



**FI\$Cal**

*Financial Information System for California*

# Conference Room Pilot (CRP) – SB/DVBE Bidder and Vendor Certification

for Wave 1 and Wave 2  
Departments

*May 1, 2014*

# Agenda

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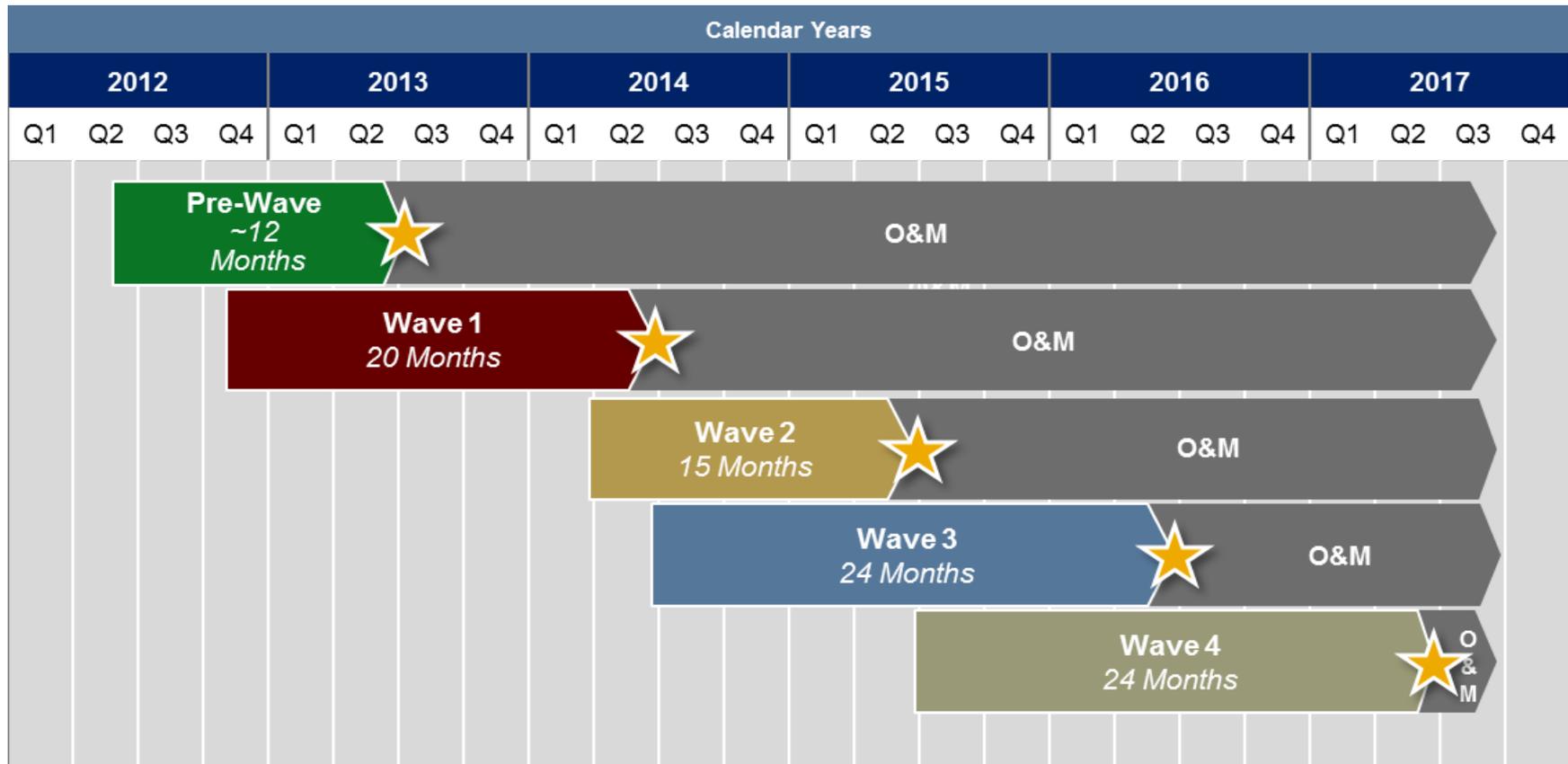
- FI\$Cal Project Overview
- Wave 2 CRP Objectives and Approach
- FI\$Cal Solution Overview
- <Functional Topic Area >
  - Business Process Overview
  - Key Terms
  - Scenarios Overview
  - Covered Requirements
  - Demonstration
  - Key Gaps
- Technology Considerations
- Session Recap

# FI\$Cal Project Overview

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- The Financial Information System for California (FI\$Cal) is a business transformation project for the State in the areas of budgeting, accounting, procurement, and cash management. The Project prepares the State to work in an integrated financial management system.
  
- Four Partner Agencies are working together to form the partnership to support FI\$Cal at the highest level:
  - Department of Finance (DOF)
  - Department of General Services (DGS)
  - State Controller's Office (SCO)
  - State Treasurer's Office (STO)

# FI\$Cal Wave Timeline



# CRP Objectives

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- The Wave 2 CRPs will:
  - Facilitate interactive discussion on “To-be” state business processes
  - Demonstrate delivered software capabilities to meet state requirements
  - Confirm application requirements and identify gaps where business needs are not satisfied by standard software functionality
  - Identify critical concerns/issues for each process area

