



One state. One system.

SCO Cash Forecast Data and Reports

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

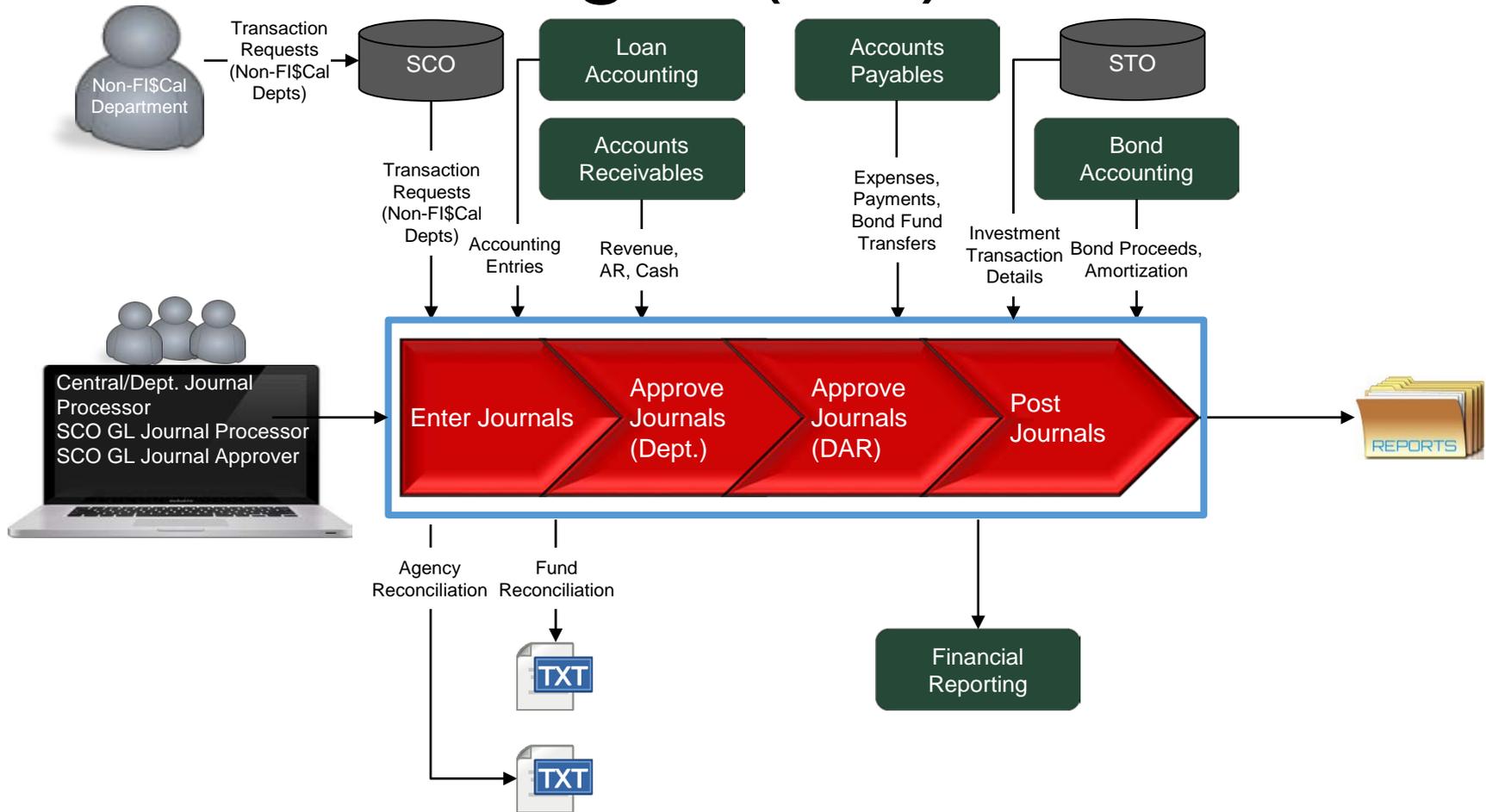
BPW Objectives

- The Business Process Workshops allow participants to:
 - Gain an understanding of the new FI\$Cal business processes
 - Learn about new end-user roles and what functions they perform
 - 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 Terms

