



One state. One system.

# Report 14

## Business Process Workshop (BPW)

2017 STO/SCO Release



# Agenda

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

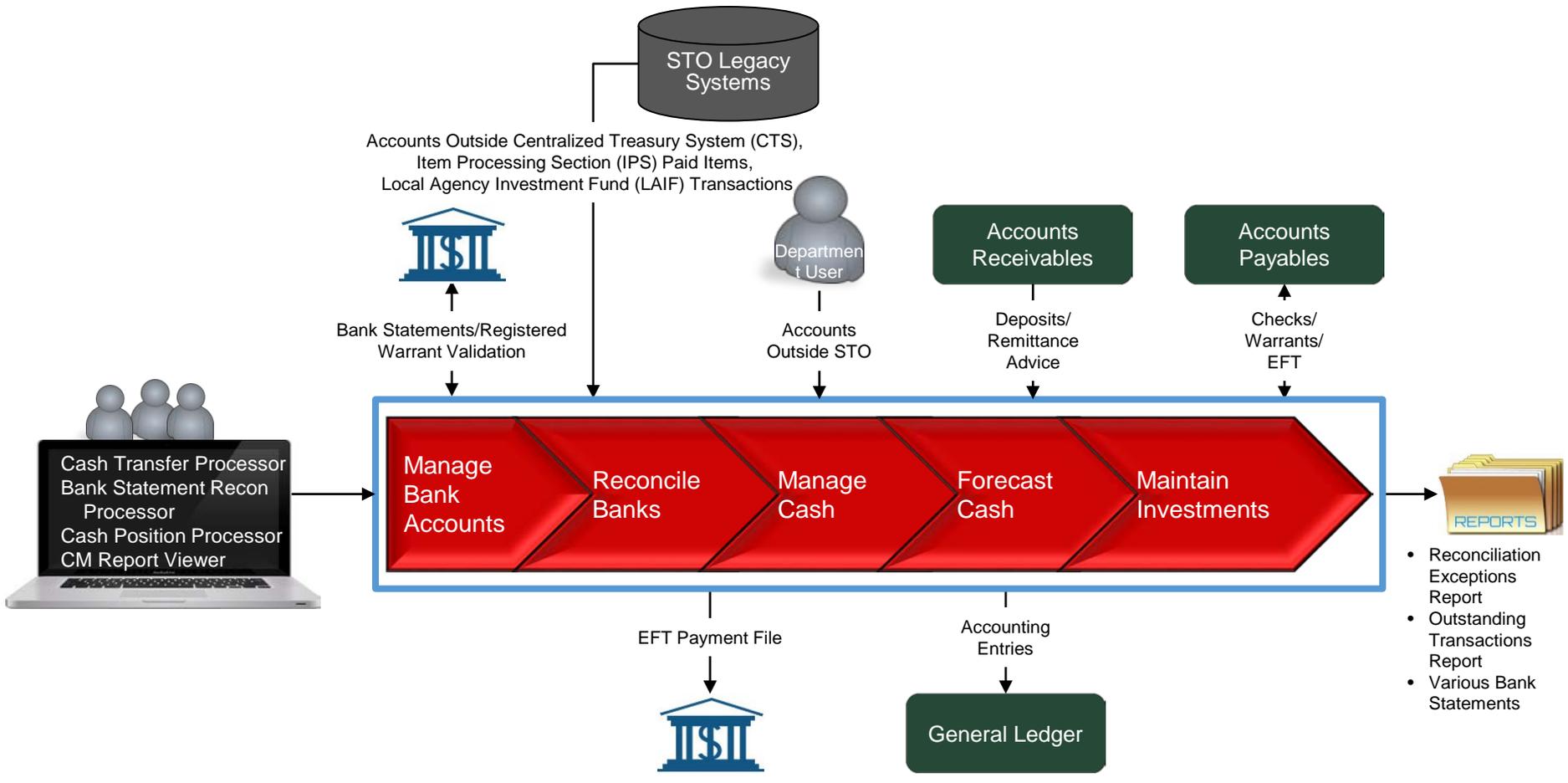
# BPW Objectives

- 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

# Cash Management Overview



# Department Role Summary

FI\$Cal End-User Role	Description
<b>Department Bank Account Processor</b>	The department end user who records bank account details in the Accounts Outside CTS page, as well as runs Report 14.
<b>Department Bank Account Approver</b>	The department end user who reviews and approves bank account details recorded in the Accounts Outside CTS page, as well as runs and approves balance information for Report 14.

