City of Albuquerque

Request for Proposals

Solicitation Number: RFP2007-018-VC___

"ERP Design and Implementation"

Due Date: Monday, April 9, 2007 NLT 4:00 p.m. (Mountain Time)
The time and date proposals are due shall be strictly observed**.**

City of Albuquerque
Department of Finance and Administrative Services
Purchasing Division
03/06/07

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INTRODUCTION

Purpose
The City of Albuquerque (City) is issuing this Request for Proposals (RFP) for the purpose of selecting a qualified offeror to provide implementation services for PeopleSoft ERP version 8.9 modules sufficient to provide an integrated budget preparation, accounting, cash management, procurement, human resources, payroll, and benefits system.

The City may elect, in its sole authority and discretion, to implement the software and services identified in this proposal in phases or by component.

Background
The City has identified the need for integrating the City's business processes into a single integrated system. This project is sponsored by the eGovernment Configuration Board. The City views the implementation of this proposed system as a long-term investment.

Turnkey Approach
The desired contract is one in which the contractor configures, implements, and passes an acceptance test on a total package, using the City's PeopleSoft ERP software, including the necessary software customization and interfaces, data conversion, knowledge transfer/training, and implementation services. In addition, it is expected that the contractor will provide post-implementation support for two (2) months of ongoing support and maintenance of the system following the go-live date.

Invitation to Propose
The City is seeking prospective offerors who have packaged software implementation experience in the public sector and are deemed most qualified to provide the desired solution. In addition to a hard copy of the RFP, each prospective offeror will receive one electronic copy. Offerors are encouraged to initiate preparation of proposals immediately upon receipt of this RFP so that all relevant questions and information needs can be identified and answered, and so that adequate time is available to prepare a comprehensive and complete response.

Prime Contractor Responsibility
The City will contract with a single contractor. If you propose a multi-vendor or subcontracted approach, clearly identify the responsibilities of each party and the assurances of performance you offer. The prime contractor must take responsibility for the entire contract performance. The prime contractor will also be responsible for proposing and documenting the software solution and associated costs in the proposal. **Please note that the City requires that the software implementer serve as the prime contractor for providing the services.**

In contractor/subcontractor arrangements involving more than one firm, it does not matter to the City which firm assumes the lead role in providing different aspects of the services. If the subcontractor assumes the lead role, the prime contractor must still assume full responsibility for

the performance of the contract. If subcontracting, the City prefers the prime contractor to subcontract with local firms, as long as they meet the experience requirements in Part 2.

The selected offeror will be required to assume responsibility for delivery, installation and maintenance of all software and support services offered in its proposal. The City will consider the selected offeror to be the **sole point** of contact with regard to contractual matters including the performance of services and the payment of any and all charges resulting from the purchase of software and for services performed.

Addenda to Request for Proposals

In the event that it becomes necessary to revise any part of this RFP due to inquiries raised, an addendum, supplement or amendment to this RFP will be issued.

Background Information – City of Albuquerque

Governance	Elected Mayor, Nine-Member City Council
Population	450,000 local 750,000 MSA
Number of Employees	6,500 full-time
Information Services Division Employees	70
General Fund Budget	$450 million
Enterprise Funds	$300 million
Fiscal Year	July 1st – June 30th
City IT Standards	http://mesa.cabq.gov/policy.nsf/WebPoliciesX?OpenForm

PART 1
INSTRUCTIONS TO OFFERORS

1.1 RFP Number and Title: RFP2007-018-VC, "ERP Design and Implementation Services"

1.2 Proposal Due Date: Monday, April 9, 2007 - NLT 4:00 PM (Local Time)
The time and date proposals are due shall be strictly observed**.**

1.3 Purchasing Office: This RFP is issued on behalf of the City of Albuquerque by the Purchasing Office, which is the sole point of contact during the entire procurement process.

1.4 Authority: Chapter 5, Article 5 of the Revised Ordinances of the City of Albuquerque, 1994, (the "Public Purchases Ordinance"). The City Council, pursuant to Article 1 of the Charter of the City of Albuquerque and Article X, Section 6 of the Constitution of New Mexico, has enacted this ordinance as authorized by such provisions and for the purpose of providing maximum local self-government. To that end, it is intended that this ordinance shall govern all purchasing transactions of the City and shall serve to exempt the City from all provisions of the New Mexico Procurement Code, as provided in Section 13-1-98K, NMSA 1978.

1.5 Acceptance of Offer: Acceptance of Offer is contingent upon Offeror's certification and agreement by submittal of its offer, to comply and act in accordance with all provisions of the following:

1.5.1 City Public Purchases Ordinance

1.5.2 City Purchasing Rules and Regulations: City of Albuquerque Purchasing Rules and Regulations: These Rules and Regulations (hereinafter "Regulations") are written to clarify and implement the provisions of the Public Purchases Ordinance. These Regulations establish policies, procedures, and guidelines relating to the procurement, management, control, and disposal of goods, services, and construction, as applicable, under the authority of the Ordinance.

1.5.3 Civil Rights Compliance: Acceptance of offer is contingent upon the Offeror's certification and agreement by submittal of its offer, to comply and act in accordance with all provisions of the Albuquerque Human Rights Ordinance, the New Mexico Human Rights Act, Title VII of the U.S. Civil Rights Act of 1964, as amended, and all federal statutes and executive orders, New Mexico statutes and City of Albuquerque ordinances and resolutions relating to the enforcement of civil rights and affirmative action. Questions regarding civil rights or affirmative action compliance requirements should be directed to the City of Albuquerque Human Rights Division, Community Services Department.

1.5.4 Americans with Disabilities Act Compliance: Offeror certifies and agrees, by submittal of its offer, to comply and act in accordance with all applicable provisions of

the Americans With Disabilities Act of 1990 and Federal regulations promulgated there under.

1.5.5 Insurance and Bonding Compliance: Acceptance of offer is contingent upon Offeror's ability to comply with the insurance requirements as stated herein. Please include a copy(s) of such certification or statement of compliance in your proposal.

1.5.6 Ethics:

1.5.6.1 Fair Dealing. The Offeror warrants that its proposal is submitted and entered into without collusion on the part of the Offeror with any person or firm, without fraud and in good faith. Offeror also warrants that no gratuities, in the form of entertainment, gifts or otherwise, were, or will be offered or given by the Offeror, or any agent or representative of the Offeror to any officer or employee of the City with a view toward securing a recommendation of award or subsequent contract or for securing more favorable treatment with respect to making a recommendation of award.

1.5.6.2 Conflict of Interest. The Offeror warrants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required under the contract resulting from this RFP. The Offeror also warrants that, to the best of its knowledge, no officer, agent or employee of the City who shall participate in any decision relating to this RFP and the resulting contract, currently has, or will have in the future, a personal or pecuniary interest in the Offeror's business.

1.5.7 Participation/Offeror Preparation: Offeror may not use the consultation or assistance of any person, firm, or company who has participated in whole or in part in the writing of these specifications or the Scope of Services, for the preparation of its offer or in the management of its business if awarded the contract resulting from this RFP.

This provision shall not apply to any person, firm or company which prepared under a separate contract resource documents included in this RFP.

1.5.8 Debarment or Ineligibility Compliance: By submitting its offer in response to this RFP, the Offeror certifies that (i) it has not been debarred or otherwise found ineligible to receive funds by any agency of the federal government, the State of New Mexico, any local public body of the State, or any state of the United States; and (ii) should any notice of debarment, suspension, ineligibility or exclusion be received by the Offeror, the Offeror will notify the City immediately.

1.5.9 Goods Produced Under Decent Working Conditions. It is the policy of the City not to purchase, lease, or rent goods for use or for resale at City owned enterprises that were produced under sweatshop conditions. The Offeror certifies, by submittal of its offer in response to this solicitation, that the goods offered to the City were produced under decent working conditions. The City defines "under decent working conditions" as

production in a factory in which child labor and forced labor are not employed; in which adequate wages and benefits are paid to workers; in which workers are not required to work more than 48 hours per week (or less if a shorter workweek applies); in which employees are free from physical, sexual or verbal harassment; and in which employees can speak freely about working conditions and can participate in and form unions. [*Council Bill No. M-8, Enactment No. 9-1998*]

1.5.10 Graffiti Free: When required, the Contractor will be required to furnish equipment, facilities, or other items required to complete these services, that are "graffiti free". Failure of Contractor to comply with this requirement may result in cancellation of the contract resulting from this RFP.

1.6 City Contact: The sole point of contact for this Request for Proposals is the City of Albuquerque Purchasing Division. Contact the following individual(s) regarding this RFP:

- Viola Cunningham, Assistant Purchasing Officer, Department of Finance and Administrative Services, Purchasing Division,
- Phone: (505) 768-3340 or E-Mail: VCunningham@cabq.gov
- Post Office Box 1293, Albuquerque, New Mexico 87103

1.7 Contract Management: The contract resulting from this RFP will be managed by the Department of Finance and Administrative Services, Information Systems Division.

1.8 Clarification: Any explanation desired by an Offeror regarding the meaning or interpretation of this Request For Proposals must be requested in writing not less than ten (10) working days prior to the hour and date specified for the receipt of offers to allow sufficient time for a reply to reach Offerors before the submission of their offers. All inquiries must be directed to the Purchasing Office as stated herein. Oral explanations or instructions given before the award of the contract or at any time will not be binding. Any information given to a prospective Offeror concerning this Request For Proposals will be furnished to all prospective Offerors as an amendment to this Request for Proposals if such information is necessary to Offerors in submitting offers on this Request For Proposals or if the lack of such information would be prejudicial to uninformed Offerors.

1.9 Submission of Offers: The Offeror's sealed proposal must be in the format outlined in Part 2 of this Request for Proposals and mailed or delivered pursuant to the following requirements:

1.9.1 Envelope preparation. Offers and modifications thereof shall be enclosed in sealed envelopes and have the following identifying information on the outside:

- Name and address of Offeror
- Closing Date and Time
- Request for Proposals Number
- RFP Title

1.9.2 Ship, Deliver or Hand Carry Sealed Offers to: The Office of the City Clerk, City

/County Government Center, 11th Floor, One Civic Plaza, N.W., Albuquerque, New Mexico 87102. Mark all packages as stated above.

1.9.3 Mail Sealed Responses to: Office of the City Clerk, Post Office Box 1293, Albuquerque, New Mexico 87103. (Certified Mail is recommended). The City shall not be responsible for the failure of mailed offers to actually be received by the Office of the City Clerk by 4:00 of the day of closing.

Note: The City picks up mail at the post office **once** every morning at 7:00 AM (Local Time). **Note: ALL SEALED PROPOSALS MUST BE RECEIVED BY THE OFFICE OF THE CITY CLERK NO LATER THAN 4:00 PM, LOCAL TIME AS RECORDED IN THE CITY CLERK'S OFFICE.**

1.9.4 No other methods of delivery: Neither telephone, facsimile, electronic, nor telegraphic offers shall be accepted.

1.9.5 Submit Hard and Soft Copies of the Proposal as follows:

- **<u>Hard Copy</u> - 1 original and 5 copies of your Technical Proposal. Submit 1 original and 1 copy of your Cost Proposal.**
- **<u>Soft Copy</u> - Submit 1 Original Technical and Cost Proposal on a CD or Diskette.**

1.9.6 Modification: Offers may be modified or withdrawn by written notice provided such notice is received prior to the hour and date specified for receipt of offers.

1.10 Receipt of Proposals: The only acceptable evidence to establish the time of receipt of proposals at the City Clerk's Office is the time-date stamp of such office on the proposal wrapper or other documentary evidence of receipt maintained by the office.

1.11 Acknowledgment of Amendments To the Request For Proposals: Receipt of an amendment to the Request For Proposals by an Offeror must be acknowledged (a) by signing and returning the amendment, or (b) by letter. Such acknowledgment may be submitted with your offer. Such acknowledgment must be received prior to the hour and date specified for receipt of offers.

1.12 Modifications to Scope of Services: In the event that sufficient funds do not become available to complete each task in the Scope of Services, the Scope of Services may be amended, based upon the cost breakdown required in the Cost Proposal.

1.13 Draft Agreement: A copy of the Draft Agreement to be entered into is attached. Please state that you accept the terms and conditions of the Draft Agreement, or note exceptions.

1.14 Evaluation period: The City reserves the right to analyze, examine and interpret any offer for a period of ninety (90) days after the hour and date specified for the receipt of offers.

1.15 Evaluation Assistance: The City of Albuquerque, in evaluating proposals, reserves the

right to use any assistance deemed advisable, including City contractors and consultants.

1.16 Rejection and Waiver: The City reserves the right to reject any or all offers and to waive informalities and minor irregularities in offers received.

1.17 Debarment of Offeror: Any proposal received from an Offeror that is, at the time of submitting its proposal or prior to receipt of award of a contract, debarred by or otherwise ineligible to receive funds from any agency of the State of New Mexico, any local public body of the State, or any state of the United States, shall be rejected.

1.18 Award of Contract:

1.18.1 When Award Occurs: Award of contract occurs when a Purchase Order is issued or other evidence of acceptance by the City is provided to the Offeror. A Recommendation of Award does not constitute award of contract.

1.18.2 Award: If a contract is awarded, it shall be awarded to the responsive and responsible Offeror whose offer conforming to the Request for Proposals will be most advantageous to the City as set forth in the Evaluation Criteria.

1.18.3 Contract Term: The contract term shall be for a period of 18 months from the effective date of execution of the contract and/or final execution by the City. This contract term may be extended for up to 1 additional year by mutual written agreement between the City and the Contractor.

1.18.4 Type of Contract: Firm fixed price.

1.18.5 Debarment/Cancellation of Contract: Upon receipt of notice of debarment of an Offeror awarded a contract as a result of this RFP (the "Contractor"), or other ineligibility of the Contractor to receive funds from any agency of the federal government, the State of New Mexico, any local public body of the State, or any state of the United States, the City shall have the right to cancel the contract with the Contractor resulting from this RFP for cause as provided in accordance with the terms of said contract.

1.19 Cancellation: This Request for Proposals may be canceled and any and all proposals may be rejected in whole or in part when it is in the best interest of the City.

1.20 Negotiations: Negotiations may be conducted with the Offeror(s) recommended for award of contract.

1.21 City-Furnished Property: No material, labor, or facilities will be furnished by the City unless otherwise provided for in the Request for Proposals. The City will make its computer systems available to the Contractor as necessary through Virtual Private Network (VPN) connection or through City-provided computers. In order to connect to the City network through VPN, Contractor agrees to subject the accessing computer to minimum security requirements

and scanning technology and agents imposed by the City to confirm those security requirements.

1.22 Proprietary Data: This Request for Proposals shall be open to public inspection after the recommendation of award of a contract has been signed by the Mayor, except to the extent the Offeror designates trade secrets or other proprietary data to be confidential. Material so designated must be separated from the Offeror's main proposal and each page shall be clearly marked in order to be considered confidential and to facilitate public inspection of the non-confidential portion of the proposal. Prices and makes and models or catalog numbers of the items offered, deliveries, and terms of payment shall be publicly available regardless of any designation to the contrary. The City of Albuquerque will endeavor to restrict distribution of the material designated as confidential or proprietary to only those individuals involved in the review and analysis of the proposals. Offerors are cautioned that materials designated as confidential may nevertheless be subject to disclosure under the New Mexico Inspection of Public Records Act (Sections 14-2-1 et seq, NMSA 1978).

1.23 Local and Resident Preference: A preference for local and state businesses is available under the City of Albuquerque Public Purchases Ordinance for this procurement (Part 6). If a completed Local Preference Certification Form or a current and correct Resident Preference Number or evidence to indicate that a company is a manufacturer (if applicable) is not received with the Offeror's response, a preference will not be applied for that offer. The Form, the Number, or other evidence will not be accepted after the deadline for receipt of proposals. For those Offerors qualifying for the preference, a 1.05 multiplier will be applied to the total raw score. Only one preference will apply for this procurement. Local Preference supersedes all other preferences.

1.24 REQUEST FOR PROPOSALS (RFP) PROTEST PROCESS:

1.24.1 When: If the protest concerns the specifications for a competitive solicitation or other matters pertaining to the solicitation documents, it must be received by the Purchasing Officer no later than ten working days prior to the deadline for the receipt of offers.