Term	Definition
Commitment Control	A feature of FI\$Cal that controls various financial activities based on available budget or other budget rule sets, often referred to as the “KK” ledger.
Budget Check	In Commitment Control, the processing of source transactions against control budget ledgers (e.g. appropriation and cash validation), to see if they pass, fail, or pass with a warning.
Budget Attribute	An optional feature that can be used to provide additional information about an appropriation string.
Spreadsheet Upload	FI\$Cal Excel-based utility to import data from an Excel-based spreadsheet.

Key Terms

Term	Definition
Function Code	These aggregate certain appropriations together for the purpose of reporting and cash forecasting. Several function codes can be mapped to a Cash Report Line Number.
Revenue Code	A roll-up of a group of revenue accounts and a fund combination. These codes are mapped to Cash Report Line Numbers and Accounts.
Cash Report Line Number	A roll-up of associated Function Codes and Revenue codes to the General Fund Monthly Cashflow Forecast level.
Cash Basis Appropriation Ledger	A commitment control ledger which will record cash basis entries at an appropriation level.

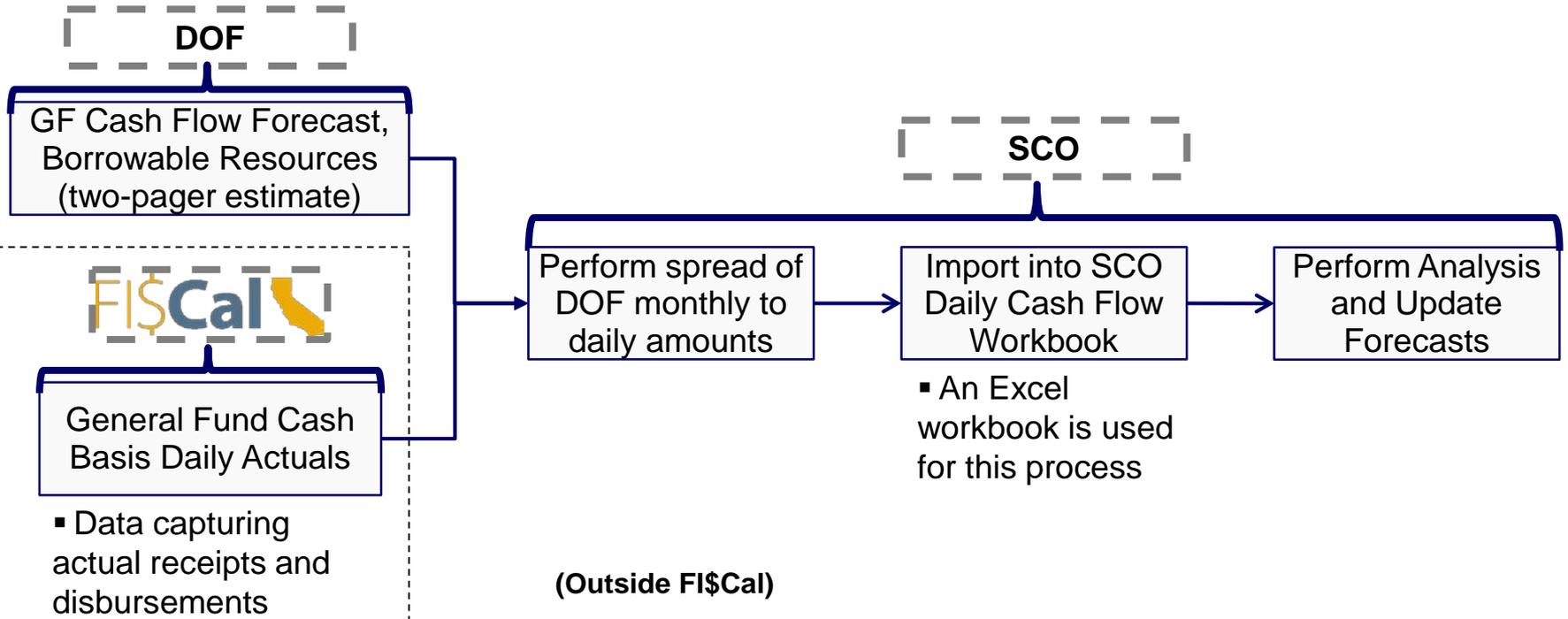
Control Role Summary

FI\$Cal End-User Role	Responsibilities
SCO Cash Forecasting Administrator	The SCO end user with access to update/maintain the configuration pages associated with the Cash Forecasting process; will also have access to run the daily Cash Basis Report, the Cash Forecasting Daily Report, Cash Forecasting Monthly Report, and the Mapping Change process.
SCO Cash Forecasting Viewer	The SCO end user with access to view configuration pages and reports associated with the Cash Forecasting process.

SCO Cash Forecast General Process

