Project Costs	2033.6	745,134,974	386.0	99,592,972	335.0	73,441,468	0.0	0	0.0	0	0.0	0	2754.6	918,169,414	
Total Cont. Exist. Costs	108999.8	9,372,380,043	8384.6	693,761,359	8384.6	693,761,359	0.0	0	0.0	0	0.0	0	125769.0	10,759,902,761	
Total Alternative Costs	111033.4	10,117,515,017	8770.6	793,354,331	8719.6	767,202,827	0.0	0	0.0	0	0.0	0	128523.6	11,678,072,175	
COST SAVINGS/AVOIDANCES	(2033.6)	(745,134,974)	(386.0)	(72,402,020)	(335.0)	(46,250,516)	0.0	0	0.0	0	0.0	0	(2754.6)	(863,787,510)	
Increased Revenues		0		0		0		0		0		0		0	
Net (Cost) or Benefit	(2033.6)	(745,134,974)	(386.0)	(72,402,020)	(335.0)	(46,250,516)	0.0	0	0.0	0	0.0	0	(2754.6)	(863,787,510)	
Cum. Net (Cost) or Benefit	(2033.6)	(745,134,974)	(386.0)	(72,402,020)	(335.0)	(46,250,516)	0.0	0	0.0	0	0.0	0	(2754.6)	(863,787,510)	



SIMM 30C, Rev. 06/2014														PROJECT FUNDING PLAN			
Agency/state entity: Financial Information System of California														All Costs to be in whole (unrounded) dollars		Date Prepared: 12/22/2017	
Project: FI\$CAL																	
	FY	05/06-12/13	FY	2013/14	FY	2014/15	FY	2015/16	FY	2016/17	FY	2017/18	SUBTOTALS				
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts			
TOTAL PROJECT COSTS	600.9	159,563,117	246.8	75,342,292	250.0	100,146,699	256.3	144,328,951	297.6	112,710,781	382.0	153,043,134	2033.6	745,134,974			
RESOURCES TO BE REDIRECTED																	
Staff	19.9	3,197,521	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	19.9	3,197,521			
Funds:																	
Existing System		0		0		0		0		0		0		0			
Other Fund Sources		0		0		0		0		0		0		0			
TOTAL REDIRECTED RESOURCES	19.9	3,197,521	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	19.9	3,197,521			
ADDITIONAL PROJECT FUNDING NEEDED																	
One-Time Project Costs	537.7	140,830,132	124.8	51,977,534	83.2	63,256,356	78.6	105,501,123	113.7	79,712,907	136.0	93,197,071	1074.0	534,475,123			
Continuing Project Costs	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	177.7	38,827,828	183.9	32,997,874	246.0	59,846,063	959.6	207,462,330			
TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR	600.9	156,365,596	246.8	75,342,292	250.0	100,146,699	256.3	144,328,951	297.6	112,710,781	382.0	153,043,134	2033.6	741,937,453			
TOTAL PROJECT FUNDING	620.8	159,563,117	246.8	75,342,292	250.0	100,146,699	256.3	144,328,951	297.6	112,710,781	382.0	153,043,134	2053.5	745,134,974			
Difference: Funding - Costs	19.9	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	19.9	0			
Total Estimated Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0			
FUNDING SOURCE*																	
General Fund (001)	11%	16,896,537	0%	0	0%	0	0%	0	17%	18,699,464	20%	31,015,000	9%	66,611,001			
General Fund (011)	0%	0	5%	3,394,000	95%	95,602,044	72%	103,715,000	64%	72,361,000	37%	57,283,000	45%	332,355,044			
CSCRF (001)	2%	3,858,400	4%	2,869,000	3%	3,225,374	3%	4,823,000	13%	14,106,613	15%	23,259,000	7%	52,141,387			
FI\$Cal Internal Services Fund (001)	23%	37,206,994	0%	0	0%	0	0%	0	0%	0	0%	0	5%	37,206,994			
SF/NCGF (588)	62%	98,347,874	105%	78,837,000	9%	8,966,937	19%	27,963,000	18%	20,618,000	14%	21,142,000	34%	255,874,811			
Redirection	2%	3,197,521	0%	0	0%	0	0%	0	0%	0	0%	0	0%	3,197,521			
Reimbursement	0%	55,791	0%	0	0%	0	0%	0	0%	0	0%	0	0%	55,791			
Reappropriation (001-0001)											2%	3,175,810	0%	3,175,810			
Reappropriation (001-9737)	0%	0	-13%	-9,757,708	-8%	-7,647,656	5%	7,827,951	-10%	-11,710,295	10%	15,612,000	-1%	-5,675,708			
Reappropriation (001-9740)											2%	2,397,190	0%	2,397,190			
TOTAL FUNDING	100%	159,563,117	100%	75,342,292	100%	100,146,699	100%	144,328,951	101%	114,074,781	101%	153,884,000	100%	747,339,840			
*Type: If applicable, for each funding source, beginning on row 29, describe what type of funding is included, such as local assistance or grant funding, the date the funding is to become available, and the duration of the funding.																	