1.24.2 Recommendation of Award: If the protest concerns other matters relating to this solicitation, the protest must be filed within ten working days after the receipt of notice of the Recommendation of Award.

1.24.3 Timely Protests: Protests must be received by the Purchasing Officer prior to the appropriate deadline as set out herein, or they will not be considered valid. The Purchasing Officer may waive the deadline for good cause, including a delay caused by the fault of the City. Late delivery by the U.S. Postal Service or other carrier shall not be considered good cause.

1.24.4 How to File: The protest shall be addressed to the Purchasing Officer, must be submitted in written form and must be legible. Protests may be hand-delivered or mailed. Facsimile, telephonic, telegraphic or electronic protests will not be accepted.

1.24.5 Required Information: The protest shall contain at a minimum the following;

- The name and address of the protesting party;
- The number of the competitive solicitation;
- A clear statement of the reason(s) for the protest;
- Details concerning the facts which support the protest;
- Attachments of any written evidence available to substantiate the claims of the protest; and
- A statement specifying the ruling requested.

1.24.6 Address Letters and Envelopes as Follows:

- City of Albuquerque RFP Number
- Purchasing Division PROTEST
- PO Box 1293
- Albuquerque, New Mexico 87103

1.24.7 Protest Response by Purchasing Officer: All protests will be responded to by the Purchasing Officer upon evaluation. The Purchasing Officer will, after evaluation of a protest, issue a response. Only the issues outlined in the written protest will be considered by the Purchasing Officer.

1.24.8 Protest Hearing: If a hearing is requested, the request must be included in the protest and received within the time limit to be allowed. The filing fee of twenty dollars ($20.00) must accompany the request for hearing. Only the issues outlined in the protest will be considered by the Purchasing Officer or may be raised at a protest hearing. The granting of a hearing shall be at the discretion of the Purchasing Officer following review of the request.

1.25 BONDS and INSURANCE:

1.25.1 General Conditions: The City will require that the successful Offeror, referred to as the Contractor, procure and maintain at its expense during the term of the contract resulting from the RFP, insurance in the kinds and amounts hereinafter provided with insurance companies authorized to do business in the State of New Mexico, covering all operations of the Contractor under the contract. Upon execution of the contract and on the renewal of all coverage, the Contractor shall furnish to the City a certificate or certificates in a form satisfactory to the City showing that it has complied with these insurance requirements. All certificates of insurance shall provide that thirty (30) days written notice be given to the Risk Manager, Department of Finance and Administrative Services, City of Albuquerque, P.O. Box 470, Albuquerque, New Mexico, 87103, before a policy is canceled, materially changed, or not renewed. Various types of required insurance may be written in one or more policies. The City shall be named an additional insured for all coverages and the coverages afforded shall be primary with respect to operations provided.

1.25.2 Approval of Insurance: Even though the Contractor may have been given notice

to proceed, it shall not begin any work under the contract resulting from this RFP until the required insurance has been obtained and the proper certificates (or policies) filed with the City. Neither approval nor failure to disapprove certificates, policies, or the insurance by the City shall relieve the Contractor of full responsibility to maintain the required insurance in full force and effect. If part of the contract is sublet, the Contractor shall include any or all subcontractors in its insurance policies, or require the subcontractor to secure insurance to protect itself against all hazards enumerated herein, which are not covered by the Contractor's insurance policies.

1.25.3 Coverage Required: The kinds and amounts of insurance required are as follows:

1.25.3.1 **Commercial General Liability Insurance.** A commercial general liability insurance policy with combined limits of liability for bodily injury or property damage as follows:

$1,000,000	Per Occurrence
$1,000,000	Policy Aggregate
$1,000,000	Products Liability/Completed Operations
$1,000,000	Personal and Advertising Injury
$ 50,000	Fire Legal
$ 5,000	Medical Payments

Said policy of insurance must include coverage for all operations performed for the City by the Contractor and contractual liability coverage shall specifically insure the hold harmless provisions of the contract resulting from this RFP.

1.25.3.2 **Automobile Liability Insurance.** A comprehensive automobile liability insurance policy with liability limits in amounts not less than $1,000,000 combined single limit of liability for bodily injury, including death, and property damage in any one occurrence. The policy must include coverage for the use of all owned, non-owned, hired automobiles, vehicles and other equipment both on and off work.

1.25.3.3 **Workers' Compensation Insurance.** Workers' compensation insurance policy for the Contractor's employees, in accordance with the provisions of the Workers' Compensation Act of the State of New Mexico, (the "Act"). If the Contractor employs fewer than three employees and has determined that it is not subject to the Act, it will certify, in a signed statement, that it is not subject to the Act. The Contractor will notify the City and comply with the Act should it employ three or more persons during the term of the contract resulting from this RFP.

1.25.4 Increased Limits: During the life of the contract the City may require the Contractor to increase the maximum limits of any insurance required herein. In the event that the Contractor is so required to increase the limits of such insurance, an appropriate adjustment in the contract amount will be made.

PART 2
PROPOSAL FORMAT

2.1 Technical Proposal Format, Section One

2.1.1 Offeror Identification: State name and address of your organization or office and nature of organization (individual, partnership or corporation, private or public, profit or non-profit). Subcontractors if any must be identified in a similar manner. Include name and telephone number of person(s) in your organization authorized to execute the Draft Agreement. Submit a statement of compliance with all laws stated herein. Submit a statement of agreement of the terms and conditions of the Draft Agreement; state exceptions. Show receipt of Addenda if applicable. Provide a statement or show ability to carry the insurance specified.

2.1.2 Minimum Experience Requirements: In order to be considered responsive, Offeror must be able to provide the information requested below. For each incident of relevant experience, Offeror must state for whom the work was performed, year completed, and a reference person who can be contacted regarding the work. References must be for work performed within the previous five (5) years. Offeror must have at least 3 unique reference customers.

2.1.2.1 Offeror must state relevant experience of the company and person(s) who will be actively engaged in the proposed project in the implementation of Oracle|PeopleSoft ERP Financials version 8.9 in a state or local municipality (this does not include a governmental entity with a single purpose) with a total budget (general fund and enterprise ("revenue") funds) of at least $725,000,000 and an employee population of at least 6,500.

"Oracle|PeopleSoft ERP Financials" as defined by the City of Albuquerque includes PeopleSoft's FIN modules and Supply Chain modules, including general ledger, purchasing, A/P, A/R, cash management, and billing. Greater weight will be given for additional experience with grant tracking, project costing, performance-based budgeting, e-procurement, contracts, and asset management. Greater weight will also be given for any experience with Oracle|PeopleSoft products of a version later than 8.9.

2.1.2.2 Offeror must state relevant experience of the company and person(s) who will be actively engaged in the proposed project in the implementation of Oracle|PeopleSoft ERP Human Capital Management version 8.9 in a state or local municipality (this does not include a governmental entity with a single purpose) with a total budget (general fund and enterprise ("revenue") funds) of at least $725,000,000 and an employee population of at least 6,500.

"Oracle|PeopleSoft ERP Human Capital Management" as defined by the City of Albuquerque includes payroll, time and labor, benefits, benefits administration,

and human resources. Greater weight will be given for experience with the candidate gateway (aka eRecruit), talent acquisition manager (aka eRecruit Manager Desktop), HRMS Portal Pack, eCompensation, eCompensation Manager Desktop, eProfile, eProfile Manager Desktop, eDevelopment, eBenefits, ePay, and ePerformance. Greater weight will also be given for any experience with Oracle|PeopleSoft products of a version later than 8.9.

2.1.2.3 Offeror must state relevant experience of the company and person(s) who will be actively engaged in the proposed project in the implementation of Oracle|PeopleSoft ERP Enterprise Performance Management version 8.9 in a state or local municipality (this does not include a governmental entity with a single purpose) with a total budget (general fund and enterprise ("revenue") funds) of at least $725,000,000 and an employee population of at least 6,500.

"PeopleSoft EPM" as defined by the City of Albuquerque includes budgeting, HRMS warehouse, FMS warehouse, project portfolio management, and EPM Portal. Greater weight will be given for any experience with Oracle|PeopleSoft products of a version later than 8.9.

2.1.2.4 Offeror must state relevant experience of the company and person(s) who will be actively engaged in the proposed project in the implementation of Oracle|PeopleSoft User Productivity Kit (UPK) in a state or local municipality (this does not include a governmental entity with a single purpose) with a total budget (general fund and enterprise ("revenue") funds) of at least $725,000,000 and an employee population of at least 6,500. Identify the degree to which UPK was used and describe the implementation.

2.1.2.5 Offeror must state relevant experience of the company and person(s) who will be actively engaged in the proposed project in documentation and implementation of organizational change management activities in a state or local municipality (this does not include a governmental entity with a single purpose) with a total budget (general fund and enterprise ("revenue") funds) of at least $725,000,000 and an employee population of at least 6,500. For this experience, state the deliverables that were associated with the organizational change management activities.

2.1.2.6 Offeror must state relevant experience of the company and person(s) who will be actively engaged in the proposed project in knowledge transfer to technical support personnel. It is the City's intent to own and operate the ERP system upon the conclusion of the project, and the Offeror's competence in knowledge transfer is essential to make that happen.

2.1.3 Proposed Approach to Tasks: Discuss fully your proposed approach to each of the tasks described in Part 3, Scope of Services. Use charts to illustrate the number of phases dictated by your project management methodology, the number of hours dedicated

to each phase, and the deliverables typically produced during each phase. Reference Appendix A, attached hereto, without stating the price structure.

2.1.4 Use of Prior Work Product: The City has completed a Planning and Analysis phase of the project and has assembled a series of documents which describe the fit/gap between the City's current state and the out-of-the-box functionality of the relevant PeopleSoft ERP module. In electronic format those documents are attached as an Appendix B to this RFP. Describe how the Offeror will incorporate the output of that Planning and Analysis phase. Provide a listing specifying which of those findings cannot be incorporated without revisiting or validating the fit/gap conclusions.

2.1.5 Proprietary Products and Tools: Please describe any proprietary products or tools provided by the Offeror to its governmental customers and the value of these tools. Please specify the cost to the City for the use and/or ownership of these products or tools and provide a reference for each product or tool.

2.1.6 Management Summary: Describe individual staff and subcontractor's responsibilities with lines of authority and interfaces with the City of Albuquerque staff. Describe resources to be drawn from in order to complete tasks.

2.2 Cost Proposal Format, Section Two

2.2.1 Total Cost: Submit one original and one copy of your Cost Proposal, in a **separate** binder or folder distinctly marked with the following information, in a "spreadsheet" format as given in the example provided in Appendix A, and attached hereto.

2.2.2 The cost proposal should contain at least the following information:

- The cost for the entire project broken down by the activities or phases shown on the project schedule.
- Estimated periodic billing to the City based on the cost of the deliverable items.
- Cost or pricing details should be shown by task. This might include, but is not limited to:
  - Hours by category, hourly rates, and total labor broken out by professional and other labor. Rates are to include all overhead and profit.
  - Purchased materials, unit costs, and quantities.
  - Travel, lodging, and other direct expenses.

- Subcontract costs if applicable, and additional consulting beyond the scope of the described tasks (if requested).

2.2.3 Offerors should show detailed costs by deliverable or milestone and number of hours dedicated to each deliverable or milestone as listed in the specifications.

2.2.4 An example of the preferred format is contained in Appendix A, attached hereto as described above. Your response to this section will be used in performing a cost/price analysis.

2.2.5 All Costs: All costs to be incurred and billed to the City should be described by the Offeror for each item, to allow for a clear evaluation and comparison, relative to other offers received. The Offeror should understand that the City will not pay for any amounts not included -- for example, insurance or taxes -- and that liability for items not included remains with the Offeror.

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PART 3
SCOPE OF SERVICES

3.1 It is the desire of the City of Albuquerque to implement a PeopleSoft HCM and Financials application with a minimum of product customization yet meet key business drivers that are identified in attached documents. The City of Albuquerque desires to enlist the aid of implementation vendors to assist the City resources in the performance and teach/train City resources to perform the tasks listed below. The goal is to:

3.1.1 Design the configuration of the PeopleSoft ERP modules necessary to accommodate the business requirements of the City of Albuquerque

3.1.2 Design the interfaces to systems outside of the PeopleSoft ERP modules necessary to accommodate the business requirements of the City of Albuquerque

3.1.3 Design the business process improvements that will be required to meet the City's business requirements given the out-of-the-box functionality of the PeopleSoft ERP modules

3.1.4 Design the conversion strategy necessary to accommodate the City's business requirements

3.1.5 Design the security, access rights, and permissions of the different functional roles required to perform business tasks in the PeopleSoft ERP modules

3.1.6 Design the end user training design and delivery strategy for each stakeholder group

3.1.7 Design the testing strategy and scripts necessary to confirm the successful configuration, build, and implementation of the PeopleSoft ERP modules, the interfaces, the business process improvements, the security, access rights, and permissions, and the training delivery

3.1.8 Configure and build and implement the designs outlined in sections 3.1.1 through 3.1.7 above

3.1.9 Test the implementations outlined in sections 3.1.1 through 3.1.7 above

3.1.10 Orchestrate and conduct the cutover from the City's current systems to the PeopleSoft ERP modules

3.1.11 Support the City resources for 2 months following the cutover event

PART 4
EVALUATION OF OFFERS

4.1 Selection Process. The Mayor of Albuquerque shall name, for the purpose of evaluating the proposals, an Ad Hoc Advisory Committee. On the basis of the evaluation criteria established in this RFP, the committee shall submit to the Mayor a list of qualified firms in the order in which they are recommended. Proposal documentation requirements set forth in this RFP are designed to provide guidance to the Offeror concerning the type of documentation that will be used by the Ad Hoc Advisory Committee. Offerors should be prepared to respond to requests by the Purchasing Office on behalf of the Ad Hoc Advisory Committee for oral presentations, facility surveys, demonstrations or other areas deemed necessary to assist in the detailed evaluation process. Offerors are advised that the City, at its option, may award this request on the basis of the initial offers.

4.2 Evaluation Criteria. The following general criteria, not listed in order or significance, will be used by the Ad Hoc Advisory Committee in recommending contract award to the Mayor. The proposal factors will be rated on a scale of **0-1000** with weight relationships as stated below.

4.2.1 Evaluation Factors:

100 -- The Offeror's general approach, plans, proposed schedule and methodology to meet the requirements of the RFP.

300 --The Offeror's detailed plans and deliverables to meet the objectives of each task, activity, phase, etc. on the required schedule. Unique experience, proprietary tools, or methodologies will be given preference where they are of additional benefit to the City.

200 -- Experience and qualifications of the Offeror and personnel as shown on staff resumes to perform tasks described in Part 3, Scope of Services. The Offeror's past performance on projects of similar scope and size.

200 -- Adequacy of proposed project management, organizational change management, and resources to be utilized by the Offeror.

100 -- The overall ability of the Offeror, as judged by the evaluation committee, to successfully complete the project within the proposed schedule. This judgment will be based upon factors such as the project management plan and availability of staff and resources.

100 -- Cost Proposal – The costs proposed by the Contractor as described in Section 2.2 of this RFP to perform the tasks listed in Part3, Scope of Services. The evaluation of this section will occur after the technical evaluation, based on a cost/price analysis.

4.2.2 Cost/Price Factors: The evaluation of cost factors in the selection will be determined by a cost/price analysis using your proposed figures. Please use the format described in Appendix A. Proposed costs will be evaluated not only to determine if the estimate is reasonable, realistic, and cost effective, but also the Offeror's ability to

organize and perform the services. Please note that the lowest cost is not the sole criterion for recommending contract award.

4.2.3 Cost Evaluation. The cost/price evaluation will be performed by the City Purchasing Division or designee. A preliminary cost review will ensure that each Offeror has complied with all cost instructions and requirements. In addition, proposals will be examined to ensure that all proposed elements are priced and clearly presented. Cost proposals that are incomplete or reflect significant inconsistencies or inaccuracies will be scored accordingly or may be rejected by the Ad Hoc Advisory Committee if lacking in information to determine the value/price/cost relative to the services proposed.

