Wave 1 Solution Walkthrough (SWT): Procurement for Wave 2 Departments

April 16, 2014
Agenda

- FI$Cal Project Overview
- Wave 1 Solution Walkthrough Objectives and Approach
- FI$Cal Solution Overview
- Create and Approve Requisitions
  - Key Terms
  - Business Process Overview
  - Process Flows
  - Wave 1 Demonstration
- Manage Purchase Orders
- Process Procurement Card Transactions
- Receive and Inspect Goods and Services
- Technology Considerations
- Session Recap
FI$Cal Project Overview

- 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.

- California’s 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

<table>
<thead>
<tr>
<th>Calendar Years</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
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</thead>
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<td>Q2</td>
<td>Q3</td>
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<td>Q3</td>
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<tr>
<td>Q4</td>
<td>Q1</td>
<td>Q2</td>
<td>Q3</td>
<td>Q4</td>
<td>Q1</td>
<td>Q2</td>
</tr>
</tbody>
</table>

- **Pre-Wave** (~12 Months)
- **Wave 1** 20 Months
- **Wave 2** 15 Months
- **Wave 3** 24 Months
- **Wave 4** 24 Months

O&M: Operations and Maintenance

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SWT Objectives

- The Wave 1 Solution Walkthroughs will provide:
  - An overview of the business process, including key terms and implemented functionality
  - A list of changes with the “To-Be” business process
  - An opportunity to begin thinking about updates to internal department processes
  - A demonstration of the FI$Cal Wave 1 solution
FI$Cal Design Approach

Objective
- Define and validate DRAFT processes to best meet the State's needs independent of the software details
- Clarify requirements

Audience
- Department of General Services (DGS)

Key Outputs
- Revised DRAFT To-Be Processes with department input

Tools / Methods
- Interactive Working Sessions with department SMEs
- Gather additional input on:
  - As-Is Process
  - Statutes, Reg, Policy
  - To-Be Process, Benefits, Challenges

Objective
- Provide departments with an understanding of Wave 1 FI$Cal business processes
- Demonstration of Wave 1 FI$Cal solution
- Identify where Wave 1 solution may not meet the needs of new departments

Audience
- Wave 2 Departments absent in Wave 1

Key Outputs
- New departments prepared for CRP sessions
- Key Considerations
- Action Items and concerns from departments

Tools / Methods
- Solution Walkthroughs
- Wave 1 FI$Cal Solution

Objective
- Conduct a systematic review of how FI$Cal requirements and DRAFT To-Be Processes are enabled by the FI$Cal software solution

Audience
- Wave 1 and Wave 2 departments

Key Outputs
- Revised DRAFT To-Be Processes with department input
- Basis for System Configurations and Functional Designs

Tools / Methods
- Interactive CRP Sessions with Department SMEs
- CRP Sandbox

Objective
- Validate and document final business process designs
- Confirm how requirements are met

Audience
- Project team with department input

Key Outputs
- Final Business Process Designs
- Update Requirements Traceability Matrix
- RICEF Inventory

Tools / Methods
- Conduct follow-up meetings / validation sessions as necessary
- Resolve open issues / outstanding decisions

Department Participation and Input
Ground Rules & Guiding Principles

- **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

Governance Risk & Compliance

Technology

Infrastructure

Identity & Access Management

Portal (Single Sign-on)

Application Security

Budgeting

Finance & Purchasing

Business Intelligence

Oracle Enabling Technology

Content Management

Identity & Access Management

Application Security

Budgeting

Finance & Purchasing

Business Intelligence

ERP Modules

External Interfaces

Reports, PDFs

Spreadsheets

Output Files

Deferred Exempt Departments

Vendor Users

Department Users

Audit Users

Access Control

Monitoring

Authentication

Access Control

Transaction Monitoring

GRC

Technology

GRC

Infrastructure

GRC

Operations & Maintenance

ERP Modules

Enabling Software Technology

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FI$Cal Accounting Solution

Legend
- Pre-Wave
- Wave 1
- Wave 2
- Wave 3

General Ledger / Commitment Control

Refunds

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FI$Cal Procurement Solution

Legend
- Pre-Wave
- Wave 1
- Wave 2

VMF Vendors ➔ Vendors/Bidders ➔ eProcurement (Requisitions)

- VMF Bidders
- VMF SB/DVBE

- Item Master
- Contract Management
- Strat. Sourcing (RFX Solicitation)
- Purchasing (Purchase Order)

- Receipts
- Encumbrances
- PO Qty/Amt
- Accounts Payable
- Project Costing
- Asset Mgmt
- General Ledger / Commitment Control

P-Card (Cal-Card)

April 16, 2014

Requisition Overview

- The **Create and Approve Requisition** process covers all activities related to a requisition starting with creation, approval, and budget check, and ending with creation of a Purchase Order (PO)

- This includes the following sub-processes:
  - Apply for, Modify, or Renew Existing Purchase Authority
  - Create, Approve, and Maintain Requisition including Requisition Change Orders
FI$Cal Procurement Solution

Legend
- Pre-Wave
- Wave 1
- Wave 2

VMF Vendors → VMF Bidders → VMF SB/DVBE → Item Master → eProcurement (Requisitions) → Strat. Sourcing (RFX Solicitation) → Contract Management → Purchasing (Purchase Order) → Receipts → Encumbrances → PO Qty/Amt → Asset Mgmt → Project Costing → Accounts Payable → General Ledger / Commitment Control
Requisition Data Hierarchy