ADJUSTMENTS, SAVINGS AND REVENUES WORKSHEET													
SIMM 30C, Rev. 06/2014											Date Prepared: 12/22/2017		
Agency/state entity: Financial Information Sys													
Project: FI\$CAL													
	FY	05/06-12/13	FY	2013/14	FY	2014/15	FY	2015/16	FY	2016/17	FY	2017/18	
Annual Project Adjustments	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	
One-time Costs													
Previous Year's Baseline	0.0	0	537.7	140,830,132	124.8	51,977,534	83.2	63,256,356	78.6	105,501,123	113.7	79,712,907	
(A) Annual Augmentation /(Reduction)	537.7	140,830,132	(412.9)	(88,852,598)	(41.6)	11,278,822	(4.6)	42,244,767	35.1	(25,788,217)	22.3	13,484,164	
(B) Total One-Time Budget Actions	537.7	140,830,132	124.8	51,977,534	83.2	63,256,356	78.6	105,501,123	113.7	79,712,907	136.0	93,197,071	
Continuing Costs													
Previous Year's Baseline	0.0	0	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	177.7	38,827,828	183.9	32,997,874	
(C) Annual Augmentation /(Reduction)	63.2	15,535,464	58.8	7,829,294	44.8	13,525,585	10.9	1,937,485	6.2	(5,829,953)	62.1	26,848,189	
(D) Total Continuing Budget Actions	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	177.7	38,827,828	183.9	32,997,874	246.0	59,846,063	
Total Annual Project Budget Augmentation /(Reduction) [A + C]	600.9	156,365,596	(354.1)	(81,023,304)	3.2	24,804,407	6.3	44,182,252	41.3	(31,618,170)	84.4	40,332,353	
[A, C] Excludes Redirected Resources													
Total Additional Project Funds Needed [B + D]													
Annual Savings/Revenue Adjustments													
Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
Increased Program Revenues		0		0		0		0		0		0	



SIMM 30C, Rev. 06/2014		PROJECT FUNDING PLAN							
Agency/state entity: Financial Information System of California		All Costs to be in whole (unrounded) dollars						Date Prepared: 12/22/2017	
Project: FI\$CAL									
	SUBTOTALS		FY 2018/19		FY 2019/20		TOTALS		
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	
TOTAL PROJECT COSTS	2033.6	745,134,974	386.0	99,592,972	335.0	73,441,468	2754.6	918,169,414	
RESOURCES TO BE REDIRECTED									
Staff	19.9	3,197,521	0.0	0	0.0	0	19.9	3,197,521	
Funds:									
Existing System		0		0		0		0	
Other Fund Sources		0		0		0		0	
TOTAL REDIRECTED RESOURCES	19.9	3,197,521	0.0	0	0.0	0	19.9	3,197,521	
ADDITIONAL PROJECT FUNDING NEEDED									
One-Time Project Costs	1074.0	534,475,123	0.0	13,214,000	0.0	0	1074.0	547,689,123	
Continuing Project Costs	959.6	207,462,330	386.0	86,378,972	335.0	73,441,468	1680.6	367,282,770	
TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR	2033.6	741,937,453	386.0	99,592,972	335.0	73,441,468	2754.6	914,971,893	
TOTAL PROJECT FUNDING	2053.5	745,134,974	386.0	99,592,972	335.0	73,441,468	2774.5	918,169,414	
Difference: Funding - Costs	19.9	0	0.0	0	0.0	0	19.9	0	
Total Estimated Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	
FUNDING SOURCE*									
General Fund (001)	9%	66,611,001	47%	46,348,000	57%	41,861,000	17%	154,820,001	
General Fund (011)	45%	332,355,044	6%	5,828,250	0%	0	37%	338,183,294	
CSCRF (001)	7%	52,141,387	35%	34,964,000	43%	31,580,000	13%	118,685,387	
FI\$Cal Internal Services Fund (001)	5%	37,206,994	0%	0	0%	0	4%	37,206,994	
SF/NGCF (588)	34%	255,874,811	2%	1,671,750	0%	0	28%	257,546,561	
Redirection	0%	3,197,521	0%	0	0%	0	0%	3,197,521	
Reimbursement	0%	55,791	0%	0	0%	0	0%	55,791	
Reappropriation (001-0001)	0%	3,175,810	3%	2,888,190	0%	0	1%	6,064,000	
Reappropriation (001-9737)	-1%	-5,675,708	6%	5,714,000	0%	0	0%	38,292	
Reappropriation (001-9740)	0%	2,397,190	2%	2,178,810	0%	0	0%	4,576,000	
TOTAL FUNDING	100%	747,339,840	100%	99,593,000	100%	73,441,000	100%	920,373,840	
The variance in Total Project Funding and Total Funding is due to Pro Rata assessments now being charged directly at the fund level pursuant to Chapter 31, Statutes of 2016 (SB 836). The Special Funds/Non-governmental Cost Fund are still assessed through Control Section 8.88 for Pro Rata.									
*Type: If applicable, for each funding source, beginning on row 29, describe what type of funding is included, such as local assistance or grant funding, the date the funding is to become available, and the duration of the funding.									

