

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**

December 8, 2015

FINAL

Revision History

Date	Revision	Last Updated By	Change	Change Approved By
7/15/15	0.1	Debbie Putnam	Create SPR 6 Template; incorporate Anthony's recommendations.	PMO; ITPOC (Anthony Juarez; Tammie Lopez)
7/20/15	0.1	Lisa Dezzani	SPR 6 template-minor revisions and approval.	PMO
7/22/15	0.2	Debbie Putnam/ Lisa Dezzani	Prepopulate SPR 6 with available info.	PMO
9/24/15	0.2	Debbie Putnam/Kelly Holtz/Josh San Souci	Writing of Section 3.	PMO
9/27/15	0.2	Leadership	Review/edits of Section 3.	Leadership
10/11/15	0.8	Debbie Putnam	New draft of Section 3 through App. B sent for leadership review. (Note: Versions 0.3 through 0.7 were partial review drafts.)	PMO
10/15/15	0.9	Debbie Putnam	New draft of Sections 3.4.3 and 3.4.4 sent for leadership review.	PMO
10/21/15	1.0	Debbie Putnam	Draft document including Executive Summary for leadership review and CalTech preliminary review.	PMO
10/30/15	1.1	Debbie Putnam; Eunice Malley	Resolution of leadership comments and tech edit for PD and Exec. Partner review.	PMO
11/3/15	1.2	Debbie Putnam; Lisa Dezzani	Prepare and send draft to Steering Committee.	PMO
11/16/15	1.3	Debbie Putnam	Incorporated Steering Committee comments.	SC
11/30/15	1.4	Debbie Putnam, Chi Emodi, Lisa Dezzani	Incorporated responses to CalTech comments.	PMO
12/9/15	2.0	Debbie Putnam	Finalized document; incorporated EAWs and costing/staffing information. Updated revision number.	PMO

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Executive Summary

The Financial Information System for California (FI\$Cal) is one of the largest and most dynamic information technology (IT) undertakings in the history of the State. FI\$Cal (the System) is intended to enable the State of California to combine accounting, budgeting, cash management, and procurement operations into a single financial management system. This will eliminate the need for more than 2,500 independent legacy systems and State-entity-specific applications that support the State's internal financial management operations. Most of these systems and applications do not communicate with each other and have exceeded their useful lives.

In addition, FI\$Cal will provide more standardization, transparency, discipline, effectiveness, and efficiency for the State's crucial business processes. A robust change management program conducted throughout State government will contribute to FI\$Cal's successful implementation.

Project Status

Critical Wave 1 functionality was deployed in July 2014. This wave provided a broad set of departmental accounting, budgeting, and procurement functionality to 11 State entities. In addition, Wave 1 incorporated Department of Finance's (DOF's) business processes related to budget control into FI\$Cal, making FI\$Cal the Budget System of Record. Although most Wave 1 functionality for PeopleSoft was released in July 2014 as planned, the Hyperion (budget function) implementation took longer than anticipated. Contributing issues included such elements as poor system performance and downtime, the need for "guardrails" to protect data from inadvertent deletion/corruption, additional report requirements, and user role-mapping errors.

Essential Hyperion functionality necessary to develop the Governor's Budget and basic spring functionality were deployed in the 2014 to 2015 timeframe. Remaining Hyperion functionality will be addressed in future deployments.

Wave 2 activities began in March 2014. In June 2015, consistent with the premise that implementing a quality system is the number one Project priority, the Project made a strategic decision to implement Wave 2 in two releases, Summer and Fall. The Summer Release deployed accounting, budgeting, and procurement functionality to the Wave 2 State entities in August 2015, along with new project, grant, and contract functionality to both Wave 1 and 2 entities. The Fall Release is scheduled to implement statewide procurement functionality and the enhanced Vendor Portal in December 2015. The State's long-term vision for the Vendor Portal is to deliver a fully functional, easy-to-use website for vendors to conduct business with the State of California, consistent in look, feel, and function with modern, private-sector websites.

Note that as part of SPR 6, additional statewide procurement functionality is planned for release prior to July 2016. This includes modules for purchasing authority and improvements to the online solicitation process. In addition, SPR 6 reflects the move of the Activity-Based Management System (ABMS) core accounting functionality for DGS from July 2015 to July 2016, allowing more time for design and data conversion. SPR 6 also provides additional ABMS functionality for real property leasing and project costing in two minor releases (February and June 2017). This move and additional functionality were necessitated by the complexity of

ABMS and the fact that this is the first time the Project will be implementing a fee-for-service department.

Although some Wave 3 change management activities began in July 2014, the analysis of core accounting and cash management functions for the State Controller's Office (SCO) and the State Treasurer's Office (STO) did not begin until September 2014 and was not completed as planned by December 31, 2014. Overall, the Analyze and Design Phases have taken considerably longer than planned. The Wave 3 Design Phase is still in progress. This delay has primarily been impacted by two factors: (1) competing priorities (providing more support to Wave 1 State entities than originally planned and delays in delivering Wave 1 functionality), and (2) the lessons learned from prior waves, which demonstrated that more thorough, detailed Analysis and Design Phases could reduce expensive re-work in the Test Phase.

The Project has also kicked off Wave 4 activities. The remaining in-scope State entities have identified super users (key subject matter experts in budgets, accounting, and procurement) to receive in-depth training on FI\$Cal functionality. These super users will serve as a training resource for other users at their entities to enhance Project training and support. To date, the Project has provided super users with access to instructor-led and web-based precursor training. The Project has also requested that State entities complete their "as-is" documentation related to financial management as a basis for onboarding to FI\$Cal.

SPR 6 Proposal

In the year and a half since approval of SPR 5, the Project has seen notable successes. However, these have not come without major challenges. During this time the Project has gained a greater understanding of the work required to implement complex Control Agency functions while addressing the requirements of diverse State entities. As a result, leadership has identified the need to revise the implementation approach for the remainder of the Project.

While SPR 6 results from a number of factors, the most significant driver of change is the ongoing impact of Wave 1 support. Two primary challenges in Wave 1 resulted in overlapping work streams: delays in delivering functionality, and the need to provide substantial support to Wave 1 State entities for month-end and year-end close. State entities required dedicated support from the Project, DOF, and SCO. Some of the factors contributing to the need for dedicated Project resources included limited State-entity knowledge of accounting functions in FI\$Cal and State-entity requirements for additional reports to help with month-end and year-end close. At the same time, significant resources were needed to support Control Agency functions, including budgets, ABMS, procurement, and Wave 3 activities. This situation of concurrent, competing priorities has continued to impact schedule, cost, and resources for the Project.

In terms of implementation, SPR 6 proposes moving the Project away from the "wave" concept, instead focusing on major "releases." As with waves, the Project will continue to perform necessary activities to support implementation for each major release. However, with the term *releases*, the Project becomes more consistent with other major IT projects, aligning with the proven concept of major and minor releases. The advantage over *waves* is that the Project can deploy functionality in minor releases as it becomes ready.

Unlike waves, releases build in schedule flexibility to benefit Project outcomes. The Project intends to use major releases for onboarding State entities, and may use either major or minor releases to implement functionality as it becomes ready. This strategy meets the goal of targeting major release dates while building in flexibility critical for Project success.

In summary, SPR 6 proposes to change the implementation approach from waves to releases and includes a two-year extension of the Project schedule. These changes result in total Project costs of about \$910.0 million in SPR 6, an increase of \$237.4 million compared to the \$672.6 million estimated in SPR 5.

Key Elements and Benefits

SPR 6 proposes the following key elements:

- Accelerates access of remaining State entities to FI\$Cal budget system, moving implementation from July 2017 to July 2016.
- Provides one additional FI\$Cal release in July 2018 and a two-year extension of the total schedule.
- Moves SCO and STO control functionality implementation from July 2016 to July 2017.
- For DGS's ABMS functions, implements additional Primavera functionality and real property leasing modules in minor releases in February and June 2017. Core DGS departmental accounting will go live in July 2016 as already planned.
- Implements remaining State entities with FI\$Cal accounting functions in three summer releases: July 2016, July 2017, and July 2018.

The SPR 6 proposal offers the following major benefits:

- Provides extended design validation and testing for complex SCO/STO control functions.
- Allows redesign and statewide rollout of Hyperion functionality and upgrades in 2016 with implementation of all remaining budget-related functionality in 2017.
- Implements a multifaceted approach to engaging and onboarding State entities, recognizing that the best outcomes are achieved when Project and State-entity staff work together as a team to create a successful, long-term experience for State-entity users.
- Provides an additional year for onboarding State entities and a full year for adequate Knowledge Transfer after all entities and functionality are deployed.
- Incorporates a revised staffing plan to help address an ongoing Project challenge: competing demands for a limited number of subject matter experts to focus on multiple, concurrent activities.
- By splitting State entities into three releases, increases the effectiveness of post-go-live support by: (1) allowing the Project to focus on a smaller set of State entities, and (2) reducing the resource and schedule challenges of going live all at once or in only two groups.
- Lays the foundation for the future state of the FI\$Cal Project (Project) organization as a permanent, ongoing department.

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

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.

I certify that the SPR was prepared in accordance with the State Administrative Manual Sections 4945-4945.2 and that the proposed project changes are consistent with our information management strategy as expressed in our current Agency Information Management Strategy (AIMS).

I have reviewed and agree with the information in the attached Special Project Report.

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 11135 applying Section 508 of the Rehabilitation Act of 1973 as amended meets the requirements or qualifies for one or more exceptions (see following page).

APPROVAL SIGNATURES

Chief Information Officer

Date Signed

12/3/15

Printed name: Subbarao Mupparaju

Budget Officer

Date Signed

12/3/15

Printed name: Tiffany Henderson

State Entity Director/Executive Partner

Date Signed

12/3/15

Printed name: Miriam Barcellona Ingenito

Agency Chief Information Officer

Date Signed

Printed name: N/A

Agency Secretary

Date Signed

N/A

Printed name:

Project Director

Date Signed

12/3/15

Printed name: Neeraj Chauhan

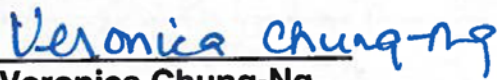
The FI\$Cal Steering Committee Members approved SPR 6 by consensus decision
on 12/8/2015.



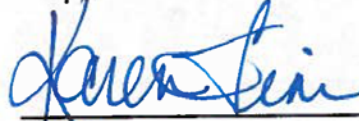
Todd Jerue
Chair
FI\$Cal Steering Committee

Nonvoting Member

Carlos Ramos
Director
Department of Technology



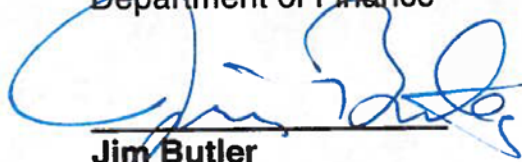
Veronica Chung-Ng
Program Budget Manager
Department of Finance



Karen Finn
Program Budget Manager
Department of Finance



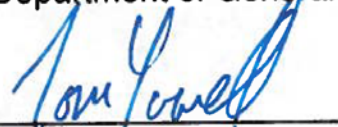
Miles Burnett
Deputy Director, Administration
Department of General Services



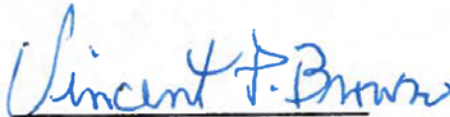
Jim Butler
Deputy Director, Procurement
Department of General Services



George Lolos
Chief Operating Officer
State Controller's Office.



Tom Yowell
Chief Administrative Officer
State Controller's Office



Vince Brown
Deputy Treasurer for Administration
and Fiscal Policy
State Treasurer's Office

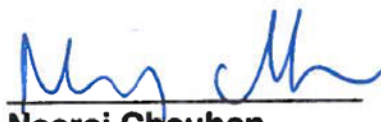


Jill O'Connell
Chair, Customer Impact Committee

FI\$Cal Project Leadership SPR approval/concurrence:



Miriam Barcellona Ingenito
Executive Partner



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



**Special Project Report
Executive Approval Transmittal
IT Accessibility Certification
(1.1, continued)**

Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
NO	<p>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.</p> <p>Explain:</p> <p>Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.</p>

2.0 INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.1 SECTION A: EXECUTIVE SUMMARY

1.	Submittal Date	December 8, 2015
----	----------------	------------------

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

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

4.	Submitting Agency/state entity	Department of Finance
5.	Reporting Agency/state entity	Department of Finance

6.	Project Objectives	
		<p>FI\$Cal Project Objectives are listed in Appendix A.</p>

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
	PIER	January 2020
	Key Deliverables	
	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 wave)	FY 2014, 2015, 2016, 2017
	Production Environment Transition	FY 17-18

2.0 INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.1 SECTION A: EXECUTIVE SUMMARY, CONTINUED

7.	Proposed Solution
	<p>The solution provided by Accenture, the System Integrator, includes the following Oracle applications that address the core capabilities defined in the System Requirements Matrix:</p> <ul style="list-style-type: none">• 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:<ul style="list-style-type: none">– Oracle Crystal Ball for cash forecasting requirements– Oracle Document Capture for scanning and imaging of claims– Oracle Primavera for enhanced project management and reporting requirements– Oracle User Productivity Kit for training development <p>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 Enterprise Resource Planning (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 the Project's business requirements.</p>

2.0 INFORMATION TECHNOLOGY PROJECT SUMMARY
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
Project Executive Partner	Miriam	Barcellona Ingenito	916	576-4846		916	576-4832	Miriam.Ingenito@fiscal.ca.gov
Project Director	Neeraj	Chauhan	916	576-5262		916	576-4832	Neeraj.Chauhan@fiscal.ca.gov
Agency Secretary	N/A	N/A						
State Entity Director	Miriam	Barcellona Ingenito	916	576-4846		916	576-4832	Miriam.Ingenito@fiscal.ca.gov
Budget Officer	Tiffany	Henderson	916	576-1152		916	576-4832	Tiffany.Henderson@fiscal.ca.gov
CIO	Subbarao	Mupparaju	916	576-5842		916	576-4832	Subbaro.Mupparaju@fiscal.ca.gov
Project Sponsor	Todd	Jerue	916	445-4923		916		Todd.Jerue@dof.ca.gov

Direct Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Doc. prepared by	Deborah	Putnam	916	246-3457		916	576-4832	Debbie.Putnam@fiscal.ca.gov
Primary Contact	Neeraj	Chauhan	916	576-5262		916	576-4832	Neeraj.Chauhan@fiscal.ca.gov
Project Manager	Neeraj	Chauhan	916	576-5262		916	576-4832	Neeraj.Chauhan@fiscal.ca.gov

2.0 INFORMATION TECHNOLOGY PROJECT SUMMARY
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	3/2015
2.	What is the date of your current Agency Information Management Strategy (AIMS)?	Date	8/2005
3.	For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	8/2005
		Page #	17, 27

Project #	8860-30
Doc. Type	SPR

4.	Is the project reportable to Control Agencies?		Yes	No
			X	
	If YES, CHECK all that apply:			
	X	a) The project involves a budget action.		
		b) 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	c) 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).			
	d) The project meets a condition previously imposed by the Department of Technology.			

2.0 INFORMATION TECHNOLOGY PROJECT SUMMARY

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	2016/17	FY	2017/18	FY	2018/19	FY	2019/20	FY	
	-\$18,803,255		-\$5,483,193		-\$43,888,943		-\$15,370,504		\$

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	106,417,489	92,458,107	\$458,137,138
3.	Continuing Costs	15,535,464	23,364,758	36,890,344	47,527,874	42,684,001	\$166,002,441
4.	TOTAL PROJECT BUDGET	\$159,563,117	\$75,342,292	\$100,146,699	\$153,945,363	\$135,142,108	\$624,139,579

5.	Fiscal Year	2017/18	2018/19	2019/20			TOTAL
6.	One-Time Cost	76,836,776	7,500,000	0			\$542,473,914
7.	Continuing Costs	52,822,138	78,269,972	70,399,468			\$367,494,019
8.	TOTAL PROJECT BUDGET	\$129,658,914	\$85,769,972	\$70,399,468	\$	\$	\$909,967,933

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	-\$153,945,363	-\$135,142,108	-\$624,139,579
10.	Revenue Increase	\$0	\$0	\$0	\$0	\$0	\$0

	Fiscal Year	2017/18	2018/19	2019/20			TOTAL
11.	Cost Savings/Avoidances	-\$129,658,914	-\$85,769,972	-\$70,399,468	\$	\$	-\$909,967,933
12.	Revenue Increase	\$0	\$0	\$0	\$	\$	\$0

2.0 INFORMATION TECHNOLOGY PROJECT SUMMARY

2.5 SECTION E: VENDOR PROJECT BUDGET

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

Project #	8860-30
Doc. Type	SPR

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	47,562,646	7,500,000	0	\$304,946,267
3.	Independent Oversight Budget	1,765,813	424,400	424,400	424,400	424,400	0	\$3,463,413
4.	IV&V* Budget	4,718,892	1,300,000	1,300,000	650,000	0	0	\$7,968,892
5.	Other Budget	45,867,117	27,387,490	16,672,182	12,644,160	7,037,182	6,390,350	\$115,998,481
6.	TOTAL VENDOR BUDGET	\$167,080,856	\$109,050,441	\$73,612,618	\$61,281,206	\$14,961,582	\$6,390,350	\$432,377,053

* 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	\$304,946,267

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

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. This typically has the added benefit of strengthening the Project team's enthusiasm and commitment to success. 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

SPR 4 discussed the Project background/summary at length via an overview (Section 3.1), Project objectives (Section 3.1.1), and Project benefits (Section 3.1.3). These objectives and benefits have not changed; however, the Project has determined the need to change the implementation approach. [Section 3.3, Reason for Proposed Changes](#), highlights the reasons prompting SPR 6. For easy reference, [Appendix A](#) lists the objectives of the FI\$Cal Project.

SPR 6 proposes moving the Project away from the “wave” concept and instead focusing on major “releases.” As with waves, the Project will continue to perform necessary activities to support implementation for each major release. However, with the term *releases*, the Project becomes more consistent with other major IT projects, aligning with the proven concept of major and minor releases.

Unlike waves, releases build in schedule flexibility to benefit Project outcomes. The Project intends to use major releases for onboarding State entities, and may use either major or minor releases to implement functionality as it becomes ready. This strategy meets the goal of targeting major release dates while building in flexibility critical for Project success—for example, allowing the Project to level (more evenly utilize) staff resources that can become overtaxed with an all-out deployment. This approach is discussed further in [Section 3.4.4.1](#) under Implementation Plan.

3.2 Project Status

The Project has made significant progress since the approval of SPR 5 in January 2014. Key accomplishments since SPR 5 are listed in Section 3.2.1. Sections 3.2.2 through 3.2.5 describe the current status of Waves 1 through 4.

3.2.1 Progress and Successes since SPR 5

- Wave 1 accounting, budgeting, and procurement functionality was deployed to 722 users within 11 State entities in July 2014. DOF went live with the control budget functions as well as DOF’s departmental accounting, budget, and procurement functions. Wave 1 functionality also provides centralized vendor data management as well as a standard chart of accounts (COA) and budget structure. Note that subsequent to SPR 5, the California Department of Aging (CDA) moved from Wave 1 to Wave 2, and the Board of Equalization (BOE) and Department of Justice (DOJ) moved from Wave 1 to Wave 4.
- The Wave 2 Summer Release was deployed in August 2015, implementing accounting, budgeting, and procurement functionality for the Wave 2 State entities, as well as new project, grant, and contract functionality for both Wave 1 and Wave 2 State entities. Note that as part of SPR 6, additional statewide procurement functionality is planned for release prior to July 2016.

This includes modules for purchasing authority and improvements to the online solicitation process. In addition, SPR 6 reflects the move of ABMS core accounting functionality for DGS from July 2015 to July 2016, allowing more time for design and data conversion. SPR 6 also provides additional ABMS functionality for real property leasing and project costing in two minor releases (February and June 2017). This move and additional functionality were necessitated by the complexity of ABMS and the fact that this is the first time the Project will be implementing a fee-for-service department.

