FI$Cal
Financial Information System for California

Wave 2 Role Mapping Working Session

November 20, 2014

Role Mapping Working Session Agenda

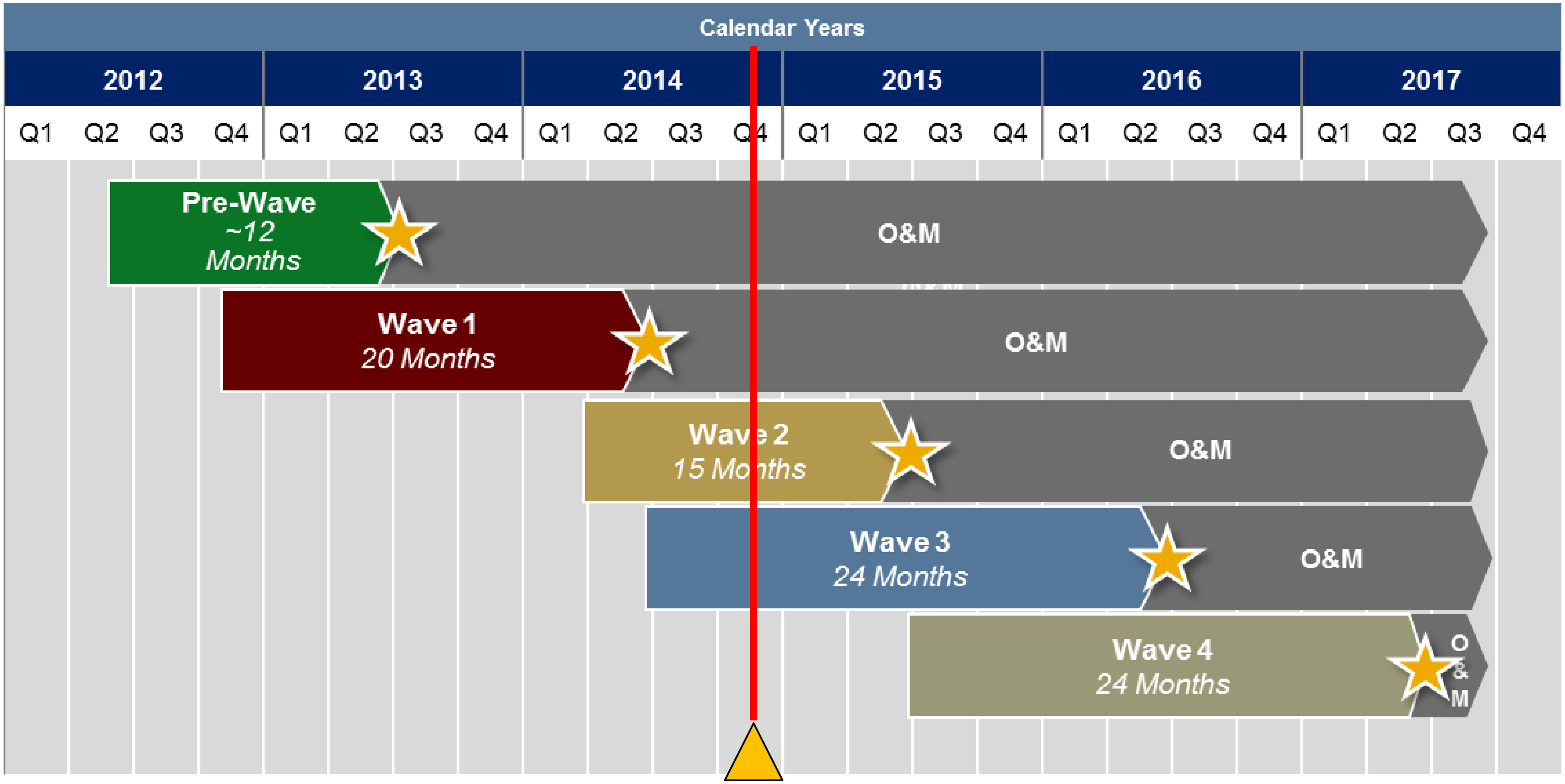
- FI$Cal Project Overview
- Role Mapping Purpose and Objectives
- Role Design
- Role Mapping Using
- Role Mapping Tools
  - FI$Cal End-User Role Description Handbook
  - Role Mapping Template and Procedures
  - Separation of Duties (SOD) Matrix
  - Security Process
  - Accounts Payable and Purchasing Workflow
- Next Steps

FI$Cal Project Overview

- The Financial Information System for California (FI$Cal) is a business transformation project for the State in the areas of budgeting, accounting, procurement, and cash management. The Project prepares the State to work in an integrated financial management system.