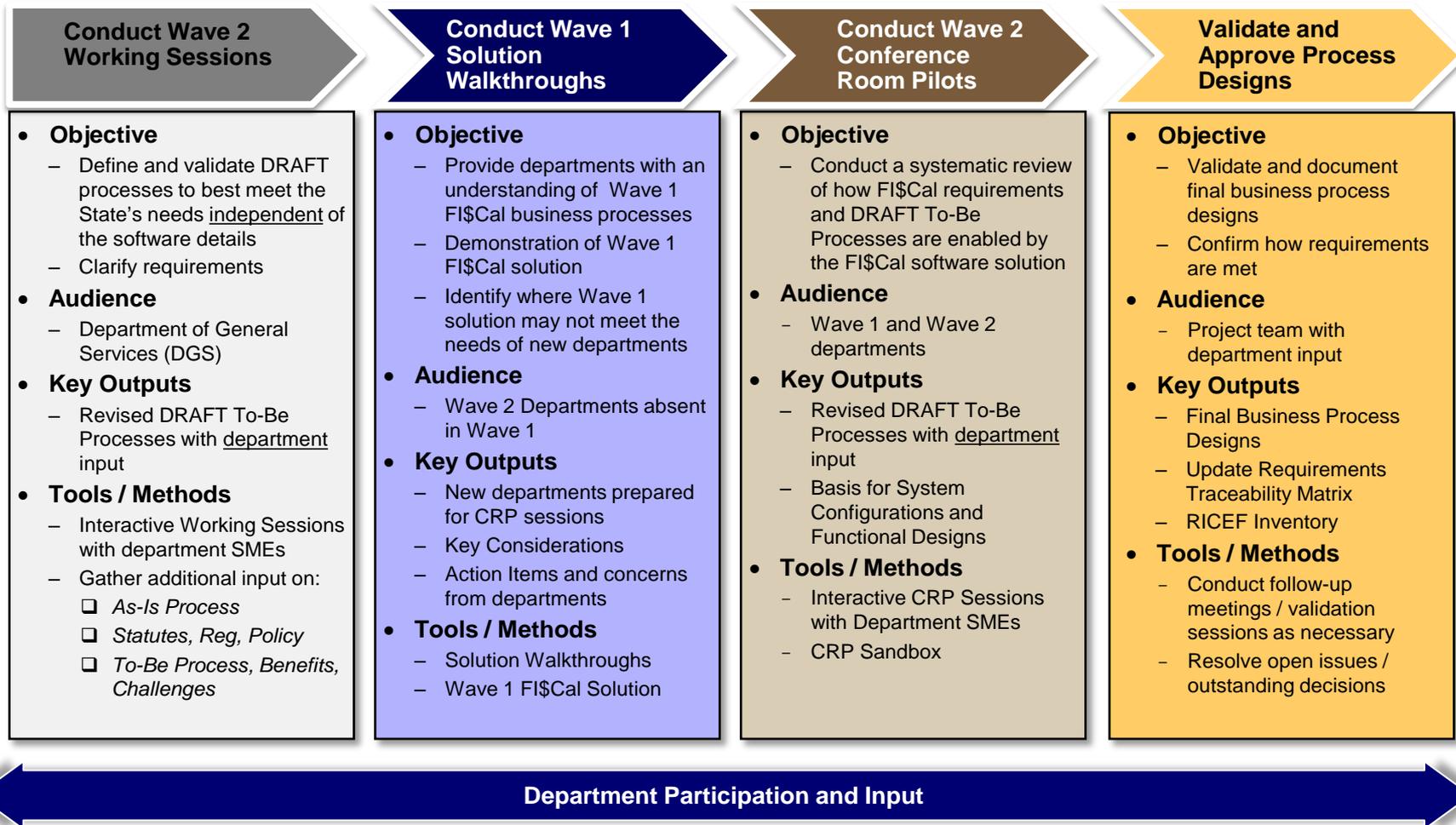
# Business Requirements – Overview

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- **What is a Business Requirement?**

- Business requirements specify the functionality of an application
- Business requirements collectively represent the “To-Be” state of a system
- Requirements denote common functionality across all Departments
- The FI\$Cal project team contracted with Informatix to facilitate Joint Application Development (JAD) sessions with all partner and stakeholder departments to tailor the baseline requirements to the FI\$Cal project in 2006
- State conducted several rounds of review of the requirements in the past few years
- The current baseline requirement list is taken from the FI\$Cal RFP