- The SCO Cash Forecast process involves the Department of Finance (DOF), State Controller's Office (SCO), and FI\$Cal
- Budgets are estimated 3 times over a period of 18 months (the Budget Act, Governor's Budget, May Revision) and sent by DOF to SCO for SCO's Cash Forecasting and to be included in the monthly general fund reports.
- DOF and FI\$Cal send information to SCO to be imported into the SCO Cash Flow template:
 - DOF sends the forecasted General Fund Estimated Cash Flow and Borrowable Resources monthly (two-pager estimate)
 - FI\$Cal sends Daily Actuals
- Once SCO has received information from DOF and FI\$Cal, SCO performs analysis and updates forecasts

SCO Cash Forecast General Process



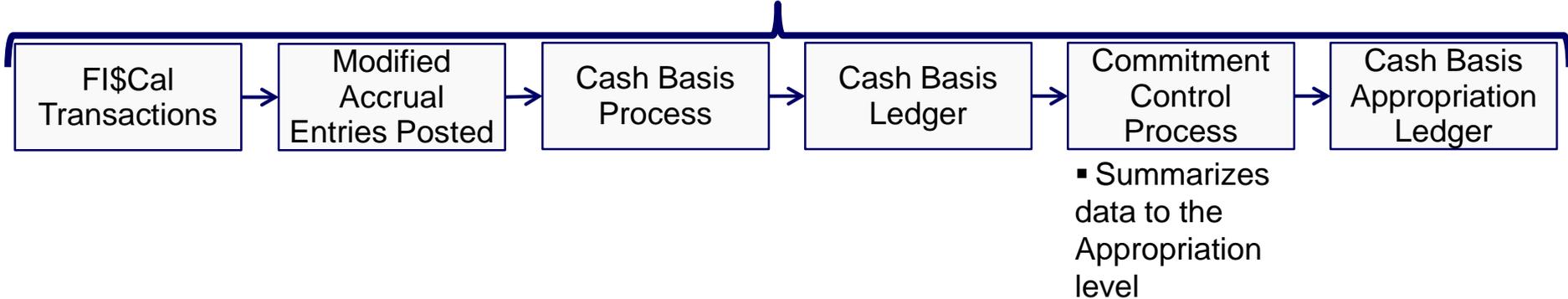
Key Impacts

- SCO does not directly forecast data in FI\$Cal, it manages the forecasts using the forecast from DOF and actuals from FI\$Cal
- At month-end, FI\$Cal creates a Monthly General Fund Cash Report
- Daily actuals are captured by appropriation, function code and revenue code

Cash Basis Ledgers

- The Cash Basis Appropriation Ledger has been created to provide actuals in support of SCO Cash Forecasting
 - The Cash Basis Ledger captures receipts and disbursements at a detailed level.
 - The Cash Basis Appropriation Ledger captures receipts and disbursements at the appropriation level, mapped to function and revenue codes.
- Daily transaction entries are initially posted to the Modified Accrual Ledger
- Once a Modified Accrual transaction is posted, a cash basis process will allow those which have impacted cash to be posted to the Cash Basis ledger
- Cash basis entries will be validated through the use of KK and recorded to the Cash Basis Appropriation Ledger
 - KK will summarize the detailed balances on the cash basis entries to the appropriation level