- SCO and STO departmental accounting offices (internal accounting and procurement) completed additional testing prior to transacting in FI\$Cal. This additional testing was required based on the agencies' lessons learned from other projects. SCO began transacting in FI\$Cal on December 15, 2014. STO budgeting went live in July 2014, and STO internal accounting and procurement went live with the Wave 2 Summer Release. Note that SCO and STO needed this extra time to familiarize themselves with FI\$Cal. In addition, these agencies had a high volume of manual transactions that were too labor intensive to be sustainable. Accordingly, SCO and STO opted for automated conversion.
- SCO now audits all Wave 1 and 2 department vouchers in FI\$Cal. This Control Agency function was augmented with the release of the custom Pre-Payment Audit Tool in Wave 2.
- Project resources were redirected to the FSC to support the new Wave 1 and 2 functionality and end users. In addition to providing technical support, this FSC expansion includes centralized business services, access management, and coordination with the business and change management functions within FI\$Cal to provide education and training support. (Please see the first bullet in Section 3.3.)
- User support labs and job aids were made available to end users. For Wave 2, Project support teams were established to provide State entities with onsite assistance when they required enhanced support.
- For Wave 1.1 (part of [Wave 1.x](#) described below), month-end-close reports were developed and deployed to support month-end and post-closing reconciliation processes.
- The Governor's 2015-16 Budget was released in January 2015 and the enacted Budget Act of 2015-16 was completed in July 2015 with FI\$Cal (using the Hyperion application) as the Budget System of Record. As background, in July 2014 the Project deployed accounting functionalities for Wave 1 State entities in PeopleSoft and statewide budget preparation in Hyperion. Changes have been made to Hyperion to streamline manual entry of data. Further changes are being made to improve usability, end-user satisfaction, and System responsiveness.

3.2.2 Wave 1

Overview: Critical Wave 1 functionality was deployed in July 2014. This wave provided a broad set of departmental accounting, budgeting, and procurement functionality to the limited number of State entities listed in Table 1. Accounting functionality for STO, BOE, DOJ, and CDA was moved to other waves to allow more time for testing and readiness preparation. DOF’s budget-control-related business processes were incorporated into FI\$Cal as part of Wave 1, making FI\$Cal the Budget System of Record.

Table 1. State Entities Implemented in Wave 1
Agricultural Labor Relations Board (ALRB)
Alcoholic Beverage Control Appeals Board (ABCAB)
Board of Equalization (Budgets only)
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
Department of Justice (Budgets only)
Office of Environmental Health Hazard Assessment (OEHHA)
San Francisco Bay Conservation and Development Commission (BCDC)

More than 80 percent of Wave 1 functionality was released in July as planned for PeopleSoft. However, the Hyperion implementation, including the Governor’s Budget Presentation System, took longer than anticipated. Hyperion was not deployed until September and, due to unexpected system problems, significant Project and DOF support were required to produce the 2015-16 Governor’s Budget in Hyperion. Contributing issues included such elements as poor system performance and downtime, the need for “guardrails” to protect data from inadvertent deletion/corruption, additional report requirements, and user role-mapping errors. In addition, DOJ and BOE moved from Wave 1 to Wave 4 for transitioning departmental accounting functions to FI\$Cal, and STO and CDA moved from Wave 1 to Wave 2 for transitioning these functions.

Incremental Approach to Deploying Functionality: Wave 1 allowed State-entity users to take incremental steps toward the final, end-state functionality to be deployed later in the Project. This incremental approach to functionality change was designed to ease users’ transition from legacy systems and processes to FI\$Cal while those portions of their processes that interact with Control Agencies remained familiar. Wave 1 laid the foundation for the subsequent transition of other Control Agency and departmental functions in Wave 2 and future releases.

Expansion of FI\$Cal Service Center: In 2014, the FI\$Cal Service Center (FSC) expanded to support the new Wave 1 functionality and end users. Some of this expansion was needed due to the unexpected level of support required for month-end and year-end close as well as role mapping. This involved redirecting more staff than planned from the Project to support FSC. In addition to providing technical support, the expansion provided centralized business services, such as support of the Vendor Management File, decentralized Payment Card (P-Card) account administration, processing and support for 1099 federal tax forms, and Chart of Accounts management. The FSC expansion included access management and coordination with the Project's business and change management activities for the purpose of end-user education and training support.

Later Deployment of Wave 1.x: As part of Wave 1, the Project delayed release of some functionality that was not ready, not immediately necessary, or (at that time) less critical. This delayed functionality, including reports related to the Jan10 budget process, spring finance processes, and Governor's Budget Presentation System, was divided into three releases, Waves 1.1, 1.2, and 1.3 (collectively known as Wave 1.x). These were deployed later in 2014 and in 2015.

Impact of Wave 1 Support on Future Waves: The support necessary for Wave 1 State entities to use PeopleSoft turned out to be significantly more than originally planned. The additional work to stabilize the Wave 1 entities, while critical, impacted Wave 2 and 3 activities. In the Annual Report to the Legislature dated February 2015, the Project reported the following:

The level of support required for the Wave 1 departments to use PeopleSoft exceeded what was originally planned for Wave 1. The Project provided many additional support sessions as well as individual attention to the Wave 1 departments. These were deliberate mitigation steps implemented to assure Wave 1 success. However, this critical support for Wave 1 departments eroded time originally set aside for Waves 2 and 3. The complexities in these waves will likely require additional time in the Analyze, Design, and Build Phases to achieve success.

State entities required dedicated support from the Project, DOF, and SCO to assist with month-end-close activities. This same dedicated support model was applied to year-end-close activities, further impacting the schedule because year-end close took longer than expected. Some of the factors contributing to the need for dedicated Project resources included limited State-entity knowledge of accounting functions in FI\$Cal, and State-entity requirements for additional reports to help with month-end and year-end close. On top of this, Wave 1.x functionality created unanticipated work demands. These factors combined to divert staff from Wave 2 and 3 activities.

To mitigate these issues, the Project has provided dedicated staff, including a team trained on month-end close, keeping a log of issues, and working with DOF and SCO to get staff trained. Table 2 shows current year-end-close status.

Note that DOF's departmental accounting year-end close (YEC) status is 100% complete. Table 2 reflects the YEC status for other Wave 1 State entities. As of Friday, November 13, DOF closed ALRB on its behalf.



Table 2. Year-End Close Status for Wave 1 State Entities (excluding DOF)

Steps to Complete YEC	Description	ABC**	ABCAB	ALRB	BCDC	CAC	CSSSA	DFEH	OEHHA	Notes
2013 Accounting Spreadsheet	Year End Conversion	100%	100%	100%	100%	100%	100%	100%	100%	
2012 Fund Reconciliations	Agency Reconciliation	35%	100%	100%	100%	90%	92%	100%	100%	
2013 Fund Reconciliations	Agency Reconciliation	55%	100%	100%	100%	90%	92%	100%	100%	
2014 Fund Reconciliations	Agency Reconciliation	85%	100%	100%	100%	90%	91%	100%	100%	
Reconciling Items	Post in June	In Process	100%	100%	90%	90%	90%	100%	100%	
Plan of Financial Adjustment	PFA	In Process	100%	100%	90%	92%	100%	100%	100%	
Close May	Month End Close	100%	100%	100%	100%	100%*	100%*	100%	100%	*May reconciliation IP
Close June	Month End Close	40%	100%	100%	80%	40%	60%	100%	100%	
Post-Closing June	Agency Recon & PFA	0%	100%	100%	90%	0%	0%	100%	100%	
998	Adjusting Entries	0%	100%	100%	0%	0%	0%	In Process	In Process	
Budgetary Legal Basis Ledger	BLL	100%	100%	100%	100%	100%	100%	100%	100%	
Year End Reporting	Report Prep/Submit	0%	100%	100%	0%	0%	0%	0%	0%	

**Organization abbreviation – See Table 1

3.2.3 Wave 2

Implementation under SPR 5: SPR 5, approved in January 2014, changed the Project's approach to increase the potential for successful Wave 2 implementation and to provide the following benefits:

- Continue the rollout of functionality by deploying statewide control functions for DGS, including transitioning to FI\$Cal as the Procurement System of Record
- Integrate vendor records for all State entities, including deferred and exempt entities, into the statewide Vendor Management File
- Replace an end-of-life system (the Activity-Based Management System, or ABMS) for DGS
- Provide an integrated procurement system to support the entire procurement lifecycle and replace BidSync
- Integrate the procurement system with accounting and budgeting
- Add project, grant, and contract accounting functionality
- Transition additional State Entities to FI\$Cal

For Wave 2, SPR 5 included the following elements:

- (1) Decreasing the size and scope of Wave 2 by moving SCO and STO control functions to Wave 3. The intent was to allow dedicated focus and attention on DGS and on statewide procurement implementation during Wave 2, while simultaneously allowing more time for deploying SCO and STO control functions in Wave 3.
- (2) Adding DGS, previously a deferred State entity. This would allow DGS to replace its ABMS completely with FI\$Cal, as ABMS was reaching the end of its useful life and was no longer supported by the Office of Technology Services Standards.
- (3) Significantly reducing the number of State entities planned for implementation in Wave 2 so that the Project could focus its attention on Control Agency functions. Contracted Fiscal Services (CFS) was kept in Wave 2 because they are integral to DGS operations. State entities no longer in Wave 2 moved to Wave 4.
- (4) Implementing the Department of Resources Recycling and Recovery (CalRecycle) because its complex procurement functionality was best addressed as part of overall procurement implementation in Wave 2. The Department of Toxic Substances Control was also included to address its immediate need for FI\$Cal functionality.
- (5) Implementing the Department of Consumer Affairs (DCA) for procurement only. FI\$Cal was scheduled to become the Procurement Book of Record for the State and to replace all BidSync functionality in Wave 2. Since DCA used BidSync for its complete, end-to-end, requisition-to-purchase-order functionality, this State entity's procurement functionality needed to remain in Wave 2.

Wave 2 activities began in March 2014. In terms of schedule, SPR 5 extended Wave 2 from a 12-month to a 15-month implementation, with a planned go live in July 2015.

Current Implementation Status: Consistent with the premise that implementing a quality FI\$Cal System is the number one Project priority, in June 2015 the Project made a strategic

decision to implement Wave 2 in two releases: (1) the Summer Release, which deployed accounting, budgeting, 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, and (2) the Fall Release, which will implement statewide procurement functionality and the enhanced Vendor Portal in December 2015.

The split into two releases provides the following benefits to our clients (State entities and their staff):

- **Enhanced functionality:** The Fall Release schedule has allowed the Project to make major improvements to the Vendor Portal by implementing InFlight's Cal eProcure portal to enhance PeopleSoft's out-of-the-box functionality. The State's vision is to deliver a fully functional and user-friendly vendor portal that creates a positive image for the Project and leads to strong support for the new System, which will replace the current BidSync and SCPRS applications and provide a statewide platform for contract solicitation and bid management. The Vendor Portal, on schedule for the Fall Release, offers the following advantages and features:
 - The design of a contemporary-looking, responsive, web application capable of delivering a simplified, intuitive, user experience for vendors
 - An easy-to-use website for vendors to conduct business with the State and gather information
 - Facilitation of the vendor community's interactions with the State
 - High adaptability to the "Bring Your Own Device" mobility movement
 - A website that preserves the underlying security, customizations, and business logic of the FI\$Cal PeopleSoft application
- **Increased time for testing and training:** Splitting Wave 2 into two releases has allowed more time for testing and training. This additional time resulted in a successful Summer Release with a 20 percent decrease in defects (all testing phases) compared to Wave 1.
- **Improved training materials:** The adjusted go-live timeframes gave the Project the opportunity to produce training materials based on the new Vendor Portal and to incorporate testing outcomes into these materials. These training materials have been completed.
- **Documented procedures:** The Fall Release schedule has allowed DGS the opportunity to complete the State Contract Manual – FI\$Cal, as a stand-alone addition to the existing State Contract Manual. This new volume will be available in December 2015.

Core statewide procurement functionality is planned for release in December 2015. This includes advertising of bids through the California State Contracts Register (CSCR), certification of Small Business and Disabled Veteran Business Enterprise (SB/DVBE) firms, online solicitation management and award, reporting of vendor awards in the State Contracting and Procurement Registration System (SCPRS), procurement billing, Leveraged Procurement Agreement searches, SB/DVBE searches, and role-based procurement workflow.

As part of SPR 6, additional statewide procurement functionality is planned for release prior to July 2016. This includes modules for purchasing authority and improvements to the online solicitation process. In addition, SPR 6 reflects the move of ABMS core accounting functionality for DGS from July 2015 to July 2016 implementation to provide more time for design and data conversion. SPR 6 also provides additional ABMS functionality for real property leasing and project costing in two minor releases (February and June 2017). This move and additional functionality were necessitated by the complexity of ABMS and the fact that this is the first time the Project will be implementing a fee-for-service department.

Figure 1 shows the schedule shift for Wave 2. Following this, Table 3 lists Wave 2 State entities, and Table 4 provides an overview of Wave 2 functionality for the Summer and Fall Releases.

Figure 1. Go-Live Change for Wave 2

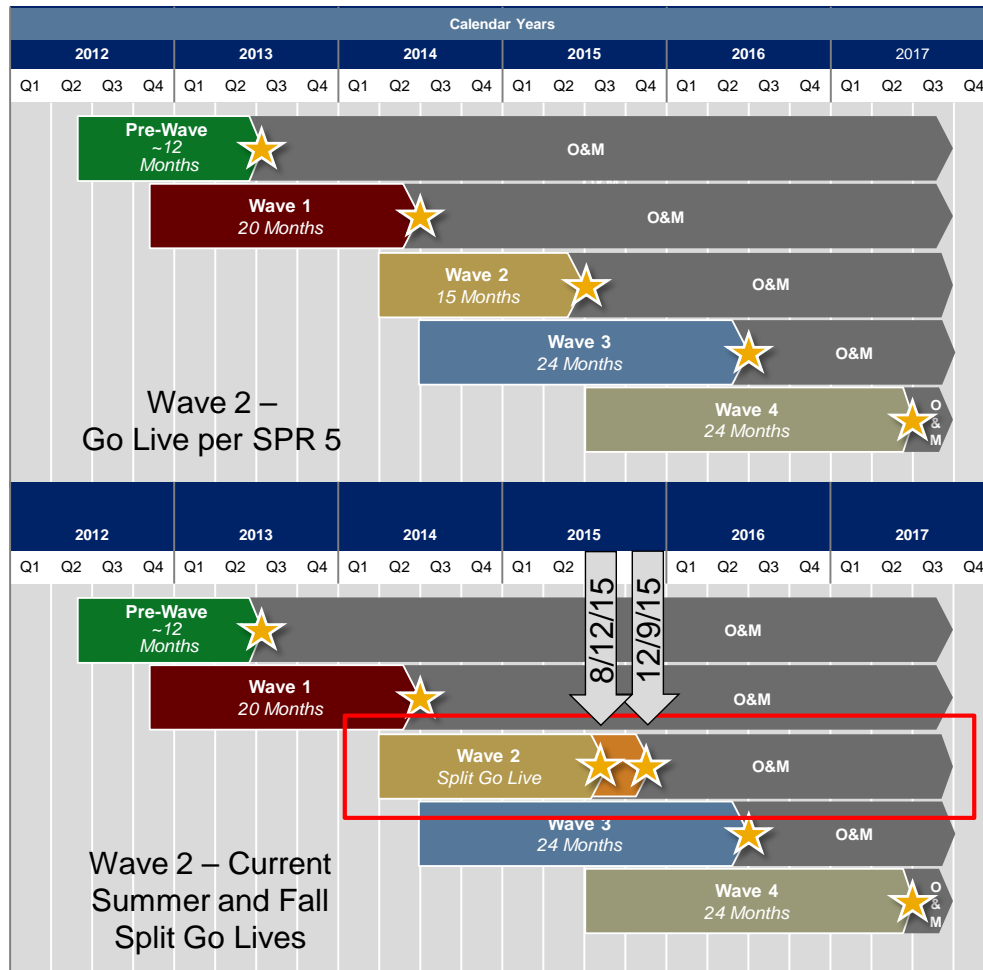


Table 3. State Entities Onboarded in Wave 2
Wave 1 and 2 Entities – Implementation of Full Procurement Functionality
Future and Deferred Entities – Implementation of the Following Procurement Functionality: <ul style="list-style-type: none"> • Recording transactions for reporting purposes • Posting ads for solicitations • Vendor progress payments
California and Families Commission
California Commission on Aging
California State Library
Department of Aging
Department of Consumer Affairs (Procurement only)
32 Departments that Contract with the Department of General Services (Contracted Fiscal Services)
Department of Resources Recycling and Recovery
Department of Technology (IT Procurement Control Agency - Fall)
Department of Toxic Substances Control
High Speed Rail Authority
State Controller's Office
State Treasurer's Office
Victims' Compensation and Government Claims Board



Table 4. Wave 2 Functions and Activities in Summer and Fall 2015 Releases

Summer 2015 Go Live July 2015	Fall 2015 Go Live December 2015
<p>Departmental Accounting</p> <ul style="list-style-type: none"> • Asset Management • Accounts Payable • Accounts Receivable • Billing • Cash Management • Primavera*† • Project Costing • Customer Contracts* • Grants* • General Ledger • Chart of Accounts Commitment Control • Labor Distribution • Allocations <p>Departmental Procurement</p> <ul style="list-style-type: none"> • Requisition (Req.) • Purchase Order (PO) • Receiving • P-Cards • Environmentally Preferred Purchasing (EPP)/State Agency Buy Recycled Campaign (SA BRC) – this functionality is embedded in Req. and PO* • Items for California Prison Industry Authority <p>SCPRS load to BidSync (Wave 1 interface)</p> <ul style="list-style-type: none"> • Department of General Services (DGS) Procurement* • EPP/SA BRC configuration* <p>Budget—Capital Outlay Phases</p>	<p>SB/DVBE)Certification</p> <p>Purchasing Authority Application functionality (June 2016)</p> <p>Solicitations (improvements to Online Solicitation Process prior to July 2016)</p> <ul style="list-style-type: none"> • Leveraged Procurement Agreement (LPA) Contracts • Departmental Procurement • California State Contracts Register (CSCR) <p>Items</p> <ul style="list-style-type: none"> • LPAs <p>Procurement Contracts</p> <ul style="list-style-type: none"> • LPAs • Departmental Contracts <p>SCPRS in PeopleSoft</p> <p>Procurement Billing</p> <p>PeopleSoft Portal</p> <ul style="list-style-type: none"> • Vendor • Public Reporting <p>Enhanced Vendor Portal</p> <p>FI\$Cal becomes the System of Record for Procurement</p>
<p>* These items represent new functionality. † Primavera has been implemented as a sandbox environment for DGS use.</p>	

3.2.4 Wave 3

Implementation Plans under SPR 5: SPR 5 shifted STO and SCO Control Agency functions to Wave 3, transitioning to FI\$Cal as the General Ledger Book of Record. Plans for Wave 3 also included implementing cash management control functions and upgrading PeopleSoft to Version 9.2. In addition, SPR 5 eliminated the January 2016 mid-year implementation and established a 24-month implementation period for Wave 3 with a new go-live date of July 2016. For this wave, SPR 5 stated the following features and benefits:

- **State Entities Limited in Wave 3:** Narrowing the focus of Wave 3 in terms of State entities would allow the Project to maintain dedicated attention to STO and the highly complex SCO Control Agency and Accounting-Book-of-Record implementation, while simultaneously allowing more time to identify, design, build, test, and implement the many complex interfaces between Control Agencies and deferred and exempt State entities.
- **FI\$Cal System Allowed to Mature:** The maturing of FI\$Cal technical architecture, processes, and support functions through the Pre-Wave, Wave 1, and Wave 2 implementations would reduce overall Project risk and build stakeholder confidence along the way.
- **Disruptions Minimized for State Entities:** Rolling out full System functionality in Wave 3 prior to deployment to the remaining in-scope State entities in Wave 4 would minimize disruptions caused by multiple rollouts for an estimated 70 percent of end users.
- **System Upgrade Timed to Minimize Rework and Retraining:** Including the upgrade of the FI\$Cal PeopleSoft system to Version 9.2 in Wave 3 would allow the upgrade to occur prior to most State-entity users being transitioned to FI\$Cal. This would significantly reduce upgrade work, including the amount and cost of “retraining” for State-entity staff already using FI\$Cal.

Current Implementation Status: Although some Wave 3 change management activities began in July 2014, the analysis of core accounting and cash management functions for SCO and STO did not begin until September 2014 and were not completed by December 31, 2014, as planned. Overall, the Analyze and Design Phases have taken considerably longer than planned. The Wave 3 Design Phase is still in progress. This delay has primarily been impacted by two factors: (1) competing priorities (providing more support to Wave 1 State entities than originally planned and the Wave 1.x work), and (2) the lessons learned from prior waves, which demonstrated that more thorough, detailed Analysis and Design Phases could reduce expensive re-work in the Test Phase.