- **Requisition Header**: Req Name, Requester, Req Date, Acq Type/Method
- **Requisition Line**: Description, Quantity, Unit of Measure, Category (USNSPC Code)
- **Requisition Schedule**: Ship To Location, Due Date, Price, Sales Tax, Freight Costs
- **Requisition Distribution**: Accounting Information
Requisition Key Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Header</strong></td>
<td>General information pertaining to the entire requisition. This includes data such as Business Unit, Requester, and Currency Code. Informational fields include requisition status and whether the requisition has been approved and budget checked.</td>
</tr>
<tr>
<td><strong>Lines</strong></td>
<td>Item description, Unit of Measure (UOM), Category, and Quantity for each item on the requisition</td>
</tr>
<tr>
<td><strong>Schedule</strong></td>
<td>Due date, Ship-to address, and Unit Price are stored on the requisition for each item line</td>
</tr>
<tr>
<td><strong>Distribution</strong></td>
<td>Accounting information (the General Ledger ChartField string) is entered. The ChartField string includes Account, Fund, Department ID, Class, Program, and Project.</td>
</tr>
</tbody>
</table>
## Requisition Key Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Business Unit</strong></td>
<td>An organizational entity that has a balanced set of books and by which General Ledger (GL) reports and processing can be segregated. In FI$Cal, a GL Business Unit will be defined for each Organization Code (&quot;Org&quot;) that receives appropriations.</td>
</tr>
<tr>
<td><strong>ChartField</strong></td>
<td>An accounting classification segment (for example, Fund or Program)</td>
</tr>
<tr>
<td><strong>Budget Check/Pre-encumbrance/Commitment Control</strong></td>
<td>The process of budgetary accounting which enables the tracking or controlling of expenses against budgets, and revenues against estimates</td>
</tr>
<tr>
<td><strong>Reporting Structure</strong></td>
<td>An agency defined ChartField that identifies the organizational entity associated with a transaction. Similar in purpose to the UCM Organization Code at Level 2 and below</td>
</tr>
</tbody>
</table>
# Requisition Key Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Procurement Contracting Officer (PCO)</td>
<td>Single point of contact for DGS/Procurement Division (PD) on procurement matters. Responsible for all procurement and contracting within the department. Responsible and directly accountable for the department’s purchasing authority.</td>
</tr>
<tr>
<td>Purchasing Authority Contact (PAC)</td>
<td>Interfaces and communicates with the DGS/PD, the PCO, and subordinate staff. Oversees day-to-day procurement activities conducted under the purchasing authority.</td>
</tr>
<tr>
<td>Ad Hoc Approver</td>
<td>Approvers or reviewers that are added to the standard approval process. Inserted Ad Hoc approvers apply only to the current requisition or PO being approved.</td>
</tr>
</tbody>
</table>
# Requisition Key Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acquisition Type</td>
<td>State purchasing activities divided into categories: Non-IT Goods, Non-IT Services, and IT Goods and Services, Encumbrance Only</td>
</tr>
</tbody>
</table>
| Acquisition Method                  | Method of procurement including, but not limited to:  
  - Competitive  
  - Non-competitive bids (NCB)  
  - Solicitation through Small Business/Disabled Veteran Business Enterprise (SB/DVBE)  
  - Leveraged Procurement Agreements (LPA)  
  - Emergency |
| United Nations Standard Products and Services Code (UNSPSC) | Code used to classify goods and/or services in FI$Cal. Should be entered during the reconciliation process |
What is included in Requisitions for Wave 1

- Requisitions will be created in FI$Cal
- New Chart of Accounts (COA) will be deployed
- Funding information will be validated and fund availability checked in FI$Cal
- Users will have the ability to assign an item as an asset when creating a requisition
- Acquisition Type and Method will be captured in requisitions
- State Agency Buy Recycled Campaign (SABRC) and Environmentally Preferable Purchasing (EPP) compliance information will be entered in FI$Cal
- The ability to enter and route a Purchasing Authority Application (PAA) to DGS will be introduced
Additional Requisition Functionality for Wave 2

- Additional Features in Requisitions for Wave 2
  - Punch-Out implementation with direct connect suppliers
  - Delegated Purchase Authority thresholds enforced in system
  - Automated PAA processing in FI$Cal after submission to DGS

- These features will not be part of the Wave 1 Solution Walkthrough
Pre Encumbrance/Encumbrance

Pre Encumbrance (Requisitions) ➔ Encumbrance (POs) ➔ Expenditure (Vouchers)

Budget: $1,000,000
- Expenses: 400,000
- Encumbrance: 500,000
- Pre Encumbrance: 50,000*

Available Budget: $ 100,000
Purchasing Authority Application

Key Impacts
- Purchase Authority Application will be submitted and routed in FI$Cal
- PAC/PCO Roles will be used to determine workflow routing
- DGS review of purchasing authorities will follow current offline process
Create and Approve Requisition

Dept. Req. Processor/Requester
- Create/Populate Requisition
  - Identify need to procure goods and/or services

Dept. Req. Approver
- Approve Requisition
  - Route for Approval
    - 2-step approval plus ad hoc steps

Dept. Buyer/PO Processor
- Process Requisition
  - Either use department’s purchasing authority or forward to DGS for processing

Key Impacts
- Acquisition type and reporting structure will be used to determine workflow routing
- Requisitions may include ad hoc departmental approvers as well as external (DGS) approvers
Additional approvals (dollar thresholds, commodity approvals, etc.) can be handled by inserting ad hoc approvers or reviewers.