# FI\$Cal Design Approach

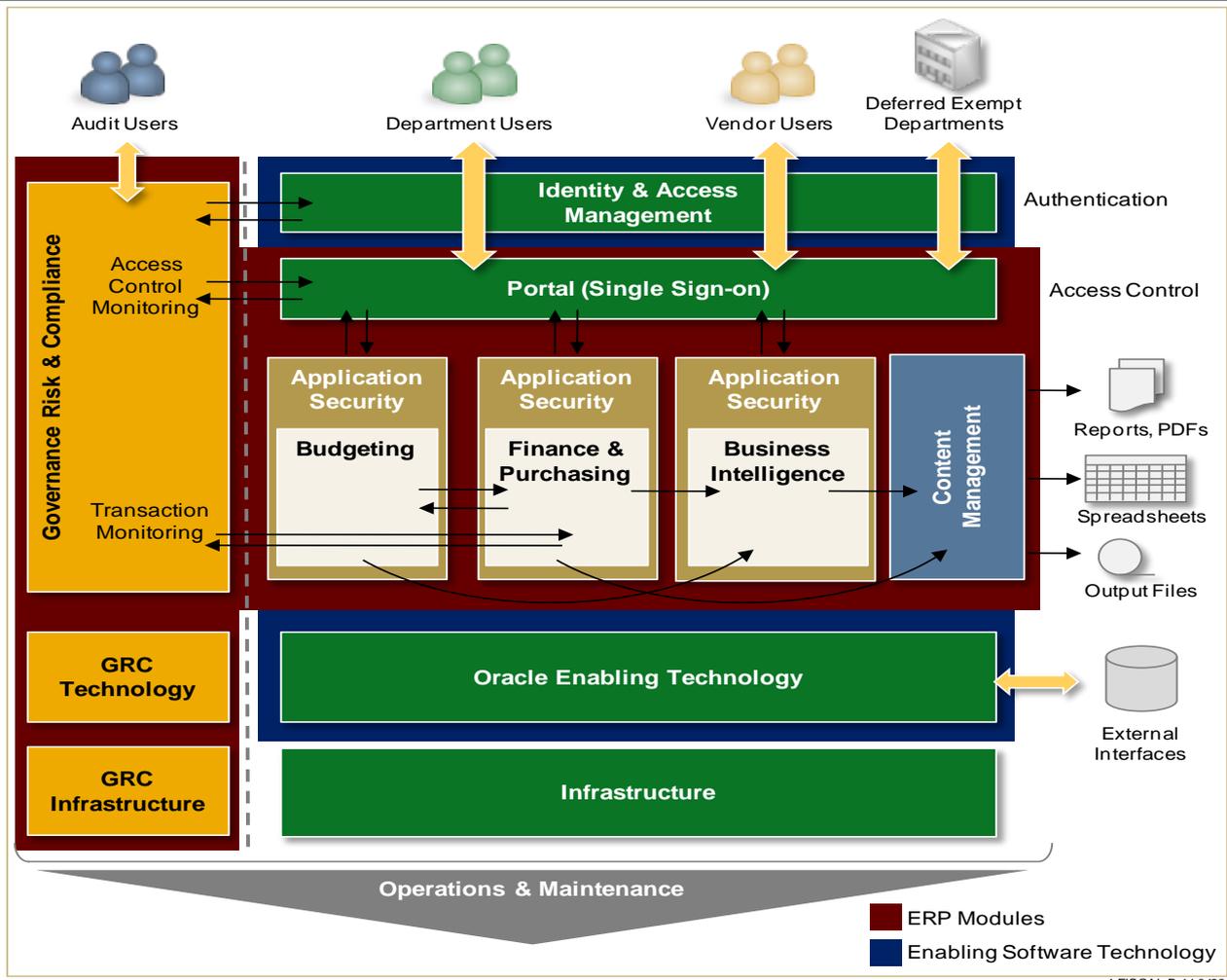


# Ground Rules & Guiding Principles

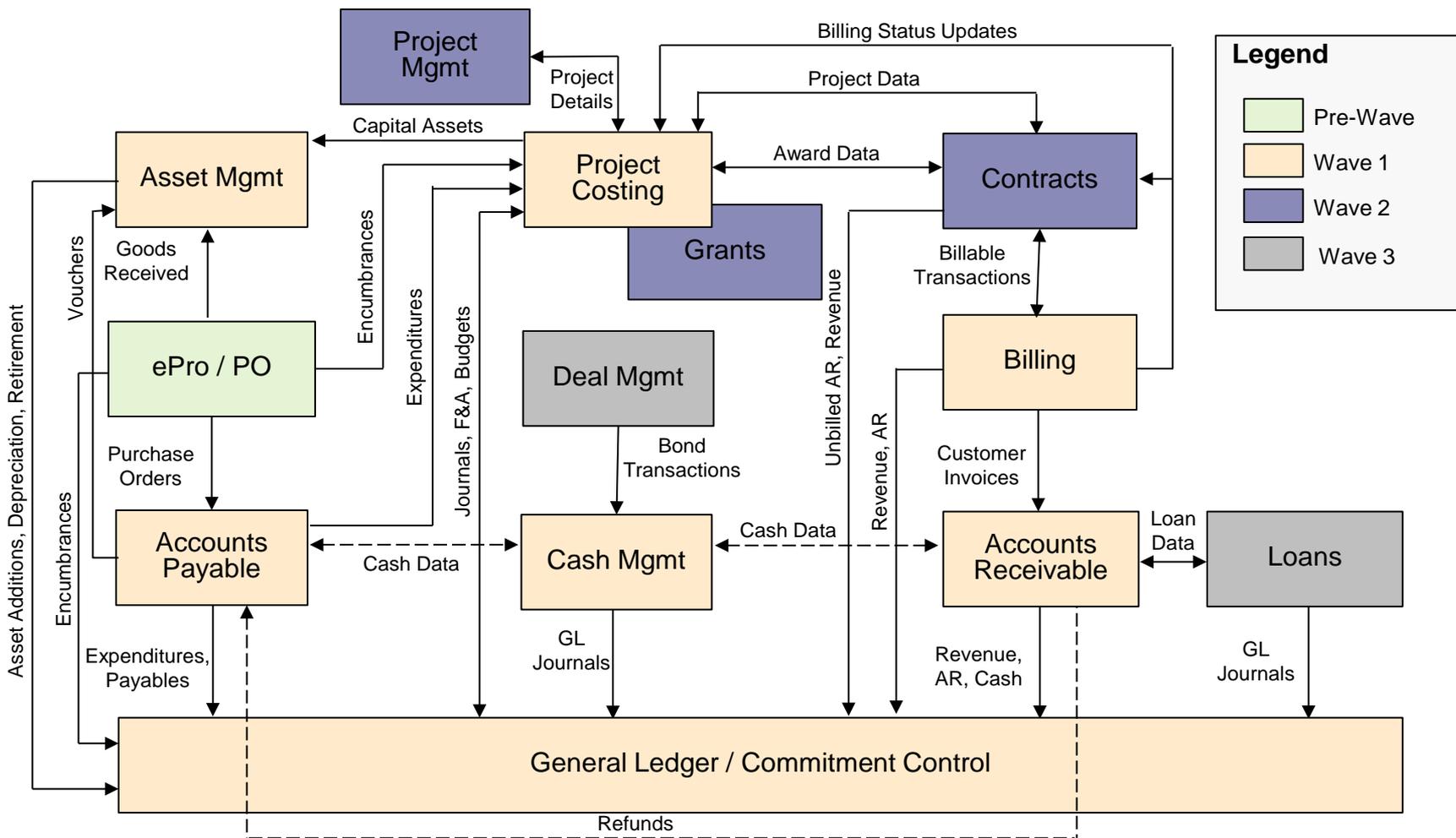
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- **Challenge** how the State does things today
- **Perspective** – Adopt a “Statewide” perspective
- **Silence is Consent** – Speak and share your thoughts
- **There are no Bad Questions** – Better to question, then assume
- **Consider Best Practices**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

