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Investment Accounting

Business Process Workshop (BPW)

2017 STO/SCO Release

Agenda

- BPW Objectives
- What You Should Take Away
- General Ledger Overview
- User Roles Summary
- Key Terms
- Business Processes
- Role Mapping Activity
- Identifying Change Impacts
- Next Steps
- Appendix

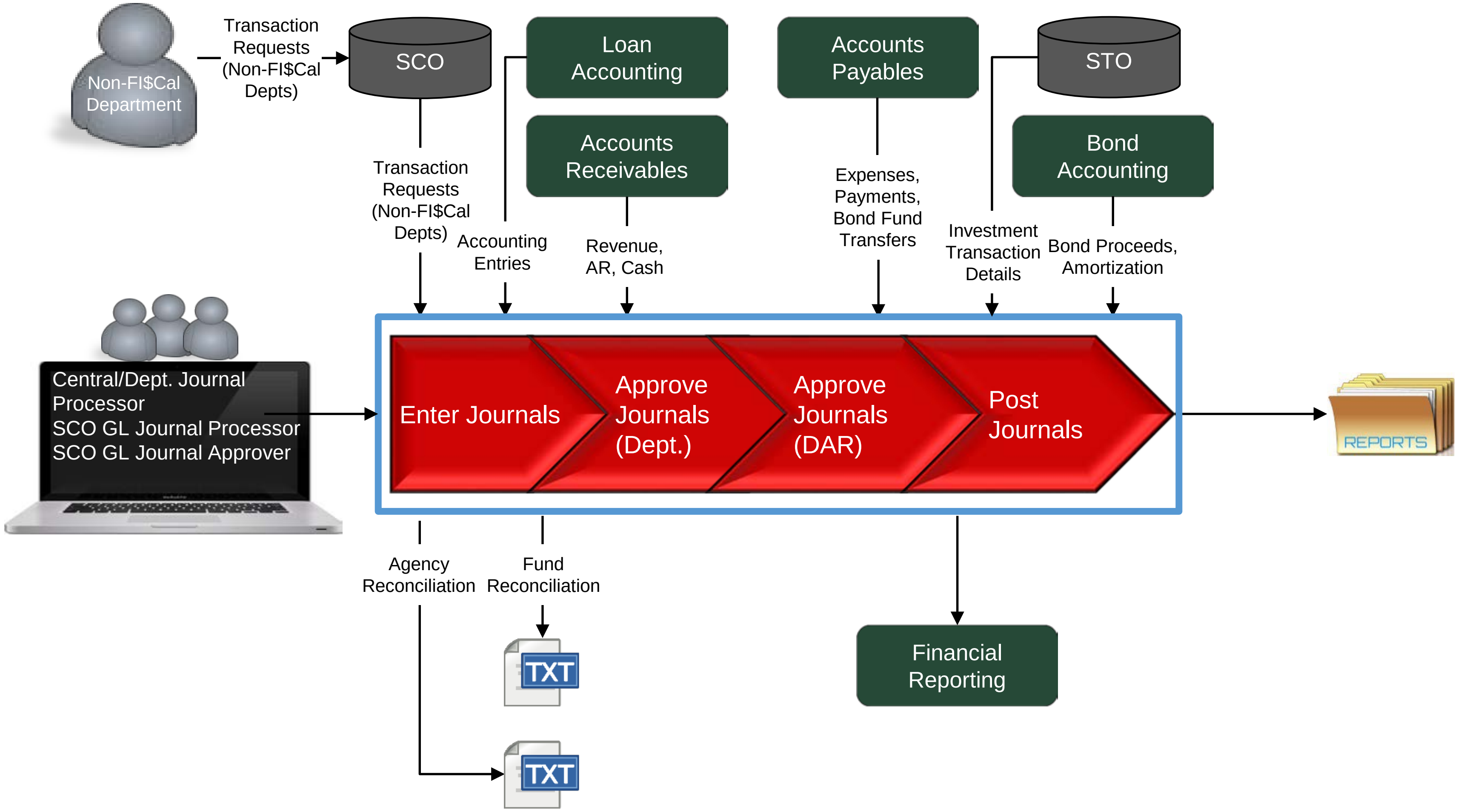
BPW Objectives

- The Business Process Workshops allow participants to:
  - Learn about new end-user roles and what functions they perform
  - Gain an understanding of the new FI$Cal business processes
  - See a demonstration of how the new FI$Cal business processes work in the System
  - Understand the next steps in the implementation phase
  - Know how to get assistance from FI$Cal