ADJUSTMENTS, SAVINGS AND REVENUES WORKSHEET							
SIMM 30C, Rev. 06/2014						Date Prepared: 12/22/2017	
Agency/state entity: Financial Information							
Project: FI\$CAL							
		FY	2018/19	FY	2019/20	Net Adjustments	
Annual Project Adjustments		PYs	Amts	PYs	Amts	PYs	Amts
One-time Costs							
Previous Year's Baseline		136.0	93,197,071	0.0	13,214,000		
(A) Annual Augmentation /(Reduction)		(136.0)	(79,983,071)	0.0	(13,214,000)		
(B) Total One-Time Budget Actions		0.0	13,214,000	0.0	0	1074.0	547,689,123
Continuing Costs							
Previous Year's Baseline		246.0	59,846,063	386.0	86,378,972		
(C) Annual Augmentation /(Reduction)		140.0	26,532,909	(51.0)	(12,937,505)		
(D) Total Continuing Budget Actions		386.0	86,378,972	335.0	73,441,468	1680.6	367,282,770
Total Annual Project Budget Augmentation /(Reduction) [A + C]		4.0	(53,450,161)	(51.0)	(26,151,505)		
[A, C] Excludes Redirected Resources							
Total Additional Project Funds Needed [B + D]						2754.6	914,971,893
Annual Savings/Revenue Adjustments							
Cost Savings		0.0	0	0.0	0		
Increased Program Revenues			0		0		

Appendix F: Acronyms

The following acronyms are used in SPR 7:

Acronym	Definition
ABC	Department of Alcoholic Beverage Control
ABCAB	Alcoholic Beverage Control Appeals Board
ABMS	Activity-Based Management System
ADA	American with Disabilities Act
AIMS	Agency Information Management Strategy
ALRB	Agricultural Labor Relations Board
ApEx	Application Express
AR	Accounts Receivable
BAFO	Best and Final Offer
BCDC	San Francisco Bay Conservation and Development Commission
BHC	Baldwin Hills Conservancy
BLL	Budgetary Legal Ledger
BOE	Board of Equalization
BOR	Book of Record
BTM	Business Transaction Monitoring
CAAM	California African American Museum
CAC	California Arts Council
CALPIA	California Prison Industry Authority
CalRecycle	Department of Resources Recycling and Recovery
CALSTARS	California State Accounting & Reporting System
CalTech	California Department of Technology
CalVet	Department of Veterans Affairs
CCB	Change Control Board
CCC	California Conservation Corps
CCCCO	California Community Colleges Chancellor's Office
CCFC	California and Families Commission
CCOA	California Commission on Aging
CDA	California Department of Aging
CDE	California Department of Education
CDT	California Department of Technology
CDFA	Department of Food and Agriculture
CDFW	Department of Fish and Wildlife
CDPR	Department of Pesticide Regulation

Acronym	Definition
CFS	Contracted Fiscal Services
CHRB	California Horse Racing Board
CIC	Customer Impact Committee
CLRC	California Law Revision Commission
CMO	Change Management Office
COA	Chart of Accounts
Coastal	California Coastal Commission
CR	Change Request
CRB	Colorado River Board
CSAC	Student Aid Commission
CSCR	California State Contracts Register
CSSSA	California State Summer School for the Arts
CTS	STO's Centralized State Treasury System (CTS)
CVMC	Coachella Valley Mountains Conservancy
DCA	Department of Consumer Affairs
DCSD	Department of Community Services and Development
DCSS	Department of Child Support Services
DD	Deputy Director
DD&I	Design, Development, and Implementation
DFEH	Department of Fair Employment and Housing
DGS	Department of General Services
DMHC	Department of Managed Health Care
DOC	Department of Conservation
DOF	Department of Finance
DOI	Department of Insurance
DOJ	Department of Justice
DTSC	Department of Toxic Substances Control
DP	Decision Package
EAW	Economic Analysis Worksheet
ENERGY	Energy Resources Conservation and Development Commission
EPP	Environmentally Preferred Purchasing
ERP	Enterprise Resource Planning
FI	Financial Information Reporting
FI\$Cal	Financial Information System of California
FSC	FI\$Cal Service Center
FSR	Feasibility Study Report
FY	Fiscal Year
GBPS	Governor's Budget Presentation System