Routing an approval to the Department Buyer is a manual step performed by the worklist distributor.

- Departments have the option to route directly to the buyer as well by assigning the Department Buyers the distributor role.
- Additional approvals (dollar thresholds, commodity approvals, etc.) can be handled by inserting ad hoc approvers or reviewers
- Routing an approval to the Department Buyer is a manual step performed by the worklist distributor
  - Departments have the option to route directly to the buyer as well by assigning the Department Buyers the distributor role
Create and Approve Requisition To-Be Process (Page 2)

Department Buyer

A

Determine Acquisition Classification and method

Within PD Purchasing Authority

Yes

Start Solicitation

No

Requisition Routed for DGS Approval

No

PO 3 - Manage Solicitation

PO 5 - Manage Purchase Order

Perform Intake Analysis

Assign Buyer to Requisition

DGS take over Requisition?

Yes

Buyer Start Solicitation

No

PO 3 - Manage Solicitation

PO 5 - Manage Purchase Order

Engineering Review Required?

No

Buyer Determines Acquisition Process

Yes

Engineering Review
Wave 1 Demonstration - Requisition

- Create Requisition
  - Special Request
  - Favorites
  - Copy from Existing Requisition
- Requisition Budget Check
- Requisition Approvals
- Manage Requisitions
  - Search for Requisitions
  - Cancel, Check Budget, Copy, Edit, Requisition Lifecycle, View Approvals, View Printable Version
Wave 1 Demonstration – Requisition Approval Process Map

Business Unit: 3980
Requisition ID: 00000000224
Requisition Name: 00000000224
Requester: Department PO Requester
Entered on: 03/25/2014
Status: Pending
Priority: Medium
Budget Status: Not Checked
Requester's Justification:

No justification entered by requester.

Total Amount: 374,987.50 USD

Line Information
Review/Edit Approvers
Stage 1

Requisition 00000000224: Pending

Path 1

Skipped
Department PO Requester
Requisition Approver 1
03/29/14 - 4:27 PM

Not Routed
Multiple Approvers
Requisition Approver 2

Comment History

View printable version

Return to Manage Requisitions Approval History
Wave 1 Demonstration – Manage Requisitions

Manage Requisitions

Search Requisitions

To locate requisitions, edit the criteria below and click the Search button.

Business Unit: 3980
Requisition ID: 
Date From: 
Requester: Z_DEPT_PO_REQUEST

Requisition Name: 
Request Status: All but Complete
Date To: 04/07/2014
Entered By: 

PO ID: 

Search Clear

Requisitions

To view the lifespan and line items for a requisition, click the Expand triangle icon.

To edit or perform another action on a requisition, make a selection from the Action dropdown list and click Go.

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<thead>
<tr>
<th>Req ID</th>
<th>Requisition Name</th>
<th>BU</th>
<th>Date</th>
<th>Status</th>
<th>Budget</th>
<th>Acq Type</th>
<th>Acq Sub-Type</th>
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<td>Not Chk'd</td>
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<td>1000 laptops for DGS</td>
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<td>Not Chk'd</td>
<td>IT Goods</td>
<td></td>
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</table>
Wave 1 Demonstration – Requisition Lifecycle
Purchase Order Overview

The Manage Purchase Order process is used to create purchase orders (POs) and change orders (amendments) for existing POs. This includes activities necessary to create POs, approve POs, budget check (encumbrance), and dispatch POs to support State/Department procurement activity.

This includes the following sub-processes:
- Create Purchase Orders
- Approve Purchase Orders
- Run Budget Check
- Dispatch Purchase Orders
FI$Cal Procurement Solution

- VMF Vendors
- VMF Bidders
- VMF SB/DVBE
- Item Master

- eProcurement (Requisitions)
- Strat. Sourcing (RFX Solicitation)
- Contract Management

- Purchasing (Purchase Order)
- Receipts
- Encumbrances
- PO Qty/Amt

- Asset Mgmt
- Project Costing
- Accounts Payable

- General Ledger / Commitment Control

Legend
- Pre-Wave
- Wave 1
- Wave 2

April 16, 2014
Purchase Order Hierarchy

- **PO Header**
  - Buyer, PO Date, Vendor, etc.

- **PO Line**
  - Item Quantity, Contract, etc.