What You Should Take Away

- Materials from today's session:
  - Business Process Workshop Presentation
  - Role Mapping Tools
  - SCO Change Management Activities
  - STO Change Impact Tool
- Understanding of the new FI$Cal processes, the next steps, and the support available from FI$Cal

General Ledger (GL)



Key Term

Term	Definition
Investment Transactions	The STO’s transactions for purchase, sale, redemption, and repurchase of securities. The types of securities include bank notes, corporate bonds, commercial paper, CDs, T-Bills, etc.

User Roles Summary

FI$Cal End-User Role	Responsibilities
Investment Interface Administrator	The SCO end user who is responsible for maintaining the supporting configuration of the investment accounting process.
Investment Interface Processor	The SCO end user who is able to run the investment accounting interface process.
Investment Accounting Administrator	The SCO end user who is responsible for the correction and approval of investment accounting entries.

Processing Investments

As-Is Process

- STO passes investment transaction details to the SCO via Form 206
- The SCO records the investment transactions manually on an investment tracking spreadsheet and processes a Transaction Request (the equivalent of a General Ledger (GL) journal) to account for the transactions.

Processing Investments

To-Be Process

- The Investment Accounting Interface will process a file containing details of the investment transactions created by the STO
- The Interface will load the transactions and create, validate and post the required accounting entries
- If there are accounting entry errors, they will need to be corrected prior to approval.
- Configuration determines if investment accounting entries will require approval before being posted.

Interface Validations

- Invalid File Structure
  - Checks expected format and layout
  - Pending transactions deleted and file will not process
- Duplicate Transactions
  - Duplicate transaction will not be processed
  - All other transactions will process
- Missing Required Field
  - Transaction will not be processed
  - All other transactions will process

Investment Interface Process

State Treasurers' Office → Create and Upload Investment Transaction File
- CSV file must be properly formatted
- File is uploaded to FI$Cal Server via SFTP

(Outside FI$Cal)

FI$Cal → Run Investment Accounting Interface
- This process can be run on a scheduled basis or ad hoc

Investment Interface Processor → Transaction Validation
- Chartfield validation

Investment Accounting Administrator → Review, Correct and Approve Entries
- Accounting entries must be approved when required

FI$Cal → Post Entries
- Journals are posted in the General Ledger

Key Impacts

- Although the process may be run as often as needed, STO has indicated that they will only be providing a file of investment transactions daily.
- This process does not perform premium or discount amortization.