Acronym	Definition
GRC	Governance Risk and Compliance
HCP	Human Capital Planning
HSR	High Speed Rail Authority
ISO	Information Security Office
ITD	Information Technology Division
ITSM	Information Technology Service Management
IV&V	Independent Verification and Validation
KT	Knowledge Transfer
LAIF	Local Agency Investment Fund
LASBA	Los Angeles State Building Authority
LCB	Legislation Counsel Bureau
LDR	Legacy Data Repository
LEG	Legislature
Library	California State Library
LPA	Leveraged Procurement Agreement
LTG	Office of the Lieutenant Governor
MDW	Master Data Workplan
MEC	Month-End Close
MILITARY	Military Department
O&M	Operations and Maintenance
OBI	Oracle Business Intelligence
ODMF	Operational Decision Making Framework
OEHHA	Office of Environmental Health Hazard Assessment
OES	Office of Emergency Services
OPSC	Office of Public School Construction
ORF	Office Revolving Fund
OSBA	Oakland State Building Authority
OSDS	DGS's Office of Small Business and Disabled Veteran Business Enterprise Services
OSHPD	Office of Statewide Health Planning and Development
OTech	Office of Technology Services
PARKS	Department of Parks and Recreation
PART	Partner Evaluation and Review Team
PBE	Project Board Executive
PCA	(Oracle) Private Cloud Appliance
P-Card	Payment Card
PERB	Public Employment Relations Board
PIA	Prison Industry Authority

Acronym	Definition
PIER	Post-Implementation Evaluation Report
PMO	Project Management Office
PO	Purchase Order
POAM	Plan of Action and Milestones
POST	Peace Officer Standards and Training Commission
PSP	Production Stability Period
PWB	State Public Works Board
RCPFA	Riverside County Public Financing Authority
RFP	Request for Proposals
SA BRC	State Agency Buy Recycled Campaign
SB/DVBE	Small Business/Disabled Veterans Business Enterprise
SCC	State Coastal Conservancy
SCO	State Controller's Office
SCFA	Sacramento City Financing Authority
Science	California Science Center
SCPMD	Service Center and Project Management Division
SCPRS	State Contract and Procurement Registration System
SDLC	Systems Development Life Cycle
SFAP	School Facilities Aid Program (OPSC)
SFSBA	San Francisco State Building Authority
SI	System Integrator
SIEM	Security Information and Event Management
SJRC	San Joaquin River Conservancy
SOCA	Statement of Cash Accountability
SOS	Secretary of State
SPR	Special Project Report
STO	State Treasurer's Office
SWRCB	State Water Resources Control Board
TRP	Technology Recovery Plan
UAT	User Acceptance Testing
UUAT	Unscripted User Acceptance Testing
VCGCB	Victims' Compensation and Government Claims Board
WCB	Wildlife Conservation Board
YEC	Year-End Close

Appendix G: Detailed Requirements Analysis for Completed Functionality/Technology

Detailed Requirements Analysis for completed functionality and technology is provided as a separate attachment.

Appendix H: Letters to Partner Agencies

This appendix includes letters to each of the FI\$Cal Partners ensuring FI\$Cal's commitment to ongoing collaboration and support during operations and maintenance.

Letter to Finance

STATE OF CALIFORNIA



EDMUND G. BROWN JR., Governor



One state. One system.

Miriam Barcelona Ingenito
Director

FINANCIAL INFORMATION SYSTEM FOR CALIFORNIA
2000 Evergreen Street
Sacramento, CA 95815-3896
(916) 579-4846

December 15, 2017

Michael Cohen
Director
Department of Finance
915 L Street
Sacramento, CA 95814

SUBJECT: Budget Solution Items

Dear Director Cohen:

As the Department of FI\$Cal approaches its final year of the Contract with the System Integrator and progresses to the post-implementation evaluation report phase, the Department of FI\$Cal commits to continued efforts to address and solution the remaining Budget work prioritized by the Department of Finance. The Department of Finance has agreed to defer a number of budget business requirements and it desires to implement them through FI\$Cal in the future. These business requirements include:

- Past year actuals and beginning balance interface(s) between PeopleSoft and Hyperion
- Budget Administration Adjustments (between Hyperion and PeopleSoft)
- Human Capital Planning (when the appropriate source information is available)
- Legislative Counsel Bureau interfaces
- Operating budgets for departments (efforts to be decided by FI\$Cal)
- Cash Flow Forecasting (to meet Finance's need to extract cash/accounting information from PeopleSoft)
- Department Forecasting (efforts to be decided by FI\$Cal)
- Hyperion Planning application (separate applications for departments vs. Finance use)
- Archiving Hyperion data (long-term strategy)
- Real-time data for reporting purposes

The following business requirements are currently being addressed on behalf of the Department of Finance:

- Locking features

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- Audit trails
- Self-service features

We look forward to working with the Department of Finance to prioritize these remaining issues in the near future, depending upon available resources. The Department of Finance is an integral partner and invaluable component of the Department of FI\$Cal's current and ongoing success. Rest assured, the Department of FI\$Cal is committed to providing the Department of Finance with the quality service and functionality it requires for the State to remain on a path of long-term fiscal stability.