3.2.5 Wave 4

Implementation Plans under SPR 5: SPR 5 focused Wave 4 on deploying existing and proven FI\$Cal functionality to the remaining in-scope State entities. As part of this process, Wave 4 would retire DOF’s last legacy system, CALSTARS (California State Accounting & Reporting System). To this end, SPR 5 shifted most State entities originally scheduled to transition in Waves 2 and 3 to Wave 4 with a go-live date of July 2017. This wave would have established a citizen-facing Transparency Website.

Current Implementation Status: The remaining in-scope State entities have identified super users (key subject matter experts in budgets, accounting, and procurement) to receive in-depth training on FI\$Cal functionality. These super users will serve as a training resource for other users at their entities, enhancing Project training and support. To date, the Project has provided super users with access to instructor-led and web-based precursor training. Additionally, the Project has requested that State entities complete their “as-is” documentation related to financial management as a basis for transitioning to FI\$Cal.

3.3 Reason for Proposed Changes

In the year and a half since approval of SPR 5, the Project has seen notable successes. However, these have not come without major challenges. During this time, the Project has gained a greater understanding of the work required to implement complex Control Agency functions while addressing the requirements of diverse State entities. As a result, Project leadership has identified the need to revise the implementation approach for the remainder of the Project.

Key Reasons Driving Change: The Project proposes to implement the changes in SPR 6 for the following key reasons:

- Delays in delivering Wave 1 functionality, and the need to provide substantial support to Wave 1 State entities for month-end and year-end close, resulted in overlapping work streams. These actions had the greatest impact on the delivery of Control Agency functions for STO, SCO, and DGS, as these entities required focused resources to fully participate in extensive design validation and testing. Some of the factors contributing to the need for dedicated Project resources included limited State-entity knowledge of accounting functions in FI\$Cal, and State-entity requirements for additional reports to help with month-end and year-end close. The situation created concurrent, competing priorities, which delayed other Project components that now require realignment.
- The transition of end-user State entities to FI\$Cal was much more difficult than expected, requiring additional time for Project staff. State entities required many configuration and role-mapping changes once they started using and gaining a better understanding of the System. In many cases, because configurations weren't what State entities expected at go live, they were forced to conduct business outside of the System. This created a backlog of “catchup” work. This combination of factors required Project staff to turn their primary focus to supporting post-Production entities. This support diverted resources from other phases of the Project, significantly delaying the planned development and implementation of future waves.
- The impact of manual conversion processes with the State entities in Waves 1 and 2 was underestimated. How the Project processes converted data, and how the entities cleanse and update data, require additional analysis and potentially automation.
- Wave 1 implementation demonstrated how critical thorough testing is to delivering a quality system. Capitalizing on that experience, the Project recognizes that additional time needs to be allotted to the Testing Phase. With sufficient time for testing, most

defects can be corrected before go live, as was demonstrated in the Wave 2 Summer Release.

- The Hyperion implementation was more complex than originally anticipated and could not be fully accomplished in the Wave 1 timeframe. Issues included the fact that the Hyperion tool itself is complex, and that this tool was not designed to handle the complexity and scale of the State's reporting requirements and budget framework. Additional time was needed for adequate testing and design validation to ensure all of the State's business requirements were met. Foundational elements of Hyperion also required redesign to improve usability, end-user satisfaction, and System responsiveness.
- Control Agency functionality is even more complex than expected. Additional time is required to perform extensive analysis and design validation. Control Agency staff are dedicating teams of subject matter experts to this effort.
- For DGS, SPR 5 included replacing the ABMS ERP. However, the Project's understanding of DGS's ABMS needs has continued to evolve since SPR 5, which had already identified the functionality as complex. Now functionality beyond what was originally envisioned requires an increase in workload and scope (addition of real property leasing modules and additional Primavera functionality) to replace ABMS. Note that the departmental accounting requirements for DGS were always part of the FI\$Cal Solution.
- Based on the experience of Wave 1, SPR 5 anticipated the need to provide more support than originally planned for end users. However, actual needs surpassed even that expectation. The Project now recognizes that an adjustment to the Project approach is necessary to onboard the remaining State entities and end users. SPR 6 incorporates the following key changes:
 - Engaging State-entity users early through hands-on exposure—for example, involving users from later releases in the current release's User Acceptance Testing
 - Standardizing the approach to configuration and role mapping
 - Providing enhanced support for business process re-engineering
 - Mobilizing support teams with overall knowledge of FI\$Cal to assist State entities with onboarding
 - Providing more training options and earlier exposure to training materials for State-entity super users
- While SPR 5 included the PeopleSoft 9.2 technical upgrade, the Project now has the opportunity to take advantage of additional PeopleTools 8.5.4 functionality that was not originally scoped. These upgrades will put the State on the latest, generally accepted version of the applications, facilitating long-term support and maintenance.
- In SPR 5, the Project envisioned that the California Department of Technology's Office of Technology Services (OTech) would provide long-term infrastructure support for

FI\$Cal and its users. Through discussions with OTech executives, the Project has since learned that this is not feasible as OTech does not currently support any of the primary FI\$Cal technologies required.

- FI\$Cal Development and Operations are currently supported by Accenture's shared tools for requirements management (Rational Requirements Composer), test and defect management (Rational Team Concert and Rational Quality Manager), and IT Service Management (ITSM). These tools will not be available to FI\$Cal after Accenture's contract is completed. The State proposes to procure and implement its own Systems Development Life Cycle (SDLC) and operations support tools and migrate data from Accenture's current shared tools before assuming System Operations and Maintenance.
- FI\$Cal currently uses a shared Security Information and Event Management (SIEM) solution provided by Accenture. Since this solution is shared by multiple Accenture customers, Project staff do not have direct and real-time access to system logs collected by this application. Further, when Accenture leaves FI\$Cal, this SIEM solution will not be available to the Project. Therefore, under SPR 6, the Project proposes to implement a separate SIEM and log management solution earlier than previously planned to proactively analyze security-event logs to prevent and respond to security incidents per State policies.

Prior to SPR6, no specific plan to transition the SIEM solution from Accenture to FI\$Cal existed. Accenture proposed to implement a stand-alone on-premises solution for SIEM using HP ArcSight technology through a Change Request. However, considering the Knowledge Transfer challenges associated with a stand-alone HP ArcSight implementation for FI\$Cal, the State would like to subscribe to an SIEM solution through OTech, which OTech is currently implementing for CalCloud.

- SPR 5 included a technology refresh to update FI\$Cal's technology to current standards towards the end of the Project. The Project has since identified additional software and hardware requirements necessary to support FI\$Cal that will increase costs for implementing the technology refresh in SPR 6.
- While SPR 5 included the Legacy Data Repository (LDR), the LDR's scope will be more extensive than previously planned. As background, the Project planned to implement the LDR as a data warehouse for storage and reporting of legacy data. This LDR was to facilitate the retirement of unsupported legacy systems when State entities transitioned to FI\$Cal.

The initial LDR solution involved Accenture implementing a PeopleSoft and/or Oracle Business Intelligence Applications- (OBIA-) based technical environment, followed by State-supported conversion and migration of legacy data. Through Waves 1 and 2, the Project learned that converting legacy data from various formats to the PeopleSoft/OBIA data model is complex, labor intensive, and costly. To more efficiently and economically implement an LDR, the Project now plans to leverage modern "big data" technologies. This strategy will eliminate the need to convert legacy data into a fixed-data model. Big-data technologies will provide State entities with self-service features to securely store, view, and report on legacy data as needed.

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*

SPR 6 proposes one additional FI\$Cal release in July 2018 and increases the duration of subsequent Knowledge Transfer to 12 months. These changes create a total schedule extension of two years. Note that this SPR has no impact on Pre-Wave, Wave 1, or Wave 2 Summer Release, which are already implemented, nor on Wave 2's Fall Release.

As proposed by SPR 6, FI\$Cal will have three major releases:

- [July 2016 Release](#)
- [July 2017 Release](#)
- [July 2018 Release](#)

As part of this structure, minor quarterly releases will be implemented within the major release year as functionality is available. Also, Accenture will provide Project staff with Knowledge Transfer for a full year following the July 2018 Release. Knowledge Transfer and Project Closeout will conclude in July 2019.

Figure 2 provides an overview of the SPR 6 schedule. [Section 3.4.2.2, Scope](#), contains details of each release, and [Sections 3.4.3, Feasible Alternatives Considered](#), and [4.5.5, Project Schedule](#), provide further information on the schedule. The full Project schedule will be available 90 days after SPR 6 approval.

3.4.2.2 Scope

The SPR 6 approach provides a clear path for implementing the remaining FI\$Cal functionality and an approach for onboarding the remaining 97 in-scope State entities (this equates to 125 unique change management endeavors). Each release will include implementing additional functionality, deploying additional technology, and onboarding additional State entities. A detailed breakout of scope by release is included below.

In terms of functionality, the Project will continue to review workarounds for permanent solutions where feasible. In terms of technology, the Project is evaluating hardware purchases to help address system stability, availability, and performance improvements.

As part of determining which State entities will be onboarded in each release, the Project will spend considerable time and effort to better understand, analyze, and group State entities into deployment cohorts with similar financial management needs. This process will help to ensure that State entities are onboarded successfully in all three releases without overloading the final Control Agency release. The approach will also reduce risk and allow the Project more time to prepare the final onboarding of State entities.

To determine which entities to target for implementation, the Project will evaluate System and State-entity readiness at two checkpoints in the implementation process for each release:

- (1) At the end of the Analyze Phase, the Project will assess whether FI\$Cal requires adjustments for successful deployment to the State entities scheduled for that release. If adjustments are needed, the entity will move to the following year's release. One benefit to the model office discussed in [Section 4.8](#) is that it will accelerate the Project's ability to understand how State entities conduct business, which directly ties to how they will use FI\$Cal for their business processes.
- (2) During the Testing Phase, the Project will evaluate State entities on their readiness to onboard to FI\$Cal. If the Project determines that an entity is close but not completely ready for its scheduled July Release, onboarding will be moved to August to October of the same year. However, the entity's conversion data will still be loaded per the July release schedule. Note that, just as for State entities onboarding in July, the Project will provide three months of post-Production support to State entities onboarding in October. The Project will be developing the assessment criteria.

In addition, throughout the 2016 and 2017 implementations, the Project will regularly evaluate the readiness of State entities and report this to leadership. This evaluation will serve to determine the remedial steps needed to bring an entity to readiness, or whether a change in implementation plan for that entity is necessary. Early intervention will be important. Note that if a 2016 or 2017 State entity has not completed the required tasks to be ready for onboarding in October, the Project will move that entity to the following year's July release.

The assessment of whether to move one or more State entities to a future release will take into account the Project's capacity to onboard the entity/entities in the following release year. This analysis will include determining how many support team the Project can establish and how much effort is necessary for configuring the entities based on size and complexity.

Since SPR 6 provides entities with up to two years to prepare for FI\$Cal implementation, the Project expects that all remaining State entities will be ready for the July 2018 Release. As such, no onboarding is scheduled beyond this date.

July 2016 Release

Functionality To Be Implemented:

- **Budgets 2.0 + Reports:** Includes a partial redesign of the foundational elements of the budget system in the areas of data entry, performance, and security to improve usability, end-user satisfaction, and system responsiveness. This Hyperion 2.0 partial redesign is intended to address the current challenges end-users experience with duplicative data entry, system security (confidentiality), financial controls, performance, and lack of real-time reporting. Programmatic benefits of Hyperion 2.0 include increased stability and performance, streamlined data entry, and guardrails to prevent invalid/incorrect data entry.

Hyperion will also be deployed to all remaining Budget users. While additional reports will be developed and deployed to end users, no additional budget-related functionality will be rolled out in 2016. Rather, the remaining functionality, which is part of the original Project scope, will be deployed in 2017. (Please see July 2017 Release for details.)

- **Oracle Business Intelligence:** Includes deployment of the Business Intelligence, Data Warehouse, and Reporting capabilities included in the original contract scope.
- **Deployment of Statewide Budgeting:** Includes the deployment of Hyperion to all remaining State entities.
- **DGS/ABMS** – Includes implementing DGS’s departmental accounting in FI\$Cal, replacing ABMS, as well as budgeting and procurement. In addition, to address the complexity of DGS’s real property leasing and project costing, SPR 6 deploys real property leasing modules and additional Primavera functions in the February and June 2017 minor releases (shown on [Figure 2, Gantt Chart for the Proposed Alternative](#)). Note that under this revised timing, FI\$Cal implementation is still estimated to save the State approximately \$2M per year in ABMS support costs as stated in Section 3.4.1.1 of SPR 5.

Technology To Be Implemented:

- **PeopleSoft 9.2 and PeopleTools 8.5.4 Upgrades:** Includes a PeopleSoft 9.2 upgrade that was approved as part of SPR 5, as well as additional PeopleTools 8.5.4 functionality that was not originally scoped. In subsequent releases, the Project will configure and implement specific features relevant to the functions and State entities being onboarded.

These upgrades will allow the State to be on the latest, generally accepted versions of PeopleSoft and PeopleTools to facilitate long-term application support and maintenance. The Project’s plan has always included an upgrade to the latest application version.

- **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.

State Entities To Be Onboarded:

The July 2016 Release will onboard 10 State entities (consisting of 1 large, 2 medium, and 7 small) to FI\$Cal PeopleSoft, along with budget functionality for all State entities. However, the large entity is only implementing procurement functionality with this release. The approach for selecting State entities is described in [Section 3.4.4.2](#).

July 2017 Release

In addition to adding State entities and functionality to FI\$Cal, the July 2017 Release offers two significant benefits: (1) the schedule allows increased time for design and testing that the Control Agencies (SCO and STO) find invaluable, and (2) the additional functionality deployed will make FI\$Cal a fully integrated system, such that the solution will become the System of Record for accounting, budgets, procurement, and cash management. Specific elements of the July 2017 Release are as follows:

Functionality To Be Implemented:

- **Remaining Budget Scope + Enhancements:** Completes the deployment of all remaining in-scope budget functionality to DOF and all other users of the budget solution. The scope of this remaining functionality includes DOF Cash Flow, Departmental Forecasting and Operating Budgets, a solution for varying attributes for flags across fiscal years (past, current, and budget years), additional guardrails/system controls, the implementation of Application Express (ApEx) for policy decision support, implementation of self-service features for the Department of Finance, enhanced Scenario/Version locking and blocking, and design and implementation of a long-term archiving strategy.
- **SCO/STO Control Functionality:** Includes deploying SCO and STO control functions within the original Project scope on a lengthened timeframe to allow for a more robust build/test cycle per the Gantt Chart in [Figure 2](#). As a result, FI\$Cal will be the Book of Record for accounting and cash management in July 2017.

Technology To Be Implemented:

- **Automated User Provisioning:** 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.

- **Security Information and Event Management:** 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.

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 every major release (i.e., Fall 2015, June 2016, June 2017, and June 2018 releases).

- **Legacy Data Repository:** 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 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.
- **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.

State Entities To Be Onboarded:

The July 2017 Release will also onboard approximately/up to 50 State entities (consisting of 14 large, 14 medium, and 22 small) to FI\$Cal PeopleSoft.

July 2018 Release

Functionality To Be Implemented

Transparency Website: The public-facing Transparency Website will allow for quick reporting of State expenditures and other key financial data as required. Although included in the original contract scope, Transparency Website functionality will be deployed on a later date as a result of SPR 6.

In terms of website development, the Project will complete the Design, Build, and Test Phases prior to the July 2018 Release. Then, in July 2018, the Transparency Website will go live and begin automatically extracting/capturing FI\$Cal transactions as intended. At this point, FI\$Cal functionality will be fully implemented, and State entities will be entering all transactions in the System. 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 important financial information for the State. Under this plan, the Transparency Website will have a complete record of financial data at the time of its public release.

Technology Improvements To Be Implemented

Business Transaction Monitoring: 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.

SDLC and Operations Support Tools Refresh: Implement Project-owned SDLC and Operations Support Tools for requirements management, test and defect management, and 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 65 State entities (consisting of 24 large, 11 medium, and 30 small) to FI\$Cal. Most of these will be entities previously slated for Wave 4.

3.4.2.3 Staffing

SPR 5 estimated Project staffing to peak at 294 positions. SPR 6 estimates that Project staffing will peak at 386 positions. Position changes between the staffing peak in SPR 5 and SPR 6 result from the assessment of staff needed to realistically implement the proposed alternative. (See [Section 3.4.3.2, Alternatives.](#))

This SPR reflects the current knowledge of FI\$Cal System operations and the corresponding workloads. As the FI\$Cal staff and partners gain more experience with the support of the FI\$Cal and additional departments are brought onto FI\$Cal, the workloads may require adjustment. Adjustments are not expected to exceed 10 percent of the project cost; therefore, FI\$Cal expects to make these modifications through the 2017/18 Budget Change Process.

3.4.3 Feasible Alternatives Considered

In developing SPR 6, the Project considered many alternatives for re-planning the remainder of the Project. After careful consideration three alternatives emerged, each with unique benefits as well as drawbacks.

3.4.3.1 *Analysis Methodology*

To compare the relative complexity associated with each alternative, the Project considered the key factors that drive effort and risk for the Project:

- Number and complexity of State entities remaining to be onboarded
- Number of users and their roles
- Number of interfaces (engines and point-to-point transformations)
- Number of conversions (engines and point-to-point transformations)
- Number of funds associated with each State entity, including the size and relative complexity of its budget and accounting needs
- Receipt of federal funds
- Use of bond accounts

3.4.3.2 *Alternatives*

After careful analysis, the Project developed three feasible alternatives for the remainder of the FI\$Cal Project:

- [Alternative 1](#) – Two-Year Extension – (*Proposed*)
- [Alternative 2](#) – One-Year Extension – (*Not Selected*)
- [Alternative 3](#) – Three-Year Extension – (*Not Selected*)

While each alternative has advantages and disadvantages, the Project recommends Alternative 1 as providing the best cost-benefit ratio and the least negative impact to State entities. Summary tables and Gantt charts follow, listing key elements and pros and cons for each alternative. Note that [Figure 2](#) above provided the Gantt chart for Alternative 1.

Table 5. Alternative 1 – Two-Year Extension

Proposed

Key Elements:

1. Moves State Controller’s Office (SCO) and State Treasurer’s Office (STO) control function implementation from July 2016 to July 2017.
2. Moves DGS’s ABMS functionality, originally planned for release in Wave 2 (July 2015), to July 2016.
3. Accelerates rolling out Hyperion to remaining State entities by moving this implementation from July 2017 to July 2016.
4. Provides remaining PeopleSoft implementation in three summer releases: July 2016, July 2017, and July 2018.
5. Provides opportunity for October onboarding if a State entity has not completed the required tasks to be deployed by these release dates. State entities assessed as requiring more preparation time to ensure success will be moved to July of the following year. The Project will consider the risk and cost of moving any State entities and will put in place a support model to address the entities’ individual needs and to mitigate the risk.
6. Strategically selects State entities based on complexity, readiness, and sponsorship.
7. Restructures teams to facilitate Knowledge Transfer to State staff.
8. With July 2018 as the final go-live date for remaining State entities, moves the Transparency Website out as well.
9. Incorporates one full year of Knowledge Transfer from Accenture to State personnel to support long-term O&M.

Advantages

- Extends design validation and testing for complex SCO/STO control functions.
- Provides dedicated resources to support SCO/STO Control Agency design, build, and deployment.
- Provides dedicated resources for State-entity deployment.
- Provides time to ensure a quality ABMS solution that meets DGS’s unique needs.
- Includes redesign and statewide rollout of Hyperion functionality and upgrades in 2016 with implementation of all remaining budget-related functionality in 2017.

Disadvantages

- Increases Project cost by \$237.4 million.
- Extends the Project timeline by two years.
- Differs from State-entity expectations for a July 2017 go-live date, which some entities may already be preparing for.
- Delays public access to the Transparency Website until all State entities have been onboarded and have transacted in FI\$Cal for a full year.
- 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.