- California's Partner Agencies are working together to form the partnership to support FI$Cal at the highest level:
  - Department of Finance (DOF)
  - Department of General Services (DGS)
  - State Controller's Office (SCO)
  - State Treasurer's Office (STO)

FI$Cal Wave Timeline



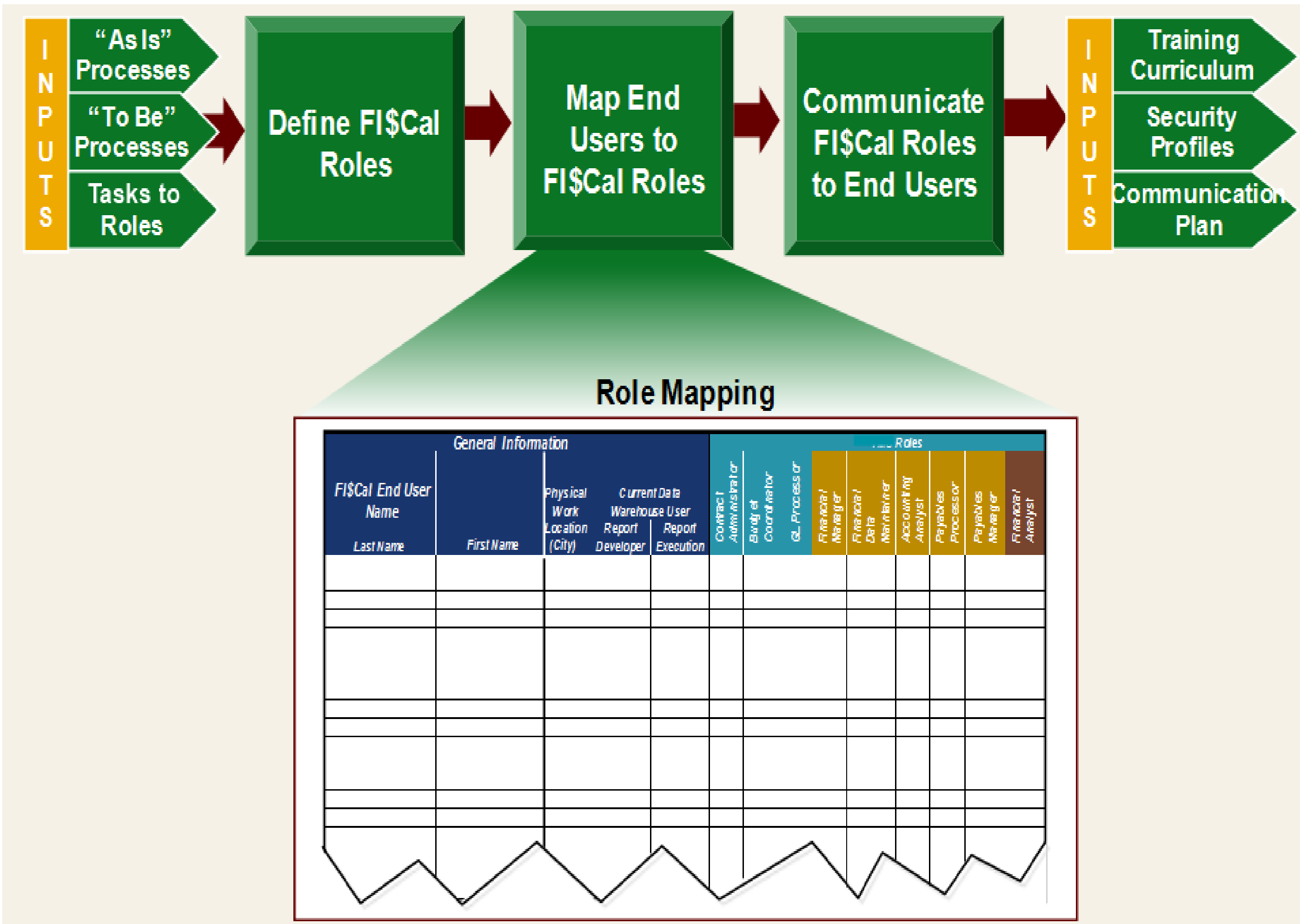
Ground Rules & Guiding Principles

- ***Challenge*** how the State does things today
- ***Perspective*** – Adopt a “Statewide” perspective
- ***Silence is Consent*** – Speak and share your thoughts
- ***There are no Bad Questions*** – Better to question, than assume
- ***Consider Best Practices*** and business process changes
- ***Think of the data*** and information you require