- **PO Schedule**
  - Price, Ship To Location, Due Date

- **PO Distribution**
  - Accounting Information
# Purchase Order Key Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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</thead>
<tbody>
<tr>
<td><strong>Header</strong></td>
<td>General information pertaining to the entire order. This includes the PO Date, Vendor, Buyer, PO Type, and PO Reference. The Buyer can also place the order on hold and initiate the approval and budget checking functions. Informational fields include order status and whether the order has been budget checked and dispatched.</td>
</tr>
<tr>
<td><strong>Lines</strong></td>
<td>Item description, Unit of Measure (UOM), Category, and Quantity for each item you are ordering</td>
</tr>
<tr>
<td><strong>Schedule</strong></td>
<td>Due Date, Ship-To Address, and Unit Price are stored on the requisition for each item line</td>
</tr>
<tr>
<td><strong>Distribution</strong></td>
<td>Accounting information (the GL ChartField string) is entered. The ChartField string includes Account, Fund, Reporting Structure, Program, Appropriation Reference, and Year of Enactment.</td>
</tr>
</tbody>
</table>
What is included in POs for Wave 1

- POs will be created, encumbered, approved, and dispatched in FI$Cal
- New Chart of Accounts will be deployed.
- Budget Check (encumbrance) including chartfield validation and checking of funds availability will be performed
- Users will have the ability to designate an item as an asset on the PO
- Email and print dispatch methods for POs will be configured
- The following information will be captured in POs:
  - SABRC Recycle and EPP categories
  - SB/DVBE participation for prime and subcontractors
  - Acquisition Type and Method
  - Upload of purchase order information to SCPRS
What is included in POs for Wave 1

- State Contract and Procurement Registration System (SCPRRS) data entry will be handled through an upload from FI$Cal to BidSync
- DGS Billing Code is entered on the PO and sent as part of the SCPRS upload
Additional PO Functionality for Wave 2

- Additional PO Functionality to be Implemented in Wave 2
  - Direct PO Fax Dispatch
  - SB/DVBE information on the PO will be auto-populated from the certification module in FI$Cal
  - Contract information resides in FI$Cal
- These features will not be part of the Wave 1 Solution Walkthrough
Manage Purchase Order

- Add Line, Shipping, and Funding Information
- Add comments
- Source PO from requisition
- Create new PO without requisition
- Workflow approval per department rules
- Review ChartFields
- Create encumbrance for PO
- Create new PO without requisition
- Review ChartFields
- Create encumbrance for PO
- Pass budget check or route to Budget Officer for resolution
- Print and manually mail/fax or automatically email to vendor

Key Impacts
- Only users with the role of Department Buyer or Department PO Processor are allowed to create POs
- Electronic routing and approvals for POs
- Automated budget check/encumbrance
Workflow – Purchase Order

- Additional approvals (dollar thresholds, acquisition type approvals, etc.) will be handled by inserting ad hoc approvers or reviewers
- Either PO Approver 3 or 4 will approve, depending on the amount of the PO
Additional approvals (dollar thresholds, acquisition type approvals, etc.) will be handled by inserting ad hoc approvers or reviewers.

Either PO Approver 3 or 4 will approve, depending on the amount of the PO.
Manage PO Change Order

**Key Impacts**
- PO numbers remain the same following a Change Order because the revision number is incremented and tracked by FI$Cal.
- When a Change Order is triggered, the PO may need to be re-approved.

**Diagram:**
- **Department Buyer**
  - Change PO
  - ▪ Enter/modify/delete PO lines or update existing PO information, as needed
  - ▪ Add comments to explain changes, as needed
- **Department Approvers**
  - Approve PO (if needed)
  - ▪ Only if changes by the Buyer need re-approval as per defined approval rules
- **Dept. Approver 2 (Accounting)**
  - Run Budget Check
  - ▪ Verify ChartFields
  - ▪ FI$Cal confirms adequate funds are available for the change request
- **Department Buyer**
  - Dispatch PO
  - ▪ Print and manually mail/fax or automatically email to vendor
Manage Purchase Order

**Department Approvers**
- Approver 1 Program Approval
  - Approved?
    - Yes: Approver 2 Accrnt/Budget Review
    - No: Budget Issue Resolved?
      - Yes: Contact Budget Officer to resolve issue
      - No: Approver 2 Runs Budget Process/Encumbrance
- End
  - No: Budget Issue Resolved?
    - Yes: Approver 3 or 4
    - No: Contact Budget Officer to resolve issue

**Start PO process**
- PO may be created against an LPA or dept. contract
- Create Purchase Order Online
- Create Purchase Order from PO3 Manage Solicitations
- Source Purchase Order from Requisition
- Review/Update Line, Shipping, Funding Information
- Add Comments / Attachment as required
- Route PO for Workflow Approval per SRP and Departments Rules
- Dispatch PO
  - Print Mail/Fax/email PO to Vendor
  - To PO6 Receive Goods and Services
Manage PO Change Order

Start → Change PO → Enter / Update / Cancel PO Lines → Changed fields part of Change Order Template → Create Change Order and assign Change order Number → Change needs Re-Approval

No → A

Yes → Route PO for Approval

Yes → End

No → Budget issue Resolved → Contact budget officer to resolve issue → Pass Budget Check?