Sincerely,



Miriam Barcellona Ingenito

Director

CC: Todd Jerue, FI\$Cal Project Sponsor
Veronica Chung-Ng
Erika Li

Letter to DGS



STATE OF CALIFORNIA
FI\$Cal
One state. One system.
 FINANCIAL INFORMATION SYSTEM FOR CALIFORNIA
 2000 Broadway Street
 San Francisco, CA 94115-3896
 (916) 576-4944



EDMUND G. BROWN JR., Governor
 Miriam Barcelona Ingelito
 Director

January 5, 2018

Mr. Daniel C. Kim
 Director
 Department of General Services
 707 Third Street
 West Sacramento, California 95605

SUBJECT: Maintenance and Operations Commitments

Dear Director Kim,

As the Department of FI\$Cal approaches its final year of its Contract with the System Integrator and progresses to the post-implementation evaluation report phase, the Department of FI\$Cal commits to continued partnership with the Department of General Services (DGS). Together we will solution the remaining DGS prioritized items. As you know, significant resources have been allocated to the current and future delivery, through Agile methodology, of more than 90 items that DGS desires to implement through FI\$Cal. Change Request 662 approved the initial Agile work for DGS, followed by Change Request 677 and 692 to extend resources through July 2018. Among the work that is currently underway:

- Improved attachment capacity for contracts
- Improved SCPRS searches and reports
- P-Card enhanced functionality
- Certification specifications and reporting
- Purchase Order flexibility and enhancement
- Enhanced approver search capability
- UNSPC Administration
- Items Functionality
- PD Billing
- Disabled Veterans Business Enterprise and Small Business Reports
- Ethnicity, Race, Gender, Sexual Orientation Reports
- Consolidated Annual Report functionality
- Punch Out Catalog capacity
- Integration and implementation of the GS\$Mart financial marketplace

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Daniel C. Kim
 January 5, 2018
 Page 2

Specifically, the Department is committed to expeditiously addressing the issues identified by DGS on December 29, 2017 by forming dedicated FI\$Cal / DGS teams to resolve the following production issues:

- **Pending Cash Issues** – this needs to be resolved for DGS to close its GL modules within FI\$Cal.
- **Allocations** – this needs to be resolved for DGS to distribute expenses amongst its programs to accurately determine program solvency.
- **Vendor Payment Processing** – this needs to be resolved so DGS can issue vendor payments through the FI\$Cal system rather than through a manual workaround process.
- **1099 Data Cleanup** – this needs to be resolved to issue accurate 1099 reports to vendors.
- **DGS Labor Distribution** – this needs to be resolved to allocate labor costs to accurately determine program solvency.

FI\$Cal is committed to dedicating the appropriate resources to resolve these issues by March 2018. Please know, however, that to the extent that some of these fixes require changes to the underlying Oracle system, FI\$Cal may be unable to completely resolve these fixes without assistance from Oracle. However, FI\$Cal is committed to working directly with Oracle to immediately resolve these system issues.

In addition, within the next 30 to 45 days, FI\$Cal will work with DGS to develop the sprint plan for the known remaining work for DGS departmental accounting (ABMS) and identified in the DGS December 29th document. Similar to the successful eProcure agile sprints, the sprint plan for ABMS will include scheduled delivery dates and a commitment to dedicated FI\$Cal and DGS staff resources. FI\$Cal is committed to providing FI\$Cal staff or contracted staff resources through January 2019.

FI\$Cal understands that DGS' needs may continue to evolve. To this end, FI\$Cal and DGS will continue monthly meetings between the directors to ensure agreement on what constitutes completed delivery, including resource allocation, prioritization of work, scope of work, schedule and deployment. We expect the new sprint process to be completed by January 2019.

The Department of General Services is an integral partner and invaluable component of the Department of FI\$Cal's current and ongoing success. FI\$Cal is committed to providing DGS with the functionality it requires for its continued business management of the State.

Sincerely

 Mirjam Barcellona Ingenito
 Director

cc: Angela Shell, Deputy Director of Procurement Division
 Andrew Sturfels, Acting Deputy Director of Administration Division
 Roger Anderson, DGS Partner Business Executive

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Letter to SCO

STATE OF CALIFORNIA



One state. One system.