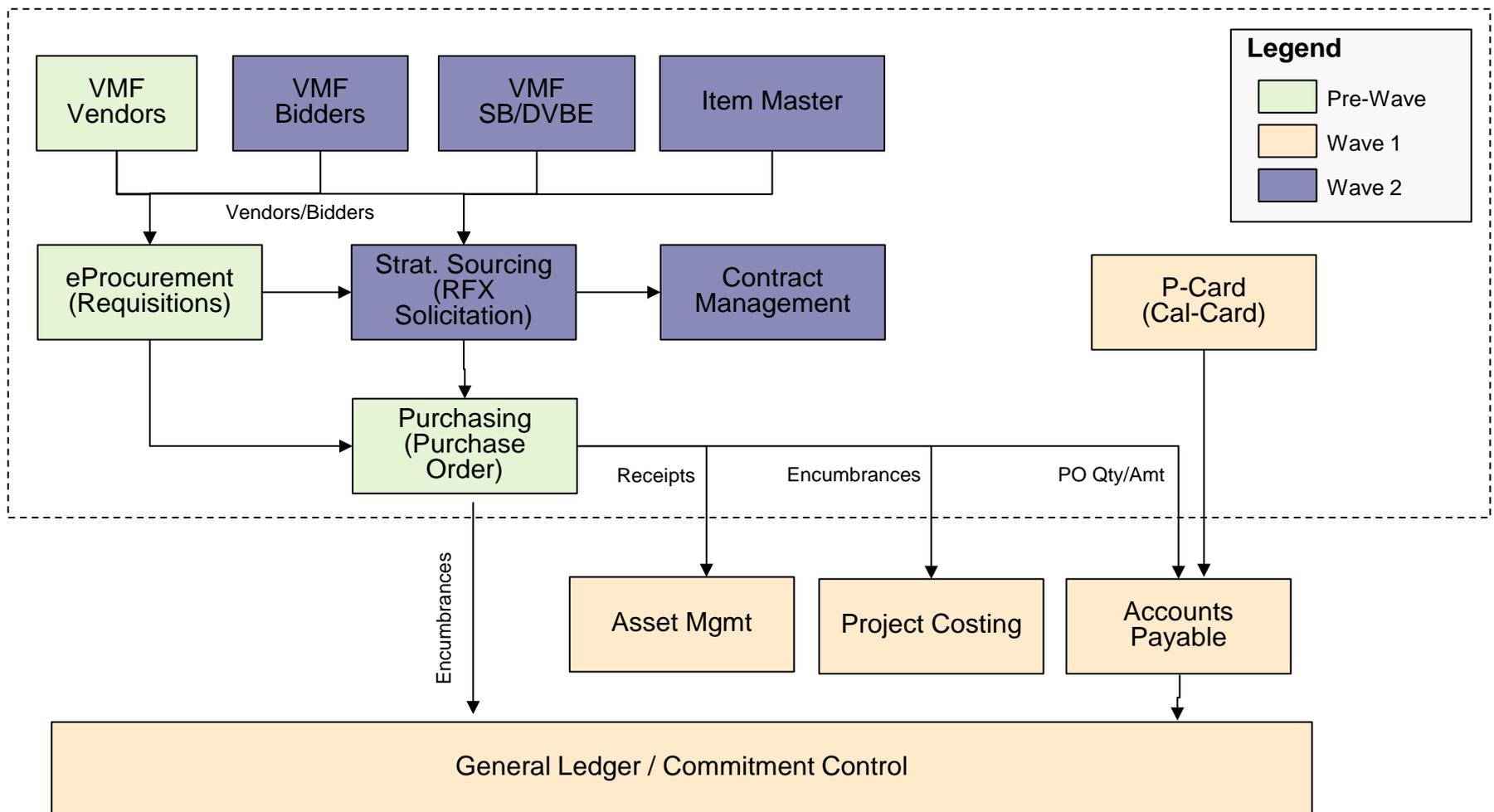
# FI\$Cal Solution Overview



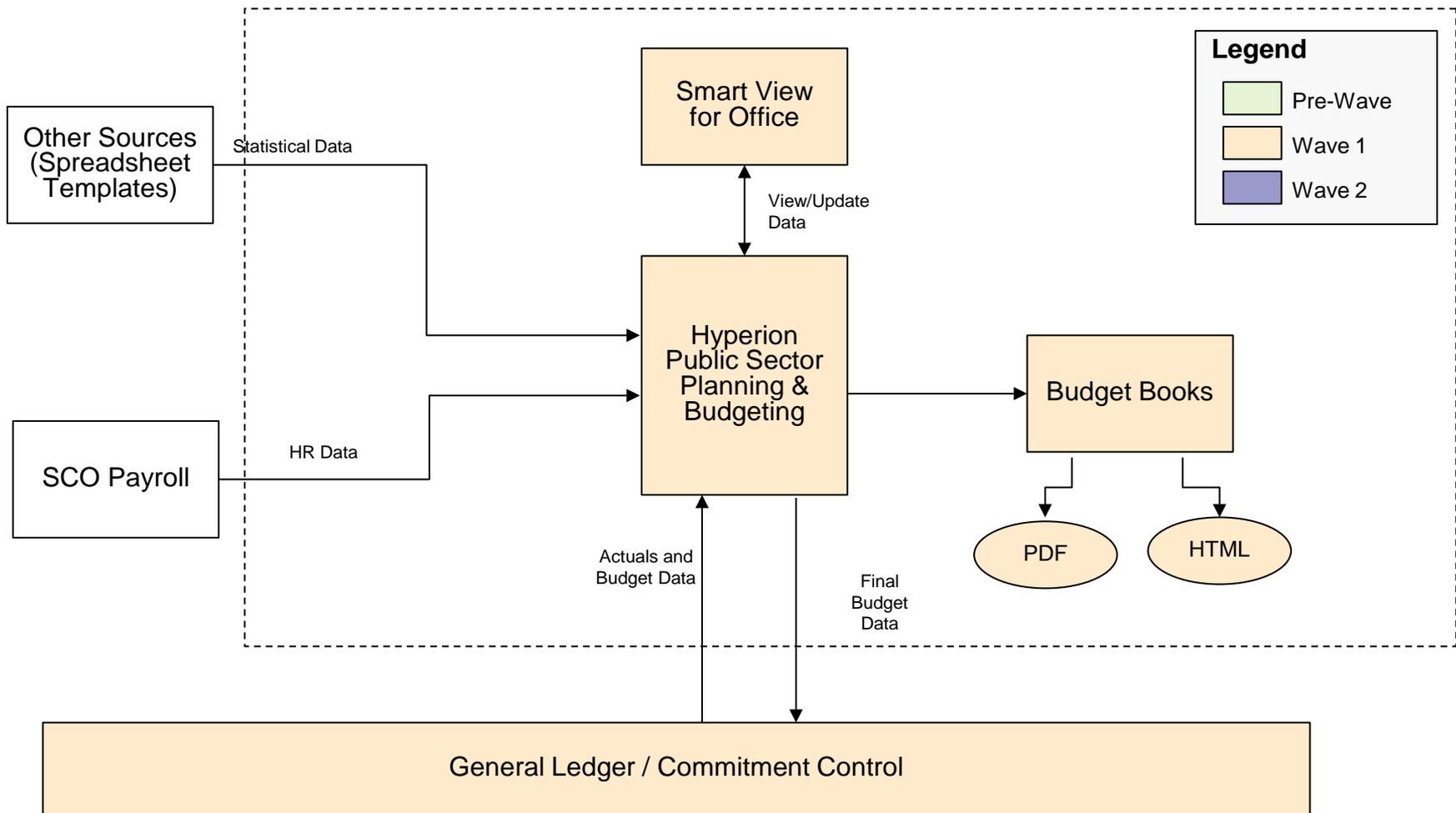
# FI\$Cal Accounting Solution



# FI\$Cal Procurement Solution



# FI\$Cal Budgeting Solution



# SB/DVBE Certification

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- Bidder/Vendor registration and SB/DVBE certification will be done in FI\$Cal
- Process starts when a business registers as a bidder, then applies for SB/DVBE certification
- Users and public will be able to search for certified SB/DVBE
- Reports will be available for the following:
  - Administrative reporting to show certification metrics
  - SB/DVBE contracting activity

# Opportunities for Improvement

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- Reporting of SB/DVBE activities for prime and sub contractors
- Reporting of certification activities- number applied, pending, approved, denied, etc.
- Reduced offline certification processing
- Improved controls for preventing duplicate certifications
- Integrated searching and transaction entry
- Additional reporting data available for public use
- Eliminate marketing to vendors by third parties (BidLinks)
- FEIN/TIN numbering control will reduce duplicate entry
- SB/DVBE application is not configurable by the state – BidSync controls all configuration entry/maintenance
- In process certification applications are not accessible to administrators

# SB/DVBE Certification Key Terms

Term	Definition
<b>Bidder</b>	Anyone registered in FI\$Cal and eligible to place a bid on an event
<b>Vendor</b>	Suppliers/payees actively doing business with the state (issued POs/Contracts, payments)
<b>Bidder Registration</b>	Registering in FI\$Cal to get online credentials and allow online response to bids; Needed prior to applying for certification
<b>OSDS Certification</b>	Applying for certification (SB, DVBE, Non Profit, NVSA) in FI\$Cal

# Scenario 1: Set up Certification Process/Questions and Information

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- Set up Certification Questions
  - Bind Definition
  - Question Group
  - Define Wizard

# Scenario 1: Set up Certification Process/Questions and Information

ID		Requirement Description
PD	222.00	The System shall allow authorized users to define and revise monetary thresholds related to the use of various procurement processes (e.g., formal/informal solicitations, SB/DVBE Option, public works acquisitions, Leveraged Procurement Agreements (LPAs)).
PD	238.00	The System shall include functionality currently provided by the DGS Business Information System (i.e., vendor certification) (See Appendix G-09 DGS Detailed Information System Descriptions), based on state need (e.g., provide public access to certain aspects of the System).
PD	239.00	The System shall allow for a vendor to submit various data and documents to DGS (e.g., business financial tax records, vendor employee counts, answers to DGS questions) in conjunction with certification/subscription registration and joint venture requests, based on state need (e.g., secure transmission of items/data, restricted access).
PD	240.00	The System shall automatically determine vendor eligibility for any of several different certifications (e.g., using vendor-provided information and DGS business rules for certifying small business (SB), disabled veteran business enterprise (DVBE), nonprofit veteran service agency (NVSA), nonprofit (NP)).

# Scenario 1: Set up Certification SB/DVBE Certification

[Favorites](#) > [Main Menu](#) > [Supplier Contracts](#) > [Manage Contract Library](#) > [Binds](#)

ORACLE

### Bind Definition

Bind Variable:	SMALL BUSINESS (SB)	Where Used
*Description:	<input type="text" value="Small Business (SB)"/>	
Bind Type:	Wizard	
Field Type:	Checkbox	

### Key Points:

- Binds are variable definitions that enable to map source transactional values i.e. In this example Small Business (SB) variable will hold the value entered by Supplier.

# Scenario 1: Set up Certification SB/DVBE Certification

[Favorites](#) > [Main Menu](#) > [Supplier Contracts](#) > [Manage Contract Library](#) > [Question Groups](#)

**ORACLE**

**Question Groups**

SetID: SHARE      Question Group: CERTIFICATION TYPES      [Copy From](#)  
 Type: Document Creation  
 \*Description: CERTIFICATION TYPES  
 Clause ID:  [Where Used](#)  
 Instructional Text:

**Questions**      Personalize | Find | View All | First 1-2 of 2 Last

*Seq	Reqd	Question/Information Text	No Bind Value	Info Only	Add Bind	Bind Variable	Description	Values/Navigation	Navigate
10	<input type="checkbox"/>	Small Business (SB)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	SMALL BUSINESS (SB)	Small Business (SB)	Modify	<input type="checkbox"/> + -
20	<input type="checkbox"/>	DVBE	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	DVBE	DVBE	Modify	<input type="checkbox"/> + -

[Save](#)   [Return to Search](#)   [Previous in List](#)   [Next in List](#)   [Notify](#)   [Add](#)   [Update/Display](#)

**Key Points:**

- A question group is a logical set of topic-related questions

# Scenario 1: Set up Certification SB/DVBE Certification

[Favorites](#) > [Main Menu](#) > [Supplier Contracts](#) > [Manage Contract Library](#) > [Wizards](#)

**ORACLE**

## Define Wizard

SetID: SHARE  
 Wizard ID: SB/DVBE CERTIFICATION Test Mode  
 Wizard Type: Document Creation Where Used  
 \*Wizard Status: Available  
 Description: SB/DVBE CERTIFICATION  
 Wizard Instructions: SB/DVBE CERTIFICATION