# Control Role Summary

FI\$Cal End-User Role	Description
<b>Confidential STO Approver</b>	The STO end user with ability to accept/reject the bank account details recorded and approved by the department user and approver for the Accounts Outside CTS.
<b>STO Report 14 Confidential Role</b>	The STO end user who records, modifies or views confidential bank account details in the Accounts Outside CTS page, as well as runs Report 14.
<b>SCO Report 14 Confidential Role</b>	The SCO end user who views confidential bank account details in the Accounts Outside CTS page, as well as runs Report 14.

# Control Role Summary

<b>FI\$Cal End-User Role</b>	<b>Description</b>
<b>SCO Confidential Report Viewer</b>	The SCO end user who views confidential custom reports with unmasked account numbers and access to bank statements.
<b>STO Confidential Report Viewer</b>	The STO end user who views confidential custom reports with unmasked account numbers and access to bank statements.
<b>Partner Agency Bank Account Viewer</b>	The Partner Agency end user who views accounts outside CTS pages and reports with masked account numbers and no access to bank statements.

# Report 14 – Accounts Outside CTS

Some departments have received either statutory authority or approval from DOF to open accounts outside of the CTS.

Departments holding money in accounts outside the CTS are responsible for overseeing and safeguarding that money.

Departments with accounts outside of the CTS are required to report the existence of the accounts, the associated balances in the accounts, and a bank statement, which supports the balance reported to STO semi-annually.

A department still needs to report if they do not have an account outside of CTS.

All data on Report 14 will now be recorded in FI\$Cal.

# STD 445 (Report 14)

STATE OF CALIFORNIA - STATE TREASURER'S OFFICE  
REPORT OF ACCOUNTS OUTSIDE  
THE STATE TREASURY  
STD. 445 (REV. 9/2014)

[Print](#) [Clear](#)

SEE DETAILED INSTRUCTIONS ON PAGE 2

Each report must be typed.

**Send Original to:**  
State Treasurer's Office  
Collateral Management Section  
P.O. Box 942809  
Sacramento, CA 94209-0001

**Send Copy to:**  
State Controller's Office  
Division of Accounting and Reporting - State Government Reporting  
P.O. Box 942850  
Sacramento, CA 94250

<b>Tax identification number(s) under which the accounts were or could be established:</b>	
DEPARTMENT NAME & ADDRESS	ORGANIZATION CODE
	FOR FISCAL YEAR ENDED June 30,

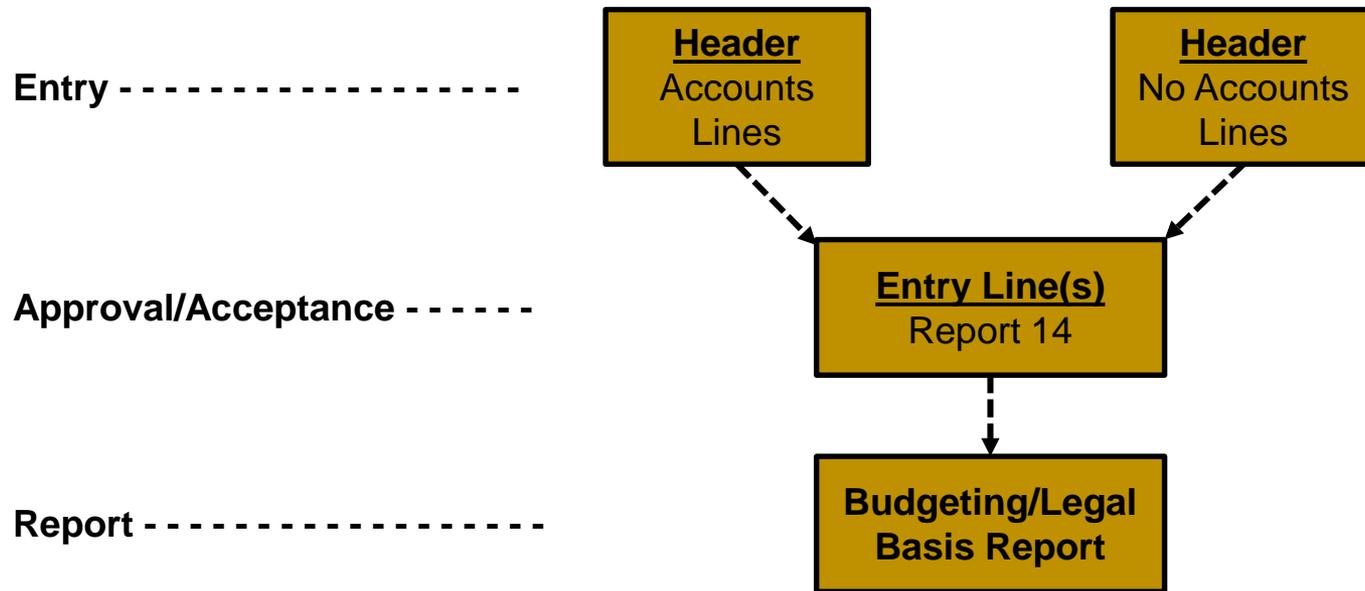
(1) ACCOUNT TITLE & NUMBER	(2) ACCOUNT TYPE	(3) PURPOSE	(4) BANK/SAVINGS & LOAN/OTHER DEPOSITORY	(5) AUTHORITY	(6) BALANCE	(7) COLLATERALIZED		
						YES	NO	NOT REQUIRED