Role Mapping Working Session

- The Role Mapping Working Session provides departments with:
  - An overview of the role mapping task and how the results will be used by FI$Cal
  - Instructions on how to complete the role mapping task, including:
    - Submitting security requests
    - Managing separation of duties
    - Requesting access to multiple Business Units (for example, contracted services)
    - Managing approval workflow – Purchasing and Accounts Payable
    - Assigning user defaults for Buyers and Requesters

Role Mapping Lifecycle



How Role Mapping is Used

- Identify department end users for FI$Cal end-user training
- Map users to required FI$Cal end-user training courses based on their role assignments
- Identify participants for department change discussions
- Support enforcement of separation of duties
- Define user profile information

Role Mapping Tools

- FI$Cal End-User Role Description Handbook
- Role Mapping Instructions and Response Template (TECH237a)
- FI$Cal Separation of Duty (SOD) Matrix
- FI$Cal Departmental Authority and Designee (DAD) Form
- Wave 2 BPW presentations

FI$Cal End-User Role Description Handbook

- The Handbook along with this presentation are critical support components for:
  - Communicating FI$Cal end-user roles to departments
  - Assigning FI$Cal end-user roles to department end users
  - Communicating FI$Cal end-user roles to end users
- The Handbook explains the new FI$Cal end-user roles associated with the new FI$Cal business processes for Wave 2
  - Provides a mapping of the new FI$Cal end-user roles to the new FI$Cal business processes
  - Explains the purpose/responsibilities for each FI$Cal end-user role
- The Handbook is organized by FI$Cal business process area

Role Mapping Template Key Terms

Term	Definition
Core User	A frequent user of FI$Cal and/or will use FI$Cal within the first month after go live. This user should plan to receive end-user training prior to go live.
Secondary User	An end user who will occasionally use FI$Cal and/or will not use FI$Cal within the first month after go live. This user may receive some end-user training prior to go-live, but can complete their training after go live.
Job Classification	The state classification of the end user (for example, Staff Services Manager I, Associate Information Systems Analyst)
Primary Business Unit	FI$Cal Business Units will be defined as the Organization Codes to which departmental appropriations are made.

TECH237a Response Template

- Spreadsheet used to identify department end users for FI$Cal
- Enter required information for each department end user
- Assign roles to users by placing an "X" in appropriate columns

Fields with an asterisk (*) are required.				Budgeting				Purchasing																								
Last Name*	First Name*	Middle Name or Initial	Email Address* *(Department-provided email)*	partment Budget Processor	partment Budget Approver 1	partment Budget Approver 2	partment Budget System Maintainer	partment Requester	partment Requisition Processor	partment Requisition Approver 1	partment Requisition Approver 2	quisition Ad Hoc Approver	partment PAA Processor	partment IT PAC Approver	partment Non-IT PAC Approver	partment PCO Approver	partment Buyer	partment Advanced Buyer	partment PO Processor	artment PO Approver 1	artment PO Approver 2	partment PO Approver 3	partment PO Approver 4	Hoc Approver	artment PO Reporter	rtment PO Configuration Maintainer	Configuration View Only	partment Receiving Processor	partment Receiving Inspector	partment RTV Processor	View Only	partment P-Card Req User	partment P-Card PO User

Example Only

TECH237b – Look Ahead

- Following the submission of TECH237a by January 30, 2015, departments will only submit *changes* to their original submission to identify which roles should be added or removed to existing users:
  - Departments will populate a TECH237b with user information, such as name, email, and phone number
  - Instead of an “X,” departments will enter an “A” in the role column to add a role to the user’s profile
  - Instead of an “X,” departments will enter an “R” to indicate a role should be removed from the user’s profile
- To Add or Remove users in the TECH237b submission:
  - Enter an “X” under the “New User” column to identify a completely new user
  - Enter an “X” under the “Remove User” column to completely remove a previously submitted user

Role Mapping Template – Requesting Additional Business Unit Access

- Always enter the Primary Business Unit for the end user
- If applicable, enter any additional Hyperion (Budgeting) or PeopleSoft business units to which the user needs access
- A copy of the MOU, Interagency Agreement (IAA), or contracted services agreement may be requested to validate the need for providing access to each additional business unit requested

Primary Business Unit*	**Additional Hyperion (Budgeting) Business Unit Access?** (*Enter one or more Business Units for which you perform Contract Services or require access.*) ***NOTE:*** *An end user may only have one set of roles across all business units.*	**Additional PeopleSoft Business Unit Access?** (*Enter one or more Business Units for which you perform Contract Services or require access.*) ***NOTE:*** *An end user may only have one set of roles across all business units.*

Note: *An end user may only have one set of roles across all business units in which they have access.*

Role Mapping Template –
Requesting Additional Business Unit Access

- In order to give a user unique access between two different business units, the user is required to have 2 separate email addresses to log into the system.