Table 5. Alternative 1 – Two-Year Extension
Proposed

- Implements a multifaceted approach to engaging and onboarding State entities, described in [Section 3.4.4.2](#). This approach recognizes that the best outcomes are achieved when Project and State-entity staff work together as a team to create a successful, long-term experience for State-entity users.
- Provides an additional year for onboarding State entities and a full year for adequate Knowledge Transfer after all entities and functionality are deployed.
- Gives the Project flexibility to schedule State entities in a given release based on readiness criteria.
- Gives the Project flexibility to onboard State entities in August to October of the same release year if the Project finds minor readiness issues that can be resolved by October.
- Incorporates a revised staffing plan to address an ongoing Project challenge: competing demands for a limited number of subject matter experts to focus on multiple, concurrent activities.
- By splitting State entities into three releases, increases the effectiveness of post-go-live support by: (1) allowing the Project to focus on a smaller set of State entities, and (2) reducing the resource and schedule challenges of going live all at once or in only two groups.
- Recognizes that the Transparency Website’s success depends on all State entities transacting in the System.
- Provides a hands-on-keyboard Knowledge Transfer approach for State staff.
- Lays the foundation for the future state of the FI\$Cal Department as a permanent, ongoing entity.

Table 6. Alternative 2 – One-Year Extension
Not Selected

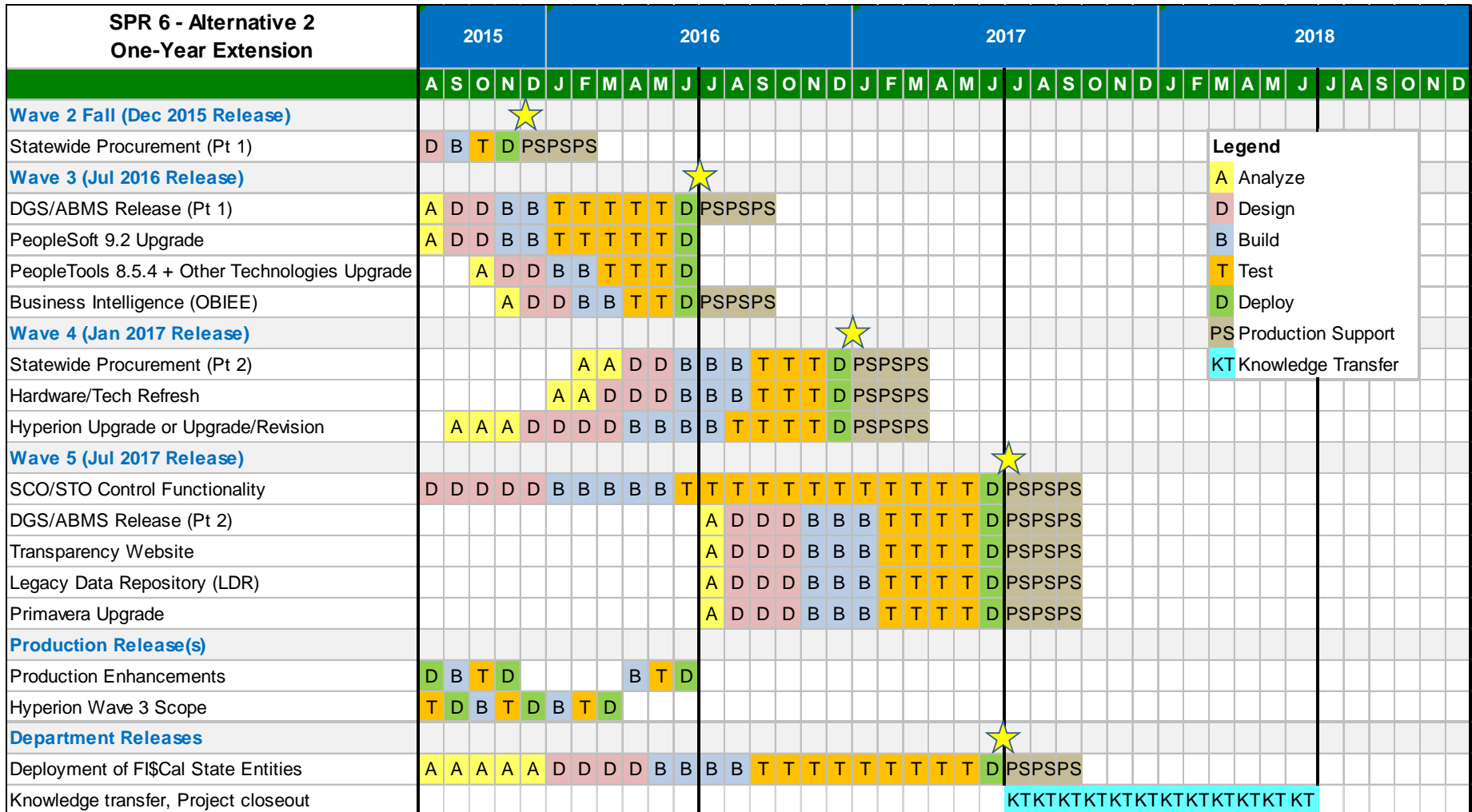
Key Elements:

1. Moves State Controller’s Office (SCO) and State Treasurer’s Office (STO) control function implementation from July 2016 to July 2017.
2. Moves DGS’s ABMS functionality, originally planned for release in Wave 2 (July 2015), to July 2016.
3. Accelerates rolling out Hyperion to remaining departments by moving this implementation from July 2017 to July 2016.
4. Adds an additional release in January 2017 for a hardware and software upgrade.
5. Maintains deployment of FI\$Cal to the remaining State entities in July 2017 as outlined in SPR 5.
6. Moves the Transparency Website out to the final go-live date of July 2017.
7. Incorporates one full year of Knowledge Transfer from Accenture to State personnel to support long-term O&M.

Advantages	Disadvantages
<ul style="list-style-type: none"> • Maintains July 2017 as the final go-live date, meeting current State-entity expectations and schedules for readiness and onboarding. • Addresses the complexity of SCO/STO control functions by allowing more time for design validation and testing before implementation. • Provides time to ensure a quality solution that meets DGS’s unique needs. • By moving out deployment of the Transparency Website, recognizes that the website’s success depends on all State entities transacting in the system. • The Transparency Website is available to the public sooner, as all State entities are onboarded and transacting earlier than in Alternative 1 or 3. • Provides a full year for adequate Knowledge Transfer after all entities and functionality are deployed. This supports long-term O&M. 	<ul style="list-style-type: none"> • Increases Project costs by \$109.9 million. • Adds one year to the Project schedule. • Poses significant risk to Project success by implementing all remaining State entities at one time. Risk factors include the following: <ul style="list-style-type: none"> ▪ The number of users in the remaining State entities is significantly larger than in previous waves. ▪ The Project does not have adequate resources to onboard all remaining State entities at one time. ▪ The Project does not have sufficient and dedicated resources to support Control Agency and State-entity deployment concurrently. ▪ It’s unfeasible to add the significant number of new staff required and train them in time to be productive. • Delays public access to the Transparency Website until all State entities have been onboarded and have transacted in FI\$Cal for a full year. Because of this, the Transparency Website is accessible to the public later than proposed in SPR 5.



Figure 3. Gantt Chart for Alternative 2



Legend

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

Table 7. Alternative 3 – Three-Year Extension
Not Selected

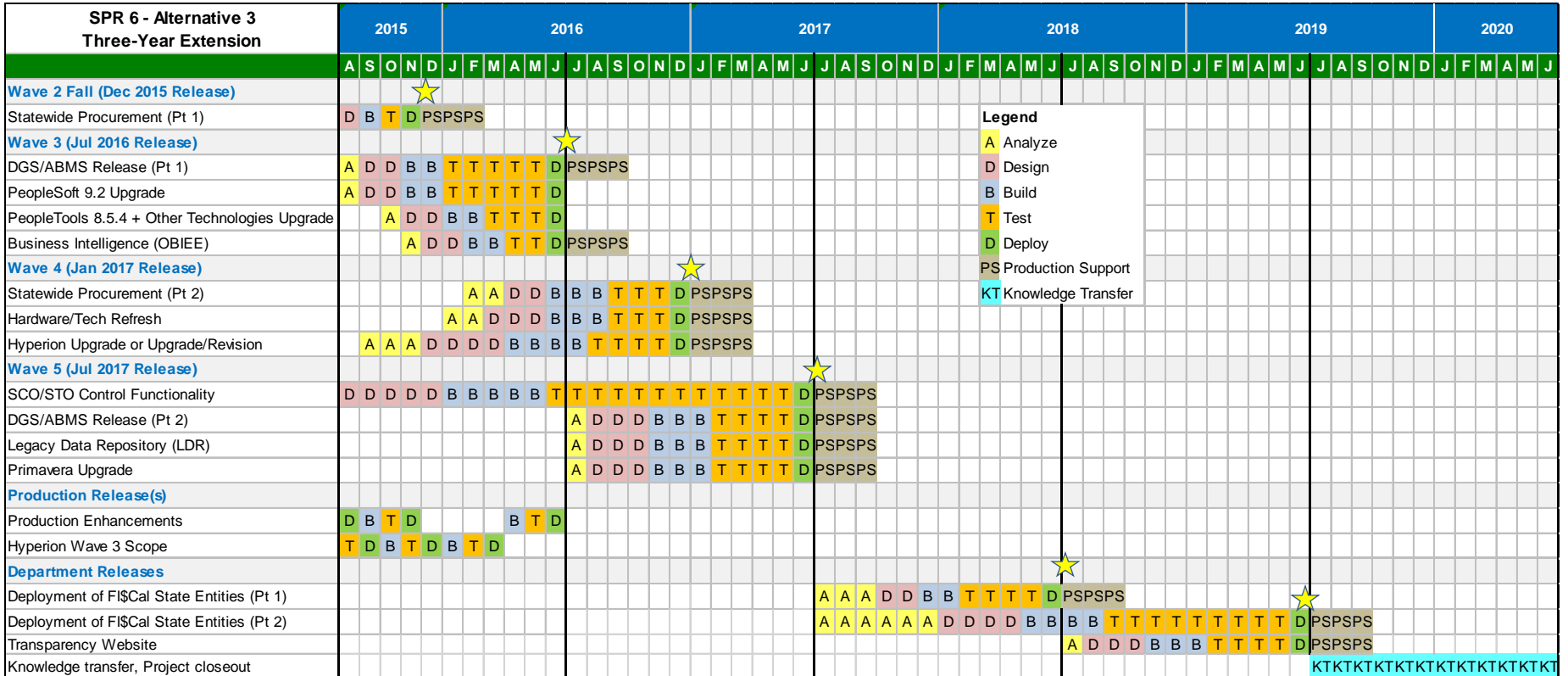
Key Elements:

1. Moves State Controller’s Office (SCO) and State Treasurer’s Office (STO) control function implementation from July 2016 to July 2017.
2. Moves DGS’s ABMS functionality, originally planned for release in Wave 2 (July 2015), to July 2016.
3. Accelerates rolling out Hyperion to remaining State entities by moving this implementation from July 2017 to July 2016.
4. Splits remaining State entities into two deployment groups: Group 1 would go live in July 2018, and Group 2 would go live in July 2019.
5. Allows the Project to focus on SCO/STO Control Agency analysis and design validation in 2016 and then focus on the remaining State entities.
6. With July 2019 as the final go-live date for remaining State entities, moves the Transparency Website out as well.
7. Incorporates one full year of Knowledge Transfer from Accenture to State personnel to support long-term O&M.

Advantages	Disadvantages
<ul style="list-style-type: none"> • Provides time for FI\$Cal functionality to be fully completed before onboarding the remaining State entities. • Three-year extension provides two additional years for onboarding State entities and a full year for adequate Knowledge Transfer after all entities and functionality are deployed. • Provides time to ensure a quality ABMS solution that meets DGS’s unique needs. • Allows the Project to focus on SCO/STO Control Agency analysis and design validation in 2016 with few competing priorities. • Allows the Project to focus on other State-entity deployments from 2017 to 2019 with few competing priorities. • Provides relief from resource constraints. • By moving out deployment of the Transparency Website, recognizes that the website’s success depends on all State entities transacting in the system. • Provides a full year for adequate Knowledge Transfer after all entities and functionality are deployed. This supports long-term O&M. 	<ul style="list-style-type: none"> • Increases Project costs by \$335.4 million. • Extends the Project schedule by three years. • Increases risk by implementing all remaining State entities in only two deployment groups as compared to having three releases in the proposed alternative. • Disengages other State entities for a year while the Project focuses on fully completing functionality that needs to be in place prior to other entities going live. • Makes State entities wait longer for FI\$Cal, potentially impacting their legacy systems and budgets. • Delays public access to the Transparency Website until all State entities have been onboarded and have transacted in FI\$Cal for a full year.



Figure 4. Gantt Chart for Alternative 3



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—major System deployment at planned intervals—remains unchanged from SPR 4. SPR 4 contained both the strategy and benefits for this approach.

Under SPR 6, the Project will deploy FI\$Cal in three summer releases. More than just a change in wording, the term *releases* recognizes the Project's need to integrate two essential aspects of implementation:

- **Maintaining solid target dates:** Like waves, SPR 6's major releases provide solid target dates. These dates allow both the Project and the State entities to prepare for deployment of significant functionality.
- **Building in schedule flexibility:** Unlike waves, releases build in schedule flexibility to benefit Project outcomes. For functionality, this includes minor releases as functionality becomes ready within the scheduled major release year. For State entities, this means onboarding entities that are not quite ready in August to October of the same year, or moving them to the next year's July release, whichever best meets the needs of both the State entity and the Project.

As mentioned previously, each State entity—whether onboarded in July or moved to August-to-October—will receive three months of post-go-live support. By building some flexibility into the schedule, the Project maintains overall Project control and maximizes the ability to meet target dates while reducing the potential for unplanned, negative schedule impacts to future releases.

Going forward, SPR 6 proposes onboarding the remaining State entities and implementing functionality in the three releases described, based on such considerations as the following:

- Interrelated functionality
- State-entity readiness
- Timing of legacy system retirement
- Ability to provide dedicated support to State entities
- Goal of balancing total effort for smoother scheduling, staffing, and outcomes

[Section 3.4.2.2](#) details the proposed functionality, technology, and State entities to be included in each release.

3.4.4.2 Approach to Engaging and Onboarding State Entities

Under SPR 6, the Project is restructuring its approach to engaging and onboarding State entities by placing a greater emphasis on involvement, collaboration, and responsiveness through team building. This approach recognizes that the best outcomes are achieved when Project and State-entity staff work together as a team with a unified goal: to create a successful, long-term experience for State-entity users.

Building a team approach with State entities includes the following activities:

- Reaching out to State entities and involving them in the discussion of when to onboard to FI\$Cal.
- Placing Project teams at State-entity sites to learn about users' experiences, needs, and processes.
- Asking State entities to identify super users. These staff members will come to the Project site for early engagement with FI\$Cal long before their entities' go live. For example, 2017 State entities will send super users for early exposure during the July 2016 Release.

To optimize user support, the Project will group State entities into implementation cohorts based on the following criteria:

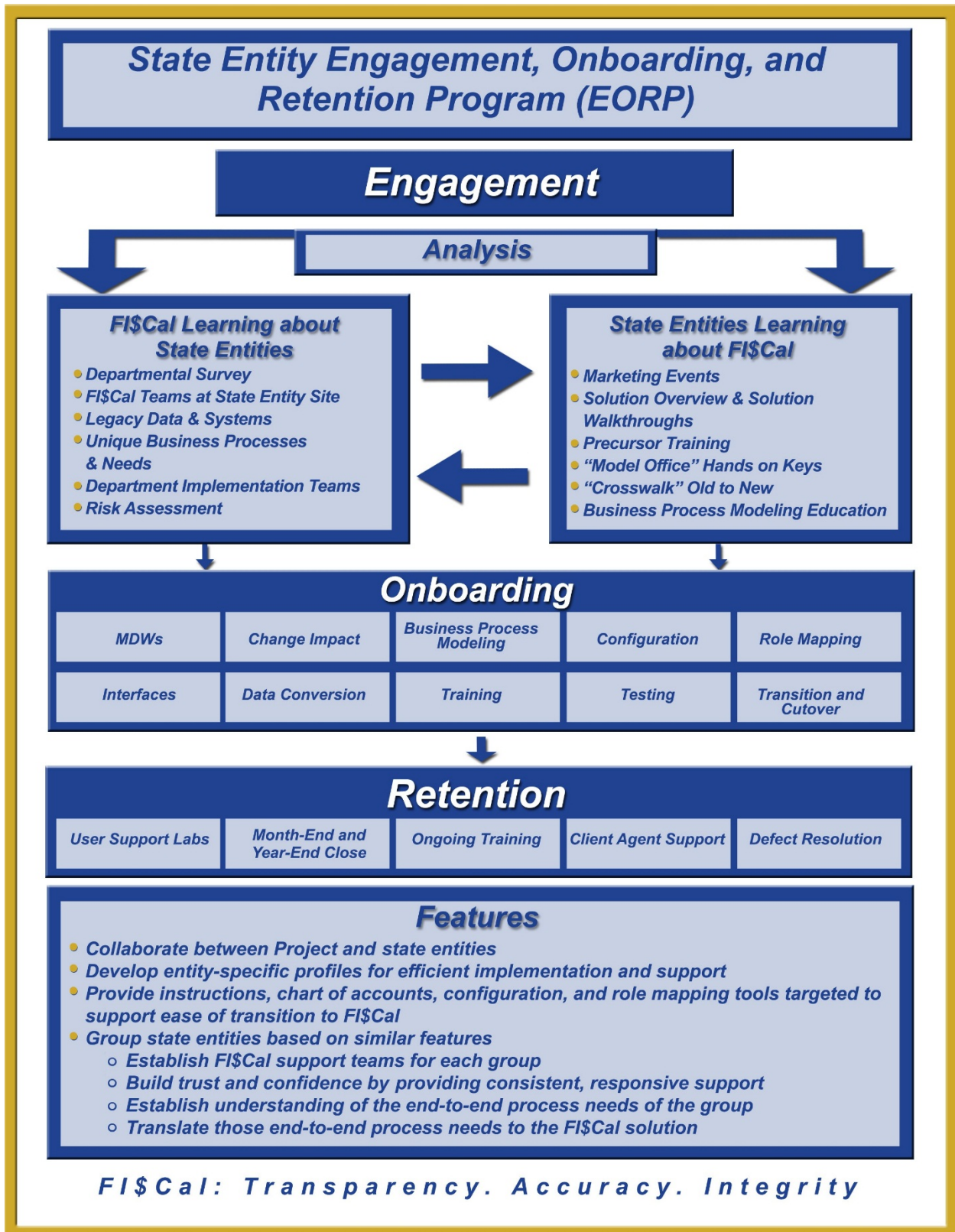
- Size
 - Small: ≤ 150 authorized positions
 - Medium: Between 151 and 2499 authorized positions
 - Large: ≥ 2500 authorized positions
- Funding structure complexity
- Functionality requirements
- Similarity of financial processes (how State entities do their accounting, including recording and tracing financial transactions)

To serve these State-entity cohorts, the Project will create internal support teams composed of experts in end-to-end FI\$Cal processes. Teams will have the ability to support multiple modules. These teams will respond to System questions, support engagement activities, and provide business process documentation.

The teams will be assigned to particular State-entity cohorts, building trust and confidence with consistent, responsive support. This model creates support teams with overlapping skills, which allows for staffing flexibility. For example, if team members are absent or an entity temporarily needs additional support, staff from other teams can fill in.

Figure 5 highlights features of the Project's approach to engaging, onboarding, and retaining State entities, which will be piloted with entities onboarding in the July 2016 Release.

Figure 5. Approach to State Entities



3.4.4.3 Knowledge Transfer

SPR 6 recognizes the importance of Knowledge Transfer to support the long-term effectiveness of the FSC. Because of this, the Project has developed a robust plan with scheduled Knowledge Transfer opportunities. These opportunities include State-to-State and model office sessions for cross training and enhanced skill development, and rotations to State entities for real-life experience. SPR 6 provides a full year of Knowledge Transfer after all State entities and functionality have been successfully implemented.

In addition, SPR 6 shifts the Knowledge Transfer approach to create more effective outcomes. In the past, Accenture personnel have demonstrated operations with State staff looking on. SPR 6 changes this approach, ensuring that State personnel are hands-on-keyboard while being trained and shadowed by knowledgeable Accenture staff.