- (a) The banks and/or savings and loans listed on this report have been notified of the security and collateral requirements - Federal Deposit Insurance Corporation Regulations (12 C.F.R. 330.15), Government Code sections 16520 through 16533 and 16610 through 16622, if applicable.
- (b) The use of all accounts listed is consistent with Department of Finance approval or as authorized by law.
- (c) The deposited funds will be adequately collateralized throughout the year in accordance with law, if applicable.

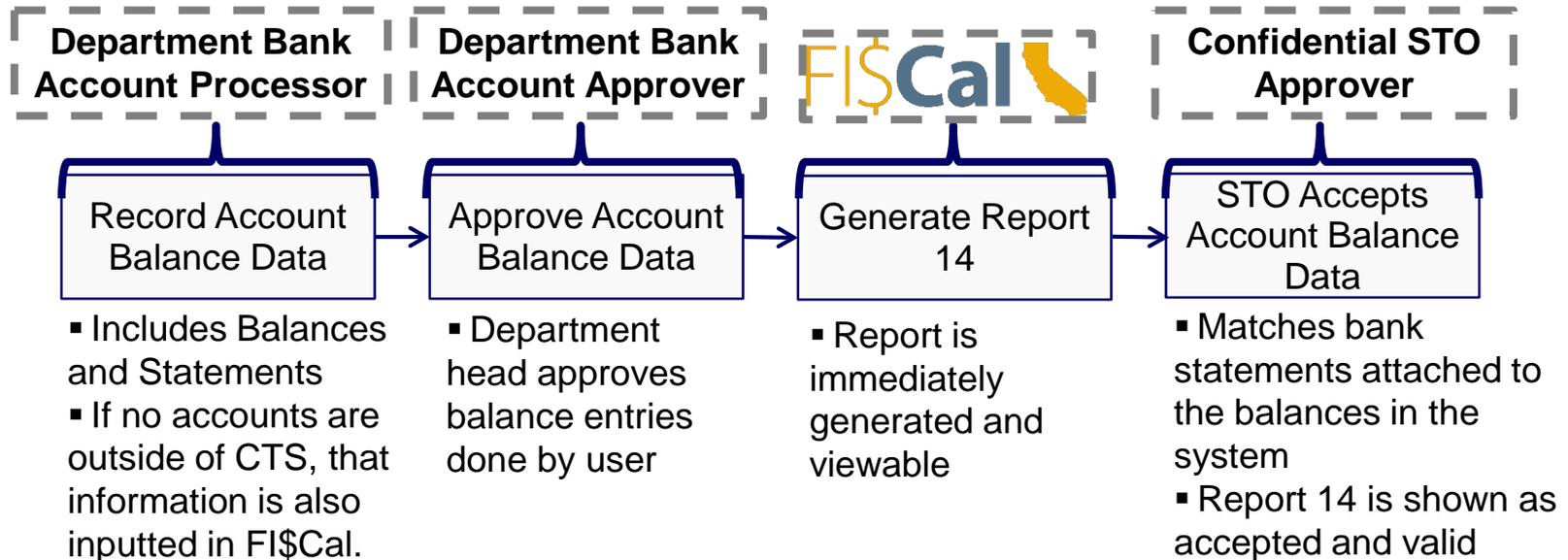
*I certify (or declare) under penalty of perjury that the foregoing is true and correct and that I have not violated any of the provisions of Article 4, Chapter 1, Division 4, Title 1, Government Code (commencing with Section 1090).*