[View Expanded Wizard](#) [Create New Question Group](#)

Question Groups		Personalize	Find	View All	First	1-5 of 9	Last
*Display Sequence	*Question Group	Question Description					
10	CERTIFICATION	Certification					
15	CERTIFICATION TYPES	CERTIFICATION TYPES					
20	BUSINESS TYPES	BUSINESS TYPES					
30	ELIGIBILITY QUESTIONS	Small Business (SB) Eligibility Questions					
40	PARTICIPATION AUTHORIZATION	Participation Authorization and Compliance Agreement					

[Save](#) [Return to Search](#) [Previous in List](#) [Next in List](#) [Add](#) [Update/Display](#)

**Key Points:**

- A wizard is a tool that automatically guides to answer questions

# Scenario 1: Set up Certification Process/Questions & Info – Key Gaps

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- Identification ongoing

# Scenario 2: Apply for SB/DVBE Certification

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- Two Part Process
  - Bidder Registration – allows supplier to obtain log in credentials to participate in bidding
  - Apply for SB/DVBE Certification – obtain certification

# Scenario 2: Apply for SB/DVBE Certification

ID		Requirement Description
PD	238.00	The System shall include functionality currently provided by the DGS Business Information System (i.e., vendor certification) (See Appendix G-09 DGS Detailed Information System Descriptions), based on state need (e.g., provide public access to certain aspects of the System).
PD	239.00	The System shall allow for a vendor to submit various data and documents to DGS (e.g., business financial tax records, vendor employee counts, answers to DGS questions) in conjunction with certification/subscription registration and joint venture requests, based on state need (e.g., secure transmission of items/data, restricted access).
PD	240.00	The System shall automatically determine vendor eligibility for any of several different certifications (e.g., using vendor-provided information and DGS business rules for certifying small business (SB), disabled veteran business enterprise (DVBE), nonprofit veteran service agency (NVSA), nonprofit (NP)).

# Scenario 2: Bidder Registration

## Bidder Registration

### Step 1 of 8: Preliminary information.

These questions will determine the type of bidder you will become.

\* Required Field

1. Please select the type of bidder which best describes you.

- Business
- Individual

2. What type of bidding activities are you interested in?

- Buying goods/Services
- Selling goods/Services
- Both

Next >>

Cancel Registration

\* Required Field

### Key Points:

- Bidder Registration Step 1 – Type of Bidder and Bidding Activity, Buy or Sell

# Scenario 2: Bidder Registration

**Bidder Registration**  
**Step 2 of 8: User Account Setup**

Begin creating your user account here. Note that you may register other users for your company in addition to yourself. To create additional accounts for other users, click "Save and Add Another User" to expand the form. You may also provide instant messaging account information (for real-time communication with others using the system), as well as preferred time zone and currency.

\* Required Field

\*Company Name:

URLID:

**User Information**

\*First Name:  [Delete](#)

\*Last Name:

Title:

\*Email ID:

\*Telephone:  Ext:

Fax:

\*User ID:  (User's account login name.)

**Other Contact Info (Optional)**

Instant Messaging (IM) Information

IM Service:

IM User Name:

Personalization Information

Language:

Time Zone:

Currency Code:

## Key Points:

- Bidder Registration Step 2 – User Information

# Scenario 2: Bidder Registration

**Bidder Registration**  
**Step 3 of 8: Primary Address**

Please provide a Primary Address for your company. If your company has multiple site locations, the Primary Address would be the main headquarters.

\* Required Field

Primary Address

Country:  United States

\*Address 1:

Address 2:

Address 3:

\*City:

County:  Postal:

\*State:

<< Back    Next >>    Cancel Registration

\* Required Field

## Key Points:

- Bidder Registration Step 3 – Address Information

# Scenario 2: Bidder Registration

## Bidder Registration

### Step 4 of 8: Other Account Addresses

\* Required Field

The Primary Address you have entered for ABC Corporation is:

100 Universal City Plaza  
Universal City, California 91608, United States

If you need to make corrections, click the Back button and edit your fields.

#### Other Account Addresses

Because you will be bidding on events as a seller of goods/services, you must provide an Invoice address.

Check boxes below to indicate addresses that are different from your Primary Address:

Invoice Address your company's accounts receivable department (for when you sell goods/services).

<< Back

Next >>

Cancel Registration

\* Required Field

### Key Points:

- Bidder Registration Step 4 – Additional Address Information

# Scenario 2: Bidder Registration

## Bidder Registration

### Step 5 of 8: Address Contacts

Please enter additional addresses as necessary. (This is required only if your Primary Address is not used for all address types.) Next, please designate each of your registered users to an appropriate address category. If you're not sure which address category is the best match, choose "Primary Address".

\* Required Field

Company Contacts	
Personalize   Find       First 1 of 1 Last	
User Name	Designate as Contact for
Jon Tugade	Primary Address ▼

<< Back    Next >>

Cancel Registration

\* Required Field

### Key Points:

- Bidder Registration Step 5 – Contact Information

# Scenario 2: Bidder Registration

**Bidder Registration**

**Step 6 of 8: Additional Classification Information**

Please fill out the following information. This information allows us to more accurately tailor the Sourcing process with your business.

\* Required Field

Standard ID Numbers		Personalize   [?]	First
Identification Type	ID Number		
1 *Tax Identification Number	222222222		

SIC Codes - US - NAICS Codes		Personalize   Find   [?]   [?]	First	1 of 1	Last
Standard Industry Code	Description				
54193	Translation and Interpretation Services				Delete

Add Row

1. When were you incorporated?  [?]

2. What is your annual revenue?

VAT Information				Personalize   [?]	First
Country	Description	VAT ID	Home Country		
1	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>		Delete

Add Row

**More About Your Organization (Optional)**

HUBZone Program:

Sm Disadvantaged Business Prog:

Size of Small Business:

Other Preference Programs:

Veteran-Owned Small Business:

Veteran  Disabled

Women-Owned Business

Emerging Small Business

**Key Points:**

- Bidder Registration Step 6 – Classification Information

# Scenario 2: Bidder Registration

## Bidder Registration

### Step 7 of 8: Categorization Information

You have the option to select one or more categories that best describe your organization's bidding interests. Selecting specific categories may qualify you to receive notifications for future events that match your interests. There is no obligation to check any boxes, but doing so could result in more invitations to bid on events. By selecting no categories, you remain eligible to participate in all public events posted on this website.

\* Required Field

For best performance, please pause briefly after checking each selection box.

Check all Uncheck all

#### Strategic Sourcing Tree

- Sell Categories
  - CAMPING - Camping Equipment
  - CYCLING - Cycling Equipment
  - OFFICE\_SUPPLIES - Office Supplies
  - HIKING - Hiking Equipment
  - FISHING - Fishing Equipment
  - CLIMBING - Climbing Equipment
  - MISC - Miscellaneous
  - PROMO ITEMS - Promotional Items
  - SUPPLIES - Supplies
  - SERVICES - Services
  - SERVERS - Servers
  - PRINTERS - Printers
  - MULTIMEDIA - MultiMedia
  - HARDWARE - Computer Hardware
  - ACCESSORIES - Accessories

### Key Points:

- Bidder Registration Step 7 – Classification Information (Will use UNSPSC Codes)

# Scenario 2: Bidder Registration

## Bidder Registration

### Step 8 of 8: Terms and Conditions

Make sure you read the terms and conditions fully before continuing.