4.0 Updated Project Management Plan

4.1 Project Manager Qualifications

The fundamental qualifications for management of the Project have not changed since SPR 3. The Project is managed by a State Project Director, who is a senior level project manager with significant background and experience in operating large, complex projects with diverse stakeholder groups. In addition to the Project Director, the Project utilizes an Executive Partner to provide vision and executive leadership to the Project. (See Executive Partner and Project Director under [Section 4.5.4, Project Roles and Responsibilities.](#))

Since SPR 5, FI\$Cal has had a change of both Project Director and Executive Partner. In April 2015 Tamara Armstrong left the Project and in June 2015 Neeraj Chauhan joined the Project as the FI\$Cal Project Director. Mr. Chauhan has had extensive experience leading large projects and meets all of the Project Manager qualifications listed above. Additionally, in September 2015 Jeffrey Uyeda retired from the Project and Miriam Barcellona Ingenito joined the Project as the FI\$Cal Executive Partner. Ms. Ingenito brings her strong leadership background and in-depth experience with the State of California to the Project.

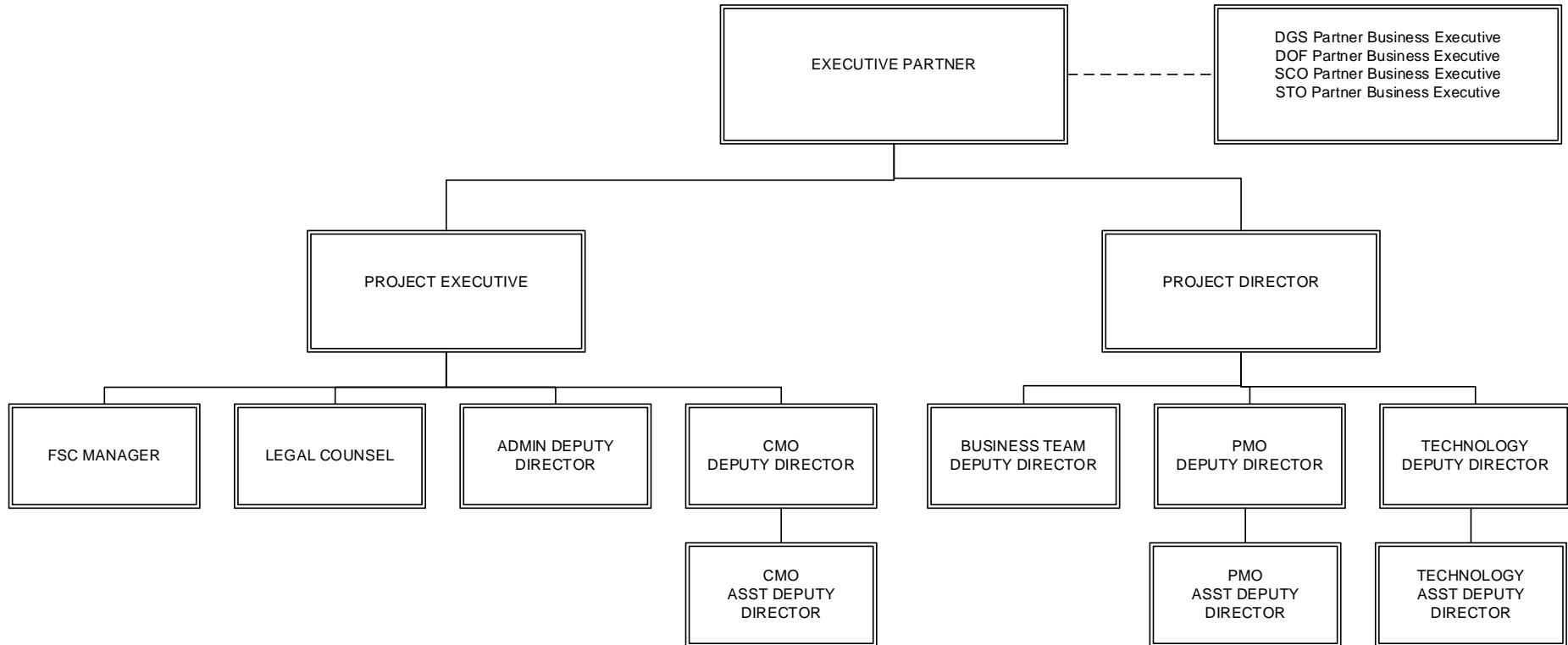
4.2 Project Management Methodology

No changes have been made since SPR 4 to Section 4.2, Project Management Methodology.

8.3 Project Organization

Figure 6 shows the current leadership and structure of the Project organization. Table 8 summarizes the current number of Project staff resources by classification.

Figure 6. Current Project Organization Chart¹



¹ Future reorganization to be developed.

Table 8. Current Number of Staff Resources by Classification

Classification	Sum of Total Resources
Accountant Trainee	1
Accounting Administrator I (Spec)	2
Accounting Administrator I (Sup)	4
Accounting Administrator II	10
Accounting Administrator III	7
Administrative Assistant I	2
Associate Accounting Analyst	3
Associate Business Management Analyst	3
Associate Governmental Program Analyst	28
Associate Information Systems Analyst (Spec)	3
Associate Systems Software Specialist (Tech)	6
Associate Personnel Analyst	2
Business Service Officer I (Spec)	2
Career Executive Assignment A	1
Career Executive Assignment B	8
Career Executive Assignment C	2
Data Processing Manager I	1
Data Processing Manager II	2
Data Processing Manager III	16
Data Processing Manager IV	4
Executive Partner	1
Information Officer II	1
Management Services Technician	1
Office Technician (Typing)	1
Personnel Specialist	1
Principal Program Budget Analyst II	3
Principal Program Budget Analyst III	2
Senior Administrative Analyst (As)	1
Senior Programmer Analyst (Spec)	15
Sr. Information Systems Analyst (Spec)	17
Sr. Information Systems Analyst (Sup)	3
Sr. Administrative Analyst	2
Sr. EDP Acquisition Spec.	1



Sr. Personnel Specialist	1
Staff Administrative Analyst (AcctSys)	1
Staff Counsel III (Spec)	1
Staff Finance Budget Analyst	3
Staff Information Systems Analyst (Spec)	21
Staff Information Systems Analyst (Sup)	1
Staff Programmer Analyst (Spec)	4
Staff Services Analyst	8
Staff Services Manager I	25
Staff Services Manager II (Mgrl)	6
Staff Services Manager II (Sup)	8
Staff Services Manager III	5
Supervising Admin Analyst (AcctSys)	2
Supervising Mgmt Auditor	1
Systems Software Specialist I (Tech)	3
Systems Software Specialist II (Tech)	18
Systems Software Specialist III (Sup)	3
Systems Software Specialist III (Tech)	14
Training Officer I	3
Treasury Program Manager I	1
Treasury Program Manager II	2
Treasury Program Manager III	1
Grand Total	257

4.4 Project Priorities

No changes have been made since SPR 4 to Section 4.4, Project Priorities. Project Priorities are maintained in the FI\$Cal Project Charter document as well.

4.5 Project Plan

Project plan changes from SPR 5 are outlined in the sections below.

4.5.1 Project Scope

Section 3.4.2.2 contains the proposed scope changes for SPR 6. Most of these changes involve the movement of existing scope from the two remaining waves in SPR 5 to three summer releases.

[Appendix B, Changes to Project Scope](#), compares functionality by wave under the SPR 5 Work Plan with subsequent changes to that functionality, including changes proposed by SPR 6.

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

[Section 3.4.4, Implementation Plan](#) provides a view of the anticipated phases and the high-level deliverables associated with each phase under SPR 6

4.5.4 Project Roles and Responsibilities

Table 9 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 9. 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.

Table 9. State Roles And Responsibilities

Roles	Responsibilities
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 Executive Partner who has been appointed to the Project to serve as a key advisor to the Steering Committee. • Approves the selection of the Project Executive. • Assign authority to the Project Executive. • 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.
Executive Working Group	<p>Discuss and deliberate on major Project issues and make recommendations to the full Steering Committee. One vote per partner, representative if necessary.</p>
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.
Executive Partner	<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.

Table 9. State Roles And Responsibilities

Roles	Responsibilities
Project Executive	<ul style="list-style-type: none"> • 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, the California Department of Technology (CalTech), 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. • Provide leadership to State staff assigned to manage the multidisciplinary Project teams. The teams include FI\$Cal Administration and Change Management Office.
Project Director (State Project Manager)	<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. • Elevate requests or issues to the CCB. • Report to the Executive Partner. • 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 Executive Partner, Project Executive, 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 Project Executive 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 teams. The teams include Business, Project Management Office, and Technology. • 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.

Table 9. State Roles And Responsibilities

Roles	Responsibilities
	<ul style="list-style-type: none"> • 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.
Partner Business Executives	<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. • 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

As part of the proposed change, Accenture and the State will revise the detailed Project schedule and associated deliverables to be consistent with the proposed approach. This revised Project schedule will illustrate the work breakdown structure and will be used throughout the Project to monitor progress, schedule variances, and completion status, and to focus efforts on the desired outcomes. An integrated master schedule will be provided to CalTech as a separate file within 90 days after approval of this SPR. Table 10 summarizes the proposed Project schedule. The schedule overview is shown above in [Figure 2, Gantt Chart for the Proposed Alternative.](#)

Table 10. Project Schedule	
Project Period	Go Live
DD&I Start	June 2012
Pre-Wave	July 2013
Wave 1	July 2014
Wave 2	Summer Release – August 2015 Fall Release – December 2015
July 2016 Release	July 2016
July 2017 Release	July 2017
July 2018 Release	July 2018

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

In 2014, the PMO Enterprise Quality Team was expanded to include a Test Management Unit. As a result, the State has been coordinating all of the testing activities for the Project. The focus of this unit is to ensure FI\$Cal meets Project requirements through a quality and testing program designed to fulfill the Project’s business objectives. This quality and testing program incorporates the latest trends and industry best practices. The Project’s Quality and Testing Manager is required to have advanced knowledge of Enterprise Testing and Quality Assurance in order to coordinate quality assurance and testing activities throughout the Design, Development, and Implementation Phases.

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 releases. The Project recognizes the opportunities to continue to refine its implementation activities as part of the commitment to process improvement. In the remaining releases, the Project will further streamline State-entity readiness activities related to configuration and end-user role mapping.

End-user roles: An opportunity exists to rationalize end-user roles. Specifically, existing transactional roles will be reconfigured to include supporting roles, such as reporting and viewing or other similar roles. This rationalization will yield fewer roles that a State entity must understand and assign to its end users.

Configuration: The Project has the opportunity to provide State entities with existing values 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 the Project 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: The Project will be expanding efforts related to business process reengineering. 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 FI\$Cal.

To support State entities in developing this expertise, the Project will provide super users in future releases with early access to FI\$Cal. State entities have already identified their super users, and the Project has given them the current training curriculum. In addition, the Project will provide “hands-on-keys” 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, the Project has invested in staff training for business process modeling. Project 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.

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 changes have been made to Sections 5.0, Risk and Issue Management Plan, through 5.2, Risk and Issue Management Worksheet, since SPR 4. Appendix C contains the Risk and Issue Register of open risks and issues just before this SPR was published.

6.0 Updated Economic Analysis Worksheets (EAWs)

SPR 5 identified the cost of the Project at \$672.6 million through Fiscal Year (FY) 2018-19. SPR 6 estimates the costs of the Project at \$910.0 million for the years of 2005-06 to 2019-20 as follows:

- Actual expenditures from FY 2005-06 through FY 2014-15 are \$335.1 million.
- Available funding for fiscal year 2015-2016 is \$153.9 million.
- Total Project cost is now estimated at \$910.0 million, with the FY 2016-17 cost of \$135.1 million.

6.1 Cost Assumptions

The following assumptions were used to develop the EAWs for the FI\$Cal Project as proposed by SPR 6:

- The Project impacts approximately 150 State entities and will be rolled out over six years.
- Total staffing requested for FY 2016-17 is 352 positions. The staffing level peaks in FY 2018-19 at 386 positions.
- Accenture's costs include \$55.2 million for Fiscal Year 2016-17. Accenture's total cost over the life of the Project is \$304.9 million. Funding assumption for DD&I remains at 47.11 percent General Fund, 39.90 percent special and nongovernmental costs funds, and 12.99 percent federal funds.
- Funding for Operations and Maintenance beginning in FY 2016-17 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 D includes EAWs for the Proposed Alternative (Two-Year Extension) as well as the non-selected alternatives.

Appendix A: FI\$Cal Project Objectives

This appendix lists the overall objectives for the FI\$Cal Project. California Government Code Section 15849.22 codifies these objectives as follows:

- (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.
- (2) Increase competition by promoting business opportunities through the use of electronic bidding, online vendor interaction, and automated vendor functions.
- (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.
- (4) Increase investment returns through timely and accurate monitoring of cash balances, cash flow forecasting, and timing of receipts and disbursements.
- (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, standardized data, and financial management reports.
- (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.
- (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.
- (8) Provide online access to financial management information resulting in a reduction of payment or approval inquiries, or both.
- (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.
- (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.

- (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.
- (12) Track purchase volumes and costs by vendor and commodity code or service code to increase strategic sourcing opportunities, reduce purchase prices, and capture total state spending data.
- (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.
- (14) Streamline the accounts receivable collections process and allow for offset capability which will provide the ability for increased cash collection.
- (15) Streamline the payment process and allow for faster vendor payments that will reduce late payment penalty fees paid by the state.
- (16) Improve role-based security and workflow authorization by capturing near real-time data from the state's human resources system of record.
- (17) Implement a stable and secure information technology infrastructure.

The proposed information technology solution, coupled with associated business process reengineering, will address these high priority state policy objectives. The new system can be tailored to meet California's needs while remaining flexible enough to adapt to changes in policy and programs, subject to reconfiguration in extreme situations. Service delivery and business operations will be more efficient and effective as a result.

Appendix B: Changes to Project Scope

This section provides details on changes to the FI\$Cal Project scope since SPR 5 as follows:

- Section B.1 summarizes major changes since SPR 5 and prior to SPR 6.
- Section B.2 summarizes changes proposed by SPR 6.
- Section B.3 provides a table comparing functionality for each wave under the SPR 5 Work Plan with subsequent changes to that functionality.

B.1 Summary of Changes since SPR 5 and Prior to SPR 6

The following changes have been made since SPR 5 submission:

- Moved the DGS ABMS transition to FI\$Cal from Wave 2 (July 2015) to Wave 3 (proposed as the July 2016 Release under SPR 6)
- Moved nine CFS State entities with bond accounting from Wave 2 (July 2015) to Wave 3 (proposed as the July 2016 Release under SPR 6)
- Moved the Department of Aging (CDA) from Wave 1 (July 2014) to Wave 2 (July 2015)
- Moved the Board of Equalization (BOE) from Wave 1 (July 2014) to Wave 4 (proposed for the July 2018 Release under SPR 6)
- Moved the Department of Justice (DOJ) from Wave 1 (July 2014) to Wave 4 (proposed for the July 2018 Release under SPR 6)
- Added upgrade to PeopleTools 8.5.4

B.2 Summary of Changes resulting from SPR 6

SPR 6 includes the following changes:

- Shifts SCO and STO Control Agency functions from the July 2016 Release (Wave 3) to the July 2017 Release.
- Rather than one final State-entity release, spreads the in-scope entities currently planned for PeopleSoft implementation among three releases: July 2016 Release, July 2017 Release, and July 2018 Release
- Deploys statewide budgeting in the July 2016 Release (moved from July 2017)
- Upgrades the Hyperion software
- Shifts the Transparency Website from the July 2017 Release (Wave 4) to the July 2018 Release



- Incorporates the following additional Technology and Security Roadmap items:
 - Automated User Provisioning – July 2017 Release
 - Security Information and Event Management – July 2017 Release
 - Legacy Data Repository + Enhancements – July 2017 Release
 - Business Transaction Monitoring – July 2018 Release
 - SDLC Tools Refresh – July 2018 Release
- Extends Accenture resources through June 2019 to support Knowledge Transfer to the State Team.



B.3 Comparison of Functionality

For easy reference, Table 11 compares functionality by wave under SPR 5 with changes in the implementation schedule for that functionality. The “Functionality by Wave per SPR 5” column is taken directly from the SPR 5 Work Plan.

Table 11. Changes to Scope since SPR 5		
SPR 5 Implementation	Functionality by Wave per SPR 5	Changes in Implementation Schedule for Functionality since SPR 5
<i>Pre-Wave (July 2013)</i>	<ul style="list-style-type: none"> • Establish a statewide Chart of Accounts (COA) and budget structure • Define to-be statewide business processes • 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 Best and Final Offer (BAFO) and the Bidder’s Library ▪ Analyze impact of Governor’s Reorganization ▪ Validate assumptions made for BAFO wave assignments • Implement 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 • Convert the following departments into Master File in FI\$Cal: Agricultural Labor Relations Board, Office of Environmental Health Hazard Assessment, Department 	<ul style="list-style-type: none"> • N/A



Table 11. Changes to Scope since SPR 5

SPR 5 Implementation	Functionality by Wave per SPR 5	Changes in Implementation Schedule for Functionality since SPR 5
	of Aging (including Commission on Aging), California Arts Council and Department of Fair Employment & Housing	
Wave 1 (July 2014 Release)	<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, SCO and STO transition 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 Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal System impacted by Wave 1. 	<ul style="list-style-type: none"> STO moved from Wave 1 (July 2014) to Wave 2 (July 2015 Release) for transitioning departmental accounting, budgeting, and procurement functions to FI\$Cal. All other functions were successfully deployed in the Summer Release.



Table 11. Changes to Scope since SPR 5

SPR 5 Implementation	Functionality by Wave per SPR 5	Changes in Implementation Schedule for Functionality since SPR 5
<p>Wave 2 (July 2015)</p>	<ul style="list-style-type: none"> • FI\$Cal becomes the Procurement System of Record • DGS, CFS, and CalRecycle transition departmental accounting, budgeting and procurement functions to FI\$Cal • DCA transitions procurement functions to FI\$Cal • Converts all procurement vendors statewide into the Vendor Management File in FI\$Cal • Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal System impacted by Wave 2 • DGS ABMS transition to FI\$Cal 	<ul style="list-style-type: none"> • Wave 2 splits into Summer (August 2015) and Fall (December 2015) Releases • Summer Release includes the following: <ul style="list-style-type: none"> ▪ Moving DGS ABMS from Wave 2 (July 2015) to the ABMS Release (July 2016 Release) ▪ Moving STO departmental accounting, budgeting, and procurement functions to Wave 2 Summer Release ▪ Determining the interfaces and conversions from legacy systems that are needed to support the FI\$Cal System and are impacted by the Summer Release • All other functions were successfully deployed in Summer Release.
<p>Fall Release (December 2015; new since SPR 5)</p>	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • The following functions moved to Fall Release: <ul style="list-style-type: none"> ▪ FI\$Cal becoming the Procurement System of Record. Modules for purchasing authority and improvements to the online solicitation process will be deployed in minor releases prior to July 2016. ▪ Converting all procurement vendors statewide into the Vendor Management File in FI\$Cal ▪ Implementing DGS control functions ▪ Determining the interfaces and conversions from legacy systems that are needed to support the FI\$Cal System and are impacted by the Fall Release.