PREPARED BY (NAME & TITLE)	EMAIL ADDRESS	TELEPHONE NUMBER
SIGNATURE (DEPARTMENT HEAD)	TYPE OR PRINT NAME & TITLE	DATE SIGNED
		TELEPHONE NUMBER

# Process Overview



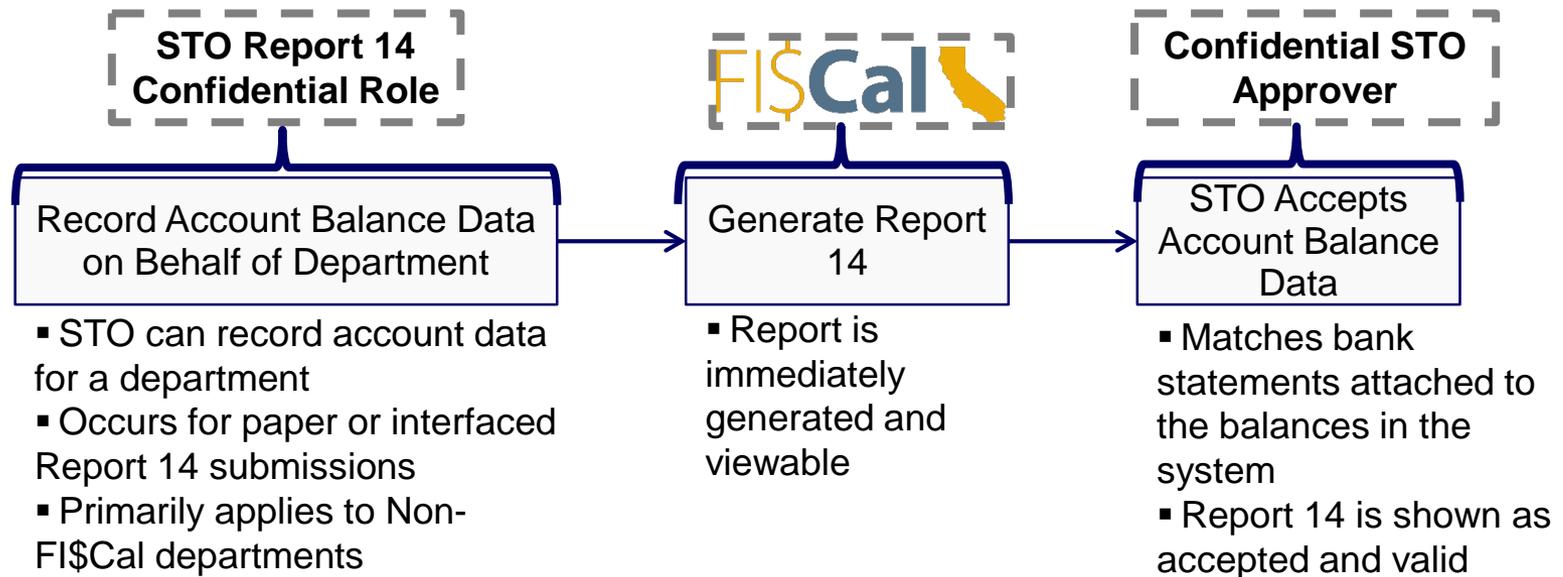
# Department Report 14 Generation



## Key Impacts

- Departments are required to work with STO to report the existence, or non-existence, and balance of bank accounts outside of the CTS to help STO ensure the appropriate level of collateralization is reached.
- Report 14 can be generated in any point of time as long as the data is in the system but the report will remain unapproved in the system until STO accepts it.