Yes → Dispatch PO → Print Mail/Fax/email PO to Vendor → To PO6 Receive Goods and Services

No → Run Budget process → A
Wave 1 Demonstration - PO

- Create Purchase Order
- PO Approvals
- PO Budget Check / Encumbrance
- PO Dispatch
- PO Inquiries
  - Document Status
  - PO Activity Summary
- Direct PO Entry
Wave 1 Demonstration – PO Header and Line Page
Wave 1 Demonstration – PO Approval Process Map
Wave 1 Demonstration – PO Document Status Inquiry

Document Status

Business Unit: 3980
Document Date: 04/01/2014
Currency: USD
Buyer: Department Buyer

PO ID: 0000000587
Status: Dispatched
Document Type: Purchase Order
Merchandise Amt: 18,300.00
Budget Status: Valid

Associated Document

<table>
<thead>
<tr>
<th>Business Unit</th>
<th>Document Type</th>
<th>DOC ID</th>
<th>Status</th>
<th>Document Date</th>
<th>Vendor ID</th>
<th>Location</th>
<th>Related Info</th>
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</thead>
<tbody>
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<tr>
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<td>04/02/2014</td>
<td>00000000001</td>
<td>MAIN</td>
<td></td>
</tr>
</tbody>
</table>
Process P-Card Transactions Overview

- The Procurement Card (P-Card) Process includes:
  - Creating and administering cardholder profiles
  - Loading, reconciling, and approving P-Card transactions
  - Generating payments to the bank

- Transaction statements will be received from the bank electronically and loaded into FI$Cal. Reconciliation by cardholders/proxies is performed in FI$Cal.

- The following are the two main scenarios in which the P-Card is used (per State procurement rules):
  - Requisition/PO created prior to obtaining goods/services via P-Card
  - Directly at Merchant
FI$Cal Procurement Solution

Legend
- Pre-Wave
- Wave 1
- Wave 2

VMF Vendors → VMF Bidders → VMF SB/DVBE → Item Master → eProcurement (Requisitions) → Strat. Sourcing (RFX Solicitation) → Contract Management → Purchasing (Purchase Order) → Receipts → Encumbrances → PO Qty/Amt → Asset Mgmt → Project Costing → Accounts Payable → General Ledger / Commitment Control

P-Card (Cal-Card)
# P-Card Key Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>P-Card</strong></td>
<td>A payment mechanism (Visa payment card) that can be used in conjunction with a department's delegated purchasing authority. Referred to currently as CAL-Card. The P-Card procurement mechanism can be used with or without a PO, following State rules.</td>
</tr>
<tr>
<td><strong>Lines</strong></td>
<td>Individual transaction lines from the P-Card statement to be reconciled and approved within FI$Cal</td>
</tr>
<tr>
<td><strong>Reconciliation</strong></td>
<td>The task of checking validity of Bank P-Card charges, comparing and attaching scanned receipt, entering procurement information (UNSPSC code, vendor, etc.)</td>
</tr>
<tr>
<td><strong>Proxy</strong></td>
<td>A user designated to perform online reconciliation on behalf of a cardholder, and approve and/or review a cardholder’s P-Card transactions</td>
</tr>
</tbody>
</table>
What is included in P-Cards for Wave 1

Full procurement card functionality will be deployed, including:

- P-Card billing statements interfaced into FI$Cal on a monthly cycle
- P-Card transaction reconciliation will be done online in FI$Cal
- Proxy users may be designated to reconcile, approve, or administer profiles on behalf of the cardholder
- Approved transactions will be picked up for payment processing
- If transactions are tied to a PO, the encumbrance is released upon budget check of the voucher payment
What is included in P-Cards for Wave 1

- Procurement information, such as UNSPSC, itemized line description, SB/DVBE, SABRC Recycle, and Acquisition Type and Method, will be entered during P-Card Reconciliation if PO was not created.

- Automated notifications will be sent to cardholders/proxies when the bank statements are loaded and ready for reconciliation, and for unreconciled transactions after the deadline.
Additional P-Card Functionality for Wave 2

- P-Card Functionality Deployed in Wave 2
  - Administration of P-Card accounts proposed to be decentralized to the departments
- This feature will not be part of the Wave 1 Solution Walkthrough
Process P-Card Transactions

Department Buyer
- Create PO (if needed)
  - Create PO per State rules

P-Card Holder
- Purchase Items
  - Obtain receipts
  - Receive goods and/or services

Central P-Card Maintainer
- Load and Review Statements
  - Correct any errors in loading before sending to P-Card tables

Debt. P-Card Reconciler
- Reconcile Transaction
  - Reconciler (cardholder or proxy) checks charges against receipts and attaches a scanned copy of receipt to transaction line

Create Voucher (AP)
- Load approved transactions into Accounts Payable module

Key Impacts
- Bank Statements will be loaded and P-Card reconciliation will be performed in FI$Cal
- Reconciliation includes adding UNSPC code, acquisition method type, SABRC recycle, EPP compliance, and identifying the vendor (including SB/DVBE participation) if a PO was not created
- Reconciled and approved transactions are pushed to AP for payment processing
Process Procurement Card – Load Statement

Receive PCARD File

Load Procurement Card Statements to Staging Tables

Staging Errors?