\* Required Field

I agree to be bound by the following Terms and Conditions:

1. The services provided through this Website and the use of the Website are governed by these Terms and Conditions. By accessing or using the services or the website or by registering as either a buyer or a seller, you agree that (1) you have read and familiarized yourself with the Terms and Conditions, (2) you understand the Terms and Conditions, and (3) you are bound by the Terms and Conditions in your use of the services or the Website. The Terms and Conditions, together with any additional terms and conditions specific to a particular event, constitute the entire agreement and supersede and replace any and all prior agreements between the parties regarding such subject matter.

2. Registration and Eligibility. The services and the website are only available to persons with the legal capacity to enter into this agreement. This organization may, at its sole and absolute discretion, refuse to accept a person's (or entity's) registration and may at any time after

<< Back

Finish

Cancel Registration

\* Required Field

### Key Points:

- Bidder Registration Step 8 – Terms and Conditions

# Scenario 2: Apply for SB/DVBE Certification

SB/DVBE Certification

Question Groups First 1 of 8

Previous Next

CERTIFICATION TYPES

Group Instructions: Select appropriate Certification Type for your Business

Questions

Small Business (SB)

DVBE

Previous Next

\* Required Wizard Execute - Document Creation Save for Later

Question

\*Navigational Question

## Key Points:

- Certification type questions

# Scenario 2: Apply for SB/DVBE Certification

SB/DVBE Certification

Question Groups First 2 of 8

BUSINESS TYPES Previous Next

Questions

- Construction
- Service
- Non-Manufacturer
- Manufacturer

Previous Next

\* Required Wizard Execute - Document Creation Save for Later

Question

\*Navigational Question

Description: SB/DVBE CERTIFICATION

## Key Points:

- Business Type information

# Scenario 2: Apply for SB/DVBE Certification

SB/DVBE Certification

Question Groups First 3 of 8

ELIGIBILITY QUESTIONS Previous Next

Questions

\*Is the applicant firm independently owned and operated?

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\*Is the applicant firm dominant in its field of operation?

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\*Is the applicant firm's principal office located in California?

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\*Are the applicant firm's owners (or officers in the case of a corporation) domiciled in California?

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\*Together with the applicant's affiliates (if any), does the applicant firm have 100 or fewer employees?

Previous Next

\* Required Question Wizard Execute - Document Creation

**Key Points:**

- SB Eligibility Questions

# Scenario 2: Apply for SB/DVBE Certification

## SB/DVBE Certification

### Question Groups

First 4 of 8

Previous

Next

PARTICIPATION AUTHORIZATION

#### Group Instructions:

Participation Authorization and Compliance Agreement

### Questions

BY ACCEPTING THE FOLLOWING TERMS AND CONDITIONS, YOU ARE AGREEING TO THE FOLLOWING:

PENALTY OF PERJURY

Accept

Previous

Next

\* Required

Wizard Execute - Document Creation

Question

\* Navigational Question

Save for Later

Description:

SB/DVBE CERTIFICATION

### Key Points:

- Terms and Conditions acceptance

# Scenario 2: Apply for SB/DVBE Certification

Question Groups First 6 of 8

REGISTRATION DATA

Group Instructions: Registration Data

Questions

FEIN

---

DUNS

---

Legal Business Name

---

Doing Business As (DBA) Name

---

Business phone number 1

---

Business phone number 2

---

Business fax number

---

Business web address

---

\*Share Data

## Key Points:

- Registration data

# Scenario 2: Apply for SB/DVBE Certification

## Question Groups

First 7 of 8

CONTACT INFORMATION

Previous

Next

Group Instructions:

CONTACT INFORMATION

## Questions

First Name

Vikas

Last Name

Lad

Email Address

vikas.lad@fiscal

Phone

9999999999

FAX

9999999999

Previous

Next

\* Required

Wizard Execute - Document Creation

Question

^ Navigational Question

Save for Later

## Key Points:

- Contact Information

# Scenario 2: Apply for SB/DVBE Certification – Key Gaps

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- Identification ongoing

# Scenario 3: Recording SB/DVBE Information in Procurement Transactions

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- SB/DVBE information captured in Purchase Orders and Procurement Card Transactions
- SB/DVBE information will be collected in solicitations and contained in contracts

# Scenario 3: Recording SB/DVBE Information in Procurement Transactions

ID		Requirement Description
PD	83.00	The System shall allow a mechanism for users to determine whether all applicable elements (e.g., TACPA/EZA/LAMBRA preference, recycle content certification, DVBE program requirement) have been included in the solicitation.
PD	83.00	The System shall allow a mechanism for users to determine whether all applicable elements (e.g., TACPA/EZA/LAMBRA preference, recycle content certification, DVBE program requirement) have been included in the solicitation.
PD	238.00	The System shall include functionality currently provided by the DGS Business Information System (i.e., vendor certification) (See Appendix G-09 DGS Detailed Information System Descriptions), based on state need (e.g., provide public access to certain aspects of the System).

# Scenario 3: Recording SB/DVBE Information in Procurement Transactions

Maintain Purchase Order

## Purchase Order

Business Unit: 3980 PO Status: Pend Appr ✘  
 PO ID: 0000000653 Budget Status: Valid  
 Copy From:   Hold From Further Processing

**Header**

\*PO Date: 05/03/2014 Vendor Search  
 \*Vendor: STAPLESINC-001 Vendor Details  
 \*Vendor ID: 000000002 STAPLES INC  
 \*Buyer: Z\_DEPT\_PO\_BUYER Department Buyer

PO Reference:

Header Details  
 PO Defaults  
 Requisitions  
 PO Activities  
 SB/DVBE Contracting

Doc Tol Status: Valid

\*Acquisition Type: IT Goods Acquisition Sub -Type:   
 \*Acquisition Method: CMAS Acquisition Sub-Method:   
 DGS Billing Code: 8797

Receipt Status: Not Recvd  
 \*Dispatch Method: Print

**Amount Summary**

Merchandise: 864,549.00  
 Freight/Tax/Misc.: 73,486.67   
 Total Amount: 938,035.67 USD  
 Encumbrance Balance: 0.00 USD

Add Items From: Purchasing Kit Catalog Item Search

Select Lines To Display  
 Line:  To:

Line	Item	Description	PO Qty	*UOM	Category	Price	Merchandise Amount	Status
1	00000000000000000003	Printing & Writing	112.0000	EA	10101502	90.00000	10,080.00	Pending
2	00000000000000000002	Printing & Writing	90.0000	EA	10101501	1,000.00000	90,000.00	Pending

### Key Points:

- Purchase Order – SB/DVBE Link from Main Page

# Scenario 3: Recording SB/DVBE Information in Procurement Transactions

SB/DVBE Contracting

Business Unit: 3980  
PO ID: 0000000653

*Doing Business As Name	Certification Number	Small Business	Micro Business	Start Date	Expiration Date	DVBE	Start Date	Expiration Date	Percentage	Prime	Sub
1 Joe's Waste Disposal	2313342	<input checked="" type="checkbox"/>	<input type="checkbox"/>	04/01/2014	10/31/2014	<input type="checkbox"/>			100	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2 Fairfax Cleaners	34221	<input type="checkbox"/>	<input type="checkbox"/>	01/01/2014	12/31/2014	<input checked="" type="checkbox"/>	04/05/2014	05/31/2014	25	<input type="checkbox"/>	<input checked="" type="checkbox"/>

OK Cancel Refresh

**Key Points:**

- Purchase Order – Prime and Sub contractor SB/DVBE recording

- Prime Contractor is Small Business certified
- Sub Contractor is DVBE certified