4.2.4 Local Preference. Local and Resident Preference: A preference for local and state businesses is available under the City of Albuquerque Public Purchases Ordinance, for this procurement. The "Local Preference Certification form and instructions are attached as an Appendix to this Request for Proposals. If a completed Local Preference Certification Form, or a current and correct Resident Business Preference Number is not received with the Offeror's response, a preference will not be applied for that offer. The Form or the Number will not be accepted after the deadline for receipt of proposals. For those Offerors qualifying for the preference, a 1.05 multiplier will be applied to the total raw score. Only one preference will apply for this procurement. Local Preference supersedes all other preferences.

{INTENTIONALLY LEFT BLANK}

PART 5 - INSTRUCTIONS FOR LOCAL PREFERENCE CERTIFICATION FORM

1. ALL INFORMATION MUST BE PROVIDED. A 5% local preference is available for this procurement. To qualify for this preference, an Offeror MUST complete and submit this Form WITH ITS OFFER. If an offer is received without the Form attached, completed, signed and certified, or if the Form is received without the required information, the preference will not be applied. THE FORM OR A CORRECTED FORM WILL NOT BE ACCEPTED AFTER THE DEADLINE FOR RECEIPT OF BIDS OR PROPOSALS.

2. LOCAL PREFERENCE PRECEDENCE OVER STATE PREFERENCE. The local preference takes precedence over the State Resident Business Preference and only one of the two preferences will be applied to any one offer. If it is determined that the local preference applies to one or more Offerors in any solicitation, the State Resident Business Preference will not be applied to any offers.

3. PHYSICAL LOCATION MUST BE STATED. To qualify for the local preference, a business must have a location in the Albuquerque Metropolitan Area (Abq. Metro Area). The business location inserted on the form must be a physical location, street address or such. DO NOT use a post office box or other postal address.

4. ADDITIONAL REQUIREMENT. To qualify for this preference, the principal Offeror (i.e. the business, NOT the individual signing the form) if it is a corporation, must be a New Mexico corporation with its articles of incorporation filed with the New Mexico Public Regulation Commission.

5. DEFINITIONS. The following definitions apply to this preference:

- The Abq. Metro Area includes all locations within the City of Albuquerque and Bernalillo County, and within any municipality (i.e. incorporated city, town or village) contiguous to the City of Albuquerque and Bernalillo County.

- A resident of the Abq. Metro Area is a person who occupies a dwelling in the Area and who manifests an intent to maintain that dwelling on a permanent basis.

- A principal Offeror is a single Offeror; a business which is the prime contractor or one of the prime contractors and not a subcontractor; or a partner or joint venturer submitting an offer in conjunction with other businesses.

6. ADDITIONAL DOCUMENTATION. If requested, a business will be required to provide, within 10 working days of the request, documentation to substantiate the information provided on the form.

9/24/02

LOCAL PREFERENCE CERTIFICATION FORM

RFP/RFB NO: _____

Business Name: _____

Business Location (in Abq. Metro Area): _____

_____

Business Type: SELECT ONE

- ☐ Corporation -- Indicate state of incorporation. ☞ _____
- ☐ Partnership -- Indicate "general" or "limited". ☞ _____
- ☐ Sole Proprietorship (Single Owner with employees)
- ☐ Individual (Single Owner/No employees)
- ☐ Other - Indicate status. ☞ _____

Additional Information: (PROVIDE IF BUSINESS IS A CORPORATION)

Date of incorporation in the State of New Mexico: ☞ _____

CERTIFICATION

I hereby certify that the business set out above is the principal Offeror submitting this offer or is one of the principal Offerors jointly submitting this offer (e.g. as a partnership, joint venture). I hereby certify that the information which I have provided on this form is true and correct, that I am authorized to sign on behalf of the business set out above and, if requested by the City, will provide, within 10 days of notice, the necessary documents to substantiate the information provided on this form.

Signature of Authorized Individual: _____

Printed Name: _____

Title: _____ Date: _____

YOU MUST RETURN THIS FORM WITH YOUR OFFER

9/24/02

PART 6
DRAFT AGREEMENT

THIS AGREEMENT is made and entered into this ___ day of_____, 2006 by and between the City of Albuquerque, New Mexico a municipal corporation, (hereinafter referred to as the "City"), and _____, hereinafter referred to as the "Contractor"), a _____, whose address is _____.

RECITALS

WHEREAS, the City issued a Request For Proposals for the ISD Division, Department of Finance and Administrative Services, RFP____-____-__, titled "ERP Design and Implementation, dated February 1, 200,7which is attached hereto as Exhibit A, and by this reference made a part of this Agreement; and

WHEREAS, the Contractor submitted its proposal, dated _____, in response to RFP____-____-___, which proposal is attached hereto as Exhibit B, and by this reference made a part of this Agreement; and

WHEREAS, the City desires to engage the Contractor to render certain services in connection therewith and the Contractor is willing to provide such services.

NOW, THEREFORE, in consideration of the premises and mutual obligations herein, the parties hereto do mutually agree as follows:

1. **Scope of Services.** The Contractor shall perform the following services (hereinafter the "Services") in a satisfactory and proper manner, as determined by the City:

A. The Contractor will provide design, build, implementation, and support services as described in the Statement of Work, attached hereto as Exhibit C and by this reference made a part hereof. In the event of a conflict between this Agreement and Exhibit C, this Agreement shall prevail.

B. The Contractor will provide the City with the following deliverables (hereinafter referred to as the 'Deliverables') in a satisfactory and proper manner, as determined by the City:

1) ___
2) ___
3)

C. The Contractor warrants that it is qualified and duly authorized to provide the Services required pursuant to this Agreement. In addition, the Contractor warrants that it has access to the applications, related materials, and other resources necessary for providing the Services, that all Services will be provided in a professional manner consistent with industry standards and that all deliverables will meet the requirements of the City set out in this Agreement.

D. Each of the parties may from time to time disclose to the other party proprietary

or confidential information relating to its business and affairs ("Confidential Information"). Neither party will disclose Confidential Information of the other to any third party without the express written consent of the other party, nor make use of any Confidential Information other than in the performance of this Agreement. Each party will use at least the same degree of care to avoid disclosure of Confidential Information as it uses with respect to its own Confidential Information. Either party may seek injunctive relief to enforce its rights under this section. Confidential Information will be clearly designated in writing as proprietary or confidential. Confidential Information does not include information: (a) generally available to or known to the public; (b)previously known to the recipient; (c) independently developed by the recipient outside the scope of this Agreement; (d) lawfully disclosed by a third party; or (e) disclosed during testimony before any judicial or quasi-judicial court or tribunal. Notwithstanding anything contained herein to the contrary, the City shall not be responsible to the Contractor for any disclosure of Confidential Information which is ordered by a court of competent jurisdiction pursuant to the New Mexico Inspection of Public Records Act (Sections 14-2-1 et seq., NMSA 1978).

E. Upon payment for Services, the City shall have a perpetual, non-exclusive, non-assignable, royalty free license to use for its internal business operations, anything developed by the Contractor and delivered under this Agreement; however, certain deliverables may be subject to City's license of the PeopleSoft software which is the subject of these Services (the :Software"). Ownership and intellectual property rights to any Software-related deliverables developed or delivered under this agreement shall be governed by the terms of that license.

2. <u>Time of Performance</u>. Services of the Contractor shall commence on the date of final execution of this Agreement and shall be undertaken and completed in such sequence as to assure their expeditious completion in light of the purposes of this Agreement; provided, however, that in any event, all of the Services required hereunder shall be completed within 18 months of the date of execution of this Agreement. This Agreement may be extended for up to one (1) additional one-year period upon written agreement of the parties.

3. <u>Compensation and Method of Payment</u>.

A. <u>Compensation</u>. For performing the Services specified in Section 1 hereof, the City agrees to pay the Contractor up to the amount of _____ Dollars ($_____), which amount includes any applicable gross receipts taxes and which amount shall constitute full and complete compensation for the Contractor's Services under this Agreement, including all expenditures made and expenses incurred by the Contractor in performing such Services.

B. <u>Method of Payment</u>. Such amount shall be paid to the Contractor at the rate of _____ Dollars ($_____) per month. Payment shall be made to the Contractor monthly upon receipt by the City of a properly documented requisition for monthly payment as determined by the budgetary and fiscal guidelines of the City and on the condition that the Contractor has accomplished the Services to the satisfaction of the

City.

C. **Appropriations.** Notwithstanding any other provisions in this Agreement, the terms of this Agreement are contingent upon the City Council of the City of Albuquerque making the appropriations necessary for the performance of this Agreement. If sufficient appropriations and authorizations are not made by the City Council, this Agreement may be terminated at the end of the City's then current fiscal year upon written notice given by the City to the Contractor. Such event shall not constitute an event of default. All payment obligations of the City and all of its interest in this Agreement will cease upon the date of termination. The City's decision as to whether sufficient appropriations are available shall be accepted by the Contractor and shall be final.

4. **Independent Contractor.** The Contractor is considered as an independent contractor at all times in the performance of the services described in Section 1. The Contractor further agrees that neither it nor its employees are entitled to any benefits from the City under the provisions of the Workers' Compensation Act of the State of New Mexico, or to any of the benefits granted to employees of the City under the provisions of the Merit System Ordinance as now enacted or hereafter amended.

5. **Personnel.**

A. The Contractor represents that it has, or will secure at its own expense, all personnel required in performing all of the Services required under this Agreement. Such personnel shall not be employees of or have any contractual relationships with the City.

B. All the Services required hereunder will be performed by the Contractor or under its supervision and all personnel engaged in the work shall be fully qualified and shall be authorized or permitted under state and local law to perform such Services.

C. None of the work or Services covered by this Agreement shall be subcontracted without the prior written approval of the City. Any work or Services subcontracted hereunder shall be specified by written contract or agreement and shall be subject to each provision of this Agreement.

6. **Indemnity.** The Contractor agrees to defend, indemnify and hold harmless the City and its officials, agents and employees from and against any and all claims, actions, suits or proceedings of any kind brought against said parties because of any injury or damage received or sustained by any person, persons or property arising out of or resulting from the Services performed by the Contractor under this Agreement or by reason of any asserted act or omission, neglect or misconduct of the Contractor or Contractor's agents or employees or any subcontractor or its agents or employees. The indemnity required hereunder shall not be limited by reason of the specification of any particular insurance coverage in this Agreement.

7. **Bonds and Insurance.** The Contractor shall not commence any work under this Agreement until the insurance required in Exhibit A, Section 1.25, has been obtained and the proper certificates (or policies) have been submitted to the City.

8. Discrimination Prohibited. In performing the Services required hereunder, the Contractor shall not discriminate against any person on the basis of race, color, religion, gender, sexual preference, sexual orientation, national origin or ancestry, age, physical handicap or disability, as defined in the Americans With Disabilities Act of 1990, as currently enacted or hereafter amended.

9. ADA Compliance. In performing the Services required hereunder, the Contractor agrees to meet all the requirements of the Americans With Disabilities Act of 1990 (the "ADA"), which are imposed directly on the Contractor or which would be imposed on the City as a public entity. The Contractor agrees to be responsible for knowing all applicable rules and requirements of the ADA and to defend, indemnify and hold harmless the City, its officials, agents and employees from and against any and all claims, actions, suits or proceedings of any kind brought against said parties as a result of any acts or omissions of the Contractor or its agents in violation of the ADA.

10. Reports and Information. At such times and in such forms as the City may require, there shall be furnished to the City such statements, records, reports, data and information, as the City may request pertaining to matters covered by this Agreement. Unless authorized by the City, the Contractor will not release any information concerning the work product including any reports or other documents prepared pursuant to the Agreement until the final product is submitted to the City.

11. Open Meetings Requirements. Any nonprofit organization in the City which receives funds appropriated by the City, or which has as a member of its governing body an elected official, or appointed administrative official, as a representative of the City, is subject to the requirements of § 2-5-1 et seq., R.O.A. 1994, Public Interest Organizations. The Contractor agrees to comply with all such requirements, if applicable.

12. Establishment and Maintenance of Records. Records shall be maintained by the Contractor in accordance with applicable law and requirements prescribed by the City with respect to all matters covered by this Agreement. Except as otherwise authorized by the City, such records shall be maintained for a period of three (3) years after receipt of final payment under this Agreement.

13. Audits and Inspections. At any time during normal business hours and as often as the City may deem necessary, there shall be made available to the City for examination all of the Contractor's records with respect to all matters covered by this Agreement. The Contractor shall permit the City to audit, examine, and make excerpts or transcripts from such records, and to make audits of all contracts, invoices, materials, payrolls, records of personnel, conditions of employment and other data relating to all matters covered by this Agreement. The Contractor understands and will comply with the City's Accountability in Government Ordinance, §2-10-1 et seq. O.O.A. 1994, and also agrees to provide requested information and records and appear as a witness in hearings for the City's Board of Ethics and Campaign Practices pursuant to Article XII, Section 8 of the Albuquerque City Charter.

14. Publication, Reproduction and Use of Material. No material produced in whole or in part under this Agreement shall be subject to copyright in the United States or in any other country. The City shall have unrestricted authority to publish, disclose, distribute and otherwise use, in whole or in part, any reports, data or other materials prepared under this Agreement.

15. Compliance with Laws. In providing the Scope of Services outlined herein, the Contractor shall comply with all applicable laws, ordinances, and codes of the Federal, State, and local governments.

16. Changes. The City may, from time to time, request changes in the Scope of Services of the Contractor to be performed hereunder. Such changes, including any increase or decrease in the amount of the Contractor's compensation, which are mutually agreed upon by and between the City and the Contractor, shall be incorporated in written amendments to this Agreement.

17. Assignability. The Contractor shall not assign any interest in this Agreement and shall not transfer any interest in this Agreement (whether by assignment or novation), without the prior written consent of the City thereto.

18. Termination for Cause. If, through any cause, the Contractor shall fail to fulfill in a timely and proper manner its obligation under this Agreement or if the Contractor shall violate any of the covenants, agreements, or stipulations of this Agreement, the City shall thereupon have the right to terminate this Agreement by giving five (5) days written notice to the Contractor of such termination and specifying the effective date of such termination. In such event, all finished or unfinished documents, data, and reports prepared by the Contractor under this Agreement shall, at the option of the City, become its property, and the Contractor shall be entitled to receive just and equitable compensation for any work satisfactorily completed hereunder.

Notwithstanding the above, the Contractor shall not be relieved of liability to the City for damages sustained by the City by virtue of any breach of this Agreement by the Contractor, and the City may withhold any payments to the Contractor for the purposes of set-off until such time as the exact amount of damages due the City from the Contractor is determined.

19. Termination for Convenience of City. The City may terminate this Agreement at any time by giving at least fifteen (15) days notice in writing to the Contractor. If the Contractor is terminated by the City as provided herein, the Contractor will be paid an amount which bears the same ratio to the total compensation as the Services actually performed bear to the total Services of the Contractor covered by this Agreement, less payments of compensation previously made. If this Agreement is terminated due to the fault of the Contractor, the preceding section hereof relative to termination shall apply.

20. **Construction and Severability.** If any part of this Agreement is held to be invalid or unenforceable, such holding will not affect the validity or enforceability of any other part of this Agreement so long as the remainder of the Agreement is reasonably capable of completion.

21. **Enforcement.** The Contractor agrees to pay to the City all costs and expenses including reasonable attorney's fees incurred by the City in exercising any of its rights or remedies in connection with the enforcement of this Agreement.

22. **Entire Agreement.** This Agreement contains the entire agreement of the parties and supersedes any and all other agreements or understandings, oral or written, whether previous to the execution hereof or contemporaneous herewith.

23. **Applicable Law.** This Agreement shall be governed by and construed and enforced in accordance with the laws of the State of New Mexico, and the laws, rules and regulations of the City of Albuquerque.

24. **Approval Required.** This Agreement shall not become effective or binding until approved by the City's Chief Administrative Officer.

IN WITNESS WHEREOF, the City and the Contractor have executed this Agreement as of the date first above written.