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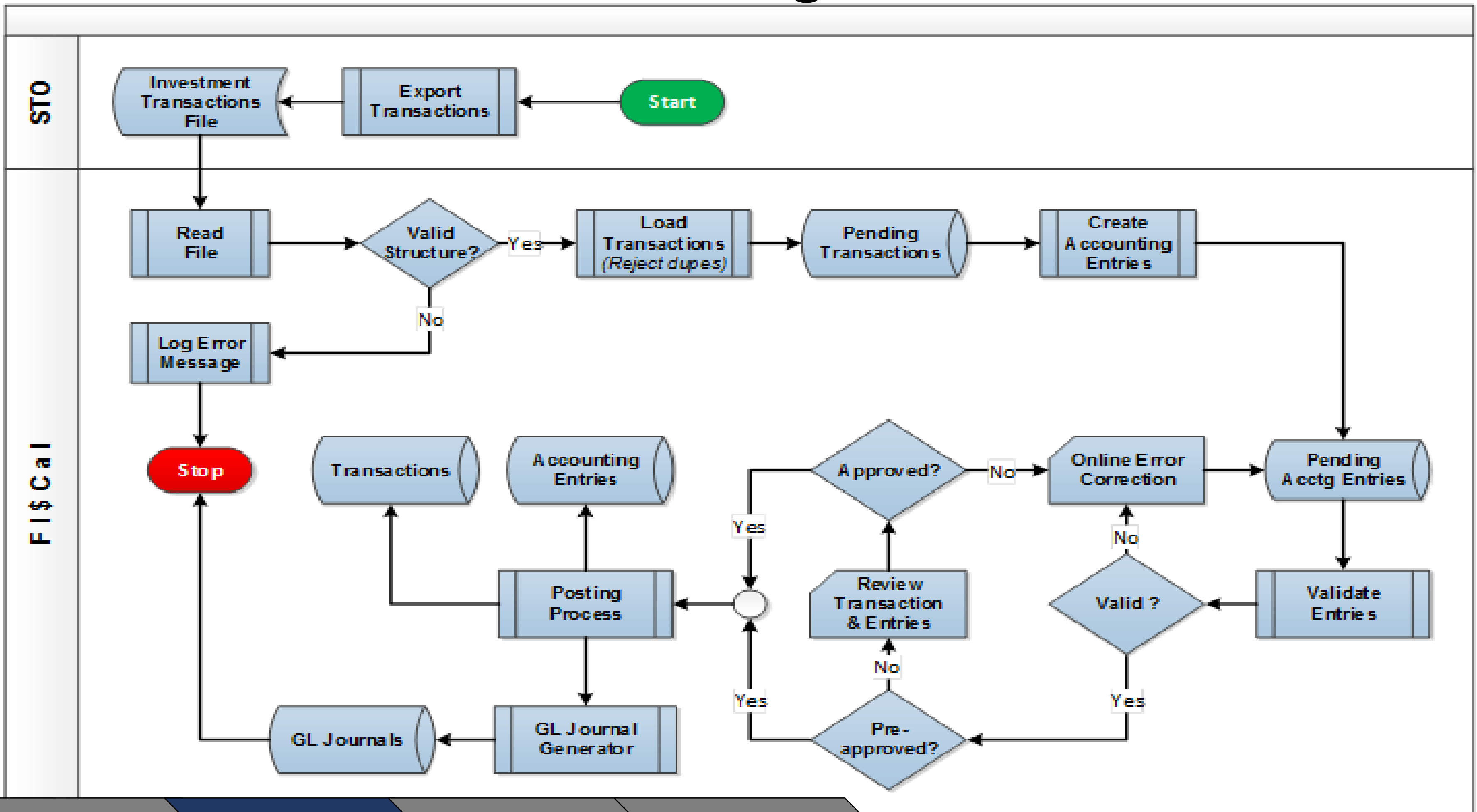
Investments Flow Diagram



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Pending Accounting Entries

Investment Accounting Pending Transactions

Transaction ID : **Transaction Sequence :** Validate

Form Type :	**Transaction Type :**	**Fund :**	**Schedule ID :**	**Settlement Date :**
Item :	**CUSIP :**	**Short Description :**	**Security Type :**	**Maturity Date :**
Par Value :	**Gross Cost :**	**Net Cost :**	**Last Update:**	

Transaction Details

First 1-2 of 2 Last

Line No	GL Unit	Account	Fund	Approp Ref	ENY	Program	Amount	ChartFields Validation Status	Error Message