# Scenario 3: Recording SB/DVBE Information in Procurement Transactions

Reconcile Statement

Procurement Card Transactions

Run Budget Validation on Save

Bank Statement Personalize | Find | View All | [2] | First 1-9 of 17 Last

Transaction	Employee Name	Card Issuer	Card Number	Trans Date	Merchant	*Status	Transaction Amount	Currency
1 <input checked="" type="checkbox"/>	Lad,Vikas	USBK1	*****2913	04/28/2005	APPLETON PAPERS INC.	Staged	-2,101.16	USD
2 <input type="checkbox"/>	Lad,Vikas	USBK1	*****2913	04/28/2005	APPLETON PAPERS INC.	Staged	-890.00	USD
3 <input type="checkbox"/>	Lad,Vikas	USBK1	*****2913	05/12/2005	APPLETON PAPERS INC.	Staged	67,269.31	USD
4 <input type="checkbox"/>	Lad,Vikas	USBK1	*****2913	04/28/2005	APPLETON PAPERS INC.	Staged	0.02	USD
5 <input type="checkbox"/>	Lad,Vikas	USBK1	*****2913	05/12/2005	APPLETON PAPERS INC.	Staged	67,269.31	USD
6 <input type="checkbox"/>	Lad,Vikas	USBK1	*****2913	04/28/2005	APPLETON PAPERS INC.	Verified	-2,101.16	USD
7 <input type="checkbox"/>	Lad,Vikas	USBK1	*****2913	05/12/2005	APPLETON PAPERS INC.	Verified	67,269.31	USD
8 <input type="checkbox"/>	Lad,Vikas	USBK1	*****2913	04/28/2005	APPLETON PAPERS INC.	Verified	-890.00	USD
9 <input type="checkbox"/>	Lad,Vikas	USBK1	*****2913	05/12/2005	APPLETON PAPERS INC.	Verified	67,269.31	USD

Select All   
 Clear All   
   
   

[Search](#)   
[Purchase Details](#)   
[Split Line](#)   
[Distribution Template](#)   
SB/DVBE Contracting

**Key Points:**

- Procurement Card – SB/DVBE Link in Main Reconciliation page

# Scenario 3: Recording SB/DVBE Information in Procurement Transactions

**SB/DVBE Contracting**

Line: 1      Billing Amount: -2101.16 USD  
 Trans Date: 04/28/2005      Reference:  
 Posted Date: 04/29/2005  
 Merchant: APPLETON PAPERS INC.  
 Description: BOL 12345678910

Personalize   Find												First	1-2 of 2	Last
*Doing Business As Name	Certification Number	Small Business	Micro Business	Start Date	Expiration Date	DVBE	Start Date	Expiration Date	Percentage	Prime	Sub			
1	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="button" value="+"/>	<input type="button" value="-"/>	
2	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="button" value="+"/>	<input type="button" value="-"/>	

OK    Cancel    Refresh

- Key Points:**
- Procurement Card – Prime and Sub contractor SB/DVBE recording
  -

# Scenario 3: Recording SB/DVBE Information – Key Gaps

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- Identification ongoing

# Scenario 4: SB/DVBE Certification Inquiries and Reporting

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Includes but not limited to:

- Daily Certification Report
  - Number of Certified Firms (SB, DVBE, NVSA, NP)
  - By Business Type
- Management Reports
  - Number Certified
  - Number Pending
  - Number Denied
- SB/DVBE Contracting Activities (STD 810)
  - Reports of contract/order dollars for each Certification Type (SB, DVBE, NP, NVSA), by Acquisition Type (Non-IT Goods, Non-IT Services, IT Goods and Services, Construction, P-Card) for prime and sub contractors

# Scenario 4: SB/DVBE Certification Inquiries and Reporting

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- Public Inquiries and Reporting
  - Public inquiry on certification status (prime seeking subs, subs seeking prime, State and External Buyers, FI\$Cal users, etc.)
  - Inquiry results downloadable to Excel

# Scenario 4: SB/DVBE Certification Inquiries and Reporting

ID		Requirement Description
PD	38.00	The System shall facilitate a vendor search, using one or more vendor characteristics (e.g., certification type(s), geographic area(s) served, keywords, vendor name, goods and/or services provided).
PD	207.00	The System shall track various activity/items (e.g., recurring requisitions, non-competitive bid/special category (NCB) contracts, solicitations, orders placed against an LPA, defaults, small business usage) and allow the creation of reports that identify the activity (e.g., for activity related to a specific purchase document or solicitation type, for multiple purchase documents), based on state need (e.g., list detail such as dollar amounts or encumbrances, status, approvals).
PD	238.00	The System shall include functionality currently provided by the DGS Business Information System (i.e., vendor certification) (See Appendix G-09 DGS Detailed Information System Descriptions), based on state need (e.g., provide public access to certain aspects of the System).
PD	239.00	The System shall allow for a vendor to submit various data and documents to DGS (e.g., business financial tax records, vendor employee counts, answers to DGS questions) in conjunction with certification/subscription registration and joint venture requests, based on state need (e.g., secure transmission of items/data, restricted access).
PD	240.00	The System shall automatically determine vendor eligibility for any of several different certifications (e.g., using vendor-provided information and DGS business rules for certifying small business (SB), disabled veteran business enterprise (DVBE), nonprofit veteran service agency (NVSA), nonprofit (NP)).

# Scenario 4: SB/DVBE Certification Inquiries and Reporting – Key Gaps

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- Identification ongoing

# Technology Considerations

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- Interfaces
  
- Conversions
  - Registered Supplier
  - Active Certified Suppliers
  
- Data Protection
  - 
  -

# Data Protection Overview

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- FI\$Cal will receive and retain various types of data that will need to be protected. All data can be classified as:
  - Public
  - Personally Identifiable Information
  - Sensitive
  - Confidential
  
- Various state agencies assisted FI\$Cal in the development of a **Data Classification and Protection Framework**

# Data Protection Overview

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- All data that is received, retained, and transmitted by FI\$Cal protected by:
  - Business Unit
  - Encryption
  - Role Based Access
  
- In addition, data classified as PII, sensitive, and confidential will receive the additional protection of:
  - Masked
  - Tracking when added, updated, deleted, and read
  - Role Based Access, such as Confidential User

# Data Protection – Key Terms

Conversion	Definition
<b>Public Information</b>	Information maintained by state agencies that is not exempt from disclosure under the provisions of state or federal laws.
<b>Confidential Information</b>	Information maintained by state agencies that is exempt from disclosure under the provisions of state or federal laws.
<b>Sensitive Information</b>	Information maintained <b>by state agencies</b> that requires special precautions to protect from unauthorized use, access, disclosure, modification, loss, or deletion. Sensitive information may be either public or confidential.
<b>Personally Identifiable Information</b>	Information that identifies or describes an individual. This information must be protected from inappropriate access, use, or disclosure and must be made accessible to data subjects upon request.