FINANCIAL INFORMATION SYSTEM FOR CALIFORNIA
2000 Evergreen Street
Sacramento, CA 95815-3606
(916) 578-4846



EDMUND G. BROWN, JR., Governor

Miriam Barcellona Ingenito
Director

January 5, 2018

Honorable Betty T. Yee
California State Controller
State Controller's Office
300 Capitol Mall
Sacramento, CA 95814

SUBJECT: Integrated Solution Items

Dear Honorable Controller Yee:

As the Department of FI\$Cal approaches its final year of the Contract with the System Integrator and progresses to the post-implementation evaluation report phase, the Department of FI\$Cal commits to delivering the Integrated Solution to the State Controller's Office (SCO), memorialized in Change Request 661 and Special Project Report 7. Our commitment to SCO includes, but is not limited to:

- FI\$Cal will run in tandem with legacy systems, and have the functionality to complete the CAFR, and become the Book of Record for the state of California
- With this integrated approach, the SCO/STO home teams will have the time and comfort to transition to the new control functions available in FI\$Cal
- Any work beyond the July 2019 core implementation will be addressed, performed and managed by FI\$Cal staff as part of FI\$Cal Maintenance and Operation

We understand that the State Controller's Office needs may continue to evolve as each milestone is reached, including Milestone 6, which currently includes the following:

- Cutover of the state's Book of Record
- Pooled Money Investment Account Interest Allocation
- Automated General Fund Daily Borrowing
- General Fund Disbursements and Receipts Reporting
- General Fund Cash Forecasting

Additionally, FI\$Cal is committed to partnering with SCO to: implement financial interfaces for deferred and exempt departments; retire the Integrated Solution; provide payment

Honorable Betty T. Yee
January 5, 2018
Page 2

printing and processing functionality; and automate the SCO processes, including statewide allocations.

The State Controller is an integral partner and invaluable component of the Department of FI\$Cal's current and ongoing success. The Department of FI\$Cal is committed to providing the State Controller's Office with the functionality it requires for its financial management of the State.

Sincerely,



Miriam Barcellona Ingenito
Director

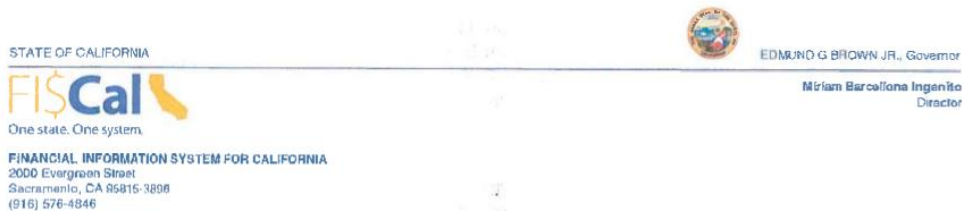
cc: Karen Greene-Ross, Chief of Staff
George Lolas, Chief Operating Officer
Tom Yowell, Chief Administration Officer
Cathy Leal, Partner Business Executive