Load Procurement Card Statements to Transaction Tables

Reconcile Statement

Review & Correct Staging Errors

April 16, 2014

Wave 1 Demonstration P-Card

Transaction Reconciliation

- Reconcile
  - Enter Procurement Information (Acquisition Type/Method, SB/DVBE, UNSPSC Code, Recycle Category, etc.)
  - Attach Receipt
  - Dispute a Charge
  - Split Line
  - Set to Verified
- Approve Transactions
Wave 1 Demonstration P-Card

Procurement Card Transactions

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Card Issuer</th>
<th>Card Number</th>
<th>Trans Date</th>
<th>Merchant</th>
<th>*Status</th>
<th>Transaction Amount</th>
<th>Currency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Led, Vikas</td>
<td>USBK1</td>
<td>**********2913</td>
<td>04/23/2005</td>
<td>APPLETON PAPERS INC.</td>
<td>Staged</td>
<td>-2,101.16</td>
<td>USD</td>
</tr>
<tr>
<td>Led, Vikas</td>
<td>USBK1</td>
<td>**********2913</td>
<td>04/23/2005</td>
<td>APPLETON PAPERS INC.</td>
<td>Staged</td>
<td>-890.00</td>
<td>USD</td>
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<tr>
<td>Led, Vikas</td>
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<td>USD</td>
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<tr>
<td>Led, Vikas</td>
<td>USBK1</td>
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<td>04/28/2005</td>
<td>APPLETON PAPERS INC.</td>
<td>Staged</td>
<td>0.02</td>
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</tr>
<tr>
<td>Led, Vikas</td>
<td>USBK1</td>
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<td>05/12/2005</td>
<td>APPLETON PAPERS INC.</td>
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<td>67,269.31</td>
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<td>**********2913</td>
<td>04/23/2005</td>
<td>APPLETON PAPERS INC.</td>
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<td>**********2913</td>
<td>05/12/2005</td>
<td>APPLETON PAPERS INC.</td>
<td>Verified</td>
<td>67,269.31</td>
<td>USD</td>
</tr>
<tr>
<td>Led, Vikas</td>
<td>USBNK</td>
<td>**********2913</td>
<td>04/28/2005</td>
<td>APPLETON PAPERS INC.</td>
<td>Verified</td>
<td>-890.00</td>
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<tr>
<td>Led, Vikas</td>
<td>USBNK</td>
<td>**********2913</td>
<td>05/12/2005</td>
<td>APPLETON PAPERS INC.</td>
<td>Verified</td>
<td>67,269.31</td>
<td>USD</td>
</tr>
</tbody>
</table>

Select All  Clear All  Stage  Verify  Validate Budget
Wave 1 Demonstration P-Card
Wave 1 Demonstration P-Card
Receiving Overview

The Receive Goods and/or Services process records the receipt of goods and/or services by the State and verifies conformance to shipping documents and PO requirements.

- Reject quantities, reject reason and disposition are recorded in the system for full traceability.
- Full receipt or partial receipt(s) may be performed.
- Receiving may be performed in dollars (amount) rather than quantity commonly used in Services POs.

This includes the following sub-processes:

- Create Receipt
- Inspection
- Create Return to Vendor (RTV)
## Receiving Key Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receiving</td>
<td>The act of taking possession of goods or services in order to stage them for inspection, place them into inventory, or deploy them for immediate use</td>
</tr>
<tr>
<td>Inspecting</td>
<td>The act of examining products that have been delivered to determine conformance to the purchase specifications. Performing required “acceptance testing” on goods or services received as a condition for authorizing payments for the purchase</td>
</tr>
<tr>
<td>Acceptance</td>
<td>Acknowledging that the products and/or services conform to the requirements of the PO so that the vendor may be paid</td>
</tr>
<tr>
<td>Return to Vendor (RTV)</td>
<td>The process of returning goods and/or services that have been received and subsequently found unacceptable</td>
</tr>
</tbody>
</table>
What is included in Receipts for Wave 1

- Receipts and RTVs will be entered in FI$Cal
- Asset Management will be integrated with receiving in FI$Cal
- Receiving/Inspection will be integrated with the Accounts Payable module of FI$Cal for automated matching between:
  - PO
  - Voucher
  - Receipt
  - Inspection
Added Receipt Functionality for Wave 2

- Added Functionality Implemented in Wave 2
  - Bar Code Scanning during Receiving
- This features will not be part of the Wave 1 Solution Walkthrough
Create Receipt

Department Receiving Processor

Create and Populate Receipt

- Select appropriate PO

Verify (as needed)

- Enter delivery details
- Verify goods received for counts and condition (damage, etc.)

Save Transactions

- FI$Cal assigns Receipt ID when receipt is saved
- Update PO receipt status to either Fully Received or Partially Received

Key Impacts

- Receipt delivery, accrual, summary, ship-to, and account details are captured in FI$Cal
- Blind receiving will be implemented
- Automated update of PO status when goods/services are received
Create Return to Vendor (RTV)

Key Impacts
- RTV instructions and reason codes are incorporated in creating an RTV
- A query is available to view overshipments

- Create RTV
  - Select appropriate receipt
  - Add comments if needed

- Select Action for Return
  - Action may include Credit, Return, Exchange, etc.

- Enter Details
  - Reason
  - Quantity
  - Shipping details

- Dispatch RTV to Vendor
  - Print and mail, fax, or email to vendor
Create and Dispatch RTV

1. Department needs to send Goods back to vendor
2. Select receipt for which goods was received
3. Enter Comments or add attachment if needed
4. Select action for Return line (Credit, Replace, Exchange etc.)
5. Enter Reason for Returning goods
6. Enter Quantity to be returned to vendor
7. Enter shipping details on how the goods are returned
8. Save RTV Component
9. Dispatch RTV to vendor
10. End
Wave 1 Demonstration - Receipts

Receipt Transactions
- Full Receipt
- Partial Receipt
- Reject Damaged Goods
- Receive Amounts (Service Orders)
Wave 1 Demonstration – Main Receipts Page