CITY OF ALBUQUERQUE

Approved By:

_____
Bruce J. Perlman, Ph.D.
Chief Administrative Officer

Date: _____

CONTRACTOR:

By: _____

Title: _____

Date: _____

Fed Tax ID No: _____

State Tax ID No: _____

EXHIBIT A
CITY OF ALBUQUERQUE REQUEST FOR PROPOSALS

EXHIBIT B
OFFEROR'S PROPOSAL

Qualification of Offeror based on Experience

Minimum Experience Requirements: In order to be considered responsive, Offeror must be able to certify that they have experience in the following engagements. References will be required. The engagement must be for work performed within the previous five (5) years. Offeror must have at least 3 unique reference customers who can attest to the experience required below.

1. Offeror has experience in the implementation of Oracle|PeopleSoft ERP Financials version 8.9 in a state or local municipality (this does not include a governmental entity with a single purpose) with a total budget (general fund and enterprise ("revenue") funds) of at least $725,000,000 and an employee population of at least 6,500.

   "Oracle|PeopleSoft ERP Financials" as defined by the City of Albuquerque includes PeopleSoft's FIN modules and Supply Chain modules, including general ledger, purchasing, A/P, A/R, cash management, and billing.

2. Offeror has experience in the implementation of Oracle|PeopleSoft ERP Human Capital Management version 8.9 in a state or local municipality (this does not include a governmental entity with a single purpose) with a total budget (general fund and enterprise ("revenue") funds) of at least $725,000,000 and an employee population of at least 6,500.

   "Oracle|PeopleSoft ERP Human Capital Management" as defined by the City of Albuquerque includes payroll, time and labor, benefits, benefits administration, and human resources.

3. Offeror has experience in the implementation of Oracle|PeopleSoft ERP Enterprise Performance Management version 8.9 in a state or local municipality (this does not include a governmental entity with a single purpose) with a total budget (general fund and enterprise ("revenue") funds) of at least $725,000,000 and an employee population of at least 6,500.

   "PeopleSoft EPM" as defined by the City of Albuquerque includes budgeting, HRMS warehouse, FMS warehouse, project portfolio management, and EPM Portal.

4. Offeror has experience in the implementation of Oracle|PeopleSoft User Productivity Kit (UPK) in a state or local municipality (this does not include a governmental entity with a single purpose) with a total budget (general fund and enterprise ("revenue") funds) of at least $725,000,000 and an employee population of at least 6,500.

5. Offeror has experience in documentation and implementation of organizational change management activities in a state or local municipality (this does not include a governmental entity with a single purpose) with a total budget (general fund and enterprise ("revenue") funds) of at least $725,000,000 and an employee population of at least 6,500.

6. Offeror has experience in knowledge transfer/training of technical support personnel. It is the City's intent to own and operate the ERP system upon the conclusion of the project, and the Offeror's competence in knowledge transfer is essential to make that happen.

I have read the above statements and I certify on behalf of Offeror that the company and persons who will be actively engaged in the proposed project have the experience stated above.

_____ _____

Offeror, by: Date

_____

Printed name of signatory

RFP Number and Title:

Sample Hours by Task by Resource	Project Manager ($170)	Technical Architect ($)	Admin. Asst. ($)	Travel and Living	Principal/QA ($)	Organizational Change Man	Urban Designer ($)	Staff ($)	Direct Costs	Principal ($)	Staff Engineer ($)	Technician ($40)	Direct Costs	Principal ($)	Staff ($40)	Direct Costs	Dr. X	Totals
Phase A - Project Startup																		
A.1 Review Existing Planning and Analysis documents																		
A.2 Review Existing Infrastructure																		
A.3 Review Project Goals and Objectives																		
A.4 Identify OCM needs																		Total
A.5 Build Project Plan																		Phase A
Phase A Subtotals																		
Phase B - Design and Coding																		
B.1 EPM Drivers and Chartfield integration																		
B.2 HR Base design																		
B.3 Base Benefits design																		
B.4 Payroll design																		
B.5 Integration of HR, Benefits, Payroll																		
B.6 Projects Design																		
B.7 Building Common Vision																		
B.8 Dev. Scenarios/Charette																		
B.9 Infrastructure/Service Neds																		
B.10 Fiscal Impacts																		
B.11 Community Review																		Total
B.12 Preferred Scenario																		Phase B
Phase B Subtotals																		
Phase C - Interface Design																		
C.1 PeopleSoft Module integration points																		
C.2 Revenue application integration points																		
C.3 Reporting application integration points																		
C.4 Conversion requirements																		Total Phase C
Phase C Subtotals																		
Grand Totals																		

Note: Direct Costs include printing, travel, materials, etc.
Project totals include fees and direct costs; NM Gross Receipts Tax have not been included. (NMGRT= $10,451)
All Subcontractor costs have been identified.

Flow Chart: Responsibilities by Firm

Responsibilities by Firm	ABC Corporation	Dr. John Smith	Jones & Company	XYZ Planners, Ltd.	Jon Paislee, Ph.D.	City Planning/PWD
Site Analysis/Goals	■		■		■	■
Public Participation Process	■				■	■
Economic Research/Trends	■			■		■
Map Benefits and Constraints	■		■			■
Policy Review/Other Studies	■	■	■	■	■	■
Inter-Agency Coordination	■		■		■	■
Development Scenarios	■	■	■	■	■	■
Workshop/Charette	■		■	■	■	■
Infrastructure Estimate		■	■			■
Preferred Development Scenario	■		■	■	■	■
Sub-Area Implementation Strategy	■	■	■	■		■
Implementation Review Process	■			■		■
Final Plan Preparation	■			■		

RFP Number and Title:

	Principal ($70)	Design/Fiscal ($555)	Staff ($35)	Direct Costs	Principal ($100)	Associate Planner $75)	Urban Designer ($65)	Staff ($45)	Direct Costs	Principal ($90)	Staff Engineer ($60)	Technician ($40)	Direct Costs	Principal ($90)	Staff ($40)	Direct Costs	Dr. X	
Phase A - Goals and Issues																		**Totals**
A.1 Review Existing Planning	1,050	660				450								900				
A.2 Review Existing Infrastructure	1,050					450				4,410	1,200	400		900				
A.3 Goals and Objectives	1,400		210		200	600								540				
A.4 Establish Public Participation	1,400		210															Total
A.5 Establish Multi-Cultural Forum	840		175														1000	Phase A
Phase A Subtotals	$8,995			$505	$1,700				$500		$6,010			$2,340		$500	$1,000	$19,550
Phase B - Sub Area(s) Development																		
B.1 Economic Trends	4,200	660	210			300								900	500			
B.2 Map Benefits & Constraints	580	2,200				600				900	600	2,000		540				
B.3 Overlay Public/Private Plans	580	2,750				300				900	600	800		540				
B.4 Coordinate Other Studies	1,880					300								540				
B.5 Service Level Perf. Standards	1,680													2,700				
B.6 Regional/Sub-Area Issues	840													1,800	500			
B.7 Building Common Vision	3,150		210		200	600				1,800		800		540			1,000	
B.8 Dev. Scenarios/Charette	2,940	2,750	210		4,000	9,225	7,670	6,390		4,500	3,000			2,700			2,000	
B.9 Infrastructure/Service Neds	1,050	660				660					3,600	2,400		540				
B.10 Fiscal Impacts	1,680	5,500								900		800		540	500			
B.11 Community Review	2,800	660			800	600				900		800		720			1,000	Total
B.12 Preferred Scenario	1,050	825	175		400	1,200	1,040	1,080						720				Phase B
Phase B Subtotals	$39,000			$1,500	$35,305				$4,195	$25,300			$2,000	$14,280		$1,000	$4,000	$126,500
Phase C - Sub Area(s) Implementation																		
C.1 Regional Agency Strategy	2,800		350		100	300								3,150				
C.2 Sub Area Strategy	2,800		350		100	300								3,330				
C.3 Funding Approaches	2,800	220	350			300					300	400		2,700				
C.4 Action Strategy (& Final Report)	3,850		1,400		200	300								2,700	1,000		1,000	Total Phase C
Phase C Subtotals	$14,920			$1,080	$1,600				$500	$700				$12,880		$1,000	$1,000	$33,680
Grand Totals	$64,000				$43,800					$34,010				$32,000			$6,000	$179,810

Note: Direct Costs include printing, travel, materials, etc.
Project totals include fees and direct costs, NM Gross Receipts Tax hae not been included. (NMGRT= $10,451)
All Subcontractor costs have been identified.

Flow Chart: Responsibilities by Firm

Responsibilities by Firm	ABC Corporation	Dr. John Smith	Jones & Company	XYZ Planners, Ltd.	Jon Paislee, Ph.D.	City Planning/PWD
Site Analysis/Goals	■		■		■	■
Public Participation Process	■				■	■
Economic Research/Trends	■			■		■
Map Benefits and Constraints	■		■			■
Policy Review/Other Studies	■	■	■	■	■	■
Inter-Agency Coordination	■		■		■	■
Development Scenarios	■	■	■	■	■	■
Workshop/Charette	■		■	■	■	■
Infrastructure Estimate		■	■			■
Preferred Development Scenario	■		■	■	■	■
Sub-Area Implementation Strategy	■	■	■	■		■
Implementation Review Process	■			■		■
Final Plan Preparation	■			■		

Project Schedule
(or Project List)

TASKS	MONTHS											
	1	2	3	4	5	6	7	8	9	10	11	12
Analysis, Goals and Issues												
Review Existing Planning												
Review Existing Infrastructures												
Goals and Objectives with City												
Public Participation												
Establish Multi-Cultural Forum												
Sub-Area(s) Development												
Social and Economic Trends												
Maps Benefits and Constraints												
Overlay Public/Private Plans												
Coordination with Other Studies												
Service Level Standards												
Regional, Sub-Area Issues												
Development Scenarios (Workshop)												
Infrastructure Service Needs/Costs												
Fiscal Impact Analysis												
Preferred Development Scenario												
Sub-Area Implementation												
Regional Agency Strategy												
Sub-Area strategy												
Funding Approaches												
Action Strategy												
Meetings												
Inter-Agency Technical Team	■		■			■			■		■	
Public/Neighborhood			■			■			■		■	
City Staff (Monthly)	■	■	■	■	■	■	■	■	■	■	■	■
Multi-Cultural Forum	■		■			■			■		■	

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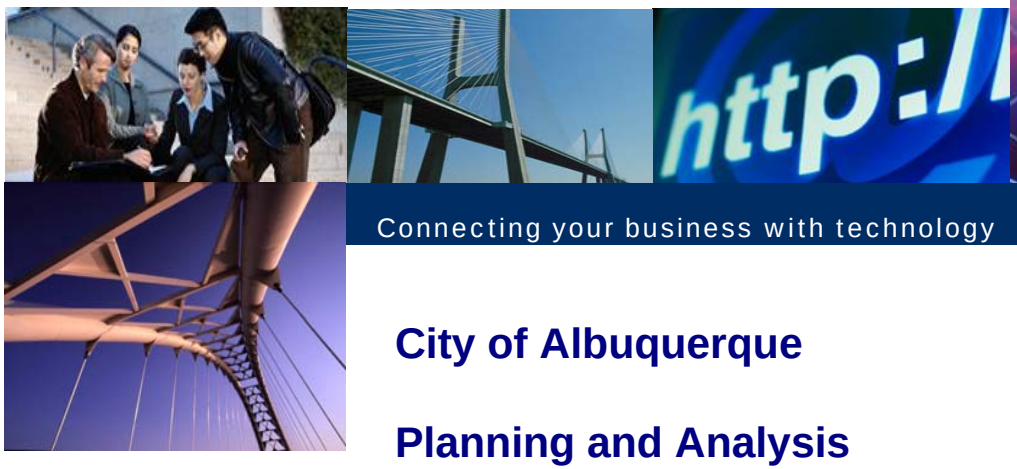

Connecting your business with technology

City of Albuquerque

Planning and Analysis
Fit Gap Summary
Account Payables
January 11, 2007

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Building 7
Marietta, Georgia 30067

www.skybridgeglobal.com

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1 Fit Gap Approach and Overview

PeopleSoft offers a suite of software applications used to perform various operations and functions within an organization. There are many PeopleSoft modules such as Human Resources (HR), Project Costing (PR), General Ledger (GL), Accounts Payable (AP), Purchasing, etc. The purchasing and accounts payable processes are closely related. The Purchasing module accommodates an effort to procure either a service or a product for business needs. The Purchasing module performs activities such as requisitions, requests for quotation, and purchase orders (PO) with vendors. The Accounts Payable module pays the vendor for services or products procured by the Purchasing module. The Accounts Payable module performs activities including entering invoices into PeopleSoft in the form of vouchers, verifying information from the PO, allowing the Receiver to match items received to the PO, and finally cutting the check to the vendor. This Fit/Gap Session is part of Business Process Analysis (BPA) for the implementation of the Accounts Payable module.

The objective of the Fit/Gap Session is to develop an effective means to determine the approach by which the business requirements are fulfilled efficiently by the software and in a manner that can be supported by the City of Albuquerque in the future. “Best practices” guidelines should be established and adopted. Once adopted, these are the guidelines that the organization should follow in utilizing the software to meet business needs.

The business processes developed and documented during the BPA Sessions are modelled using the PeopleSoft software. The Fit/Gap Sessions provide the opportunity to test the required business processes to determine if the software provides a fit to accommodate the business process needs.

Prior to the start of the Fit/Gap Sessions, a prototype environment was established. Utilizing the prototype environment, SkyBridge Global began the process of modelling specific business needs and reviewing results to determine acceptability or “fit.” During this process, various scenarios were developed and tested and resulting output analyzed.

The business requirements gathered were reviewed. In the event that the delivered software does not provide a fit, several steps have been identified. First, justify that the business requirement truly exists and that it has the backing of management. If determined that the business process is needed, examine other means to fulfil the requirement. For instance, examine changing business procedures within the organization such as changing business process flow or other

available sources of the needed information. In the event that alternative procedures do not provide a fit for the business requirement, the failure to fit and the alternative means pursued in an attempt to achieve a fit should be documented.

At this point a request for modification of the out-of-the-box functionality of the PeopleSoft software should be developed. For each modification desired, functional team members must clearly state the objective and thoroughly document the needs in a development request. The development request must have support and approval of the appropriate level of management. Once complete, the developers must review the request for feasibility and estimate the time and any impact the request may have in other areas of the software. In addition, consideration must be given to the impact the modification may have on future upgrades.

Walkthrough of PeopleSoft Screens

In the Fit/Gap sessions the following best practice application functionality was demonstrated to the attendees.

Topic
Vendor Entry
Voucher Entry
Receiver Entry (Purchase Order module handles this function)
PO / Receiver Worksheet (Purchase Order module handles this function)
Voucher Approval
Voucher Budget Checking (For reporting purposes commitment controlled at AP)
Matching
Voucher Payments
Pay Cycle Manager
Void Checks
Voucher Inquiry
Payment Inquiry
Voucher Accounting Entries

Executive Summary

This phase of the project shows the “best practice” processes in PeopleSoft, how these practices meet the Department’s needs, and gaps identified between delivered functionality and the Department’s needs. This information assists each module lead when configuring the system. These sessions further validate the “To-Be” business processes.

The session consists of the following procedures:

- Review of previous fit/gap sessions, if applicable
- Review of PeopleSoft “To-Be” process flowcharts
- Walk through PeopleSoft screens and processes
- Comparison of walkthroughs to Business Requirements
- Business Process Reengineering (BPR) findings

As a result of the above procedures, the following outcomes were documented:

- Notes on “To-Be” process flowcharts
- Configuration decisions and issues
- Gap Analysis
- BPR recommendations
- Workarounds

- Changes to business processes
- Customizations

The fit/gap session audience includes representatives from each Department area that are responsible for configuration of Accounts Payable and reporting. The reporting needs will be reviewed at a later date and reporting requirements will be determined at that time.