- In this case, fill in user demographic information on two separate rows, enter separate emails, and indicate the roles needed

Template Considerations

- Confirm that the spelling of all email addresses are correct
- All required fields in the demographic information section of the template are marked with an asterisk (*)
- Do not include placeholders for vacant positions
- Only use an "X" when assigning users to roles. Only during the incremental update process can an "A" or a "R" be used to indicate roles to be added or removed from a user
- When giving a user access to multiple unique roles, create two separate rows with different email addresses on the template

FI$Cal Separation of Duties

- It is the responsibility of the departments to maintain an adequate system of internal control within their agencies. This includes maintaining the appropriate level of separation of duties for agencies with automated accounting processes.
  - SAM 8080.1 Cash Separations of Duties for Automated Systems
  - SAM 8080.2 Cash Separations of Duties for Combined Systems

- The FI$Cal Separation of Duties Matrix defines roles that should not be assigned together

FI$Cal Separation of Duties

Separation of Duty (SOD) Conflicts Subject to the Exception Process (05/01/14)		
If you are an employee of . . .	**and you are assigned . . .**	**you should not also be assigned . . .**
Any Wave 2 department, excluding the Control functions of DGS, DOF, FI$Cal, Legislature, SCO, and/or STO	Any "Department" role	Any "Central" role Any department-specific role (i.e., roles that have DGS, DOF, FI$Cal, Legislative, SCO, or STO in the role name)
DGS, DOF, FI$Cal, Legislative, SCO, or STO performing the departmental function	Any "Department" role	Any "Central" role or any department-specific role (i.e., roles that has DGS, DOF, FI$Cal, Legislative, SCO, or STO in the role name)
Any Wave 2 department	Department AP Approver 2	AP - Department PayCycle Processor PO- PO Ad Hoc Approver Department PO Approver 1 Department PO Approver 2 Department PO Approver 3 Department PO Approver 4
Any Wave 2 department	Department AR Payment Processor	AR- Department AR Item Processor BI - Department BI Adjustment Processor Department BI Processor
DGS, DOF, FI$Cal, Legislative, SCO, or STO performing the control agency function	Any "Central" role or any department-specific role (i.e., roles that have DGS, DOF, FI$Cal, Legislative, SCO, or STO in the role name)	Any "Department" only role
DGS, DOF, FI$Cal, Legislative, SCO, or STO	Any department-specific role (i.e., roles that have DGS, DOF, FI$Cal, Legislative, SCO, or STO in the role name) for your department	Any department-specific role (i.e., roles that have DGS, DOF, FI$Cal, Legislative, SCO, or STO in the role name) specific to another department

Example Only

Role Security Process

1. Department completes and submits FI$Cal Departmental Authority or Designee (DAD) Form
2. Department completes and submits FI$Cal Role Mapping Worksheet
   - Must be sent to FI$Cal CMO from a DAD’s email address.
3. FI$Cal reviews submission
   - If there are questions, FI$Cal will reach out to departments for clarification
   - If there are no questions, FI$Cal proceeds with the request
4. FI$Cal creates user accounts and communicates log-in credentials to users.

Role Security Documents

- FI$Cal Departmental Authority and Designee (DAD) Form
  - Used by Department Director / Executive Director / Chief Deputy / Agency Secretary
  - All required signatures must be handwritten in blue-colored ink
  - Submitted to FI$Cal by the DAD from their email address
  - Required before user access requests (Role Mapping Worksheet), can be submitted
- FI$Cal Role Mapping Worksheet
  - Used to create, modify, and inactivate user accounts
    - Worksheet for mass updates (use until 30 days after go live)
  - Use worksheet for your internal tracking of employee roles
- All forms must be populated electronically and submitted to FI$Cal by the DAD from their email address