# Data Protection - Processes & Fields

Process Name	Field Description
Bidder/Vendor Certification	Bidder ID
Bidder/Vendor Certification	Vendor ID
Bidder/Vendor Certification	Certification Type
Bidder/Vendor Certification	DUNS
Bidder/Vendor Certification	Business Phone Number
Bidder/Vendor Certification	Contact First Name
Bidder/Vendor Certification	Contact Last Name
Bidder/Vendor Certification	Contact Email Address
Bidder/Vendor Certification	Contact Phone
Bidder/Vendor Certification	Contact Fax
Bidder/Vendor Certification	Principal Address
Bidder/Vendor Certification	Ownership Start
Bidder/Vendor Certification	Date Business Started
Bidder/Vendor Certification	Tax Year Beginning Month
Bidder/Vendor Certification	Attachments
Bidder/Vendor Certification	Number of Employees
Bidder/Vendor Certification	Affiliate Relationships
Bidder/Vendor Certification	Small Bus Def Questions
Bidder/Vendor Certification	Ownership Information
Bidder/Vendor Certification	Owner Information
Bidder/Vendor Certification	UNSPSC Classifications
Bidder/Vendor Certification	Key Words
Bidder/Vendor Certification	Commercially Useful Functions

**Public**

## FI\$Cal Standard Protection Framework

### Standard Data Protection level For:

Confidential (Protected under the Public Records Act), Electronic Protected Health Information (e/PHI), Federal Tax Information, Notice Triggering Information, Payment Card Industry, Personally Identifiable Information (PII) and Sensitive Information, the following is the Standard Data Protection Level:

1. Mandates that Govern the Collection of this Field – State Administrative Manual (SAM).
2. Federal Tax Information Labeling – None.
3. FI\$Cal Standard Protection Method(s):
  - Business Level Security.
  - Encryption.
  - Masked (SSN, TIN, and Payment Card).
  - Role Based.
4. FI\$Cal Standard Actions to be Tracked:
  - Add, Delete, Update and Read.
5. FI\$Cal Standard Data Retention: Average 7 Years. (No data disposal planned for FI\$Cal currently).

Public
Confidential
PII
Sensitive

**Procurement classified as Public with the exception of the fields highlighted to be Sensitive**

# Data Protection - Processes & Fields

Process Name	Field Description	FI\$Cal Standard Protection Framework
		<p><b>Standard Data Protection level For:</b>            Confidential (Protected under the Public Records Act), Electronic Protected Health Information (e/PHI), Federal Tax Information, Notice Triggering Information, Payment Card Industry, Personally Identifiable Information (PII) and Sensitive Information, the following is the Standard Data Protection Level:</p> <ol style="list-style-type: none"> <li>Mandates that Govern the Collection of this Field – State Administrative Manual (SAM).</li> <li>Federal Tax Information Labeling – None.</li> <li>FI\$Cal Standard Protection Method(s):               <ul style="list-style-type: none"> <li>Business Level Security.</li> <li>Encryption.</li> <li>Masked (SSN, TIN, and Payment Card).</li> <li>Role Based.</li> </ul> </li> <li>FI\$Cal Standard Actions to be Tracked:               <ul style="list-style-type: none"> <li>Add, Delete, Update and Read.</li> </ul> </li> <li>FI\$Cal Standard Data Retention: Average 7 Years. (No data disposal planned for FI\$Cal currently).</li> </ol>
	<b>Sensitive</b>	
Bidder and Vendor Certification	FEIN	
Bidder and Vendor Certification	SSN	

Public	Confidential	PII	Sensitive
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Procurement classified as **Public** with the exception of the fields highlighted to be **Sensitive**

# Data Protection – Next Steps

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- FI\$Cal is expecting this framework confirmed by Wave 1 departments will also meet the data protection requirements of Wave 2 departments
- Opportunity to request additional data protection in Wave 2 task TECH201: Review Data Classification and Protection Framework

# Related CRPs

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- Solicitation CRP
- SB/DVBE Certification CRP

# Session Recap

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- Key Considerations
  - <Discuss the key input/feedback provided during session>
- Future Action Items
  - <Review open items discussed during session >
- Action Items
  - <List action items discussed during session>
- Concerns
  - <List concerns identified by FI\$Cal team prior to CRP session>
  - <Review concerns discussed during session >

# Question and Answer

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FI\$Cal Project Information:

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

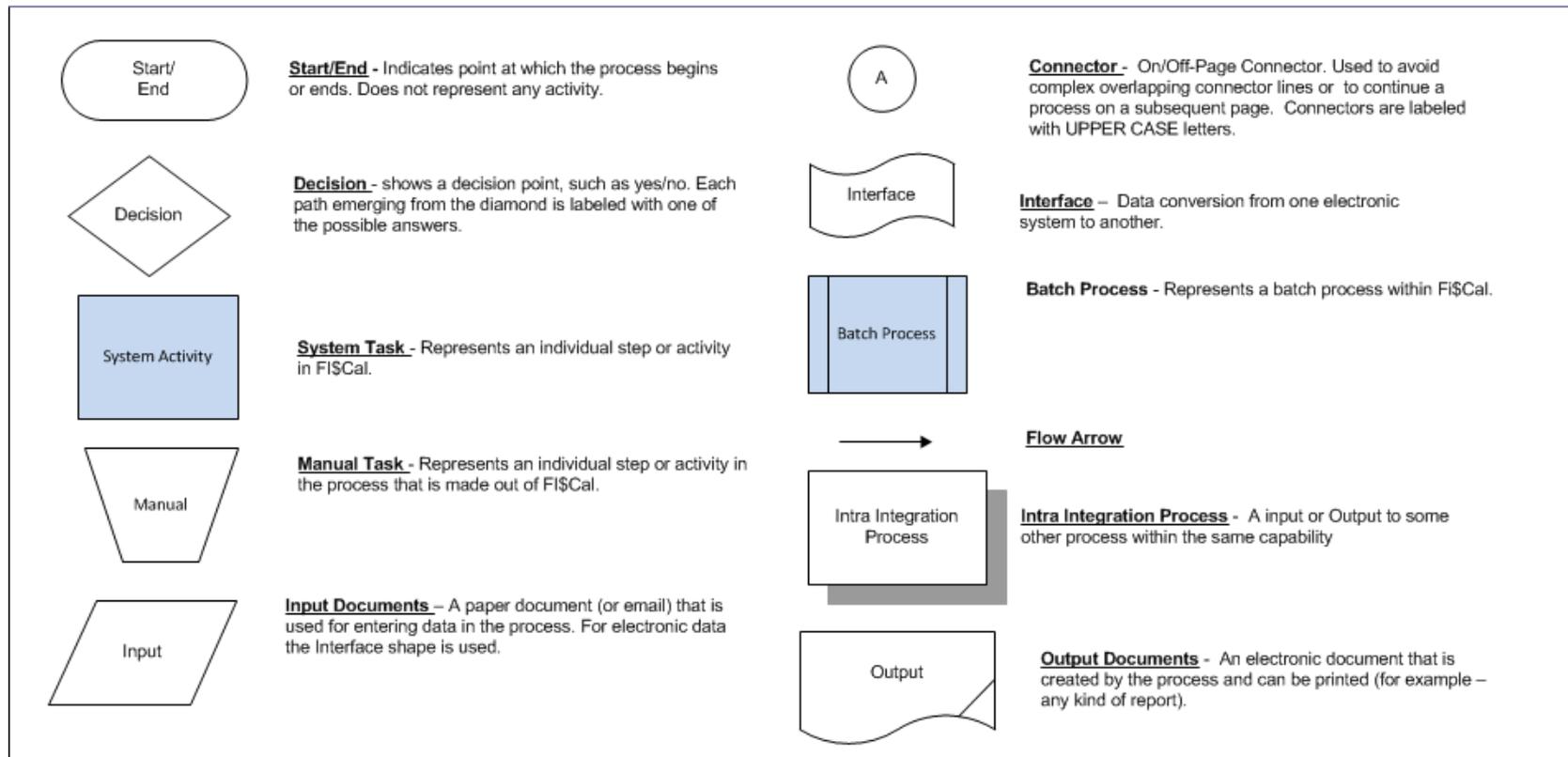
or e-mail the FI\$Cal Project Team at:

[fiscal.cmo@fiscal.ca.gov](mailto:fiscal.cmo@fiscal.ca.gov)

# Appendix

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# Guide to Symbols in Flows



# ChartField Cross Reference