2 Session Attendees and Role

Session Attendee	Attendee #	Role	Department
Jay Reddy Gundampalli	1	ERP Consultant	SkyBridge
Gerri Maurino	2	AP SME	AP
Mariela Salaz	3	AP	AP
Patrisia Sanchez	4	AP	AP
Kerri Baum	5	AP	AP
Linda Sprunk	6	AP	AP
Terri Maestas	7	AP	AP
Denise Munoz	8	AP	AP
Teresa Geoffrion	9	AP	AP
Naydene Castaneda	10	AP	AP

3 Session Dates

Session Date	Topics	Notes	Attendees
16/01/07	Initial Fit Gap-Presentation of Initial Prototype	AP Business Unit, AP SetID, Vendor Creation, vendor contacts, vendor attributes, 1099 attributes setup at vendor level etc Voucher (INVOICE) creation, Voucher posting, voucher options etc	ALL
17/01/07	Matching & payments	Matching process, manual payment, express payment, batch process payments, payment terms setup, positive pay, pay cycle manager setup etc	ALL
18/01/07	AP integration with bank, projects etc	RISK MANAGEMENT, BANK STATEMENTS.	ALL

4 Data Used

City of Albuquerque AP currently operates independently and processes all vouchers through the GEAC AP system. Invoices are entered into the system as soon as the AP department receives the invoice. Subsequently invoice images are copied into the City's image capturing system (FILENET). After matching the release number (some kind of departmental confirmation number) and quantity, payment information will be sent to BOTTOMLINE for printing checks. The AP department receives invoices from all the departments (manually?) and also from the Risk Management computerized system with an automated data feed.

In order to show the account payable functionality, the PeopleSoft system was configured with City of Albuquerque vendor data. Ten Vendors were configured with and without withholding setup to distinguish the 1099 processing. The system was also configured for the City of Albuquerque bank information and accounting information (General Ledger). To demonstrate account payable functionality in PeopleSoft with City data, the configuration data was collected from the existing legacy system with help of business users.

5 Significant Gaps

Vendors

1. In the existing GEAC AP system, invoice information is received with the help of an automatic feed from GENSOURCE (used for claims management and workers compensation). Upon paying the invoice, the GEAC AP system sends the payment information back to GENSOURCE. The current system is using unique vendor information to process transactional information between the two systems.

   Going forward it is recommended to use the same GENSOURCE for claim and worker compensation processing. In the new business process, the PeopleSoft system will be receiving invoice information from GENSOURCE (Risk Management) by vendor and subsequently the PeopleSoft system will be sending payment information back to GENSOURCE. For security reasons (best practice approach) in the new business process, it is recommended to use auto numbered vendor ids. This requires vendor conversion on both PeopleSoft & GENSOURCE systems. GENSOURCE team members implied that GENSOURCE is 3rd party licensed software, and it would be most cost effective to change vendor ids so vendor ids are synchronized on both systems.

   We have two best practice approaches to resolve this GAP. 1) This gap can be bridged by doing the full vendor conversion on both the systems so they match; or, 2) If the first approach (vendor conversion) is not cost effective, then do the vendor translation and validation every time an invoice is received and every time payment is sent through the interface programs. (In order to integrate PeopleSoft and GENSOURCE, it may require two custom interface programs; one to feed the invoices to PeopleSoft and the other one to feed payment information back to GENSOURCE).

Vouchers (invoices)

1. In the existing business process, vendor invoices are scanned into an image capturing system (FILENET) and linked to the GEAC AP system for subsequent business processes like matching, reviewing, paying, etc. At the end of all AP business activities, the image capturing system (FILENET) will have matching release information, PO information, and payment information along with an image of the invoice. This business process is very important from the City's auditing point of view.

   PeopleSoft doesn't support document association (storage) from the voucher application, but it has a built-in table structure to store invoice information from the voucher application. From the PeopleSoft AP business processing point of view, it doesn't require any image capturing integration but from an auditing point of view we have to capture and maintain the invoice information for 7 years. This image capturing business process is a gap.

   To fill this gap, there are three recommended approaches 1) Use FILENET for image capturing. Upon receiving invoices from different departments, the AP department could capture invoice images into FILENET and enter only the invoice number and save the image in FILENET. Update the FILENET invoice image with all relevant information related to matching and payment processing and check printing with help of a custom feeder program. 2) The City could look for a new image capturing system which has direct integration with PeopleSoft. 3) Some PeopleSoft applications use acknowledgement processing, by creating a custom acknowledgement application system that can attach PDF documents for review.

6 Process/Contract Change Needs

The payment process and check printing process in the PeopleSoft process is a complete process change for the City of Albuquerque. In the existing business process, payment checks are printed from the BOTTOMLINE application onto the pre-configured printers and check stock. A decision needs to be made on the check print business process. The recommended alternative is to print checks directly from the PeopleSoft application (without the use of BOTTOMLINE), which would allow the use of blank checks rather than check stock..

Some of the benefits when printing checks from PeopleSoft:

- Issues with check number mismatch between the system and check stock are eliminated. The last check number used is kept by the system and is only available to be modified by Environment Table Set Up Developer (ETSD, a configuration table applicable to all of the AP module).
- Issues with check numbering confusion during printer jams are eliminated. When checks are voided, numbers will not be reused. The PeopleSoft system keeps track of all voided payments.
- Cost of changing banks is minimized/check numbering scheme remains intact. The check layout, design and check stock are interchangeable to any bank account.
- PeopleSoft will not have to be customized to fit with the City's current business practices. This will facilitate PeopleSoft support post-production as well as reduce the costs related to upgrading modifications. If PeopleSoft check printing delivered functionality (i.e. laser printed checks) is not used, a customization will be necessary that would electronically send the check information to an existing City-approved check printer.
- Although one system is used, each Business Unit can pay each vendor using a common payment methodology but with separate check runs. By default, payments to vendors are consolidated at the Business Unit level.
- Segregation of duties and PeopleSoft-delivered approvals will help reduce exposure to fraudulent check activity that would not otherwise be caught by Positive Pay. Such approvals include, but are not limited to, voucher approval, pay cycle approval, vendor approval and trial register approval.

7 Legislation Change Needs

None noted at this time.

8 Security Concerns

There is a security concern in giving full access to Vendor creation, voucher creation, and running pay cycle managers to many business users. In the existing business process most of the business process activities are scattered across different modules and strict security controls are not enforced.

Going forward, as a best practice, it is suggested that business users see only that data and perform only those functions that are necessary to fulfil their jobs. Therefore, it is highly recommended to use PeopleSoft-delivered security models to enforce appropriate authentication controls. The primary objective of implementing security is to ensure that the appropriate controls are in place to provide access to information and functionality to those who are authorized, while restricting access to those who are not. The design of a security model and the development of processes that will be used to administer security play an integral role in the successful implementation of this system.

PeopleSoft provides a number of options for controlling user access to the online database. In PeopleSoft Financials, the areas that control access include PeopleTools Security, Definition Security and Row-Level Security. These areas allow you to control the access to data, using evaluation like what information data is available using what tool, who can process transactions, and who can sign on to the databases at what times, etc. Additional security controls and rules may be defined within each of the PeopleSoft modules.

Several roles will be established in Accounts Payable namely:

AP Super – security access to all pages, reports, and processes in the Accounts Payable module

AP Manager – security access to all in-scope pages, reports, and processes in the Accounts Payable module

AP Supervisor – security access to in-scope administrative pages, specific processes, reports, and display-only access to non-administrative pages in the Accounts Payable module

AP Clerk – security access to financial pages, financial reports, and specific display-only access to non-financial pages in the Accounts Payable module

AP Approver – Security access to Approver page and necessary inquiry pages of the Accounts Payable module.

Specific access to menu items, processes, and reports will be established for these roles. Workflow approval authority will also be granted to the appropriate roles. Security access to Set IDs and Business Units will be restricted by User ID.

9 Open Issues/Information Needed

Configuration Decisions and Issues

Vendors

Sharing vendors among all City of Albuquerque departments is currently under review by the Accounts Payable and Purchasing module. Going forward, one of these departments needs to take complete responsibility for vendor creation.

In the existing system, vendor SSN or FEDERAL ID is used as vendor id. Going forward, from the security point of view, it is recommended to use the PeopleSoft unique vendor id auto-generation number feature. An agreement needs to be reached both on the vendor numbering convention and update of vendor data.

Vendors will be pre-approved. (The business unit users in the fit/gap sessions indicated there was no desire to use the vendor approval workflow.)

Vouchers

Vouchers (invoices) are pre-approved. (The business unit users in the fit/gap sessions indicated there was no desire to use the vendor approval workflow.)

Budget Check prior to Approval

The system will be initially configured to allow budget checking prior to the approval of vouchers.

Accounting Templates

Accounting templates will be established for all Accounts Payable vouchers

Restricted – For vouchers created to restricted funds

Unrestricted – For all other vouchers

Template Vouchers

Template vouchers should be initiated for all utility invoices.

Payment and Check Printing

It is recommended to print checks from PeopleSoft which may require printer configuration, MICR, signature scanning, etc. For payment processing, City-specific payment terms and pay groups will be set up in the system.

10 Legacy System Data Requirements

The only legacy data which is required for this new implementation is the listing of Vendors. Vendor data needs to be converted into PeopleSoft through an appropriate conversion method. Vendor profile may be entered from simple details like vendor name, address, and location to more elaborate details like personal information, wealth information, payment information, etc. Please see the conversion strategy and conversion mapping (AP_Vendor_Conversion_Plan.xls) document for details. PeopleSoft stores the vendor profile information into different predefined tables according to the nature of the attributes. While doing the conversion, it is recommended that the City use the mapping document to store appropriate information and defaults in appropriate tables. Please see the table below for the vendor table structure in PeopleSoft.

Before entering or converting vendors in the PeopleSoft system, the following prerequisite steps need to be completed:

- Establish the vendor set controls by setID on the Vendor Set Control page, where we can define whether to use auto-numbering, whether to display withholding or value-added tax (VAT) information, and whether electronic funds transfer (EFT) pre-notes should be generated for vendors who request that payment method.
- Define vendor approvers using the User Preferences component.
- Define ship-to locations.
- (Optional) Define pay group codes.

- (Optional) Set up withholding (for withholding-applicable vendors only)
- (Optional) Set up tax information.
- (Optional) Set up bank accounts (for vendors who can be paid by electronic funds transfer).
- (Optional) Define government certifications.
- (Optional) Set up matching options.
- (Optional) Set up the accounting entry template.

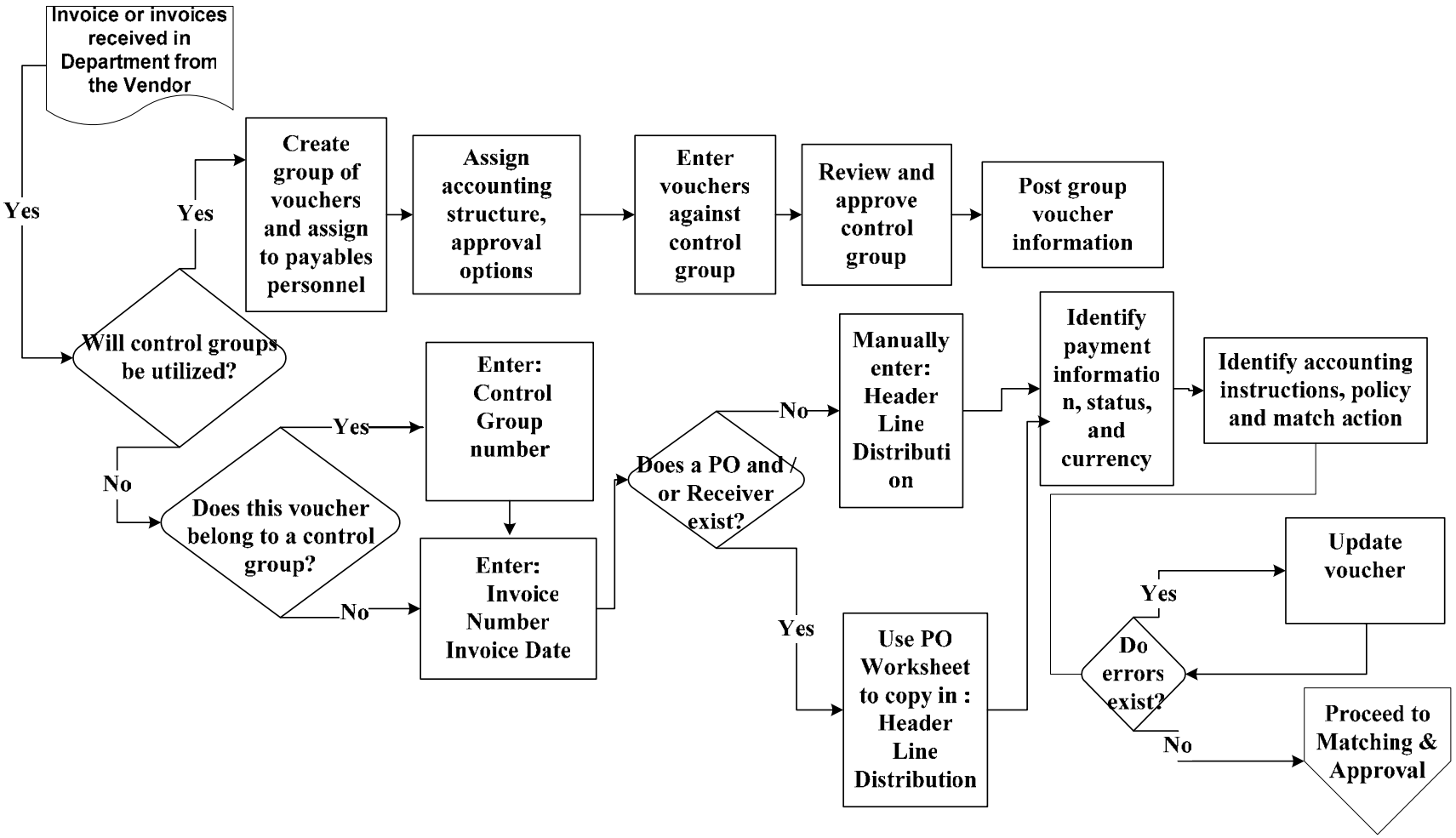
VENDOR				
Sheet Number	**Table Name**	**Type of Information**	**CITY Use?**	**Must Use?**
1	VENDOR	Base Information	Yes	Yes
2	VENDOR_ADDR	Address Information	Yes	Yes
3	VNDR_ADDR_SCROL	Index to Address Tables	Yes	Yes
4	VENDOR_LOC	Location Information	Yes	Yes
5	VNDR_LOC_SCROL	Index to Location Tables	Yes	Yes
6	VENDOR_PAY	Payment Processing Specifications	Yes	Yes
7	VENDOR_CNTCT	Vendor Contact Information	Yes	Yes
8	VNDR_CNTCT_SCR	Index to Contact Tables	Yes	Yes
9	VENDOR_INVOICE	Invoice Processing Specifications	Yes	Yes
10	VNDR_BANK_ACCT	Electronic Payment Information	Yes	Yes
11	VENDOR_ID_NBRS	Additional Id Numbers (D&B Numbers)	No	Optional
12	VNDR_LOC_ID_NBR	Additional ID numbers associated with locations	No	Optional
13	VNDR_CNTCT_PHN	Contact Phone Numbers	Yes	Optional
14	VENDOR_TYPE	Type Codes	Yes	Optional
15	VENDOR_WTHD	Withholding Data (1099)	Yes	Optional
16	VENDOR_WTHD_JUR	Withholding Type	Yes	Optional
17	VENDOR_ADDR_PHN	Vendor Phone Numbers	No	Optional

18	VENDOR_CONVER	Vendor Conversation Information	No	Optional
19	VNDR_IND_CLASS	Standard Industry Code Classification	No	Optional
20	VNDR_URL	Internet Address	No	Optional
21	VNDR_VAT_RGSTRN	VAT Information	No	Optional
22	VNDR_GOV_SRC	Vendor Government Sources	No	Optional
23	VNDR_GOV_CERT		No	Optional
24	VNDR_HDR_IND_CL	Vendor Header Ind Class. Codes	No	Optional
25	VENDOR_CONTROL	Controls for a Set of Vendors	No	Optional
26	WTHD_CD_DTL	Withholding Code Detail	No	Optional
27	VNDR_RTV_FEE		No	Optional
28	VNDR_IBANK_WS	Vendor Intermediary Bank Accts	No	Optional
29	VNDR_IBANK_ACCT	Vendor Intermediary Bank Accts	No	Optional