Maintain Receipts

Receiving

- Business Unit: 3080
- Receipt ID: 0000000124
- Receipt Status: Fully Received
- Document Status

Header

Select Purchase Order

Receipt Lines

- Receipt ID: 0000000124
- Receipt Status: Fully Received
- Add Header Comments

<table>
<thead>
<tr>
<th>Line</th>
<th>Item</th>
<th>Description</th>
<th>Receipt Qty</th>
<th>'Recv UOM</th>
<th>Receipt Price</th>
<th>Accept Qty</th>
<th>Status</th>
<th>Category</th>
<th>Close Short</th>
<th>Serial</th>
<th>Device Track</th>
<th>Stock UOM</th>
<th>Run Close Short</th>
<th>Interface Receipt</th>
<th>Interface Asset Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>00000000000000001</td>
<td>Printing &amp; Writing Papers</td>
<td>2.0000</td>
<td>EA</td>
<td>10.0000</td>
<td>2.0000</td>
<td>Received</td>
<td>14000000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>00000000000000002</td>
<td>Printing &amp; Writing Papers</td>
<td>4.0000</td>
<td>EA</td>
<td>10.0000</td>
<td>4.0000</td>
<td>Received</td>
<td>14000000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Wave 1 Demonstration - Receipts

### Asset Management Information for Line 1

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Unit</td>
<td>3980</td>
</tr>
<tr>
<td>Receipt ID</td>
<td>0000000116</td>
</tr>
<tr>
<td>Receipt Line</td>
<td>1</td>
</tr>
<tr>
<td>Status</td>
<td>Received</td>
</tr>
<tr>
<td>Item</td>
<td>EA</td>
</tr>
<tr>
<td>Standard UOM</td>
<td>EA</td>
</tr>
</tbody>
</table>

### Distribution Information

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Distribution Line</td>
<td>1</td>
</tr>
<tr>
<td>Business Unit</td>
<td>3980</td>
</tr>
<tr>
<td>Profile ID</td>
<td>AGRI_EQUIP</td>
</tr>
<tr>
<td>CAP #</td>
<td></td>
</tr>
<tr>
<td>Capitalize</td>
<td>Non Cap</td>
</tr>
<tr>
<td>CAP Sequence</td>
<td></td>
</tr>
<tr>
<td>Employee ID</td>
<td></td>
</tr>
<tr>
<td>Distributed Quantity</td>
<td>2.0000</td>
</tr>
<tr>
<td>Merchandise Amount</td>
<td>20.00</td>
</tr>
</tbody>
</table>

### Apply to Details

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Select Action</td>
<td>Assign Tag Ids</td>
</tr>
<tr>
<td>Multiplier</td>
<td>1</td>
</tr>
<tr>
<td>Enter Starting Number</td>
<td>1</td>
</tr>
<tr>
<td>Overwrite existing numbers</td>
<td></td>
</tr>
</tbody>
</table>
New Functionality for Wave 2

- New Functionality – not part of Wave 1 Solution Walkthrough
  - Solicitation creation, processing and awards
  - LPA and Departmental Contracts in FI$Cal
  - Use of Item ID when ordering against an Leverage Procurement Agreement (LPA)
  - Document authoring and library of clauses and language
  - BidSync Replacement
    - SCPRS – Contracts and Procurement Reporting
    - CSCR – Posting of solicitations, progress payments, contractor ads, Awards in FI$Cal
    - Supplier Portal – public/vendor facing portal to access procurement information
    - SB/DVBE Bidder and Vendor Certification in FI$Cal
Technology Considerations – Interfaces

<table>
<thead>
<tr>
<th>Interface</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outbound EDD Independent Contractor</td>
<td>This Outbound interface will list independent contractors with over $600 transactions from two sources - Dispatched PO and Voucher/Payments (currently reported using Form DE 542 for non-CALSTARS departments)</td>
</tr>
</tbody>
</table>
Technology Considerations – Conversions

<table>
<thead>
<tr>
<th>Conversion</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Open Purchase Orders</strong></td>
<td>Purchase Orders in FI$Cal are the mechanism for encumbrance; therefore both Contract and Purchase Order encumbrance information will need to be converted</td>
</tr>
<tr>
<td></td>
<td>• Purchase Orders or Contracts with funds encumbered in FY 14/15 and dispatched to the vendor, and</td>
</tr>
<tr>
<td></td>
<td>• Goods and services not yet received and not yet paid</td>
</tr>
<tr>
<td></td>
<td>• Convert only the balance/quantity of goods and services not yet received; not necessarily the entire Purchase Order or Contract</td>
</tr>
<tr>
<td><strong>Vendor Conversion</strong></td>
<td>Vendors utilized by Wave 1 departments were converted in the FI$Cal Vendor Management File (VMF)</td>
</tr>
</tbody>
</table>
Data Protection Overview

- 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

- All data that is received, retained, and transmitted by FI$Cal protected by:
  - Business Unit
  - Role Based Access
  - Encryption