Solicitation Event and Contract Approver Workflow

- Departments need to specify the Acquisition Type for routing solicitation events and contracts
- Each Acquisition Type needs to be on its own row

Row	Email Address of Event Approver or Contract Approver (1-4)* (Department-provided email)	Acquisition Type* (select from drop-down)	Notes/Explanations for Approval Workflow Assignments
Ex. 1	*jane.jackson@fiscal.ca.gov*	*Non-IT Goods*	*Only approves for Non-IT Goods and Non-IT Services*
	jane.jackson@fiscal.ca.gov	*Non-IT Services*	
Ex. 2	*john.smith@fiscal.ca.gov*	*Information Technology (IT)*	*Only approves for Information Technology (IT)*
Ex. 3	*jacob.edwards@fiscal.ca.gov*	*All Acquisition Types*	*Approves for all Acquitision Types*
1			
2			
3			
4			
5			

Example Only

Solicitation Event and Contract Approver Workflow

- Departments need to specify the Acquisition Type for routing solicitation events and contracts
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Row	Email Address of Event Approver or Contract Approver (1-4)* *(Department-provided email)*	Acquisition Type* *(select from drop-down)*	Notes/Explanations for Approval Workflow Assignments
Ex. 1	*jane.jackson@fiscal.ca.gov*	*Non-IT Goods*	*Only approves for Non-IT Goods and Non-IT Services*
	jane.jackson@fiscal.ca.gov	*Non-IT Services*	
Ex. 2	*john.smith@fiscal.ca.gov*	*IT Goods*	*Only approves for IT Goods and IT Services*
	john.smith@fiscal.ca.gov	*IT Services*	
Ex. 3	*jacob.edwards@fiscal.ca.gov*	*All Acquisition Types*	*Approves for all Acquisition Types*
1			
2			
3			
4			
5			

Example Only

Note: Based on department feedback, Information Technology (IT) will remain as two, separate Acquisition Types as in Wave 1. Departments will be able to select “IT Goods” or “IT Services.”

AP Approver Workflow

- Cash Type is an attribute of a Department AP Approver 1 and Department AP Approver 2
  - Describes the type of voucher that an end user is allowed to approve
  - Will determine whether a voucher will be routed to end users who can approve warrants, non-warrants, or both. The submitted values will determine voucher workflow for your department.

- User-specific information will be collected for each department end user assigned to the roles of **Department AP Approver 1** and **Department AP Approver 2**

AP Approver Workflow Worksheet

- Enter the email addresses of end users assigned to the **Department AP Approver** roles
- For each end user listed, select the Cash Type from the drop down menu
  - Select "***Warrant***" if the end user will be approving warrants for your department
  - Select "***Non-Warrant***" if the end user will be approving non-warrant vouchers for your department.
  - Select "***Both***" if the end user will be approving warrants and non-warrants for your department.

Note: "***Both***" is the default configuration for all AP approvers.

Role Mapping Working Session Takeaways

- **Role Mapping Working Session Presentation –** explains the role mapping process
- **FI$Cal End-User Role Description Handbook** – explains the new FI$Cal end-user roles associated with the new FI$Cal business processes for Wave 2
- **Role Mapping Template** – used to assign roles to department end users
- **Separation of Duties Matrix** – defines roles that should not be assigned together
- **Department Authority and Designee Form** – used to assign or update individuals at the department who can submit security requests