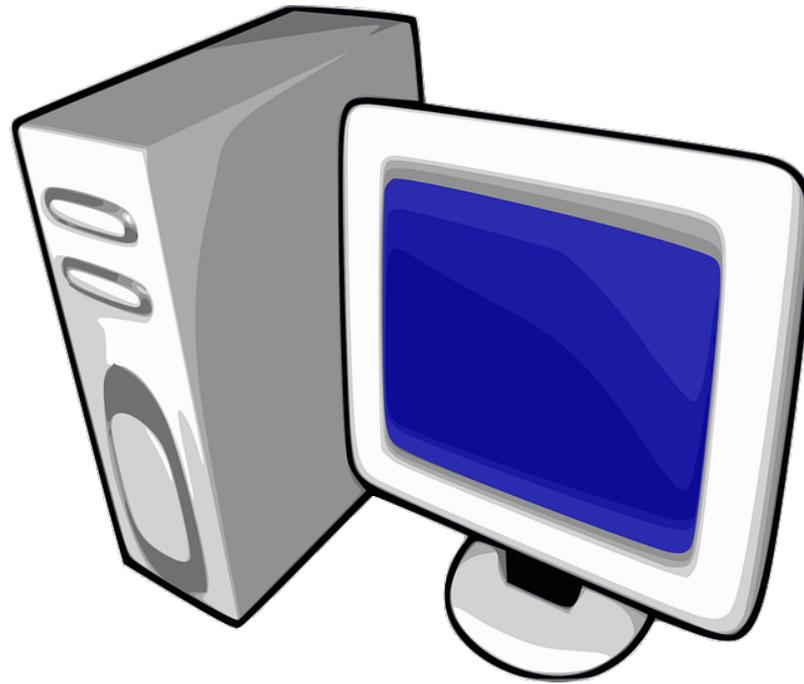
# Report 14 Generation on Behalf



## Key Impacts

- Departments are required to work with STO to report the existence, or non-existence, and balance of bank accounts outside of the CTS to help STO ensure the appropriate level of collateralization is reached.
- Report 14 can be generated in any point of time as long as the data is in the system but the report will remain unapproved in the system until STO accepts it.

# Demonstration



# Overview of Role Mapping

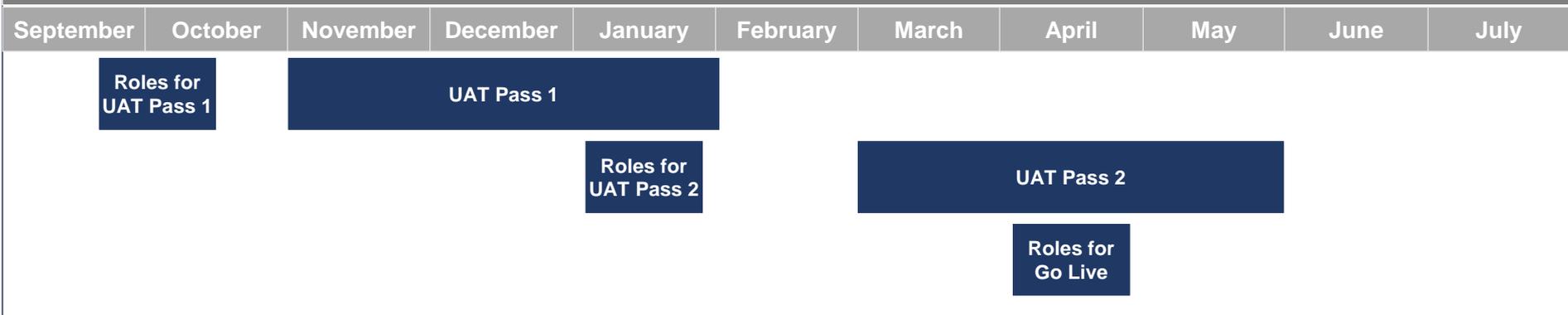
## Description

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



# 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](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

# 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 by 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.)

# 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)					Central Bank Statement	
STO Deposit Slip Maintainer	STO Deposit Slip Processor	Bond Viewer	SCO Bond Maintainer	SCO Bond Processor	STO Bond Maintainer	STO Bond Processor	Import Processor	Processor
Mark with an "X" the STO end user who will configure any configuration relate to the deposit 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 end user who will maintain bank integration configuration and perform modifications to Ba Statements created by the Statement Import process.