- 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

<table>
<thead>
<tr>
<th>Conversion</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Information</td>
<td>Information maintained by state agencies that is not exempt from disclosure under the provisions of state or federal laws.</td>
</tr>
<tr>
<td>Confidential Information</td>
<td>Information maintained by state agencies that is <strong>exempt from disclosure</strong> under the provisions of state or federal laws.</td>
</tr>
<tr>
<td>Sensitive Information</td>
<td>Information maintained by <strong>state agencies</strong> that requires special precautions to protect from unauthorized use, access, disclosure, modification, loss, or deletion. Sensitive information may be either public or confidential.</td>
</tr>
<tr>
<td>Personally Identifiable Information</td>
<td>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.</td>
</tr>
</tbody>
</table>
## Data Protection - Processes & Fields

<table>
<thead>
<tr>
<th>Process Name</th>
<th>Field Description</th>
<th>FI$Cal Standard Protection Framework</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create and Approve Requisitions</td>
<td>Requisition ID</td>
<td><strong>Public</strong></td>
</tr>
<tr>
<td>Create and Approve Requisitions</td>
<td>Shipping Location</td>
<td></td>
</tr>
<tr>
<td>Create and Approve Requisitions</td>
<td>Location ID</td>
<td></td>
</tr>
<tr>
<td>Create and Approve Requisitions</td>
<td>Requestor</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Buyer ID</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>PO Reference</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>PO Date</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>PO Line Number</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Category Code / UNSPSC</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Line Description</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Unit Price</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Line Quantity</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Unit of Measure</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Vendor ID</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Tax Exempt ID</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Agency Billing Code</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Acquisition Type for Purchase</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Acquisition Sub-Type</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Acquisition Method</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Acquisition Sub-Method</td>
<td></td>
</tr>
<tr>
<td>Create and Approve Requisitions</td>
<td>Requisition Date</td>
<td></td>
</tr>
<tr>
<td>Create and Approve Requisitions</td>
<td>Requisition Line Number</td>
<td></td>
</tr>
<tr>
<td>Process Procurement Card</td>
<td>Merchant ID</td>
<td></td>
</tr>
<tr>
<td>Manage Purchase Orders</td>
<td>Attachments</td>
<td></td>
</tr>
</tbody>
</table>

**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).

Procurement classified as **Public** with the exception of the fields highlighted to be **Sensitive**
# Data Protection - Processes & Fields

<table>
<thead>
<tr>
<th>Process Name</th>
<th>Field Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ePro3 - Create and Approve Requisitions</td>
<td>Procurement Card Number</td>
</tr>
<tr>
<td>ePro3 - Create and Approve Requisitions</td>
<td>Shipping Location</td>
</tr>
<tr>
<td>ePro3 - Create and Approve Requisitions</td>
<td>Location ID</td>
</tr>
<tr>
<td>ePro3 - Create and Approve Requisitions</td>
<td>Procurement Card Number</td>
</tr>
<tr>
<td>ePro3 - Create and Approve Requisitions</td>
<td>Requestor</td>
</tr>
<tr>
<td>PO2 - Manage Purchase Orders</td>
<td>Buyer ID</td>
</tr>
<tr>
<td>PO2 - Manage Purchase Orders</td>
<td>Buyer ID</td>
</tr>
<tr>
<td>PO2 - Manage Purchase Orders</td>
<td>Line Description</td>
</tr>
<tr>
<td>PO4 - Process Procurement Card</td>
<td>Merchant ID</td>
</tr>
<tr>
<td>PO2 - Manage Purchase Orders</td>
<td>Attachments</td>
</tr>
</tbody>
</table>

**FI$Cal Standard Protection Framework**

**Standard Data Protection level For:**
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   - Role Based.
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   - Add, Delete, Update and Read.
5. FI$Cal Standard Data Retention: Average 7 Years. (No data disposal planned for FI$Cal currently).
Data Protection – Next Steps

- 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
Session Recap

• 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

FI$Cal Project Information:

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

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

fiscal.cmo@fiscal.ca.gov
Appendix
Guide to Symbols in Flows

Start/End - Indicates point at which the process begins or ends. Does not represent any activity.

Decision - shows a decision point, such as yes/no. Each path emerging from the diamond is labeled with one of the possible answers.

System Task - Represents an individual step or activity in Fi$Cal.

Manual Task - Represents an individual step or activity in the process that is made out of Fi$Cal.

Input Documents - A paper document (or email) that is used for entering data in the process. For electronic data the interface shape is used.

Connector - On/Off-Page Connector. Used to avoid complex overlapping connector lines or to continue a process on a subsequent page. Connectors are labeled with UPPER CASE letters.

Interface - Data conversion from one electronic system to another.

Batch Process - Represents a batch process within Fi$Cal.

Flow Arrow

Intra Integration Process - A input or Output to some other process within the same capability

Output Documents - An electronic document that is created by the process and can be printed (for example – any kind of report).
## ChartField / UCM Codes Cross-reference

<table>
<thead>
<tr>
<th>Legacy</th>
<th>FI$CAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organization Codes</td>
<td></td>
</tr>
<tr>
<td>Level 1</td>
<td>All Other</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Index</td>
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**Legend:**
- Level 1: Organization Codes
- All Other: Organization Codes
- Business Unit: Business Unit
- Reporting Structure: Reporting Structure
- Fund: Fund
- Program: Program
- Project: Project
- Service Location: Service Location
- Agency Use: Agency Use
- Statistics Code: Statistics Code
- Budget Period: Budget Period
- Account: Account
- Alternate Account: Alternate Account
- Appropriation Reference: Appropriation Reference
- Year of Enactment: Year of Enactment

**Key Terms:**