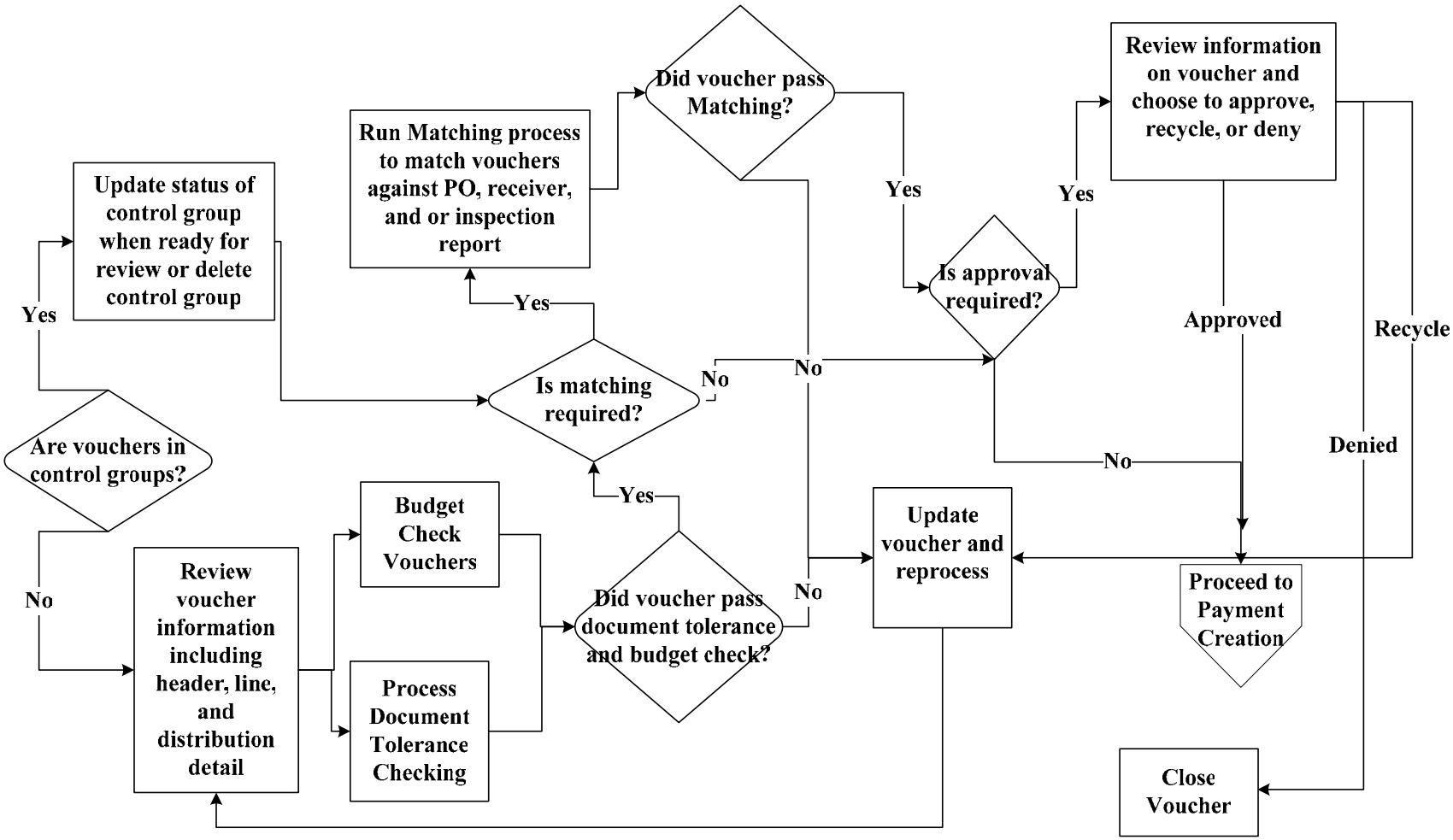
11 Future Phase Documentation

Preliminary Review of PeopleSoft “To-Be” Processes

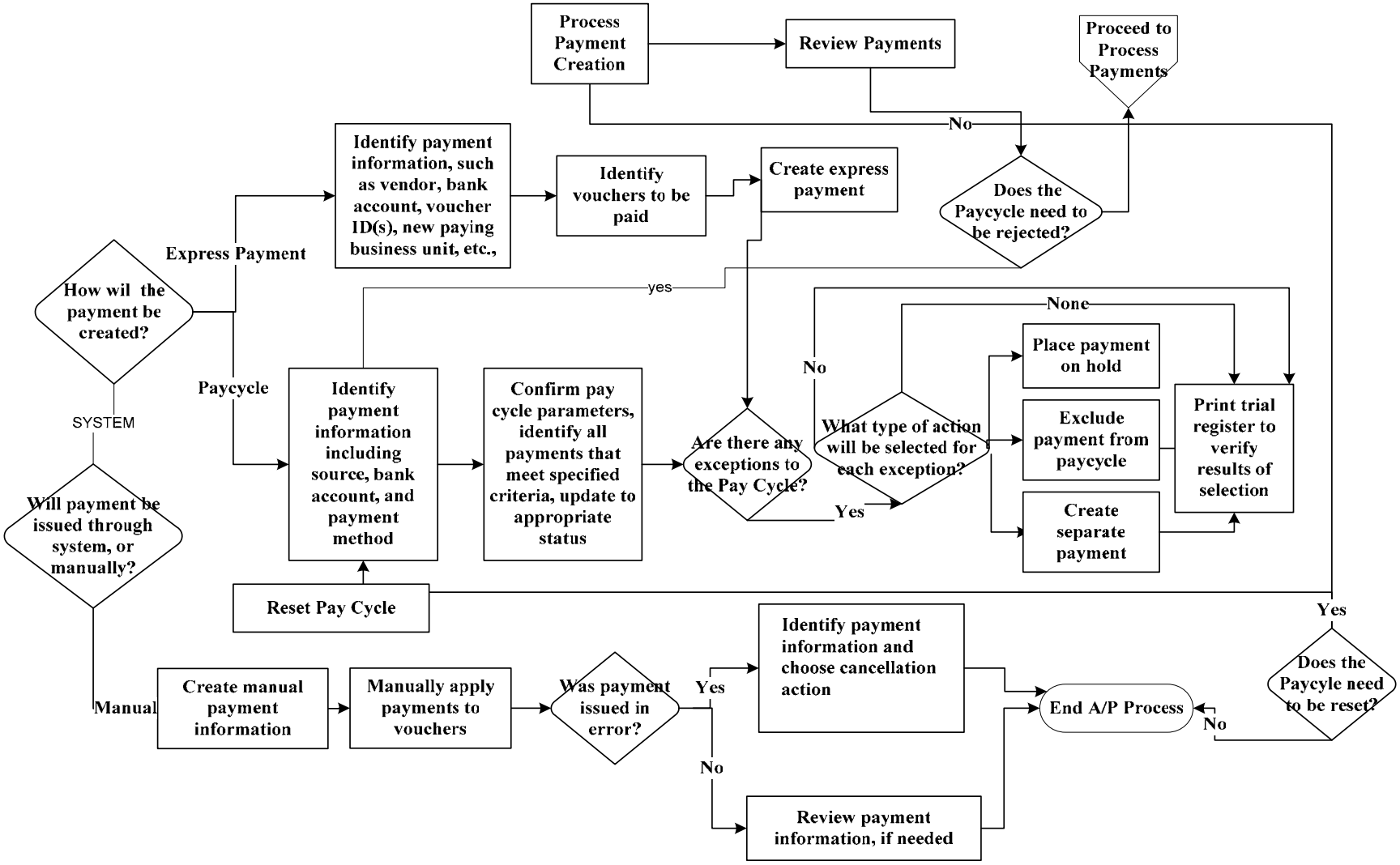
1. Voucher Entry – This diagrams the process of how vouchers are entered in the system (both online and from a PO), and initially saved.



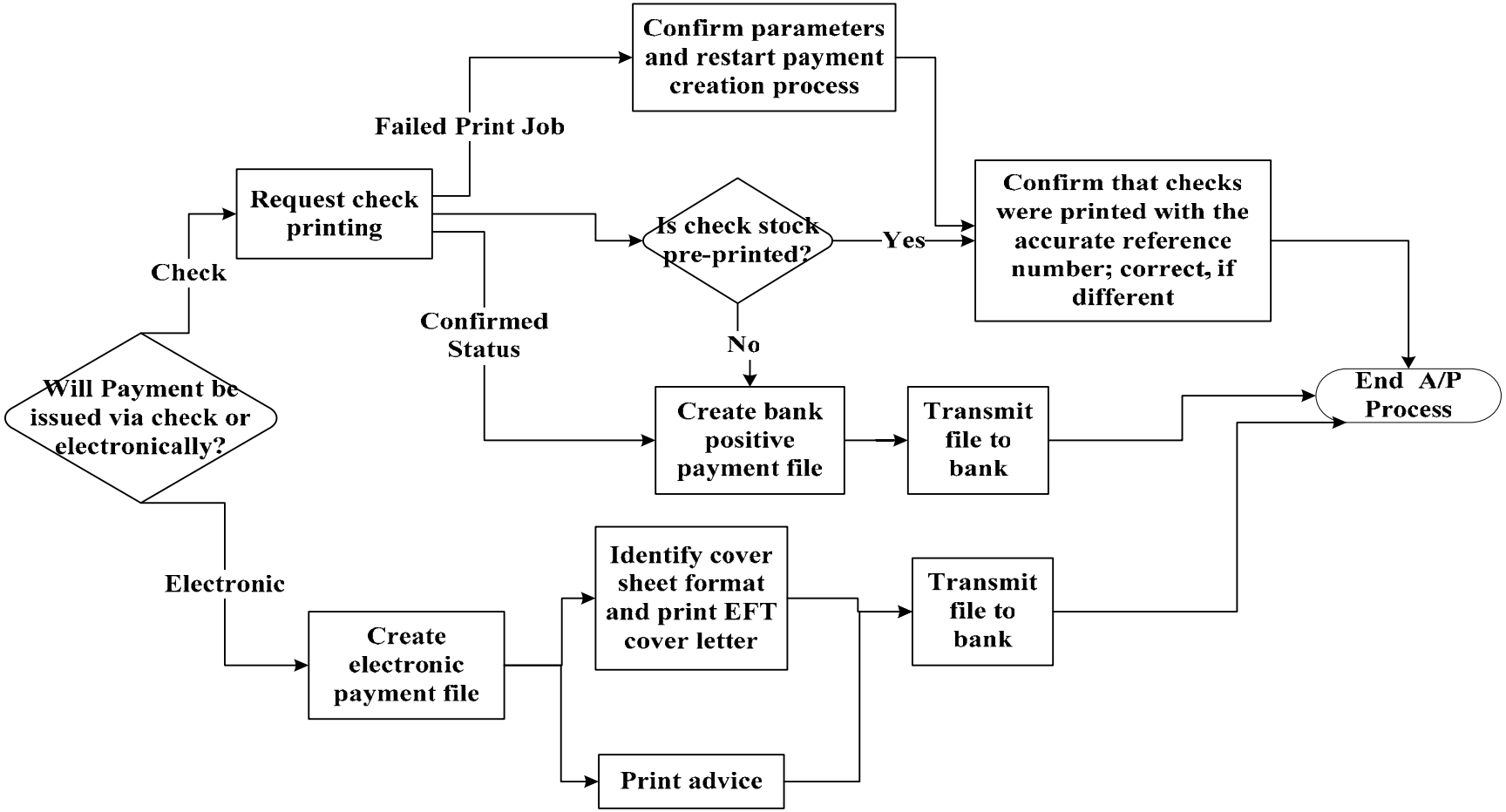
2. Approval & Matching – After the initial save, vouchers are approved, their amounts are checked against the budget for funding. If the voucher was initiated from a PO, it is checked for tolerance and matched according to the match rules (2 way – matched against PO, 3 way – matched against PO, and receiver 4 way – matched against PO, receiver and inspection rules). The voucher must pass all of these processes before it can be selected for payment.


Update status of control group when ready for review or delete control group
Yes
Are vouchers in control groups?
No
Review voucher information including header, line, and distribution detail
Budget Check Vouchers
Process Document Tolerance Checking
Run Matching process to match vouchers against PO, receiver, and or inspection report
Yes
Is matching required?
No
Yes
Did voucher pass document tolerance and budget check?
No
Did voucher pass Matching?
Yes
No
Is approval required?
Yes
No
Review information on voucher and choose to approve, recycle, or deny
Approved
Recycle
Denied
Update voucher and reprocess
Proceed to Payment Creation
Close Voucher

3. Payment Selection – Vouchers that have cleared Approval and Matching are selected for payment.



4. Payment Creation – Selected payments are created or cancelled if done in error.



5. Each part of the flowchart referred to here needs to be reviewed.

Implementation Scope

This document covers the Accounts Payable module. The Department will implement the following functionality for the specified modules at go-live.

Accounts Payable will be rolled out to the City Of Albuquerque finance department.

The City Of Albuquerque finance department will have one unique Set ID with the value COABQ and one shared Set ID for shared record groups with the value SHARE.

The City Of Albuquerque finance department will have one unique Account Payable Business Unit with the value COABQ. The City of Albuquerque department will have one unique Purchasing Business Unit with the value COABQ. The COABQ Purchasing Business Unit will be used for the issuance of purchase orders and procurement contracts that will be by voucher and paid by the City Of Albuquerque Payables Business Unit.

The City Of Albuquerque finance department will have one unique Currency Code with the value USD (US Dollars),, will have one unique Language Code with the value English, and will have one unique Market Rate with the value CRRNT (Current Rate).

The following Accounts Payable functionality is deemed to be within scope.

Functionality	In Scope	Functionality	In Scope
Regular Vouchers	Yes	Document Tolerance	Yes
Template Vouchers	Yes	Budget Checking	Yes
Adjustment Vouchers	Yes	EFT Payments	Yes
Journal Vouchers	Yes	Pay Groups	Yes
PO / Voucher Worksheet	Yes	1099 Withholding	Yes
Workflow Approval	Yes but the City is not interested.	Control Groups	Yes
Matching	Yes		

Business Process Decisions

The significant business process decisions are as follows:

In PeopleSoft, all vouchers will be input to mimic the invoice, i.e., each voucher should equate to one and only one invoice, and each voucher line should equate to one invoice line.

All City Of Albuquerque finance department business processes are in accordance with the New Mexico Payment Act.

City Of Albuquerque will capture vendor bank information for the initiation of ACH transfers where appropriate.

Routing of direct invoices will go directly to the individual responsible for the product or service. Then the invoice will be sent to Accounts Payable for entry.

Utility bills or rentals (if any) will be input utilizing template vouchers.

Federal ID numbers will be captured on the appropriate field within the vendor tables.

Employees receiving expense report payments will be paid via Accounts Payable.

Vouchers will be immediately entered into the system with pre-approval and matching processes online prior to payment. (The business unit participants involved in the fit/gap session indicated that the City does want voucher approval work flow.)

Vendors will be pre-approved. (The business unit participants involved in the fit/gap session indicated that the City does want voucher approval work flow.)

Configuration Setup

Accounts payable module control structure (setup tables) will need to be set up before entering transactional data into the system. The following table lists high level categories and setup requirements for the Accounts payable module.

Configuration Setup
Business Unit Related
• Procurement Control
• Payables Definition
• Payables Options
Common Definitions
• Accounting Entry Templates
• Business Calendar
• Locations
• On-Demand Processing
• Units of Measure
• User Preferences
Product Related (Procurement Options)
• Document Tolerance Definition
• Payment Handling Codes
• Payment Messages
• Payment Terms Timing

Configuration Setup
• Payment Terms Single Payment
• Receipt Aware Criteria
• Match Rules
• Match Rules Criteria
• Matching Amount Tolerance
• Matching Quantity Tolerances
• Voucher Origin
• Vendors
• Speed Charts
Banking
• Bank Accounts
• Payment Forms
•

Technical Impacts

Conversions

Current legacy data will be converted into Accounts Payable either by automated conversion or manual methods. A preliminary listing of conversions can be referenced in the AP conversion documents. According to the original plan it was determined that no historical data will be converted from the legacy system. If the go live date falls in mid-year then it is recommended to convert only open invoice data from the go-live year. Previous history will be left in the legacy system or DSS.