Table 11. Changes to Scope since SPR 5

SPR 5 Implementation	Functionality by Wave per SPR 5	Changes in Implementation Schedule for Functionality since SPR 5
<p>Wave 3 (July 2016)</p>	<ul style="list-style-type: none"> • FI\$Cal becomes the General Ledger Book of Record and processes statewide claims • FI\$Cal implements statewide cash management control functions • DOF's Governor's Budget Presentation System (GBPS) is replaced • Upgrades the FI\$Cal PeopleSoft solution to version 9.2 • Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system impacted by Wave 3 	<p>Changes to July 2016 Release</p> <ul style="list-style-type: none"> • Provides same implementation schedule as SPR 5 except as described below. • Moves the following functionality out of the July 2016 Release: <ul style="list-style-type: none"> ▪ SCO and STO control functions ▪ FI\$Cal becoming the General Ledger Book of Record and processes statewide claims ▪ FI\$Cal implementing statewide cash management control functions ▪ DOF's Governor's Budget Presentation System (GBPS) interfacing with FI\$Cal • Moves the following functionality into the July 2016 Release: <ul style="list-style-type: none"> ▪ DGS budgeting and procurement ▪ DGS ABMS functionality in July 2016. Additional Primavera functionality and real property leasing modules will be implemented in minor releases in February and June 2017. ▪ Budgets 2.0 and additional reporting capabilities • Includes the following Technology Roadmap items: <ul style="list-style-type: none"> ▪ PeopleSoft 9.2 and PeopleTools 8.5.4 Upgrades ▪ Hyperion Upgrade to Version 11.1.2.4. • Deploys statewide budgeting to all State entities • Onboards July 2016 Release State entities for departmental accounting, budgeting, and procurement functions



Table 11. Changes to Scope since SPR 5

SPR 5 Implementation	Functionality by Wave per SPR 5	Changes in Implementation Schedule for Functionality since SPR 5
		<ul style="list-style-type: none"> Determines the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system and are impacted by the July 2016 Release.
<p>Wave 4 (July 2017)</p>	<ul style="list-style-type: none"> Fully implemented and stabilized FI\$Cal functionality is deployed to remaining in-scope departments Implements citizen-facing payment transparency site Determine the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system impacted by Wave 4 	<p>Changes to July 2017 Release</p> <ul style="list-style-type: none"> Provides same implementation schedule as SPR 5 except as described below. Moves the following functionality out of the July 2017 Release: <ul style="list-style-type: none"> Deployment of fully implemented and stabilized FI\$Cal functionality to remaining in-scope State entities. Implementation of citizen-facing payment transparency site. Moves the following functionality into the July 2017 Release: <ul style="list-style-type: none"> STO and SCO control functions. FI\$Cal becoming the General Ledger Book of Record and processing statewide claims. FI\$Cal implementation of statewide cash management control functions. Implementation of remaining budget scope and additional enhancements. Onboarding of July 2017 State entities for departmental accounting, budgeting, and procurement functions. Includes the following Technology Roadmap items: <ul style="list-style-type: none"> Automated User Provisioning Security Information and Event Management Legacy Data Repository + Enhancements



Table 11. Changes to Scope since SPR 5

SPR 5 Implementation	Functionality by Wave per SPR 5	Changes in Implementation Schedule for Functionality since SPR 5
		<ul style="list-style-type: none"> Determines the interfaces and conversions from legacy systems that are needed to support the FI\$Cal System impacted by the July 2017 Release
<p>July 2018 Release</p>	<ul style="list-style-type: none"> N/A 	<p>July 2018 Release Items:</p> <ul style="list-style-type: none"> Deploys fully implemented and stabilized FI\$Cal functionality to remaining in-scope State entities Includes the following Technology Roadmap items: <ul style="list-style-type: none"> SDLC tools refresh Business Transaction Monitoring Implements citizen-facing payment transparency site Onboards remaining State entities for departmental accounting, budgeting, and procurement functions Includes Accenture providing a recommendation on the disposition of legacy systems Determines the interfaces and conversions from legacy systems that are needed to support the FI\$Cal system and are impacted by the July 2018 Release



Appendix C: Risk and Issue Register

Table 12 is a snapshot of the Project's Risk and Issue Register as of the date of SPR 6.

Table 12. Risk and Issue Register as of SPR 6 Submittal				
Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Issue	470	Not all Functionality in Scope for 2015 Fall Release Is Being Tested for Accessibility	MEDIUM	<ol style="list-style-type: none"> 1. Accenture to perform navigational accessibility testing for Section 508 requirements (AKA Web Content Accessibility Guidelines [WCAG] 1.0 requirements) using priority-based page selection. (WCAG is a federal standard). 2. With DoR assistance, State to review Accenture's accessibility test results by executing business test scripts for pages previously tested by Accenture with accessibility tools. 3. Accenture and State to log defects and Oracle SRs as needed and prioritize each based on severity. 4. Provide job aids for FSC support
Risk	469	ABMS: Lack of a defined level of effort for ABMS project and funding conversions may delay the July 2016 go-live	HIGH	<ol style="list-style-type: none"> 1. Research alternatives to the "all-in" approach to the ABMS project and funding conversion activities. Due Date 11/20/15 2. Determine the number of resources needed for the project and funding conversion activities. Due Date 11/20/15 3. Update and prepare ODMFs 1447 and 1453 for L4 review. Review the proposal with ACN, DGS, LSS and Tech Team resources to gain buy-in. Due Date 12/2/15 4. Present and obtain approval for ODMFs 1447 and 1453 at the ODMF meeting Due Date 12/2/15 5. Develop and obtain approval for a CR related to ODMFs 1447 and 1453. Due Date 12/18/15 6. Meet with ACN, DGS and LSS resources to assign their conversion-related efforts Due Date 12/18/15 7. Meet with ACN, DGS and LSS leads to add conversion-related tasks and validate downstream tasks in the DGS ABMS PAL schedule Due Date 12/31/15 8. Invoke established PMO processes to monitor, control and provide status of conversion tasks Due Date 3/31/16



Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Issue	468	Interface Batch Processing requires improvement and more transparency	LOW	Resolution steps to be added.
Issue	467	Duplicate Vendors set to archive/inactive with active transactions attached	HIGH	1. Complete analysis of potential duplicates to identify true vendor duplicates 2. Determine transactions tied to the duplicate and inactive vendors 3. Work with Departments to update/cleanup transactions tied to Duplicate and inactive vendors 4. Identify and cleanup SB/DVBE entities which are included in the vendor file 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). Planned Due Date: 11/13/15
Issue	466	AR Update Batch Processes are creating halts in production	MEDIUM	Resolution steps to be added.



Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Risk	463	Cal eProcure Schedule Risk	LOW	<ol style="list-style-type: none"> 1. Compress Schedule for Testing and Test on a Flow Basis. Planned Due Date: 10/23/15 2. Triage and review open items with the appropriate DGS team. Prioritize and send reviewed items to InFlight on a flow basis; prioritization allows for us to incorporate highest priorities first in case we run out of time. If we run out of time, we can then incorporate remaining lower priority changes after Dec 9 in a different release. Complete 3. Create Sprint 4 to address PeopleSoft design changes separately, thereby allowing all other work to proceed. Planned Due Date: 10/23/15 4. Additional developers and overtime assigned by InFlight. Planned Due Date: 10/23/15 5. Project managers should closely manage and co-ordinate the additional work. Align closely with Wave 2. Develop trackers. Get additional defects/items into the RTC. Planned Due Date: 10/23/15
Risk	460	Limited security resources to assist with role mapping issues during UAT for fall release	MEDIUM	<ol style="list-style-type: none"> 1. The Role Mapping Team and ISO will spend extra time on review to ensure the roles are mapped as accurately as possible before UAT pre-execution. Complete 2. ISO may consider prioritizing role mapping issues between UAT and production with current staff. Complete 3. ISO may consider splitting time between UAT and production with current staff Planned Due Date 12/9/15 4. ISO may consider working with Tech Team to leverage additional resources during UAT for fall release Planned Due Date 12/9/15



Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Issue	459	Role Mapping Challenges	MEDIUM	<ol style="list-style-type: none">1. Appoint a manager with authority over the entire Access Management process and each individual team involved in the process (both state and Accenture staff) and with responsibility and oversight of the end to end process. Complete2. Document roles and responsibilities for each team and team member.3. Develop processes and procedures for approving tickets from start to finish, including processes for atypical requests (e.g., tickets that require expediting, small departments, agreements made with specific departments and partner agencies).4. Conduct a lessons learned session – with a plan and timetable to implement suggestions – to prevent these issues in the future (e.g., the confusion over the multiple Tech 237's departments had to submit – as of last count there were at least seven).5. Resolve staffing issues – use the data we have from the last year of role mapping to determine the true workload for the teams and dedicate an appropriate number of staff.



Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Issue	458	Gaps in Wave 1, 2 & 3 requirements traceability	LOW	Accenture: 1. Perform detailed reconciliation of RTM to confirm traceability across all Waves (Pre-Wave through Wave 3). Planned Due Date: 10/2/15 2. Remediate any discrepancies found during detailed reconciliation of RTM. Planned Due Date: 10/2/15 3. Process a Change Request based on outcome of detailed reconciliation. Planned Due Date: 10/2/15 4. Update RRC with approved changes. Planned Due Date: 10/9/15 5. Provide extract of RRC to State for their review/analysis. Planned Due Date: 10/9/15 6. Resubmit FCA findings for Wave 2. Planned Due Date: 10/2/15 7. Perform audit to confirm traceability. 8. Validate FCA findings for Wave 2. Planned Due Date: 10/9/15 9. Define process improvements for ongoing management of traceability. Planned Due Date: 10/9/15 10. Project Managers to manage requirements traceability through the entire lifecycle of their assigned project. 11. Grant Project Managers access to Rational Suite (RRC, RQM & RTC). Planned Due Date: 10/9/15 12. Train Project Managers on Rational Suite (RRC, RQM & RTC). Planned Due Date: 10/23/15 13. Update table in system to handle new releases (Wave 2 Summer, Wave 2 Fall, etc.). Planned Due Date: 10/30/15



Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Risk	456	Wave 2 Going live with Hyperion Performance test issues	LOW	<p>1. Confirm the performance issue will occur in the Spring Process, create a performance test scenario with 301 virtual users and 90k DPs. The 90k DPs will be a copy from the archived Production application CalFY15. The same automated test scripts from Wave 2 performance test will be used – Complete</p> <p>2. For the Fall budget process, create a performance test scenario with 301 virtual users and 48k DPs. The 48k DPs will be a copy from the UA2 environment. The estimated DPs volume for Jan 10, 2016 is about 37k DPs (Jan 10, 2015 ended with about 22k DPs). The same automated test scripts from Wave 2 performance test will be used. Planned Due Date: 12/11/15</p> <p>3. For the Spring budget process, create a data management strategy that removes unnecessary DPs from scenarios and versions that are no longer being edited. There are four opportunity during the business cycle to do clean-up activities</p> <ul style="list-style-type: none"> • Between January 11 and February 28 • Between mid-April and mid-May • Between June 1 and June 7 • Between July 1 and August 15 (annual archival/roll-over) <p>Planned Due Date: 11/16/15</p> <p>4. Keep in communication with Oracle regarding the resolution of SR 3-11110167741 bug causing the “bottleneck” issue. Planned Due Date: 11/16/15</p> <p>5. Create additional realistic test scenarios for the Fall budget process. The estimated DPs volume and number of virtual users is TBD. The same automated and manual test scripts from Wave 2 performance test will be used. Planned Due Date: 12/11/15</p>

Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Issue	453	Firewall Redundancy and High Availability for Gold Camp and Vacaville Data Centers	MEDIUM	<ol style="list-style-type: none"> 1. Plan for firewall design for both data center to provide high availability and redundancy. Complete 2. State/Accenture to identify alternative authentication solution for VPN connections (ODMF 1354). Complete 3. State and Accenture – Follow standard process for identifying an appropriate maintenance window to implement the design changes Complete 4. Accenture - Implement plan from step 1 based on agreed maintenance window Contingent upon outcome of ODMF 1354 and availability of a maintenance window as stated in #3 above. Planned Due Date 11/29/15 5. Accenture - Update diagrams and review and verify redundancy with the State – Planned Due Date 12/7/15
Issue	452	Post production support needed due to some departments not participating in UAT / UUAT	MEDIUM	<ol style="list-style-type: none"> 1. Form department support teams (state, Accenture, DOF) that can mobilize and support departments as needed. Complete 2. Develop plan to keep readiness coordinators engaged with the Wave 2 departments through the stabilization period. Complete 3. Gain commitment from DOF to provide departmental support through the stabilization period. Complete 4. Develop roles and responsibilities of the support team members. Complete 5. Inform the team members of their involvement (roles/responsibilities) in the support teams. Complete 6. Develop organizational chart of the post production support model, including stabilization period support. Complete 7. Establish process for monitoring effectiveness of support and the ability to course correct as needed. Complete 8. Monitor Wave 2 department through the MEC process for July. Due date 11/27/15

Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Risk	440	Vendor Portal Performance Testing	LOW	<ol style="list-style-type: none"> 1. Define the contractual obligation as to level of performance testing that must be performed. Complete 2. Execute the performance test according to the contract or if necessary adjust the requirements to the level necessary to meet the State need. Planned Due Date: 12/30/2015 3. Monitor the Vendor Portal performance for the first year to ensure the Vendor Portal is responsive to the public user. Ongoing 4. Monitor any potential changes for Performance Testing requirements. Currently Vendor Portal being tested for 5,000 concurrent users only. Planned Due Date: 7/15/2016
Issue	438	Incomplete Architecture Diagrams from Accenture for the FI\$Cal System's Production and Non-Production Environments	MEDIUM	<ol style="list-style-type: none"> 1. Accenture and State to develop As Built Architecture Diagrams as part of Deliverable 13.33 Production Environment Transition for Wave 2. Complete 2. Accenture to provide As Planned Architecture Diagrams as part of AM 5.27 Tech Design Complete for Wave 3. Complete 3. Accenture to provide As Built Architecture Diagrams as part of Deliverable 13.37 Production Environment Transition for Wave 3. Due: 07/18/2016 4. Accenture to provide As Planned Architecture Diagrams as part of AM 5.23 Tech Design Complete for Wave 4. Due: 07/26/2016 5. Accenture Implement mitigation plan to provide as Built Architecture Diagrams as part of Deliverable 13.115 Production Environment Transition for Wave 4. Due: 07/17/2017
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. Complete 2. Draft the business process, procedures, and system controls for using Phire for Hyperion Code versioning and the implementation plan. Complete 3. Hold follow-up meeting to discuss and agree on the drafted procedures and the implementation plan. Complete 4. Implement mitigation plan. Planned Due Date: 12/31/15



Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Risk	431	UAT Smoke Test activities may not complete on time	LOW	1. Accenture to conduct a root cause analysis for delays in smoke testing for Pass 1 and Pass 2. Complete See attachments 2. Based on their findings in Step 1, Accenture to create corrective action plan to ensure that UAT smoke testing completes on time,and is thorough for UAT. Complete. Additional mitigation steps will be added upon completion of the corrective action plan.
Issue	428	MEC Backlog Creates YEC risk	LOW	1. Communicate at the Sponsor level (or higher) that MEC as the highest priority for departments. Planned Due Date: 2/27/15 2. Provide department support as needed for: Planned Due Date: 3/31/15 <ol style="list-style-type: none"> 1. Configuration items 2. Transactions 3. Month End Close activities 4. Reconciliation activities
Risk	427	Concurrent support of Year End Close, and Wave 2 deployment	HIGH	1. a) Identity year end support activities, resources and duration. Complete b) Add year end activities to project schedule. Complete 2. Analyze the deployment of accounting and department rollout separately from the Statewide procurement rollout including have IBM prepare a white paper on the impacts of going live in September to allow for better support. Complete 3. Based on #2 develop CR, make changes to schedule, and obtain Steering Committee approval. Complete 4. Process CR with Accenture reflecting the change, if applicable Complete 5. Update Cutover processes and documents. Complete

Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Issue	422	Inadequate Accessibility of the FI\$Cal System and its Training materials.	HIGH	<p>Accenture has drafted a high level work plan and is researching testing resources available at Accenture's India Data Center.</p> <ol style="list-style-type: none"> 1. Develop and document a formal ADA testing approach to establish alignment, prioritization, and the direction forward. Complete 2. Develop and document a formal ADA test plan for Wave 2 to define detailed scope and roles and responsibilities. Complete 3. Develop and document a formal ADA test schedule Complete. 4. Create new risks around this issue: 1) Release specific 2) Regarding Dragon 3) Regarding Hyperion accessibility. Planned Due Date: 11/6/15
Issue	415	Accenture Deliverables continue to be submitted after scheduled due dates.	MEDIUM	<ol style="list-style-type: none"> 1. State will formally request a corrective action plan (CAP), including a Root Cause Analysis. The Root Causes Analysis should use the template developed for 11.2.03 - System Operations Manual. Complete 2. Accenture will provide a corrective action plan to address the increase in late deliverable submission. Complete 3. Accenture will work with the PMO to identify shared responsibilities on the action plan. Planned Due Date: 10/1/15 4. Approve and implement agreed upon CAP. Planned Due Date: 10/15/15 5. Monitor Deliverable submission dates for improvement. Planned Due Date: 11/15/15



Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Issue	412	Year-End Process and Testing Delays	MEDIUM	<ol style="list-style-type: none"> 1. Develop year end testing timeline - Complete 2. Identify testing resources - Project and Partner home testing resources identified (1/9/2015) Complete 3. Finalize year end job aids - Complete 4. Schedule testing sessions and arrange for testing support - (1/9/2015) Complete 5. Work with SMEs to clear defects (1/16/2015) - Complete 6. State Project Team sign off on test completion (Completion dependent on CR related to ODMF 1082 and ODMF 1097 plus 9 new ODMFs 1190, 1191, 1193-1199). Complete 7. ODMF 1082 and ODMF 1097 are pending (expected week of 2/9/2015). Complete 8. Disposition DOF and SCO testing comments. Complete 9. Create 9 additional ODMFs to document decisions related to the DOF and SCO testing comments. Complete 10. Decide and close YE ODMFs. Completed 11. Identify year end preparation activities (including report design, build, test, and mock year end sessions). Complete 12. Update the tasks in the Wave 1.x schedule, add resources and the duration. Complete 13. Complete internal mock year end session #1. Complete 14. Complete external (with DOF/SCO participation) mock year end session #2. Complete 15. Create job aids for the additional reports. Complete 16. Update Job aids based on output of external mock year end session. Complete

Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Issue	409	July-September (extended to December) Month End Close	MEDIUM	<ol style="list-style-type: none"> 1. Ensure departments come to FI\$Cal site to complete July through Dec month end close activities and escalate issues as needed. Departments continue to come to FI\$Cal to close through April. Complete 2. Ensure SMEs are available to support departments in July through Dec month end close activities. Complete 3. Monitor July through Dec month end close activities and escalate concerns immediately. Complete 4. Monitor all FSC tickets related to month end close activities and escalate immediately. Planned completion date: Ongoing until all Wave 1 departments have closed all months. Complete 5. Provide support to departments for July through Dec month end close activities as needed. Planned completion date: 5/22/15 all departments closed through December 2014. Ongoing until all Wave 1 departments have closed all months through April: 6/30/15. Complete 6. Provide daily status updates to Exec. Complete
Risk	404	Delay in mapping existing critical Non-ABMS reports and fields into FI\$Cal	MEDIUM	<ol style="list-style-type: none"> 1. Prioritize reports and field identification by DGS Office Complete 2. Identity fields from reports. Due date Nov 21, 2014 extended date to 12/31/14. Extended to 8/1/15. Extended to 10/1/15 3. Map fields to existing FI\$Cal fields. Due date Dec 5, 2014 extended date to 12/31/14. Extended to 8/1/15. Extended to 10/1/15 4. Work with Accenture and BT to assist in mapping fields. Due Date 8/1/15. Extended to 10/1/15 5. Work with DGS home staff to identify need and criticality of fields. Due Date 8/15/15. Extended to 10/1/15 6. Overcome the differences of what fields are included versus what is needed for DGS functionality using ODMFs. Due Date 8/1/15. Extended to 10/1/15

Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Risk	400	Functionality moving out to Wave 3 and Wave 4	MEDIUM	<ol style="list-style-type: none"> 1. Determine the level of detail the Business Team will provide in preliminary resource analysis included with ODMFs. Complete – The Business Team will provide a High level estimate of the resource impact; not a full-blown analysis. 2. Update the ODMF Framework document to reflect the analysis to be provided in ODMFs where functionality is moved from one wave to another. Complete 3. Monitor ODMFs that move functionality from one wave to another wave to include the resource impact. Complete 4. Create and maintain a list of Wave 3 and 4 changes should be maintained by PMO and reviewed when considering such ODMFs. Complete 5. Notify the ODMF group by email to inform them that a high level estimate of the resource impact is to be provided for ODMFs that move functionality from one wave to another wave. Complete 6. Analyze the list of Wave 3 and 4 changes to help determine the level of Wave 3 and 4 resources necessary. Planned Due Date 10/30/15
Risk	388	Changes in interpretation of requirements leading to rework in Wave 3	LOW	<ol style="list-style-type: none"> 1. Work with the PBEs for SCO and STO to identify key decision makers from their organization. Complete 2. Match key decision makers to design sessions and documents and ensure the resources assigned to provide input, review, and sign-off on design documents are knowledgeable of state practices and department procedures. Due date: Ongoing - check in 09/30/2015 3. Establish clear and concise criteria for change requests due to changes in design identified during the build and test phases. Changes may result in additional cost, changes in baseline delivery dates, or moving requirements to future waves. Complete 4. Allocate physical space and resources necessary to support additional SCO/STO staff at Evergreen. Complete 5. Remind decision makers and team members on ODMF and the escalation process. Also, cover examples of types of decisions that should be escalated to home staff. Complete 6. Monitor completion date of design deliverable. Check in 9/30/15



Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
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. Due Date 9/1/16 2. Eliminate HIPAA data from the FI\$Cal solution until such time as the "READ Audit" capability can be implemented. Due Date 9/1/16 3. Opened ODMF 569 "READ Audit for data within the FI\$Cal System". SI is working on the deployment solutions. Complete
Risk	281	Determine appropriate funding mechanism for the FI\$Cal Service Center (FSC) after Wave 4	LOW	<ol style="list-style-type: none"> 1. Add activities to plan for FSC O&M funding after Wave 4 to current FSC Wave 1 schedule - October 2013 Complete 2. Determine source(s) of funding for FSC after Wave 4 go-live- October 2015 3. Initiate a subproject or a team to determine requirements for a cost allocation system for FI\$Cal and to accomplish the activities of establishing a cost allocation mechanism - October 2015 4. Acquire and implement cost allocation system if needed - June 2016 5. Communications to end user departments regarding cost allocation system - Ongoing 6. Develop Special Project Report (SPR), Budget Change Proposal (BCP), and/or revision to existing legislative authority to fund FSC O&M if there are scope changes - June 2016
Risk	258	Accounting Policy Group (APG)	LOW	<ol style="list-style-type: none"> 1. Engage the appropriate partner agencies home staff to establish the Accounting Policy group within the FSC. Leverage the work of the existing UCM committee. Planned Due Date 7/1/2014 2. Establish a working committee staffed by partner and FI\$Cal staff at the appropriate level to make decisions and document the policies in the appropriate tool. Planned Due Date 7/1/2014 3. Report to the Steering committee on a regular basis. Check in Date 7/1/2014



Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Risk	239	Insufficient collaboration between the SI and State.	MEDIUM	<ol style="list-style-type: none"> 1. Establish special Knowledge Transfer (KT) sessions for Tech Team to ensure State involvement in work being done by Accenture staff in India. Complete 2. Review schedules and re-assess which State personnel need to be involved in collaboration sessions for each work effort and make sure events are included in the appropriate PLPs. Complete 3. Establish a work plan to revise the Tech Team PLPs. Complete 4. Establish a process for ongoing updates to the PLP's. Complete 5. Accenture to provide detailed activities, responsibilities, and dependencies to the State within the first week or so of beginning the work effort for a deliverable. Complete 6. Establish special KT sessions for Business Team staff to ensure State involvement in work being done by Accenture staff and ensure alignment with the associated PLPs. Planned Due Date: Complete 7. Establish a process to help the BT PLP leads track BT staff progress on PLP tasks and provide greater visibility into progress being made. Complete 8. Develop a process between Accenture and all the impacted FI\$Cal Teams to ensure the PLPs reflect appropriate KT activities for each staff member. Complete 9. Establish a process that requires impacted Deputy Director or their subordinate managers/leads to regularly review and vet the KT activities in the PLPs. When activities seem insufficient for the role, escalation occurs - first to the Deputy Director and then to the CMO Deputy Director. Complete 10. Establish a process that requires KT activities to include Accenture mentor involvement. Complete 11. Develop an understanding that PLPs are globally viewed as living documents to ensure necessary updates are made as new necessary KT activities are identified. Complete

Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
Risk	239 Cont.			12. Accenture's CMO Tower Lead, is now leading the effort to ensure cross team commitment. Complete 13. Conduct in-depth Leadership discussion regarding Knowledge Transfer concerns. Complete 14. Develop procedures to distribute monthly PLP Team Reports to Leadership by the end of the third week of each month. Complete 15. Realign Knowledge Transfer activities and project work to improve effectiveness of Knowledge Transfer. With the improved process, this is now an on-going activity Complete 16. Draft proposal for improving Knowledge Transfer activity tracking. Complete 17. Implement updated Knowledge Transfer approach Complete 18. Resume pulling Knowledge Transfer data. Complete 19. Update the PLPs annually. Planned due date: on going Updated 11/26/14 20. Draft modify approach to align with KT priority reduction. Complete 21. Share modified approach with BT and TT. Complete 22. Share information with Leadership. Complete Updated September 2015 23. Discuss PLPs at cross team meeting. Planned due date 9/30/15 24. Develop new mitigation steps to align with cross team discussion. Planned due date 9/9/15

Table 12. Risk and Issue Register as of SPR 6 Submittal

Concern Classification	ID #	Title	Level	Contingency Plan (Issues)/Mitigations Steps(Risks)
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. Complete 2. Document responsibilities of key roles for use in training backups and backfills. Complete 3. Include succession planning for each phase of the Project's lifecycle in the Staff Management Plan. Complete 4. State staff will be cross-trained to reduce dependency on single resources. On-going Check in date 6/30/2015 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 Check in date 6/30/2015 6. Provide a positive working environment. On-going, Check in date 6/30/2015 7. Monitor vacancy rate. On-going, Check in date 6/30/2015
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. Complete 2. Require bidders to attest to their ability to meet FI\$Cal requirements through bid responses and submission of Governance white papers. Complete 3. Develop an operational decision making model to support the preservation of constitutional and statutory responsibilities during SDLC phases. Complete 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 - Complete 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 Complete 6. Create a Data Governance Policy, and obtain approval of the Governance Plan, Data Governance Plan, and Data Governance Policy. Planned Completion date: 12/31/2015.



Appendix D: 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 CalTech's review and analysis.

SIMM 30C, Rev. 06/2014

Agency/state entity: Financial Information System of California

Project: FI\$CAL

EXISTING SYSTEM/BASELINE COST WORKSHEET

All costs to be shown in whole (unrounded) dollars.

Date Prepared: 12/8/2015

	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 ^{1A}														
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

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



SIMM 30C, Rev. 06/2014

Agency/state entity: Financial Information System of California

Project: FI\$CAL

EXISTING SYSTEM/BASELINE COST WORKSHEET

All costs to be shown in whole (unrounded) dollars.

Date Prepared: 12/8/2015

	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 COST	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 6
Project #8860-30

Rev. 2.0
December 2015

SIMM 30C, Rev. 06/2014

PROPOSED ALTERNATIVE: 2-year Extension

Date Prepared: 12/8/2015

Agency/state entity: Financial Information System of California

All Costs Should be shown in whole (unrounded) dollars.

Project: FISCAL

	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	105.0	12,184,785	143.0	17,856,989	138.0	16,614,170	1131.7	125,279,023
Hardware Purchase		3,890,391		436,334		68,110		272,400		351,000		0		5,018,235
Software Purchase/License		2,134,453		610,110		87,556		169,897		1,090,000		110,000		4,202,016
Telecommunications		0		9,571		18,822		0		0		0		28,393
Contract Services										0		0		
Software Customization		43,183,121		26,219,313		38,820,963		74,477,856		55,216,036		47,562,646		285,479,935
Project Management		4,781,860		180,958		428,000		653,000		1,044,011		693,360		7,781,189
Project Oversight		1,122,613		310,000		333,200		424,400		424,400		424,400		3,039,013
IV&V Services		2,846,892		936,000		936,000		1,300,000		1,300,000		650,000		7,968,892
Other Contract Services		18,702,091		6,361,326		8,725,303		12,851,682		11,631,671		7,473,200		65,745,273
TOTAL Contract Services		70,636,577		34,007,597		49,243,466		89,706,938		69,616,118		56,803,606		370,014,302
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		4,083,469		3,544,000		3,309,000		24,353,685
Total One-time IT Costs	537.7	144,027,653	124.8	51,977,534	83.2	63,256,356	105.0	106,417,489	143.0	92,458,107	138.0	76,836,776	1131.7	534,973,915
Continuing IT Project Costs														
Staff (Salaries & Benefits)	63.2	6,674,270	122.0	14,000,266	166.8	21,644,809	189.0	23,236,540	209.0	27,523,167	244.0	31,708,965	994.0	124,788,017
Hardware Lease/Maintenance		1,054,106		750,620		406,458		911,643		1,888,200		1,283,960		6,294,987
Software Maintenance/Licenses		653,041		395,013		894,802		545,500		1,386,166		5,550,021		9,424,543
Telecommunications		0		134,511		119,790		145,620		165,600		165,600		731,121
Contract Services		2,043,689		1,498,011		9,651,517		13,882,808		3,996,500		4,477,600		35,550,125
Data Center Services		842,625		405,551		646,352		2,491,507		1,371,923		2,805,923		8,563,881
Agency Facilities		2,869,078		3,911,684		1,990,590		2,341,824		2,923,025		3,050,650		17,086,851
Other		1,398,655		2,269,102		1,536,025		3,972,432		3,429,420		3,779,419		16,385,053
Total Continuing IT Costs	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	189.0	47,527,874	209.0	42,684,001	244.0	52,822,138	994.0	218,824,578
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,699	294.0	153,945,363	352.0	135,142,108	382.0	129,658,914	2125.7	753,798,493
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	8678.6	874,897,674	8736.6	856,094,419	8766.6	850,611,225	111125.5	10,126,178,536
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)



Special Project Report 6
Project #8860-30

Rev. 2.0
December 2015

SIMM 30C, Rev. 06/2014

PROPOSED ALTERNATIVE: 2-year Extension

Date Prepared: 12/8/2015

Agency/state entity: Financial Information System of California
Project: FI\$CAL

All Costs Should be shown in whole (unrounded) dollars.

	Subtotal		FY 2018/19		FY 2019/20								TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs														
Staff (Salaries & Benefits)	1131.7	125,279,023	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	1131.7	125,279,023
Hardware Purchase		5,018,235		0		0		0		0		0		5,018,235
Software Purchase/License		4,202,016		0		0		0		0		0		4,202,016
Telecommunications		28,393		0		0		0		0		0		28,393
Contract Services														
Software Customization		285,479,935		7,500,000		0		0		0		0		292,979,935
Project Management		7,781,189		0		0		0		0		0		7,781,189
Project Oversight		3,039,013		0		0		0		0		0		3,039,013
IV&V Services		7,968,892		0		0		0		0		0		7,968,892
Other Contract Services		65,745,273		0		0		0		0		0		65,745,273
TOTAL Contract Services		370,014,302		7,500,000		0		0		0		0		377,514,302
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		24,353,685		0		0		0		0		0		24,353,685
Total One-time IT Costs	1131.7	534,973,915	0.0	7,500,000	0.0	0	0.0	0	0.0	0	0.0	0	1131.7	542,473,915
Continuing IT Project Costs														
Staff (Salaries & Benefits)	994.0	124,788,017	386.0	49,377,198	335.0	43,516,775	0.0	0	0.0	0	0.0	0	1715.0	217,681,990
Hardware Lease/Maintenance		6,294,987		2,439,401		2,499,266		0		0		0		11,233,654
Software Maintenance/Licenses		9,424,543		7,839,915		7,215,604		0		0		0		24,480,062
Telecommunications		731,121		165,600		165,600		0		0		0		1,062,321
Contract Services		35,550,125		7,461,582		6,390,350		0		0		0		49,402,057
Data Center Services		8,563,881		2,056,349		2,056,349		0		0		0		12,676,579
Agency Facilities		17,086,851		3,196,525		3,352,123		0		0		0		23,635,499
Other		16,385,053		5,733,402		5,203,401		0		0		0		27,321,856
Total Continuing IT Costs	994.0	218,824,578	386.0	78,269,972	335.0	70,399,468	0.0	0	0.0	0	0.0	0	1715.0	367,494,018
Total Project Costs	2125.7	753,798,493	386.0	85,769,972	335.0	70,399,468	0.0	0	0.0	0	0.0	0	2846.7	909,967,933
Continuing Existing Costs ^{/1}														
Information Technology Staff	1704.3	162,682,780	131.1	12,514,060	131.1	12,514,060	0.0	0	0.0	0	0.0	0	1966.5	187,710,900
Other IT Costs		190,799,596		14,676,892		14,676,892		0		0		0		220,153,380
Total Continuing Existing IT Costs	1704.3	353,482,376	131.1	0	131.1	0	0.0	0	0.0	0	0.0	0	1966.5	353,482,376
Program Staff	107295.5	7,756,786,362	8253.5	596,675,874	8253.5	596,675,874	0.0	0	0.0	0	0.0	0	123802.5	8,950,138,110
Other Program Costs		1,262,111,305		97,085,485		97,085,485		0		0		0		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	0.0	0	0.0	0	0.0	0	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	0.0	0	0.0	0	0.0	0	125769.0	10,759,902,761
TOTAL ALTERNATIVE COSTS	111125.5	10,126,178,536	8770.6	779,531,331	8719.6	764,160,827	0.0	0	0.0	0	0.0	0	128615.7	11,669,870,694
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)



ALTERNATIVE #1: 1-year Extension

Date Prepared: 12/8/2015

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	105.0	12,184,785	164.0	19,151,296	149.0	18,846,881	1163.7	128,806,040
Hardware Purchase		3,890,391		436,334		68,110		272,400		351,000		0		5,018,235
Software Purchase/License		2,134,453		610,110		87,556		169,897		1,090,000		110,000		4,202,016
Telecommunications		0		9,571		18,822		0		0		0		28,393
Contract Services														
Software Customization		43,183,121		26,219,313		38,820,963		74,477,856		53,716,036		15,362,646		251,779,935
Project Management		4,781,860		180,958		428,000		653,000		1,044,011		693,360		7,781,189
Project Oversight		1,122,613		310,000		333,200		424,400		424,400		424,400		3,039,013
IT&V Services		2,846,892		936,000		936,000		1,300,000		1,300,000		650,000		7,968,892
Other Contract Services		18,702,091		6,361,326		8,725,302		12,851,682		3,205,671		2,678,200		52,524,272
TOTAL Contract Services		70,636,577		34,007,597		49,243,465		89,706,938		59,690,118		19,808,606		323,093,301
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		4,083,469		1,900,000		1,794,000		21,194,685
Total One-time IT Costs	537.7	144,027,653	124.8	51,977,534	83.2	63,256,355	105.0	106,417,489	164.0	82,182,414	149.0	40,559,487	1163.7	488,420,931
Continuing IT Project Costs														
Staff (Salaries & Benefits)	63.2	6,674,270	122.0	14,000,266	166.8	21,644,809	189.0	23,236,540	217.0	28,431,845	254.0	32,629,824	1012.0	126,617,554
Hardware Lease/Maintenance		1,054,106		750,620		406,458		911,643		1,888,200		1,283,960		6,294,987
Software Maintenance/Licenses		653,041		395,013		894,802		545,500		1,386,166		5,550,021		9,424,543
Telecommunications		0		134,511		119,790		145,620		165,600		165,600		731,121
Contract Services		2,043,689		1,498,011		9,651,517		13,882,808		3,996,500		4,477,600		35,550,125
Data Center Services		842,625		405,551		646,352		2,491,507		1,371,923		2,805,923		8,563,881
Agency Facilities		2,869,078		3,911,684		1,990,590		2,341,824		2,923,025		3,050,650		17,086,851
Other		1,398,655		2,269,102		1,536,025		3,972,432		5,403,070		5,773,469		20,352,753
Total Continuing IT Costs	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	189.0	47,527,874	217.0	45,566,329	254.0	55,737,047	1012.0	224,621,815
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,698	294.0	153,945,363	381.0	127,748,743	403.0	96,296,534	2175.7	713,042,747
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	821,099,009	8678.6	874,897,674	8765.6	848,701,054	8787.6	817,248,845	111175.5	10,085,422,790
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: 1-year Extension

Date Prepared: 12/8/2015

Agency/state entity: Financial Information System of California
Project: FI\$CAL

All Costs Should be shown in whole (unrounded) dollars.

	SUBTOTAL		FY 2018/19								TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs												
Staff (Salaries & Benefits)	1163.7	128,806,040	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Hardware Purchase		5,018,235		0		0		0		0		0
Software Purchase/License		4,202,016		0		0		0		0		0
Telecommunications		28,393		0		0		0		0		0
Contract Services												
Software Customization		251,779,935		0		0		0		0		0
Project Management		7,781,189		0		0		0		0		0
Project Oversight		3,039,013		0		0		0		0		0
IV&V Services		7,968,892		0		0		0		0		0
Other Contract Services		52,524,272		0		0		0		0		0
TOTAL Contract Services		323,093,301		0		0		0		0		0
Data Center Services		119,866		0		0		0		0		0
Agency Facilities		5,958,395		0		0		0		0		0
Other		21,194,685		0		0		0		0		0
Total One-time IT Costs	1163.7	488,420,931	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Continuing IT Project Costs												
Staff (Salaries & Benefits)	1012.0	126,617,554	335.0	42,273,830	0.0	0	0.0	0	0.0	0	0.0	0
Hardware Lease/Maintenance		6,294,987		2,499,266		0		0		0		0
Software Maintenance/Licenses		9,424,543		7,215,604		0		0		0		0
Telecommunications		731,121		165,600		0		0		0		0
Contract Services		35,550,125		6,390,350		0		0		0		0
Data Center Services		8,563,881		2,056,349		0		0		0		0
Agency Facilities		17,086,851		3,352,123		0		0		0		0
Other		20,352,753		5,484,277		0		0		0		0
Total Continuing IT Costs	1012.0	224,621,815	335.0	69,437,399	0.0	0	0.0	0	0.0	0	0.0	0
Total Project Costs	2175.7	713,042,747	335.0	69,437,399	0.0	0	0.0	0	0.0	0	0.0	0
Continuing Existing Costs ^{/1}												
Information Technology Staff	1704.3	162,682,780	131.1	12,514,060	0.0	0	0.0	0	0.0	0	0.0	0
Other IT Costs		190,799,596		14,676,892		0		0		0		0
Total Continuing Existing IT Costs	1704.3	353,482,376	131.1	0	0.0	0	0.0	0	0.0	0	0.0	0
Program Staff	107295.5	7,756,786,362	8253.5	596,675,874	0.0	0	0.0	0	0.0	0	0.0	0
Other Program Costs		1,262,111,305		97,085,485		0		0		0		0
Total Continuing Existing Program Costs	107295.5	9,018,897,667	8253.5	693,761,359	0.0	0	0.0	0	0.0	0	0.0	0
Total Continuing Existing Costs	108999.8	9,372,380,043	8384.6	693,761,359	0.0	0	0.0	0	0.0	0	0.0	0
TOTAL ALTERNATIVE COSTS	111175.5	10,085,422,790	8719.6	763,198,758	0.0	0	0.0	0	0.0	0	0.0	0
INCREASED REVENUES		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)



Special Project Report 6
Project #8860-30

Rev. 2.0
December 2015

SIMM 30C, Rev. 06/2014

ALTERNATIVE #2: 3-year Extension

Date Prepared: 12/8/2015

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	105.0	12,184,785	143.0	17,856,989	117.0	15,319,862	1110.7	123,984,715
Hardware Purchase		3,890,391		436,334		68,110		272,400		351,000		0		5,018,235
Software Purchase/License		2,134,453		610,110		87,556		169,897		1,090,000		110,000		4,202,016
Telecommunications		0		9,571		18,822		0		0		0		28,393
Contract Services														
Software Customization		43,183,121		26,219,313		38,820,963		74,477,856		55,216,036		49,362,646		287,279,935
Project Management		4,781,860		180,958		428,000		653,000		1,044,011		693,360		7,781,189
Project Oversight		1,122,613		310,000		333,200		424,400		424,400		424,400		3,039,013
IV&V Services		2,846,892		936,000		936,000		1,300,000		1,300,000		650,000		7,968,892
Other Contract Services		18,702,091		6,361,326		8,725,302		12,851,682		3,205,671		2,678,200		52,524,272
TOTAL Contract Services		70,636,577		34,007,597		49,243,465		89,706,938		61,190,118		53,808,606		358,593,301
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		4,083,469		1,606,000		1,346,000		20,452,685
Total One-time IT Costs	537.7	144,027,653	124.8	51,977,534	83.2	63,256,355	105.0	106,417,489	143.0	82,094,107	117.0	70,584,468	1110.7	518,357,606
Continuing IT Project Costs														
Staff (Salaries & Benefits)	63.2	6,674,270	122.0	14,000,266	166.8	21,644,809	189.0	23,236,540	209.0	27,617,537	236.0	30,989,027	986.0	124,162,449
Hardware Lease/Maintenance		1,054,106		750,620		406,458		911,643		1,888,200		1,283,960		6,294,987
Software Maintenance/Licenses		653,041		395,013		894,802		894,802		1,386,166		5,550,021		9,424,543
Telecommunications		0		134,511		119,790		145,620		165,600		165,600		731,121
Contract Services		2,043,689		1,498,011		9,651,517		13,882,808		3,995,100		4,476,100		35,547,225
Data Center Services		842,625		405,551		646,352		2,491,507		1,371,923		2,805,923		8,563,881
Agency Facilities		2,869,078		3,911,684		1,990,590		2,341,824		2,923,025		3,050,650		17,086,851
Other		1,398,655		2,269,102		1,536,025		3,972,432		5,323,070		5,593,470		20,092,754
Total Continuing IT Costs	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	189.0	47,527,874	209.0	44,670,621	236.0	53,914,751	986.0	221,903,811
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,698	294.0	153,945,363	352.0	126,764,728	353.0	124,499,218	2096.7	740,261,417
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	821,099,009	8678.6	874,897,674	8736.6	847,717,039	8737.6	845,451,529	111096.5	10,112,641,460
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)