Cash Basis Entries Process



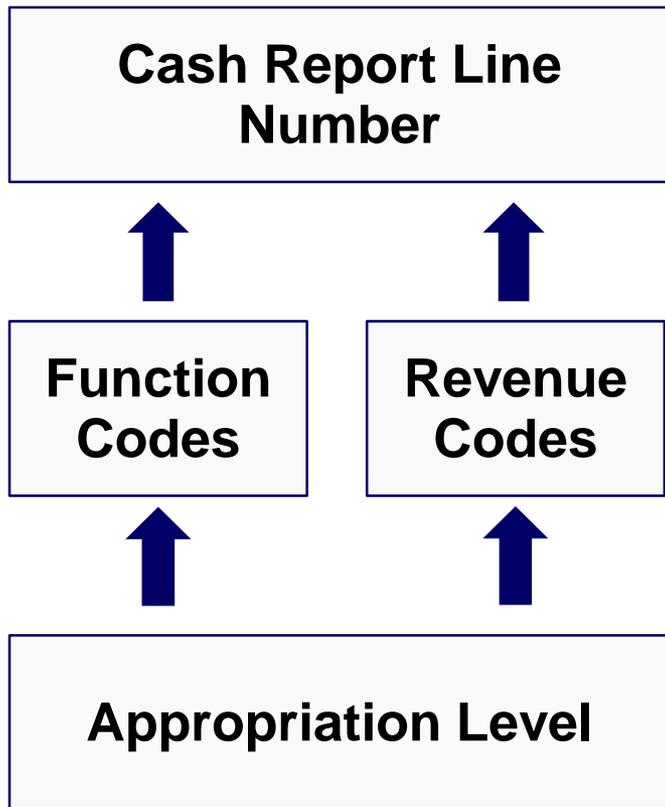
Key Impacts

- The Cash Basis ledger keeps a record of all transactions to satisfy the state’s requirement to keep ledger balances on a cash basis of accounting
- The Cash Basis Appropriation ledger keeps a record of each day’s transactions on a cash basis of accounting for use in forecasting

Function and Revenue Codes

- Function codes group appropriations together, which help with reporting and Cash Forecasting purposes
- The Function code is captured as a budget attribute on each budget combination
- Revenue codes are a rollup of a combination of revenue accounts and funds
- The Revenue code is captured through the use of the accounts and fund ChartField elements

Code Hierarchy Roll-up



- Cash Report Line Numbers are a roll-up of associated Function Codes and Revenue Codes to the General Fund Monthly Cashflow Forecast level
- Function Codes aggregate certain appropriations together for the purpose of reporting and cash forecasting
- Revenue Codes are the roll-up of certain revenue accounts and funds
- One or multiple revenue or function Codes can be mapped to Cash Report Line Numbers