Enclosure: SCO End State Items

SCO End State Items

Count	Module	Test Item	Description	Code Drop	Milestone
1	AP	ODMF#1638	Secure Transfer of the Warrant/Direct Deposit Advice Print File	Code Drop 5	1,6
2	AP	ODMF#1785	Daily Notice of Transfer and Daily Record of Claims Paid Interface Files (INC700044264730)	Code Drop 5	6
3	AP	ODMF#1795	Direct transfers report for reconciliation (Part of ODMF 1795). 2017 Direct Transfer changes to the OGS process	Code Drop 5	6
4	AP	ODMF#1859	Legacy Claim Delete Capability	Code Drop 5	6
5	AP	EXTAP035	Workflow Route Vouchers to SCO Auditors	Code Drop 1	6
6	AP	EXTAP036	RW: Identification of Eligible Vouchers	Code Drop 1	3,6
7	AP	EXTAP037	RW: Assignment of Redemption/Call Maturity Date, Interest Rate	Code Drop 1	3,6
8	AP	EXTAP038	RW: Modify the Voucher and Inquiry Page	Code Drop 1	3,6
9	AP	EXTAP044	EFT/ACH Status Update	Code Drop 1	6
10	AP	EXTAP051	Expedite Extension to capture data elements	Code Drop 1	6
11	AP	EXTAP061	AP Expedite Processing	Code Drop 4	6
12	AP	INFAP018	AP035 - Warrant Print files	Code Drop 1	6
13	AP	INFAP020	ACH Payment Print File and Data (NACHA Bank File)	Code Drop 1	6
14	AP	INFAP026	Departmental Outbound CD 102 Standard Layout	Code Drop 1	6
15	AP	INFAP027	Departmental Outbound CD 102 CalSTARS Layout	Code Drop 1	6
16	AP	INFAP031	Inbound Paper Claims Payment Transactions without Warrant Numbers	Code Drop 1	6
17	AP	INFAP037	Inbound EFT Rejected Payments	Code Drop 1	6
18	AP	RPTAP046	Payment Register (Warrant/EFT Check) (Summary and Detail)	Code Drop 1	6
19	AP	RPTAP047	Payment Register (Warrant/EFT Check) (Summary and Detail)	Code Drop 1	6
20	AP	RPTAP048	Registered Warrant Payment Status Report	Code Drop 3.2	6
21	AP	RPTAP054	Expedite Billing Report	Code Drop 1	6
22	AP	RPTAP055	Expedite Summary Report	Code Drop 1	6
23	AP	RPTAP077	Print Spool Memo	Code Drop 1	6
24	AP	RPTAP085	Paper Warrant Layout	Code Drop 2	6
25	AP	RPTAP086	Special Handling instruction report	Code Drop 2	6
26	AP	RPTAP088	ACH Remittance Details	Code Drop 2	6
27	AR	ODMF#1827	LAIF Solution: Accounting needs to be generated in a specific way (INFCM38)	Code Drop 5	4,6
28	BU	INFGL136	INFG136 - Inbound Legacy Budget Journals 1. Hyperion to Legacy (Budget act) BU061 2. Hyperion to Legacy (Adjustments) BU07 3. Legacy to PeopleSoft (Budget act and Adjustments). New 4. Hyperion to PeopleSoft Budget Attributes. INFBU0?	Code Drop 5	3,6
29	CM	ODMF#1826	ODF Solution: Accounting needs to be generated in a specific way	Code Drop 5	6
30	CM	ODMF#1829	Interest Earnings Solution Change. New accounts proposed in accounting and complete accrual/distribution of cash	Code Drop 5	6
31	CM	ODMF#1831	Enhancement to 1762 (Report between investment pool and GL)	Code Drop 5	6
32	CM	ODMF#1868	INFCM033: Missing Record Types & Add an Alert	Code Drop 5	6
33	CM	INFCM033	Outbound Bank Statement Details	Code Drop 1	6
34	GL	ODMF#1273	Actuals interface from PeopleSoft to Hyperion Planning - Change in tool from Hyperion Financial Data Quality Management Enterprise Edition (FDMEE) to Oracle Data Integrator (ODI)	Code Drop 5	6
35	GL	ODMF#1703	SCO LRS Requires INFBU062- TCO4 Codes after R17	Code Drop 5	6
36	GL	ODMF#1733	SCO Tech303 Reports. 6 Reports.	Code Drop 5	4,6
37	GL	ODMF#1733	SCO Tech303 Reports (Duplicated for estimated reasons). 4 Reports.	Code Drop 5	4,6
38	GL	ODMF#1741	PMIA Cash Allocations	Code Drop 5	6
39	GL	ODMF#1833	ODMF 1833 - New Allocation Report, Before, During, and After	Code Drop 5	6
40	GL	ODMF#1850	ODMF 1850 - Update configuration for Future Date/Back Date/Payroll/Date impacts.	Code Drop 5	6
41	GL	ODMF#1853	ODMF 1853 - Update General Fund Borrowable Resources Report (RPTGL254).	Code Drop 5	6
42	GL	ODMF#1862	Bond Accounting: Surplus Money Investment Fund (SMIF) Interest Cross-post	Code Drop 5	6
43	GL	Pending RICEF	Milestone 6 Month End Close/Year End Close Procedures	Code Drop 5	6
44	GL	EXTGL114	SMIF Transfer Allocations	Code Drop 1	6
45	GL	EXTGL117	Create Data source for Reconciliation	Code Drop 1	6
46	GL	EXTGL209	PMIA New Extensions (PERS/STRS Additional Balance)	Code Drop 4	6
47	GL	INFGL108	Feeder Fund Allocation- Methodology	Code Drop 5	6
48	GL	INFGL114	Outbound Ledger Details for Agency Reconciliation	Code Drop 2	6
49	GL	INFGL115	Outbound Fund Reconciliation Details	Code Drop 2	6
50	GL	INFGL001	Investment Accounting	Code Drop 2	4,6
51	GL	RPTGL144	Agency Reconciliation Report	Code Drop 3.2	6
52	GL	RPTGL145	Fund Reconciliation Report	Code Drop 3.2	6
53	GL	ODMF#1754	Future Date - Verify pre-budget checking. NSF in appropriation	Code Drop 4	6
54	GL	ODMF#1756	Cross Posting	Code Drop 4	6
55	GL	ODMF#1772	SMIF Quarterly Allocation of Interest Earnings	Code Drop 4	6
56	GL	ODMF#1689	Payroll Pre-Budget Check Error Report	Code Drop 4	6
57	GL	Pending RICEF	New extension for PERS/STRS Earnings.	Code Drop 5	6
58	GL, CM	ODMF#1655	Add One Recipient to Each of Two (2) SCO/STO 2017 Release Outbound Interfaces (Prod)	Code Drop 5	6
59	LA	ODMF#1849	Loan Accounting and Daily General Fund Cash Flow Borrowing	Code Drop 5	6
60	LA	RPTLA002	GF Cash Flow Loan Configuration Report	Code Drop 1	6
61	LA	RPTLA005	Interest Rate History Report	Code Drop 3.2	6
62	LA	RPTLA012	General Fund Internal Borrowing Report	Code Drop 2	6
63	LA	RPTLA016	General Fund PMIA Activity Report	Code Drop 2	6
64	LA	RPTLA017	General Fund Available Cash	Code Drop 2	6
65	ALL		Retirement of Integrated Solution Interim Interfaces		6