- Vendor conversion—it may require a significant amount of clean up work (data cleansing) because the vendor list is very large and contains all active and inactive vendors. In the existing system vendor grouping is used to distinguish a single vendor with 2 addresses; in the address field, a secondary address is entered.

- Open invoices must be converted for a mid-year conversion.

Archive Requirements

The City of Albuquerque Accounts Payable department wants to archive inactive and old vendor data. It is recommended that the City use vendor inactivate functionality and the vendor archival process for archiving.

12 Requirements/Fit Gap Document

In the first stage of business process analysis, we gathered the following business process requirements and identified appropriate business process activity.

Following are some of the requirements to consider in developing the "To-Be" processes:

Req#	Functional Requirement	Met Config	Met BPR	Met Bolt-on	Narrative/Justification
Vendor Information					
AP-1	City of Albuquerque requires the ability to maintain vendor information, name, address, remit to, contact, conversation and other basic business information	Yes			PeopleSoft delivers the ability to maintain vendor information from vendor setup pages.
AP-2.	City of Albuquerque requires the following name standard for vendor creation. **Employee—Last name, First name. Middle name** **Regular Vendor- Entered as it is given by vendor**	Yes			PeopleSoft delivers the ability to enter in the required format.

AP-3.	City of Albuquerque requires to enter long names for vendors (For certain vendors the vendor name is going to be too long)		Yes		PeopleSoft delivered vendor name field supports only 40 characters for name1 and 40 characters for name2. If the name is longer than 250 characters then the requirement can only be met with a bolt on. Gerri told me that the max length is only 30 to 35 characters
AP-4.	City of Albuquerque requires the option to enter optional address information. (In the existing system optional address will be entered between the main address)	Yes			PeopleSoft delivered vendor address pages & sub-pages records all necessary vendor address. We have address3 & address4 field size of 55 char to enter this information.
AP-5.	City of Albuquerque requires the option to enter vendor-related comments and other conversation information	Yes			PeopleSoft delivered optional comment pages to enter this information. PeopleSoft system also provides conversation pages to enter vendor conversations
AP-6.	City of Albuquerque requires the option to enter vendor information by parent node and groups (ex—Office Max may have one parent name but under groups we may have more Office Max vendor names)		Yes		This requirement can be accomplished by either vendor type or by entering an alpha numeric
AP-7.	City of Albuquerque requires the ability to maintain withholding information to comply with IRS regulations	Yes			PeopleSoft provides the ability to maintain withholding information at vendor level
AP-8.	City of Albuquerque requires the ability to maintain 1099 information and generate 1099 reports and an IRS file	Yes			PeopleSoft provides the ability to maintain withholding information at vendor level and also provides various options to generate reports and files.

AP-9.	City of Albuquerque requires the ability to share vendor information with other modules (Purchasing and Risk Management divisions may share vendor information)	Yes			PeopleSoft allows sharing vendor information under "SHARE" setid. It has built-in integration functionality with the Purchasing module. Gensource is an external system and has no direct integration with PeopleSoft. In order to maintain synchronized vendor information in both systems, we may still use a manual adjustment business process as we do today.
AP-10.	The ability to approve/disapprove vendors for payments, (This business process does not currently exist in the City)	Yes			PeopleSoft system provides a unique security feature to approve and disapprove a vendor by AP specialists
AP-11	The ability to automatically assign vendor numbers	Yes			PeopleSoft system provides auto-numbering feature to assign unique next number for vendors and voucher (invoice). In the existing business process SSN OR EIN is used to create the vendor id. PeopleSoft provides both options for creating a vendor id. (i.e. using auto number feature and allowing the City to enter a custom alpha-numeric id)
AP-12	City of Albuquerque requires the ability to use the appropriate persistence for vendors	Yes			City of Albuquerque will be using Permanent (regular) and One-time vendors
AP-13	City of Albuquerque requires the ability to inactivate vendors	Yes			PeopleSoft provides options for inactivating vendors.

AP-14	City of Albuquerque requires the ability to capture SSN or EIN info.(A decision needs to be made in using SSN v/s PeopleSoft auto number for vendor id),		Yes		PeopleSoft provides fields to capture this information under “additional number” on a sub-page. In the existing business process SSN OR EIN is used to create vendor id. PeopleSoft provides both options for creating vendor id. (i.e. using auto number feature and allowing to the City to enter custom alpha-numeric ID)
AP-15	City of Albuquerque requires the ability to have multiple locations per vendor	Yes			PeopleSoft allows having multiple locations per vendor
AP-16	City of Albuquerque requires the ability to perform various search tasks on vendors	Yes			The Vendor Search panel enables you to search for a list of vendors that match specific search criteria
AP-17	City of Albuquerque requires the ability to view Vendor information (Inquiries)	Yes			PeopleSoft provides a number of panels specifically designed for different types of vendor inquiries
AP-18	City of Albuquerque requires the ability to obtain vendor summary and detailed listing	Yes			Both types of reports are delivered using Crystal Reports
AP-19	City of Albuquerque requires the ability to purge inactive vendors	Yes			PeopleSoft delivers a purging process for outdated vendor records
AP-20	City of Albuquerque requires the ability to issue 1099 reports for appropriate, aggregated payments.	Yes			1099 capable
AP-21	City of Albuquerque requires the ability to comply with IRS backup withholding requirements.	Yes			IRS reporting fully supported
AP-22	City of Albuquerque requires the ability to flag specific types of expenditures as 1099 reportable and specify the 1099 class that the expense belongs to.	Yes			IRS reporting fully supported
AP-23	City of Albuquerque requires the ability to flag a Vendor as 1099 reportable.	Yes			IRS reporting fully supported

Voucher (INVOICE--In City Usage)					
AP-24	City of Albuquerque requires the ability to create a voucher (invoice) in the system (non-purchase order related invoices)	Yes			PeopleSoft delivered option for non PO voucher (invoices). In the existing business process non purchase module related invoices will be entered into the system up invoice receipt from vendor.
AP-25	City of Albuquerque requires the ability to create invoices in the system (Purchase order related invoice's)	Yes			PeopleSoft delivered option to create PO Voucher (invoices). In the existing business process the Purchasing division sends invoices which are subsequently entered into the system by the AP deptartment. [Mark May give more information on the purchasing side of the business process activities]
AP-26	City of Albuquerque requires the ability to create credit invoices		Yes		PeopleSoft delivered functionality includes Reversal Vouchers
AP-27	City of Albuquerque requires the ability to process PO Vouchers (invoices) that require matching to purchase orders and receiving documents	Yes			PeopleSoft delivers an option for processing Vouchers (invoices) that require matching. [Mark may give more information on the purchasing side of the business process activities]
AP-28	City of Albuquerque requires the ability to make adjustments	Yes			PeopleSoft delivers an option to make adjustments for entering debit and credit memos or for relating one Voucher (invoice) to another
AP-29	City of Albuquerque requires the ability to enter recurring Vouchers (invoices) for payments occurring on a scheduled basis	Yes			PeopleSoft delivers an option to process recurring Vouchers (invoices)

AP-30	City of Albuquerque requires the ability to change the duration of Recurring Vouchers (invoices) after setting them on the system	Yes			PeopleSoft allows the change to recurring Voucher (invoice) duration at any time. (Voucher build process creates vouchers from recurring voucher contracts established using the contracts functionality in purchasing modules.
AP-31	City of Albuquerque requires the ability to make corrections to Vouchers (invoices) before posting	Yes			PeopleSoft allows correcting Voucher (invoice) errors by using the Error Correction panel. Invoices must have Recycled status in order to use the Error Correction panel
AP-32	City of Albuquerque requires the ability to have duplicate invoice checking	Yes			PeopleSoft allows duplicate invoice checking by vendor ID, gross amount, date and invoice number
AP-33	City of Albuquerque requires the ability to process Journal Vouchers (for adjusting accounting entries)	Yes			PeopleSoft delivers an option to make adjusting journal entries and this can be accomplished in accounting or A/P.
AP-34	City of Albuquerque requires the ability to enter Contract Vouchers (invoices)	Yes			PeopleSoft allows the creation of Contract Voucher (invoice). [Mark may have more information on the purchasing side of the business process activities]
AP-35	City of Albuquerque requires the ability to enter PO Contract Vouchers (invoices)	Yes			PeopleSoft allows the creation of PO Contract Voucher (invoice). [Mark may have more information on the purchasing side of the business process activities]
AP-36	City of Albuquerque requires the ability to close recurring Contract Vouchers (invoices)	Yes			PeopleSoft allows the closing of a recurring Contract Voucher (invoice) even before the expiration date of the contract. [Mark may give more information on the purchasing side of the business process activities]

AP-37	City of Albuquerque requires the ability to enter vendor invoice id as a City Invoice id	Yes			PeopleSoft system allows auto numbering feature as well as custom numbering.
Matching					
AP-38	City of Albuquerque requires the ability to match Vouchers (invoices) with purchase orders	Yes			PeopleSoft delivers the ability to match Vouchers (invoices) to purchase orders. In the existing business process invoices are matched with PO, RELEASE#, TOTAL AMOUNT, TOLERANCE, UNITS, etc. before paying the vendor. On any exception in the matching process, the invoice will be put on delay. These rules will be incorporated in two-way & three-way matching setup in PeopleSoft.
AP-39	City of Albuquerque requires the ability to match Vouchers (invoices) with purchase orders and receiving	Yes			PeopleSoft delivers the ability to match Vouchers (invoices) to purchase orders and receiving information. These rules will be incorporated in two-way & three-way matching setup in PeopleSoft
AP-40	City of Albuquerque requires the ability to define price and receiving tolerances to be used in the matching process - City of Albuquerque current tolerance limit is up to $50 per line	Yes			PeopleSoft provides the ability to define price and receiving tolerances

AP-41	City of Albuquerque requires the ability to send an electronic notification to the appropriate operator with the Match Exception	Yes			PeopleSoft provides the ability to route an electronic notification to the appropriate AP analyst with match exceptions. This is workflow functionality in PeopleSoft and will be used for delivering notification to AP specialists. This is a new business process which will be implemented upon finalizing scope. This setup may require some medium customization to the workflow setup.
AP-42	City of Albuquerque requires the ability to change matching settings for a purchase order	Yes			PeopleSoft delivers the ability to make changes to the matching settings
AP-43	City of Albuquerque requires the ability to Unmatch Vouchers (invoices) after running the matching process	Yes			PeopleSoft provides the ability to un-match a Voucher (invoice) after running the matching process
Payments and Pay cycle					
AP-44	City of Albuquerque requires the ability to define payment terms, Net Terms, Discounts for Net Terms "making payment within 30 days"	Yes			PeopleSoft provides flexibility to define payment terms
AP-45	City of Albuquerque requires the ability to continue recording manual payments in AP	Yes			In the existing business process, manual payments will be created and sent to treasury dept (international [??] wire transfers). PeopleSoft allows the recording of manual payments.
AP-46	City of Albuquerque requires the ability to produce checks on demand	Yes			PeopleSoft delivers the ability for processing express checks outside of the normal production pay cycle

AP-47	City of Albuquerque requires the ability to calculate vendor discounts. (The Purchasing module may send discount calculation information in the case of PURCHASE order invoices)	Yes			PeopleSoft delivers the ability to process discounts.
AP-48	City of Albuquerque requires the ability to obtain quick proof of payment information	Yes			Using Inquiry, detailed information about a specific payment could be obtained, including check #, date and amount.
AP-49	City of Albuquerque requires the ability to process multiple invoices/PO's per check	Yes			PeopleSoft delivered functionality - all invoices must be going to the same “remit to” on the same check
AP-50	City of Albuquerque requires the ability to void payments for stopped and cancelled checks	Yes			PeopleSoft provides the ability to process voids and cancelled checks
AP-51	City of Albuquerque requires the ability to fully automate the pay cycle process	Yes			PeopleSoft provides a fully automated pay cycle option
AP-52	City of Albuquerque requires the ability to produce a notification in case of any exception during the Pay cycle	Yes			PeopleSoft will produce a notification of any exception that may occur during the Pay cycle process and it will transfer you to the appropriate panel to handle such exceptions
AP-53	City of Albuquerque requires the ability to make partial payments on an invoice.	Yes			No limit on payments with exception that sum of all payments cannot exceed voucher total. With payment schedule option we can split payment.
AP-54	(for future requirements if found)				
AP-55	(for future requirements if found)				
AP-56	(for future requirements if found)				
AP-57	(for future requirements if found)				

Check Printing					
AP-58	City of Albuquerque requires the ability to use a 3rd party software (Bottomline) to handle the check printing. A decision needs to be made on check printing and printers.		Yes		This is one of the important decision points for the City. PeopleSoft delivers three check forms for flexible use.
AP-59	City of Albuquerque requires the ability to have different ways of sorting checks (example- - over $25K should be printed in the end of the run)	Yes			PeopleSoft delivers several different sorting options, for high dollar checks, payment handling codes will be used.
AP-60	City of Albuquerque requires the ability to ensure check overflow be on a blank paper to minimize check voids	Yes			There are two ways in PeopleSoft to handle overflows- voided check on check stock or blank paper.
AP-61	(for future requirements if found)				
AP-62	(for future requirements if found)				
AP-63	(for future requirements if found)				
Bank Reconciliation					
AP-64	City of Albuquerque requires the ability to receive a file from ISD for each account using an automated system of reconciliation with AP	Yes			PeopleSoft uses EDI manager to load and reconcile bank files.
AP-65	(for future requirements if found)				
AP-66	(for future requirements if found)				
REPORTS FROM EXISTING SYSTEM					
AP-67	JOB00448 - AP - Daily Proof & Balances				

AP-68	JOB00444 - AP - Automated Balancing Report				
AP-69	JOB00452 - AP - Doc Mtc - Inv Mtc				
AP-70	JOB00452 - AP - Vendor Activity				
AP-71	JOB00450 - Manual Payment Register				
AP-72	JOB00448 - AP - Accepted Inv by Control Dt & NO				
AP-73	JOB00448				
AP-74	JOB00448 - AP - Inv Multiple Pmt Register				
AP-75	JOB00448 - Suspended Inv & BC Exception Rpt				
AP-76	JOB00448 - Payment Cancel Register				
AP-77	JOB00440 - AP - Matching Doc Entry				
AP-78	JOB00440 - AP - Inv Entry by Pay Entity				
AP-79	JOB00440 - AP - Doc Entry fo Incl & Model				
AP-80	JOB00440 - AP - Doc Entry				
AP-81	JOB00440 - AP - Doc Entry Summary Total				
AP-82	JOB00440 - AP - Inv Entry by Operator				
AP-83	JOB00440 - AP - Inv Entry by Operator Summary Total				

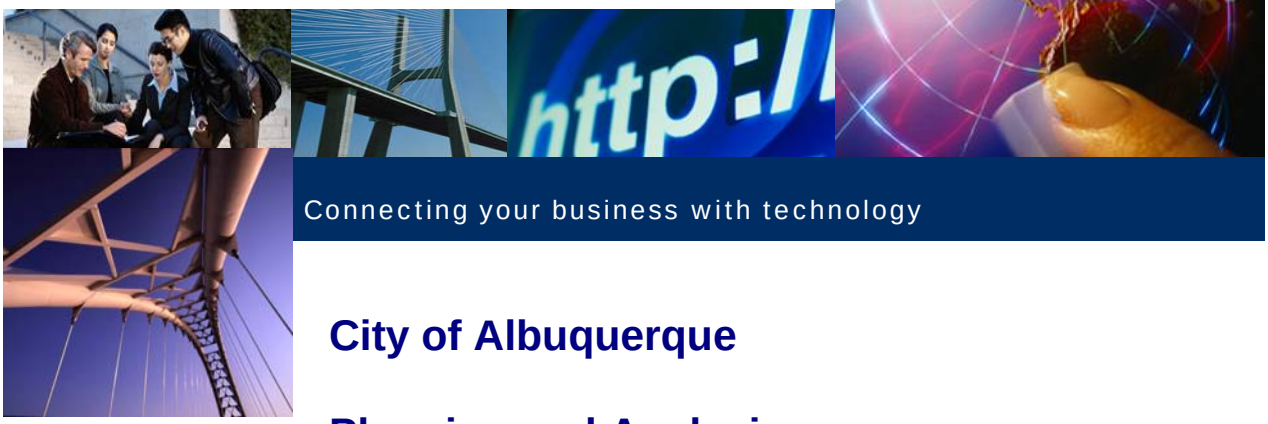
AP-84	JOB00440 - AP - Aged Unpaid Inv Register				
AP-85	JOB00440 - AP - Aged Unpaid Inv Register Summary Total				
AP-86	JOB00268 - Direct Deposit Report				
AP-87	JOB00268 - AP - System Pmt Register by Entity				
AP-88	JOB00268 - AP - System Payment Register				
AP-88-1	City of Albuquerque requires the ability to use PeopleSoft delivered reports				To date, no custom reports have been identified
Interface programs to/from AP					
AP-89	City of Albuquerque requires the ability to produce Positive payment file for bank accounts		Yes		PeopleSoft provides a formatting program to run for each bank account during the Pay Cycle. The output file is a text file that your clearinghouse bank can import into its own payment tables. This configuration may also require modification to the positive pay file format.
AP-90	City of Albuquerque requires the ability to load bank statements from bank (accounts)		Yes		PeopleSoft system provides options to load bank statements under banking setup and also provides options to process statements. This configuration may also require modification to the positive pay file format.