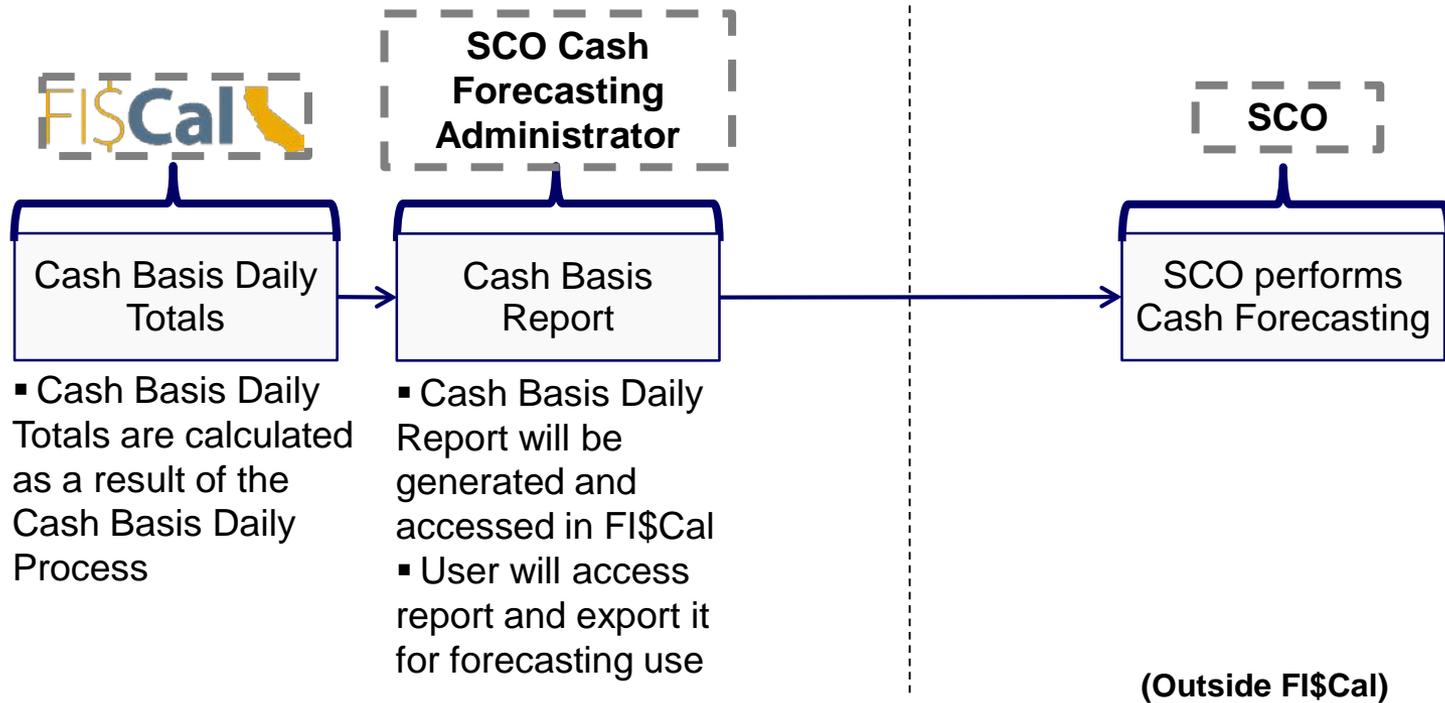
- Appropriation level balances will be mapped to reports utilizing function code and revenue code

SCO Daily Cash Forecasting Statement

- The SCO Daily Cash Forecasting Statement is created from the Cash Basis Report
 - The data in the Cash Basis report is then used as an input to SCO's cash forecasting process



SCO Daily Cash Forecasting Statement



Key Impacts

- The Cash Basis Report is exported in CSV format to be used to create the SCO Cash Forecasting Statement

SCO Monthly Cash Statements

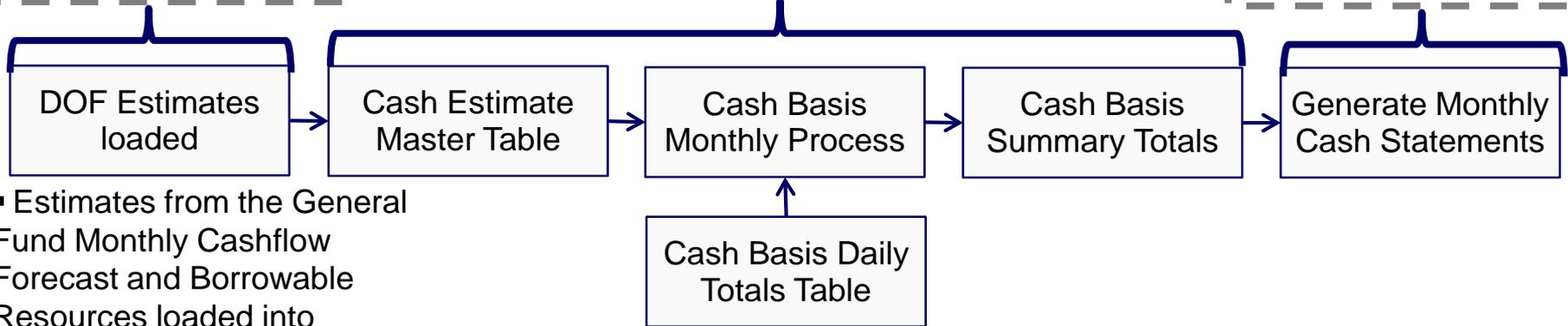
- The Monthly Cash Statements consist of the Statement of General Fund Cash Receipts and Disbursements and Comparative Statement of Revenues Received
- To prepare the Monthly Cash Statements, the data from the Cash Basis Daily Totals table is summarized to the Cash Report Line Number and Fund Level and combined with the Cash Estimate Master Table
- Each monthly statement can be run only when all of the Budget Units for that accounting period are closed in the Cash Basis Ledger, for accuracy and consistency purposes