Save | Return to Search | Previous in List | Next in List

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Overview of Role Mapping

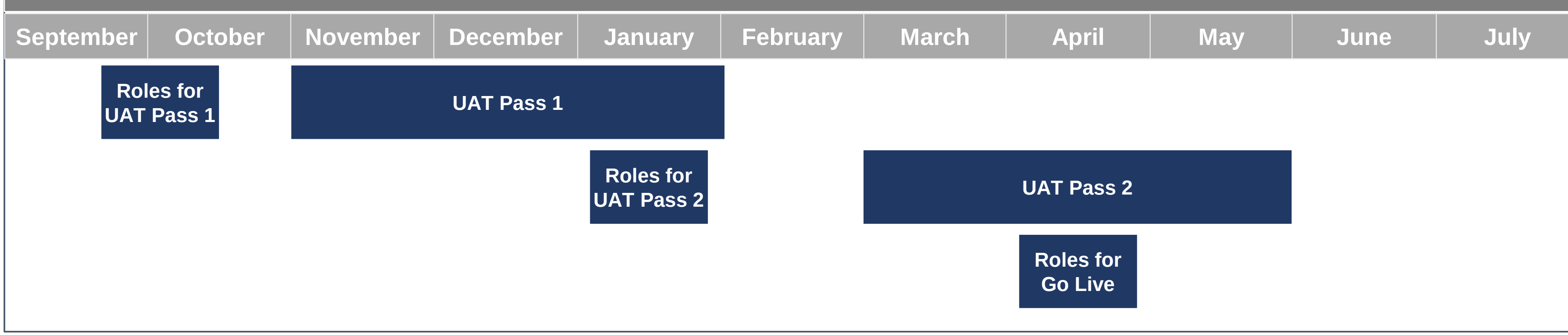
Description

Role Mapping activities allow SCO and STO to assign security roles to end users based on their job requirements and the type of work they will perform in FI$Cal. Security roles define what users can see and do in FI$Cal.

MDW Tasks

- TECH325a: Assign Roles for UAT Pass 1
- TECH330a: Assign Roles for UAT Pass 2
- TECH335a: Assign Roles for Go Live

Role Mapping Timeline



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How Role Mapping is Used

- To define what end users see and do in FI$Cal
- To identify department end users for FI$Cal end-user training
- To map users to required FI$Cal end-user training courses based on their role assignments
- To identify participants for department change discussions
- To support enforcement of separation of duties
- To support enforcement of hard stops

Role Mapping Tools

- Role Mapping Task Instructions and Response Template (TECH325a, TECH330a, TECH335a)
- SCO/STO Release Role Description Handbook
- FI$Cal Separation of Duties (SOD) Matrix
- FISCal Hard Stops Matrix
- SCO/STO Release Business Process Workshop (BPW) presentations

Materials are available on the FI$Cal website:

http://fiscal.ca.gov/wave_3_resources/index.html

Separation of Duty and Hard Stops

Separation of Duty (SOD): The FI$Cal Separation of Duties Matrix defines roles that should not be assigned together

Examples:

If you are an employee of…	and you are assigned…	you should not also be assigned…
SCO or STO	SCO Warrant Status Configuration Maintainer	AP: SCO Warrant Processor
SCO or STO	AR Payment Processor	BI/AR: STO Deposit Slip Processor

Hard Stops: Hard stops are set in FI$Cal to prevent a user from doing something that could be considered a SOD violation

Examples:

If you are assigned the role of…	and you also are assigned the role of…	the System will not allow you to…
SCO AP Processor	SCO AT Approver 1-4	Approve vouchers you have created
STO Cash Transfer Processor	STO Cash Transfer Approver	Approve cash transfers you have created

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TECH325a: Assign FI$Cal Roles for UAT Pass 1

- **Release Date:** Tuesday, September 20, 2016
- **Due Date:** Wednesday, October 5, 2016
- **Task Information:** Assign FI$Cal roles to all SCO and STO end users in preparation for UAT Pass 1 starting in November and in support of future training assignments
- **Key Reminders:**
  - All submissions must be received be a Departmental Authority or Designee (DAD)
  - DADs cannot submit role assignments for themselves (i.e., another DAD must submit)
  - Do not make changes to the template format (e.g., add columns, remove columns, etc.)

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TECH325a Template Preview

The TECH325a Response Template consists of two main parts:

- **User Information**: Complete all information for each end user who will have access to FI$Cal for the SCO/STO Release

User Information												
BU*	Last Name*	First Name*	Middle Name or Initial	Department Email*	Phone* ###########	Job Classification*	City*	State*	Location* (Select the closest Training Hub)	Training Accommodation Requests or Assistive Learning Needs	State employee?* (Yes or No)	Current or Previous end user of FI$Cal? If yes, provide current/prior email address(es) used for FI$Cal access.