# SCO Change Management Activities (Sept 2016-Feb 2017)



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

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

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

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

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

Activity:

- Consistent delivery of timely information for end users

Coms inputs:

- Role Mapping
- BPWs
- Process Confirmation Mtgs
- Pilots

UAT

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

# Appendix

# Record Report 14 Data

## Accounts outside CTS

Business Unit 0840 Sub Agency  Statement Date

\*Authority  DOF Approval Date

Bank Name Bank of America \*Account Type  Bank Account Status

Account Title  \*Bank Account

\*Address  \*Tax ID  Attachment (0)

Purpose

### Account Details

Personalize | Find | View All |   First 1 of 1 Last

Sel	Statement Date	Approval Status	Bank Account Status	Balance	Contact Name	Contact Email	Contact Phone	Collateralization	Title	Attachment	Approval History
1 <input type="checkbox"/>	08/26/2016 	Open	<input type="text"/>	0.000	<input type="text"/>	<input type="text"/>	<input type="text"/>	Yes <input type="text"/>	<input type="text"/>	Attachment (0)	Approval History  

Submit

 Save  Refresh

 Add  Update/Display  Correct History

# Record Report 14 Data

## Accounts outside CTS

Business Unit 0840      Sub Agency       Statement Date

\*Authority **Statutory**       Section       Statutory Code

Bank Name Bank of America      \*Account Type       Bank Account Status

Account Title       \*Bank Account 123456789

\*Address       \*Tax ID       Attachment (0)

Purpose

**Account Details** Personalize | Find | View All |  | First 1 of 1 Last

Sel	Statement Date	Approval Status	Bank Account Status	Balance	Contact Name	Contact Email	Contact Phone	Collateralization	Title	Attachment	Approval History
1 <input type="checkbox"/>	08/26/2016 <input type="button" value="IT"/>	Open	<input type="text"/>	0.000	<input type="text"/>	<input type="text"/>	<input type="text"/>	Yes <input type="text"/>	<input type="text"/>	Attachment (0)	Approval History <input type="button" value="+"/> <input type="button" value="-"/>

# Record Report 14 Data

No Account Outside CTS

**No Account Outside CTS**

Business Unit 0840    Sub Agency     \*Tax ID

\*Address

Personalize | Find | View All |  |     First 1 of 1 Last

Sel	Statement Date	Approval Status	Contact Name	Contact Email	Contact Phone	No Account Outside CTS	Title	Attachment	Approval History
<input type="checkbox"/>	08/26/2016 	Open	<input type="text"/>	<input type="text"/>	<input type="text"/>	Yes 	<input type="text"/>	Attachment (0)	Approval History  

Submit

 Save

 Add

 Update/Display

# Approve or Accept Report 14 Data

## Accounts Outside CTS Approval

**Search Criteria**

\*Business Unit   Sub Agency  Account Outside CTS  \*Approval Status  

Bank Name   Bank Account  

Statement Date From   To   Account Type  

# Approve or Accept Report 14 Data

## Accounts Outside CTS Approval

**Search Criteria**

\*Business Unit  Sub Agency  Account Outside CTS  \*Approval Status

Bank Name  Bank Account

Statement Date From  To  Account Type

**Search Results**

**Account Outside CTS** Personalize | Find | View All |   First 1 of 1 Last

Select	Statement Date	BU	Bank Name	Bank Account	Balance	Title	Bank Account Status	Approval Status	View Attachment
<input type="checkbox"/>	08/26/2016	0840	Bank of America	123456789	1230.000	Director	O	Pending	Attachment (1) 

Select All  Deselect All

Comment

Approval Title

 View/Hide Comments

# Report 14 Illustration

STATE OF CALIFORNIA - STATE TREASURER'S OFFICE  
REPORT OF ACCOUNTS OUTSIDE  
THE STATE TREASURY  
STD. 445 (REV. 9/2014)

SEE DETAILED INSTRUCTIONS ON PAGE 2

Each report must be typed.  
Send Original to:  
State Treasurer's Office  
Collateral Management Section  
P.O. Box 942809  
Sacramento, CA 94209-0001

Send Copy to:  
State Controller's Office  
Division of Accounting and Reporting – State Government Reporting  
P.O. Box 942850  
Sacramento, CA 94250

Tax identification number(s) under which the accounts were or could be established:
01-123456

DEPARTMENT NAME & ADDRESS State Controller 111 First Street Suite 100A				ORGANIZATION CODE 0840	FOR FISCAL YEAR ENDED June 30, 2016			
(1) ACCOUNT TITLE & NUMBER	(2) ACCOUNT TYPE	(3) PURPOSE	(4) BANK/SAVINGS & LOAN /OTHER DEPOSITORY	(5) AUTHORITY	(6) BALANCE	(7) COLLATERALIZED		
						YES	NO	NOT REQUIRED
IRS Tax Account 123456789	28	EFT Transfers to IRS	Bank of America 801 I St, Sacramento, CA 95815	DOF	1230			NR

- (a) The banks and/or savings and loans listed on this report have been notified of the security and collateral requirements - Federal Deposit Insurance Corporation Regulations (12 C.F.R. 330.15), Government Code sections 16520 through 16533 and 16610 through 16622, if applicable.
- (b) The use of all accounts listed is consistent with Department of Finance approval or as authorized by law.
- (c) The deposited funds will be adequately collateralized throughout the year in accordance with law, if applicable.