Special Project Report 6
Project #8860-30

Rev. 2.0
December 2015

SIMM 30C, Rev. 06/2014

ALTERNATIVE #2: 3-year Extension

Date Prepared: 12/8/2015

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		FY 2020/21						TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs														
Staff (Salaries & Benefits)	1110.7	123,984,715	138.0	16,614,170	0.0	0	0.0	0	0.0	0	0.0	0	1248.7	140,598,885
Hardware Purchase		5,018,235		0		0		0		0		0		5,018,235
Software Purchase/License		4,202,016		0		0		0		0		0		4,202,016
Telecommunications		28,393		0		0		0		0		0		28,393
Contract Services				0										
Software Customization		287,279,935		39,450,000		7,500,000		0		0		0		334,229,935
Project Management		7,781,189		581,307		0		0		0		0		8,362,496
Project Oversight		3,039,013		0		0		0		0		0		3,039,013
IV&V Services		7,968,892		0		0		0		0		0		7,968,892
Other Contract Services		52,524,272		508,200		0		0		0		0		53,032,472
TOTAL Contract Services		358,593,301		40,539,507		7,500,000		0		0		0		406,632,808
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		20,452,685		1,640,000		0		0		0		0		22,092,685
Total One-time IT Costs	1110.7	518,357,606	138.0	58,793,677	0.0	7,500,000	0.0	0	0.0	0	0.0	0	1248.7	584,651,283
Continuing IT Project Costs														
Staff (Salaries & Benefits)	986.0	124,162,449	247.0	32,193,126	381.0	48,779,393	335.0	43,228,960	0.0	0	0.0	0	1949.0	248,363,928
Hardware Lease/Maintenance		6,294,987		2,439,401		2,499,266		2,499,266		0		0		13,732,920
Software Maintenance/Licenses		9,424,543		7,839,915		7,215,604		7,215,604		0		0		31,695,666
Telecommunications		731,121		165,600		165,600		165,600		0		0		1,227,921
Contract Services		35,547,225		6,620,500		6,388,700		1,268,700		0		0		49,825,125
Data Center Services		8,563,881		2,056,349		2,056,349		2,056,349		0		0		14,732,928
Agency Facilities		17,086,851		3,196,525		3,352,123		3,519,706		0		0		27,155,205
Other		20,092,754		4,339,852		6,194,276		5,964,652		0		0		36,591,534
Total Continuing IT Costs	986.0	221,903,811	247.0	58,851,268	381.0	76,651,311	335.0	65,918,837	0.0	0	0.0	0	1949.0	423,325,227
Total Project Costs	2096.7	740,261,417	385.0	117,644,944	381.0	84,151,311	335.0	65,918,837	0.0	0	0.0	0	3197.7	1,007,976,509
Continuing Existing Costs ^{/1}														
Information Technology Staff	1704.3	162,682,780	131.1	12,514,060	131.1	12,514,060	0.0	0	0.0	0	0.0	0	1966.5	187,710,900
Other IT Costs		190,799,596		14,676,892		14,676,892		0		0		0		220,153,380
Total Continuing Existing IT Costs	1704.3	353,482,376	131.1	0	131.1	0	0.0	0	0.0	0	0.0	0	1966.5	353,482,376
Program Staff	107295.5	7,756,786,362	8253.5	596,675,874	8253.5	596,675,874	0.0	0	0.0	0	0.0	0	123802.5	8,950,138,110
Other Program Costs		1,262,111,305		97,085,485		97,085,485		0		0		0		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	0.0	0	0.0	0	0.0	0	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	0.0	0	0.0	0	0.0	0	125769.0	10,759,902,761
TOTAL ALTERNATIVE COSTS	111096.5	10,112,641,460	8769.6	811,406,303	8765.6	777,912,670	335.0	65,918,837	0.0	0	0.0	0	128966.7	11,767,879,270
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

ECONOMIC ANALYSIS SUMMARY

Agency/state entity: Financial Information System of California

All costs to be shown in whole (unrounded) dollars.

Project: FISCAL

	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	294.0	153,945,363	352.0	135,142,108	382.0	129,658,914	2125.7	753,798,493
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	8678.6	874,897,674	8736.6	856,094,419	8766.6	850,611,225	111125.5	10,126,178,536
COST SAVINGS/AVOIDANCES	(600.9)	(159,563,117)	(246.8)	(75,342,292)	(250.0)	(100,146,699)	(294.0)	(153,945,363)	(352.0)	(135,142,108)	(382.0)	(129,658,914)	(2125.7)	(753,798,493)
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)	(294.0)	(153,945,363)	(352.0)	(135,142,108)	(382.0)	(129,658,914)	(2125.7)	(753,798,493)
Cum. Net (Cost) or Benefit	(600.9)	(159,563,117)	(847.7)	(234,905,409)	(1097.7)	(335,052,108)	(1391.7)	(488,997,471)	(1743.7)	(624,139,579)	(2125.7)	(753,798,493)		
ALTERNATIVE #1														
	0													
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,698	294.0	153,945,363	381.0	127,748,743	403.0	96,296,534	2175.7	713,042,747
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	821,099,009	8678.6	874,897,674	8765.6	848,701,054	8787.6	817,248,845	111175.5	10,085,422,790
COST SAVINGS/AVOIDANCES	(600.9)	(159,563,117)	(246.8)	(75,342,292)	(250.0)	(100,146,698)	(294.0)	(153,945,363)	(381.0)	(127,748,743)	(403.0)	(96,296,534)	(2175.7)	(713,042,747)
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)	(100,146,698)	(294.0)	(153,945,363)	(381.0)	(127,748,743)	(403.0)	(96,296,534)	(2175.7)	(713,042,747)
Cum. Net (Cost) or Benefit	(600.9)	(159,563,117)	(847.7)	(234,905,409)	(1097.7)	(335,052,107)	(1391.7)	(488,997,470)	(1772.7)	(616,746,213)	(2175.7)	(713,042,747)		
ALTERNATIVE #2														
	0.0													
Total Project Costs	600.9	159,563,117	246.8	75,342,292	250.0	100,146,698	294.0	153,945,363	352.0	126,764,728	353.0	124,499,218	2096.7	740,261,417
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	821,099,009	8678.6	874,897,674	8736.6	847,717,039	8737.6	845,451,529	111096.5	10,112,641,460
COST SAVINGS/AVOIDANCES	(600.9)	(159,563,117)	(246.8)	(75,342,292)	(250.0)	(100,146,698)	(294.0)	(153,945,363)	(352.0)	(126,764,728)	(353.0)	(124,499,218)	(2096.7)	(740,261,417)
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)	(100,146,698)	(294.0)	(153,945,363)	(352.0)	(126,764,728)	(353.0)	(124,499,218)	(2096.7)	(740,261,417)
Cum. Net (Cost) or Benefit	(600.9)	(159,563,117)	(847.7)	(234,905,409)	(1097.7)	(335,052,107)	(1391.7)	(488,997,470)	(1743.7)	(615,762,198)	(2096.7)	(740,261,417)		



SIIMM 30C, Rev. 06/2014

ECONOMIC ANALYSIS SUMMARY

Date Prepared: 12/8/2015

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
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	2125.7	753,798,493	386.0	85,769,972	335.0	70,399,468	0.0	0	0.0	0	0.0	0	2846.7	909,967,933
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	111125.5	10,126,178,536	8770.6	779,531,331	8719.6	764,160,827	0.0	0	0.0	0	0.0	0	128615.7	11,669,870,694
COST SAVINGS/AVOIDANCES	(2125.7)	(753,798,493)	(386.0)	(58,579,020)	(335.0)	(43,208,516)	0.0	0	0.0	0	0.0	0	(2846.7)	(855,586,029)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(2125.7)	(753,798,493)	(386.0)	(58,579,020)	(335.0)	(43,208,516)	0.0	0	0.0	0	0.0	0	(2846.7)	(855,586,029)
Cum. Net (Cost) or Benefit	(2125.7)	(753,798,493)	(386.0)	(58,579,020)	(335.0)	(43,208,516)	0.0	0	0.0	0	0.0	0	(2846.7)	(855,586,029)
ALTERNATIVE #1	0													
Total Project Costs	2175.7	713,042,747	335.0	69,437,399	0.0	0	0.0	0	0.0	0	0.0	0	2510.7	782,480,146
Total Cont. Exist. Costs	108999.8	9,372,380,043	8384.6	693,761,359	0.0	0	0.0	0	0.0	0	0.0	0	117384.4	10,066,141,402
Total Alternative Costs	111175.5	10,085,422,790	8719.6	763,198,758	0.0	0	0.0	0	0.0	0	0.0	0	119895.1	10,848,621,548
COST SAVINGS/AVOIDANCES	(2175.7)	(713,042,747)	(335.0)	(42,246,447)	8384.6	720,952,311	0.0	0	0.0	0	0.0	0	5873.9	(34,336,883)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(2175.7)	(713,042,747)	(335.0)	(42,246,447)	8384.6	720,952,311	0.0	0	0.0	0	0.0	0	5873.9	(34,336,883)
Cum. Net (Cost) or Benefit	(2175.7)	(713,042,747)	(335.0)	(42,246,447)	8384.6	720,952,311	0.0	0	0.0	0	0.0	0	5873.9	(34,336,883)
ALTERNATIVE #2	0.0													
Total Project Costs	2096.7	740,261,417	385.0	117,644,944	381.0	84,151,311	335.0	65,918,837	0.0	0	0.0	0	3197.7	1,007,976,509
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	111096.5	10,112,641,460	8769.6	811,406,303	8765.6	777,912,670	335.0	65,918,837	0.0	0	0.0	0	128966.7	11,767,879,270
COST SAVINGS/AVOIDANCES	(2096.7)	(740,261,417)	(385.0)	(90,453,992)	(381.0)	(56,960,359)	(335.0)	(65,918,837)	0.0	0	0.0	0	(3197.7)	(953,594,605)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(2096.7)	(740,261,417)	(385.0)	(90,453,992)	(381.0)	(56,960,359)	(335.0)	(65,918,837)	0.0	0	0.0	0	(3197.7)	(953,594,605)
Cum. Net (Cost) or Benefit	(2096.7)	(740,261,417)	(385.0)	(90,453,992)	(381.0)	(56,960,359)	(335.0)	(65,918,837)	0.0	0	0.0	0	(3197.7)	(953,594,605)



SIMM 30C, Rev. 06/2014

PROJECT FUNDING PLAN

Agency/state entity: Financial Information System of Califor

All Costs to be in whole (unrounded) dollars

Date Prepared: 12/8/2015

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	294.0	153,945,363	352.0	135,142,108	382.0	129,658,914	2125.7	753,798,493
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	105.0	106,417,489	143.0	92,458,107	138.0	76,836,776	1131.7	531,776,394
Continuing Project Costs	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	189.0	47,527,874	209.0	42,684,001	244.0	52,822,138	994.0	218,824,578
TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR	600.9	156,365,596	246.8	75,342,292	250.0	100,146,699	294.0	153,945,363	352.0	135,142,108	382.0	129,658,914	2125.7	750,600,972
TOTAL PROJECT FUNDING	620.8	159,563,117	246.8	75,342,292	250.0	100,146,699	294.0	153,945,363	352.0	135,142,108	382.0	129,658,914	2145.6	753,798,493
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	18%	24,329,881	23%	30,108,619	9%	71,335,036
General Fund (011)	0%	0	5%	3,394,000	95%	95,602,044	67%	103,715,000	53%	71,955,107	44%	57,603,858	44%	332,270,009
CSCRF (001)	2%	3,858,400	4%	2,869,000	3%	3,225,374	3%	4,823,000	14%	18,354,120	18%	22,713,519	7%	55,843,414
FI\$Cal Internal Services Fund (001)	23%	37,206,994	0%	0	0%	0	0%	39,000	0%	0	0%	0	5%	37,245,994
SF/NCGF (588)	62%	98,347,874	105%	78,837,000	9%	8,966,937	18%	27,963,000	15%	20,503,000	15%	19,232,917	34%	253,850,728
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	0%	0	-13%	-9,757,708	-8%	-7,647,656	11%	17,405,364	0%	0	0%	0	0%	0
TOTAL FUNDING	100%	159,563,117	100%	75,342,292	100%	100,146,699	100%	153,945,363	100%	135,142,108	100%	129,658,914	100%	753,798,493

*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
Agency/state entity: Financial Information S
Project: FI\$CAL

Date Prepared: 12/8/2015

Annual Project Adjustments	FY 05/06-12/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY 2017/18	
	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	105.0	106,417,489	143.0	92,458,107
(A) Annual Augmentation /(Reduction)	537.7	140,830,132	(412.9)	(88,852,598)	(41.6)	11,278,822	21.8	43,161,133	38.0	(13,959,382)	(5.0)	(15,621,332)
(B) Total One-Time Budget Actions	537.7	140,830,132	124.8	51,977,534	83.2	63,256,356	105.0	106,417,489	143.0	92,458,107	138.0	76,836,776
Continuing Costs												
Previous Year's Baseline	0.0	0	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	189.0	47,527,874	209.0	42,684,001
(C) Annual Augmentation /(Reduction)	63.2	15,535,464	58.8	7,829,294	44.8	13,525,585	22.2	10,637,531	20.0	(4,843,873)	35.0	10,138,137
(D) Total Continuing Budget Actions	63.2	15,535,464	122.0	23,364,758	166.8	36,890,343	189.0	47,527,874	209.0	42,684,001	244.0	52,822,138
Total Annual Project Budget Augmentation /(Reduction) [A + C]	600.9	156,365,596	(354.1)	(81,023,304)	3.2	24,804,407	44.0	53,798,664	58.0	(18,803,255)	30.0	(5,483,195)

[A, C] Excludes Redirected Resources

Total Additional Project Funds Needed [B + D]

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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 Cali

All Costs to be in whole (unrounded) dollars

Date Prepared: 12/8/2015

Project: FI\$CAL

	SUBTOTALS		FY 2018/19		FY 2019/20		FY 2020/21		FY 0		FY 0		TOTALS	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
TOTAL PROJECT COSTS	2125.7	753,798,493	386.0	85,769,972	335.0	70,399,468	0.0	0	0.0	0	0.0	0	2846.7	909,967,933
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	1131.7	531,776,394	0.0	7,500,000	0.0	0	0.0	0	0.0	0	0.0	0	1131.7	539,276,394
Continuing Project Costs	994.0	218,824,578	386.0	78,269,972	335.0	70,399,468	0.0	0	0.0	0	0.0	0	1715.0	367,494,018
TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR	2125.7	750,600,972	386.0	85,769,972	335.0	70,399,468	0.0	0	0.0	0	0.0	0	2846.7	906,770,412
TOTAL PROJECT FUNDING	2145.6	753,798,493	386.0	85,769,972	335.0	70,399,468	0.0	0	0.0	0	0.0	0	2866.6	909,967,933
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)	9%	71,335,036	52%	44,613,884	0%	40,127,697	0%	0	0%	0	0%	0	17%	156,076,617
General Fund (011)	44%	332,270,009	7%	5,828,250	0%	0	0%	0	0%	0	0%	0	37%	338,098,259
CSCRF (001)	7%	55,843,414	39%	33,656,088	0%	30,271,771	0%	0	0%	0	0%	0	13%	119,771,273
FI\$Cal Internal Services Fund (001)	5%	37,245,994	0%	0	0%	0	0%	0	0%	0	0%	0	4%	37,245,994
SF/NCGF (588)	34%	253,850,728	2%	1,671,750	0%	0	0%	0	0%	0	0%	0	28%	255,522,478
Redirection	0%	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	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0
TOTAL FUNDING	100%	753,798,493	100%	85,769,972	0%	70,399,468	0%	0	0%	0	0%	0	100%	909,967,933

*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
Agency/state entity: Financial Informatic
Project: FISCAL

Date Prepared: 12/8/2015

Annual Project Adjustments	FY 2018/19		FY 2019/20		FY 2020/21		FY 0		FY 0		Net Adjustments	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-time Costs												
Previous Year's Baseline	138.0	76,836,776	0.0	7,500,000	0.0	0	0.0	0	0.0	0		
(A) Annual Augmentation /(Reduction)	(138.0)	(69,336,776)	0.0	(7,500,000)	0.0	0	0.0	0	0.0	0		
(B) Total One-Time Budget Actions	0.0	7,500,000	0.0	0	0.0	0	0.0	0	0.0	0	1131.7	539,276,394
Continuing Costs												
Previous Year's Baseline	244.0	52,822,138	386.0	78,269,972	335.0	70,399,468	0.0	0	0.0	0		
(C) Annual Augmentation /(Reduction)	142.0	25,447,834	(51.0)	(7,870,505)	(335.0)	(70,399,468)	0.0	0	0.0	0		
(D) Total Continuing Budget Actions	386.0	78,269,972	335.0	70,399,468	0.0	0	0.0	0	0.0	0	1715.0	367,494,018
Total Annual Project Budget Augmentation /(Reduction) [A + C]	4.0	(43,888,941)	(51.0)	(15,370,505)	(335.0)	(70,399,468)	0.0	0	0.0	0		

[A, C] Excludes Redirected Resources

Total Additional Project Funds Needed [B + D]

2846.7 906,770,412

Annual Savings/Revenue Adjustments

Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
Increased Program Revenues		0		0		0		0		0		

Appendix E: Acronyms

The following acronyms are used in SPR 6:

Acronym	Definition
ABC	Department of Alcoholic Beverage Control
ABCAB	Alcoholic Beverage Control Appeals Board
ABMS	Activity-Based Management System
ADA	American with Disabilities Act
ALRB	Agricultural Labor Relations Board
ApEx	Application Express
BAFO	Best and Final Offer
BCDC	San Francisco Bay Conservation and Development Commission.
BOE	Board of Equalization
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
CDA	California Department of Aging
CFS	Contracted Fiscal Services
COA	Chart of Accounts
CSCR	California State Contracts Register
CSSSA	California State Summer School for the Arts
DCA	Department of Consumer Affairs
DD&I	Design, Development, and Implementation
DFEH	Department of Fair Employment and Housing
DGS	Department of General Services
DOF	Department of Finance
DOJ	Department of Justice
DP	Decision Package
EAW	Economic Analysis Worksheet
EPP	Environmentally Preferred Purchasing
ERP	Enterprise Resource Planning
FSC	FI\$Cal Service Center
GBPS	Governor's Budget Presentation System
IV&V	Independent Verification and Validation
ITSM	Information Technology Service Management
LDR	Legacy Data Repository
LPA	Leveraged Procurement Agreement



Acronym	Definition
MDW	Master Data Workplan
MEC	Month-End Close
O&M	Operations and Maintenance
OBIA	Oracle Business Intelligence Applications
OEHHA	Office of Environmental Health Hazard Assessment
ORF	Office Revolving Fund
OTech	Office of Technology Services
P-Card	Payment Card
PO	Purchase Order
PSP	Production Stability Period
SA BRC	State Agency Buy Recycled Campaign
SB/DVBE	Small Business/Disabled Veterans Business Enterprise
SCO	State Controller's Office
SCPRS	State Contract and Procurement Registration System
SDLC	Systems Development Life Cycle
SIEM	Security Information and Event Management
SPR	Special Project Report
STO	State Treasurer's Office
UAT	User Acceptance Testing
YEC	Year-End Close