SCO Monthly Cash Statements

SCO Cash Forecasting Administrator



SCO Cash Forecasting Administrator



- Estimates from the General Fund Monthly Cashflow Forecast and Borrowable Resources loaded into FI\$Cal using Estimated Cash Flow Process (Excel Spreadsheet Upload)

Key Impacts

- The SCO Monthly Cash Statements are created from the Cash Basis Monthly Process
- The statement is created through the reporting tool, unlike the SCO Cash Forecasting Statement which is created through Excel using the Cash Basis Report as an input

Overview of Role Mapping

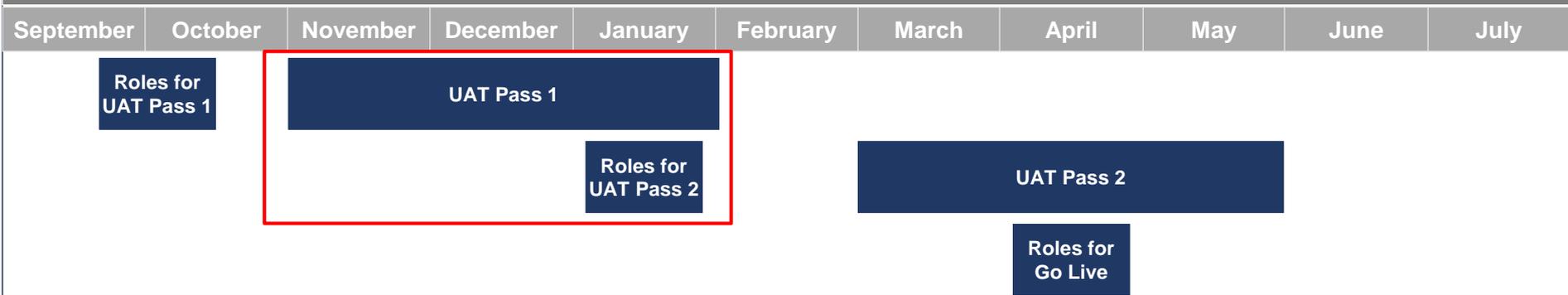
Description

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

Introduction

Process
Overview

Cash Basis
Entries

Codes

Daily
Statement

Monthly
Statements

Appendix

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

TECH325b: Assign FI\$Cal Roles for UAT Pass 2

- **Release Date:** Monday, January 2, 2017
- **Due Date:** Friday, January 27, 2017
- **Task Information:** Assign FI\$Cal roles to all SCO and STO end users in preparation for UAT Pass 2 starting in March
- **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.)

TECH325 Template Preview

The TECH325 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 information 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 user who will maintain bank integration configuration and perform modifications to Ba Statements created by the Statement Import process.

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
- Identify and work on updating internal department policies, processes, and documentation
- Prepare for:
 - Participate in Pilot Training – October to November 2016
 - Complete Change Impact Tools (CIT) – November 18, 2016
 - Participate in UAT Pass 1 – November 2016 to January 2017
 - Change Workshop – December 2016
 - Submit Role Mapping for UAT Pass 2 – January 2 - 27, 2017
 - Participate in UAT Pass 2 – March 2017 to May 2017
 - 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