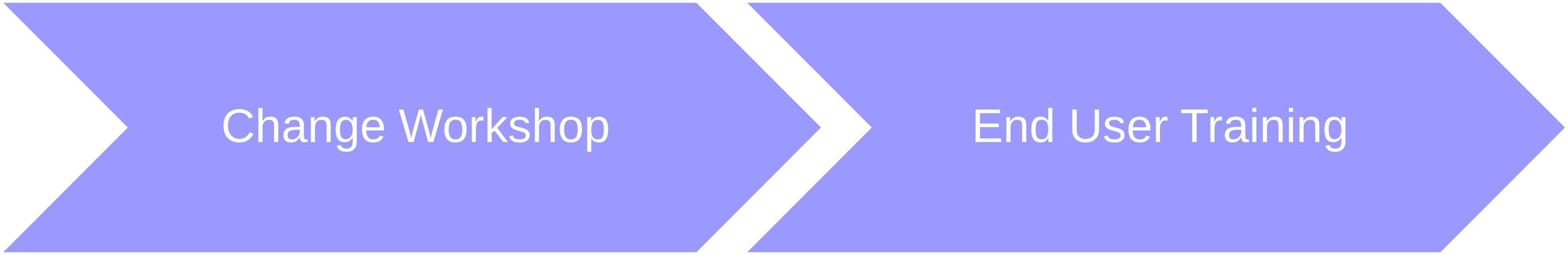
Role Mapping Timeline

- Share Role Mapping materials at your department
- Submit Initial Role Mapping Spreadsheet, **Due January 30, 2015**
  - Participate in Security and Workflow Testing, February and March 2015
- Submit incremental changes to the Role Mapping Spreadsheet, **Due April 17, 2015**
  - Participate in User Acceptance Testing, April-June 2015
  - Register department end users for training and submit incremental role mapping changes for training, March-April 2015

What Comes Next?

- **Change Workshop** – Workshop to help prepare managers and supervisors for conversations with department end users on the new FI$Cal business processes and their FI$Cal end-user roles

- **End User Training** – Training for department end users that will need to use FI$Cal in their assigned FI$Cal end-user roles



Question and Answer

FI$Cal Project Information:

http://www.fiscal.ca.gov/

or e-mail the FI$Cal Project Team at:

fiscal.cmo@fiscal.ca.gov

Requester and Buyer Defaults

- Complete the common user information fields for each end user assigned the Department Requester, Department Buyer, and/or the Department Advance Buyer role
- Complete the additional fields for each Department Requestor

	Defaults for Department Requester, Department Buyer, or Department Advanced Buyer			
Row	Email Address* *(Department-provided email)*	Fax Number XXX-XXX-XXXX	Ship To Location ID*	Default Reporting Structure* *(choose from the department's Reporting Structure values)*
Ex. 1	john.smith@fiscal.ca.gov	916-555-5555	9970000001	9970100000
Ex. 2	jane.jackson@fiscal.ca.gov	916-555-5555	9970000001	9970200000
Ex. 3	jacob.edwards@fiscal.ca.gov	916-555-5555	9970000001	9970300000
1				
2				
3				
4				
5				

Additional Defaults for Department Requester Only					
Fund*	Account*	Program*	Year of Enactment	Appropriation Reference*	Notes/Explanations
999999999	5370600	9999999	2014	011	This user is a Department Requester
					This user is a Department Buyer
					This user is a Department Advanced Buyer

Example Only

Requisition and Purchase Order (PO) Approver Workflow

- Departments needs to specify Acquisition Type and Reporting Structure for routing requisitions and purchase orders
- Each combination of Acquisition Type and Reporting Structure needs to be on its own row
- Use the Reporting Structure values defined by your department

	Fields with an asterisk (*) are required.		
Row	**Email Address of Requisition or Purchase Order (PO) Approver*** *(Department-provided email)*	**Acquisition Type*** *(select from drop-down)*	**Reporting Structure*** *(enter only 1 value per row)*
Ex. 1	*jane.jackson@fiscal.ca.gov*	*Non-IT Goods*	*1111111111*
	jane.jackson@fiscal.ca.gov	*Non-IT Goods*	*2222222222*
	jane.jackson@fiscal.ca.gov	*Non-IT Goods*	*3333333333*
	jane.jackson@fiscal.ca.gov	*Non-IT Services*	*1111111111*
	jane.jackson@fiscal.ca.gov	*IT Services*	*2222222222*
	jane.jackson@fiscal.ca.gov	*IT Services*	*3333333333*
Ex. 2	*john.smith@fiscal.ca.gov*	*IT Goods*	*All Reporting Structures*
	john.smith@fiscal.ca.gov	*IT Services*	*All Reporting Structures*
Ex. 3	*jacob.edwards@fiscal.ca.gov*	*IT Goods*	*2222222222*
	jacob.edwards@fiscal.ca.gov	*Non-IT Goods*	*All Reporting Structures*
	jacob.edwards@fiscal.ca.gov	*Non-IT Services*	*All Reporting Structures*
Ex. 4	*mary.monroe@fiscal.ca.gov*	*Encumbrance Only*	*2222222222*
	mary.monroe@fiscal.ca.gov	*Encumbrance Only*	*3333333333*

Example Only

Requisition and Purchase Order (PO) Approver Workflow

- Based on department feedback, Information Technology (IT) will remain as two, separate Acquisition Types as in Wave 1
- Departments will be able to select “IT Goods” or “IT Services”
- The options for Acquisition Type are:
  - IT Goods
  - IT Services
  - Non-IT Goods
  - Non-IT Services
  - Encumbrance Only

Question and Answer

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