Letter to STO



January 4, 2018

Honorable John Chiang
State Treasurer's Office
915 Capitol Mall C-15
Sacramento, CA 95814

SUBJECT: STO Go Live and SCO/STO Integrated Solution

Dear Honorable Treasurer Chiang:

As the Department of FI\$Cal approaches its final year of the Contract with the System Integrator and progresses to the post implementation evaluation report phase, the Department of FI\$Cal commits to deploying scoped functionality to the State Treasurer's Office (STO) in the first quarter of Fiscal Year 2018 as part of the SCO/STO Integrated Solution. Our commitments to STO include, but are not limited to:

- Mitigating impacts to STO resulting from SCO's phased deployment
- The creation of contingency plans in the event SCO never fully converts their functionality to FI\$Cal
- Any necessary environments and access will be provided and maintained throughout the testing period
- Testing defects will be addressed in a timely manner to ensure continuous testing and confidence
- Integral System integrator (Accenture) staff will be fully available to and through STO's testing, deployment, and stabilization period
- We understand that the FI\$Cal system stability/availability is key to STO's daily operations and commit to responding to any outage or defect in an expedited manner
- Any work beyond the July 2019 core implementation will be addressed, performed and managed by FI\$Cal staff as part of FI\$Cal Maintenance and Operation

In addition, we have included specific milestones as part of Special Project Report (SPR) 7 for the SCO/STO deliverables to Vince Brown, who serves as your FI\$Cal Executive Partner, Jan Ross, Deputy Treasurer, Technology and Innovation, Andre Rivera, Assistant Director, Centralized Treasury and Securities Management, and Shela Tobias-Daniel, STO's FI\$Cal Partner Business Executive. The SPR 7 provides the necessary

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Honorable John Chiang
January 4, 2018
Page 2

details to ensure performance accountability by the SCO, STO, Accenture, and FI\$Cal Department staff.

We understand that the State Treasurer's Office needs may continue to evolve beyond the first quarter of Fiscal Year 2018 and with each SCO milestone. The State Treasurer is an integral partner and invaluable component of the Department of FI\$Cal's current and ongoing success. The Department of FI\$Cal is committed to providing the State Treasurer's Office with the functionality it requires for its financial management of the State.

Sincerely,



Miriam Barcellona Ingenito
Director

cc: Vince Brown, Deputy Treasurer, Administration and Fiscal Policy
Jan Ross, Deputy Treasurer, Technology and Innovation
Andre Rivera, Assistant Director, Centralized Treasury and Securities Management
Shela Tobias-Daniel, Partner Business Executive

Appendix I: Agreement between Finance and SCO regarding SCO Milestone Completion

The Department of Finance and the State Controller’s Office have agreed to the following milestones to bring SCO control functionality live into FI\$Cal. These milestones will be reflected in FY 18/19 budget bill language.

FI\$Cal Expectations Breakdown					
Quarter		Expectation	Task	FI\$Cal	SCO
2018 Q1	3/31/2018	90% of Priority One Objects for Integrated Solution Built. And 10% of Priority Two Integrated Solution Built.	User Story	x	x
			Build	x	x
			Demo	x	x
			Functional Validation		x
2018 Q2	6/30/2018	Role Based Access Enhancements Deployed, Appropriation Ledger Conversion Testing and Conversion Complete. 100% of Priority One Integrated Solution Build complete. 50% of Priority Two Integrated Solution Build complete.	Conversion	x	x
			UAT Testing	x	x
			User Story	x	x
			Build	x	x
			Demo	x	x
			Functional Validation		x
2018 Q3	9/30/2018	75% of Priority Two Integrated Solution Build complete. 50% of Priority Three Integrated Solution Build complete.	User Story	x	x
			Build	x	x
			Demo	x	x
			Functional Validation		x
2018 Q4	12/31/2018	100% of Priority Two and Three Integrated Solution Build complete.	User Story	x	x
			Build	x	x
			Demo	x	x
			Functional Validation		x
2018 Q4	12/31/2018	50% of Interfaces for Integrated Solution Deployed.	UAT Testing	x	x
2019 Q1	3/31/2019	Ledger Beginning Balance Mock Conversion Testing Complete. 90% of Interfaces for Integrated Solution Deployed.	Mock Conversions	x	x
			UAT Testing	x	x
2019 Q2	6/30/2019	CAFR Build and Functional Validation and Testing Complete. Ledger Beginning Balance Conversion Complete.	User Story	x	x
			Build	x	x
			Functional Validation		x
			UAT Testing	x	x
			Conversion	x	x
* UAT Testing includes: test preparation, test plan, data staging, test scripts, regression testing, end to end testing, business process documentation					