- **FI$Cal Roles** (listed by Module): Mark with an “X” any role that should be assigned to the user (a brief description is included)

		Bond Accounting (BA)						
STO Deposit Slip Maintainer	STO Deposit Slip Processor	Bond Viewer	SCO Bond Maintainer	SCO Bond Processor	STO Bond Maintainer	STO Bond Processor	Central Bank Statement Import Processor	Central Bank Stateme Processor
ark with an "X" the STO end ser who will configure any onfiguration relate to the eposit slip.	Mark with an "X" the STO end user who will enter and update deposit slip information for non-FI$Cal departments.	Mark with an "X" the SCO, STO, or department end user who will run inquiries on bonds.	Mark with an "X" the SCO end user who will have responsibility for any interface processing related to bonds.	Mark with an "X" the SCO end user who will process bonds, including viewing bond details to validate, reversing bonds, and performing any necessary manual refunding or defeasances.	Mark with an "X" the STO end user who will have responsibility for any interface processing related to bonds.	Mark with an "X" the STO end user who will process bonds, including viewing bond details to validate, reversing bonds, and performing any necessary manual refunding or defeasances.	Mark with an "X" the central end user who will maintain bank integration configuration and import bank statements from the State Treasurer's Office (STO) and SCO into the system when the automated batch process has problems.	Mark with an "X" the central user who will maintain bank integration configuration an perform modifications to Ba Statements created by the Statement Import process.

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SCO Change Management Activities (Sept 2016-Feb 2017)

BPWs → **Role Mapping** → **Process Confirmation** → **Pilot Training** → **UAT** → **Coms to End User**

BPWs

Activity:
- Workshop to review high level process flows of new functionality
- Provide short demonstration to some of functionality

BPW inputs:
- Functional Designs
- Parking Lot Items
- Test Scripts

BPW Outputs:
- Role Mapping guideline
- Significant process impacts
- Guide to Change discussions and Process Confirmation

Role Mapping

Activity:
- Workshop to review the roles and the template to populate
- Pass #1 will be due COB October 5th

Role Mapping inputs:
- Functional Designs
- BPWs
- As-Is processes

Role Mapping Outputs:
- End User population for training & Surveys
- Populate UAT testing environment with actual roles

Process Confirmation

Activity:
- Facilitated Q&A meetings to walk through processes at a sub process level with demos where possible.
- Cross team/function oriented

Process Confirmation inputs:
- BPWs
- Parking Lot Items
- Business Process Plan

Process Confirmation Outputs:
- ID Functional Roles for transition training
- Identify organizational responsibility for functions with integrated system
- Change Impact Tool completion
- ID Role Mapping updates

Potential Output:
- Provide information for documenting To-Be business processes

Pilot Training

Activity:
- The training team opportunity to deliver new ILT courses for system training delivery

Pilot inputs:
- Functional Test Scripts
- Business JAD sessions
- BPW discussions

Pilot Outputs:
- UAT Training
- Exposure to new materials for end users
- Feedback for training content and deliver

UAT

Activity:
- Testing system functionality in a testing environment

UAT inputs:
- FDs
- Role Mapping
- BPWs
- Configs
- Testing scenarios

UAT Outputs:
- Provide feedback to training team on pilot information

Coms to End User

Activity:
- Consistent delivery of timely information for end users

Coms inputs:
- Role Mapping
- BPWs
- Process Confirmation Mtgs
- Pilots
- UAT
- Coalitions
- FDs
- Configs

Coms Outputs:
- An end user population excited and ready to bring on the change

Change Impact Activity

- Description:
  - A walkthrough with the FI$Cal team to assist departments to complete example change impacts
  - Departments will have the understanding on how to complete the remainder of the tool on their own
  - At your table, discuss how the FI$Cal business processes and related change impacts may affect your department
  - Document three impacts in your BPW Change Impact Tool
- Roles:
  - Facilitator – Helps lead the discussion with your department on the FI$Cal business processes and change impacts
  - Recorder(s) – Captures the department-specific impacts from the activity in your BPW Change Impact Tool
- Tool:
  - Change Impact Tool – Task to document the changes in People, Process, Technology, and Communication that will arise from the implementation of FI$Cal business processes

Next Steps

- Share BPW materials at your department
- Attend Process Confirmation Meetings
- Complete the BPW Change Impact Tool
- Identify and work on updating internal department policies, processes, and documentation
- Prepare for:
  - Submit Role Mapping Task – October 5, 2016
  - Participate in Pilot Training – October to November 2016
  - Participate in User Acceptance Testing Pass 1 – November 2016 to January 2017
  - Change Workshop – December 2016
  - End-User System Training – March 2017 to May 2017

Question and Answer

FI$Cal Information:

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

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

fiscal.cmo@fiscal.ca.gov