I certify (or declare) under penalty of perjury that the foregoing is true and correct and that I have not violated any of the provisions of Article 4, Chapter 1, Division 4, Title 1, Government Code (commencing with Section 1090).

PREPARED BY (NAME & TITLE) Taxpayer		EMAIL ADDRESS taxpayer@gmail.com	TELEPHONE NUMBER 916/751-5635
SIGNATURE (DEPARTMENT HEAD) 	TYPE OR PRINT NAME & TITLE	DATE SIGNED	TELEPHONE NUMBER 916/751-5635

## Report of Accounts Outside the State Treasury Active Accounts with Balances as of June 30, 2015

(Amounts in dollars)

The agencies listed below maintained active accounts outside the State Treasury.

Agency	Account Title	Type of Account	Purpose	Authority			Balance
				Code	Section	DOF Approval	
<b>Alternative Energy, and Advanced Transportation Financing Authority, California (0971) .....</b>							<b>\$ 15,633,918</b>
	Administrative Cost Account	Money Market	Administrative cost account	Public Resources	26033		64,432
	Program Account	Money Market	Program fund account	Public Resources	26033		5,560,742
	Property Assessed Clean Energy Loss Reserve Account	Money Market	Loss reserve account	Public Resources	26033		10,008,744
<b>California State Universities .....</b>							<b>3,270,431,276</b>
CSU Statewide Programs (6620)	CSU International Programs, Chile	Checking	To provide funds to resident director to expend on behalf of the international program students attending classes in an overseas center	Title 5, Education	89721		2,111

# Report of Accounts Outside the State Treasury

## Active Accounts as of June 30, 2015

The agencies listed below maintained active accounts outside the State Treasury. As of June 30, 2015, these accounts had zero balances.

African-American Museum, California (3105)  
Air Resources Board, State (3900)  
Board of Equalization (0860)  
Business Oversight, Department of (1701)  
California Highway Patrol, Department of (2720)  
California State University, Bakersfield (6650)  
California State University, Channel Islands (6850)  
California State University, Chico (6680)  
California State University, Dominguez Hills (6690)  
California State University, East Bay (6720)  
California State University, Fullerton (6710)  
California State University, Humboldt (6730)  
California State University, Long Beach (6740)  
California State University, Los Angeles (6750)  
California State University, Monterey Bay (6756)  
California State University, Sacramento (6780)  
California State University, San Francisco (6800)  
California State University, San Jose (6810)  
California State University, San Luis Obispo (6820)  
California State University, Stanislaus (6840)

# Report of Accounts Outside the State Treasury

## No Accounts Outside as of June 30, 2015

The agencies listed below certified that they hold no accounts outside the State Treasury as of June 30, 2015.

- Administrative Law, Office of (7910)
- Aging, Department of (4170)
- Agricultural Labor Relations Board (7300)
- Alcoholic Beverage Control Appeals Board (2120)
- Alcoholic Beverage Control, Department of (2100)
- Arts Council, California (8260)
- Auditor's Office, California State (8855)
- Awards for Innovation in Higher Education (6910)
- Baldwin Hills Conservancy (3835)
- Board of Governors of the California Community Colleges (6870)
- Board of State and Community Corrections (5227)
- Business, Consumer Services, and Housing Agency, Secretary for (0515)
- California Horse Racing Board (8850)
- Capital Outlay Planning and Studies Funding (9860)
- Cash Management and Budgetary Loans (9620)
- Citizens Compensation Commission, California (8385)
- Citizens Redistricting Commission (0911)
- Coachella Valley Mountains Conservancy (3850)
- Coastal Commission, California (3720)
- Coastal Conservancy, State (3760)
- Colorado River Board of California (3460)

# Reports

- Accounts Collateralization Report
- Accounts Not Submitted Report
- Account Status Report