AP-91	City of Albuquerque requires the ability to capture capital project details in project costing module	Yes			PeopleSoft AP system has direct integration with project costing, and the capital project information will be sent to project costing module with the help of integration and batch processes. Waiting for more information from HR PAYROLL TEAM. How long should we wait?
AP-92	City of Albuquerque requires the ability to pay HR benefits like Garnishments, 401k, etc. from the AP system.	Yes	Yes		PeopleSoft system provides direct integration from HR system. May require bolt-on adjustments. Please refer to HR requirement documents. It is standard practice for payroll deductions to be paid through an accounts payable system. PeopleSoft applications include functionality that enables you to accept third-party payments from the PeopleSoft Payroll system or other payroll systems. We have created Enterprise Integration Points (EIPs) that use application messaging to make this possible.
AP-93	City of Albuquerque requires the ability to capture VENDOR invoices into the image system.			Yes	PeopleSoft system doesn't support image capturing. In the existing business process, vendor invoices are captured into the Filenet image system. This provides integration with GEAC AP system and uses business functionality while processing matching & payments.
AP-94	City of Albuquerque requires the ability to capture vendor invoices from the risk management system.			Yes	Custom process
AP-95	City of Albuquerque requires the ability to send payment information back to the risk management system			Yes	Custom process

Security					
AP-96	AP Super AP Manager AP Supervisor AP Clerk AP Approver AP Associate these role will be created and will be given access to Account Payable system	Yes			PeopleSoft offers the ability to set up security parameters to meet AP groups or individual users requirements
AP-97	AP Voucher Entry (Invoice Entry)	Yes			PeopleSoft offers the ability to set up security parameters to meet AP groups or individual users requirements
AP-98	AP Vendor Maintenance	Yes			PeopleSoft offers the ability to set up security parameters to meet AP groups or individual users requirements
AP-99	AP Create Payments	Yes			PeopleSoft offers the ability to set up security parameters to meet AP groups or individual users requirements
AP-100	AP Print Checks	Yes			PeopleSoft offers the ability to set up security parameters to meet AP groups or individual users requirements
AP-101	Develop security parameters				PeopleSoft offers the ability to set up security parameters to meet AP groups or individual users requirements
AP-102					

AP-103	(for future requirements if found)				
Other					
AP-104	GL distribution (accounting) will be pre populated in PO module and subsequently general ledger entries booked in GL module.	Yes			PeopleSoft system accepts GL distribution information from the Purchasing module. (Run the journal generator process to post to GL.)
AP-105	Pre-encumbrances, encumbrances will be set up in the purchasing module.	Yes			
AP-106	City of Albuquerque requires the ability to charge payments to projects, grants, all levels of fund structure and organization structure.	Yes			PeopleSoft provides unlimited distribution capability
AP-107	City of Albuquerque requires the system to provide automatic calculation and recalculation of discount due date, final due date and discount amount on invoice entry and maintenance.	Yes			PeopleSoft system calculates discounts upon save of voucher
AP-108	City of Albuquerque requires the ability to default payment method based on vendor file indicators.	Yes			Primary location and address is default
AP-109	City of Albuquerque requires the ability to support hold, stop, and select payment capabilities.	Yes			Hold checkbox on payment, Pay Cycle Manager
AP-110	City of Albuquerque requires the ability to process in-house procurement card vouchers that will allow tracking of multiple vendors (vendor issuing invoices and bank payment is made to). What does this mean?	Yes			Procurement card functionality
AP-111	Allow for multiple remittance addresses for one vendor.	Yes			Unlimited addresses and locations

AP-112	City of Albuquerque requires the ability to view checks generated by the system online, including check status (cashed).	Yes			Status viewable in PeopleSoft (cashed is recorded as "Reconciled")
AP-113	Ability to do ACH processing	Yes			Supported at bank, vendor and voucher
AP-114	Ability to receive, accept, and verify cleared checks electronically.	Yes			Supported in Cash Management



Connecting your business with technology

City of Albuquerque

Planning and Analysis
Fit Gap Summary
Cash Management
February 6, 2007

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Marietta, Georgia 30067
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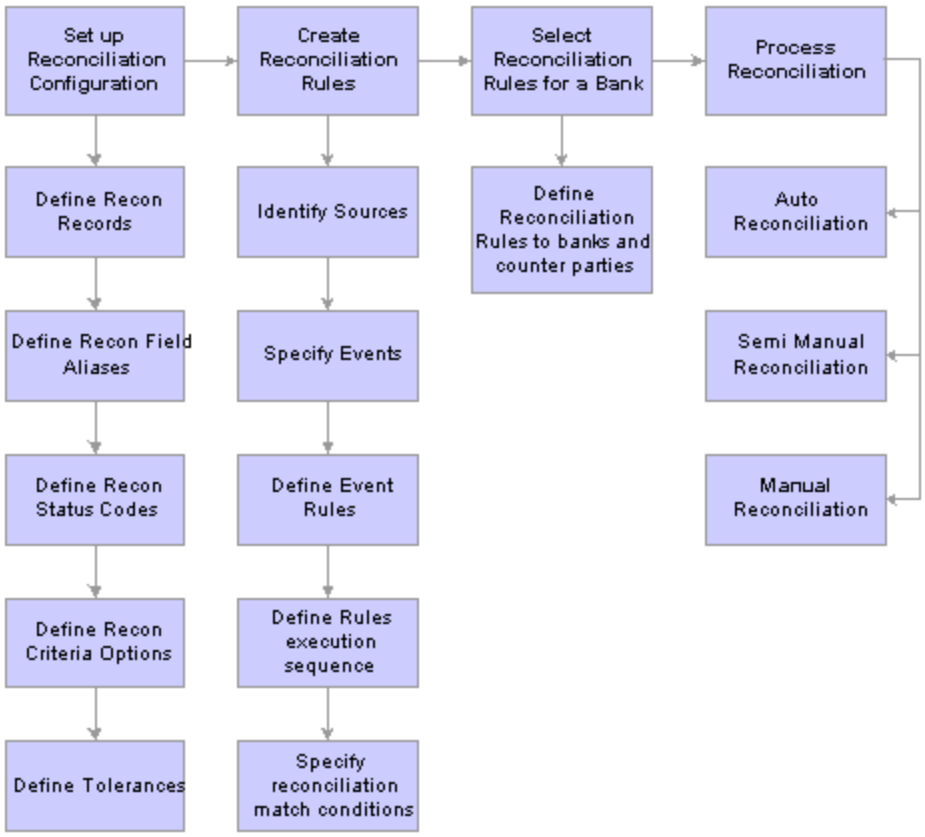
1 Fit Gap Approach and Overview

The approach of the fit/gap sessions for the cash management module was to show the base functionality of the module and demonstrate a simple prototype of the future state business processes within PeopleSoft. The intent of showing the base functionality is for the attendees to have a basic understanding of the application prior to the business process discussions.

Within the City of Albuquerque, the key treasury/cash management business processes, which we focused on during the sessions, were the bank reconciliation process and cash position analysis. This was based upon our initial discovery and information gathering via questionnaires and meetings with the Treasury and Accounting departments.

In general the PeopleSoft (PS) Cash Management module supports these business processes in the following manner. First the PS Cash Management module, in conjunction with the Banking portion of that module, improves the automation of the bank reconciliation process using a variety of reconciliation processes. The bank account reconciliation involves comparing and matching your recorded business transactions with your bank's corresponding transactions. Below is a diagram from PeopleSoft showing the configuration and process flow.

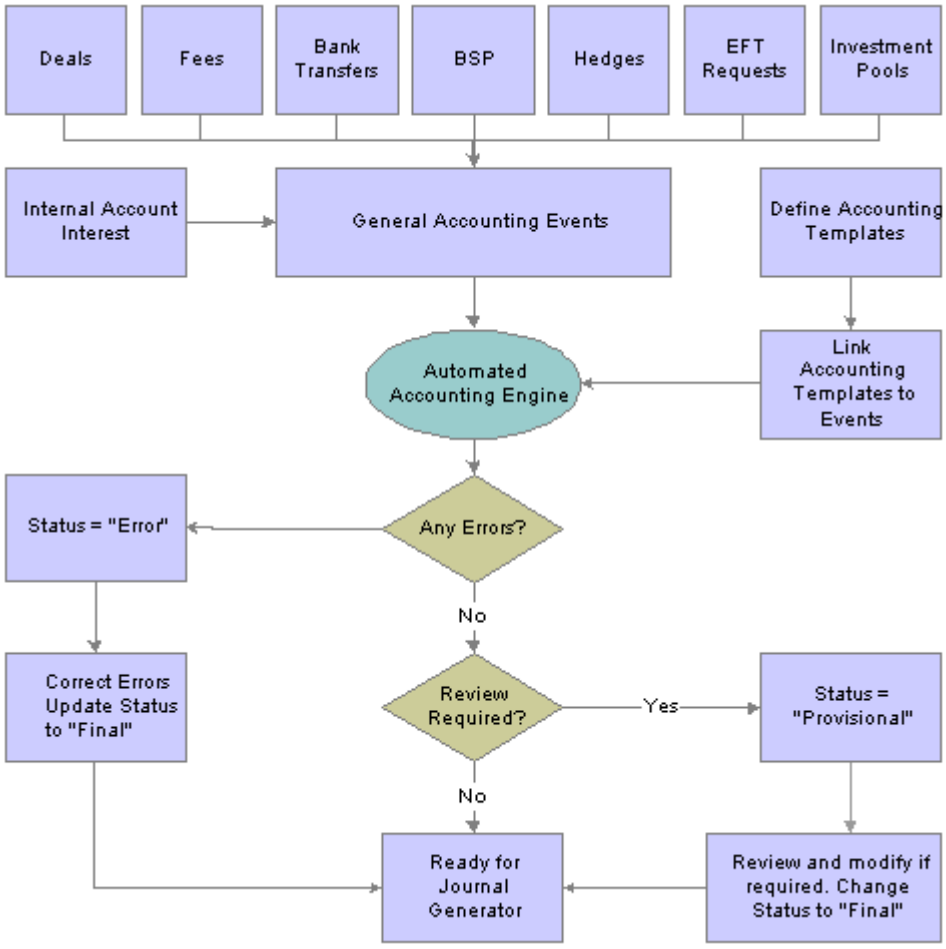


This process is automated through receiving bank statement files electronically. In turn, you can process the bank reconciliation with the Automatic Reconciliation process, which reduces manual entry of the bank statements and reduces errors. Then, after you have reconciled bank statement transactions, you use the various inquiry pages to view reconciled and unreconciled transactions and resolve reconciliation exceptions. Depending on the reconciliation method you use, you can resolve exceptions in a number of ways. Below are the two most common and powerful functions in Banking/Cash Management.

- If you use Automatic Reconciliation, you can set up reconciliation amount tolerances functionality. This functionality automatically reconciles amounts, then creates journal entries and sets the reconciliation status of the exception from unreconciled to reconciled.

- You can also implement bank statement accounting functionality. This functionality is similar to the reconciliation tolerances functionality and works as a second filter by searching to reconcile exceptions that match predefined criteria.

Through the reconciliation process you can even create accounting entries by associating accounting templates with accounting events. This will automate most of the accounting process. In addition, you can also manually adjust accounting entries and create ad-hoc entries. Below is a diagram from PeopleSoft showing how events create treasury accounting entries. Note this functionality is integrated throughout the Cash Management module.



The Cash Management module also provides a tool for managing your treasury organization's positions. Using PeopleSoft Tree Manager, you define hierarchical structures that describe the specific information that's important for your organization. You can use these trees for risk analysis, cash management, position management, deal validation, limit analysis, and any other functions that you deem applicable. In Treasury Management, a 'position' is the total financial value of a particular set of transactions that are performed on behalf of an enterprise. A cash position analyzes cash flows to determine the amount of cash that is available at a particular time.

Think of a position as a way of categorizing the entire PeopleSoft enterprise transaction database into subgroups, or sources, such as AP, AR, etc., with totals. Using these Position Tree's in Tree Manager and through the online PS Cash Management pages, you can create worksheets to analyze the following:

- Forecast your position over a period of time or evaluate it for just one day.
- Base your position on a prior worksheet, adjusting the amounts by a specified factor, to estimate future cash positions.
- Calculate the position for an entire tree or for just a particular node of a tree.
- Step through the tree nodes that compose the worksheet, zooming into the detail transactions.

Outlined in the matrix below are all of the delivered or 'vanilla' business processes functionality and integration points for the PS Cash Management module. Notes explaining why the functionality will not be implemented and used by the City of Albuquerque are also included for reference purposes.

Functionality	Required	Notes
PeopleSoft Purchasing Business Processes:		
Bank fee and account analysis	No	Not necessary as most all banking is done at BofA, therefore there is not much to analyze.
Cash position calculation and review	Yes	
Transactional bilateral netting	No	Not applicable for CABQ business processes.
Electronic fund transfers	No	Rarely used in the City; we will explore this for phase 2
Cash flow settlement payments	No	Most likely this is not applicable but will review with EFTs for phase 2
Investment pools	?	Unsure if the City will purchase Sympro which will perform all of their investment tracking.
Accounting events and accounting entry creation	Yes	
VAT accounting creation and adjustment	No	Not applicable in the USA.
In-house banking activities	No	Not applicable for CABQ business processes.
Bank account reconciliation	Yes	
Integration:		

PeopleSoft General Ledger	Yes	
PeopleSoft Payables	Yes	
PeopleSoft Receivables	Yes	
Bank statement import	Yes	
Deal Management	?	Unlicensed product

2 Session Attendees and Role

Session Attendee	Attendee #	Role	Department
Mark Jacobson	1	Project Consultant	Skybridge
Chris Daniel	2	Acting Treasury Officer	Treasury
Johnanna Gonzales	3	Treasury User	Treasury
Christine Garcia	4	Assistant Treasurer	Treasury
Cilia Aglialoro	5	Treasury User	Treasury
Marsha Sanchez	6	Treasury User	Treasury
Ann Chavez	7	Treasury User	Treasury
Greg Stricklin	8	Accounting Officer	Accounting
Michelle Hayden	9	Accounting User	Accounting
Elaine Padilla	10	City ERP Specialist	ISD ERP
Carol Duty	11	Integration/System support	ISD ERP
Cheryl Puterbaugh	12	City ISD OCM	ISD OCM
Barbra Portzline	13	OCM Consultant	Skybridge OCM

3 Session Dates

Session Date	Topics	Notes	Attendees
1/17/07	Initial Fit Gap-Presentation of Initial Prototype and system overview	Introduction to fit/gap session and system introduction. Present Bank Account set up, online Bank Statement and Treasury Accounting process.	1,2,3,4,5,6,7,8,9, 10,11,12,13
1/24/07	Bank Reconciliation	Bank Statement Reconciliation, Treasury Accounting line creation and Book to Bank Reconciliation and discuss/review Cash Management requirements.	1,2,3,4,6,9,11

4 Data Used

The intent of the data used during the Cash Management Fit/Gap sessions is to facilitate a scaled down 'prototype' or mini-simulation of the required business process scenarios. The business processes which will be demonstrated during the two scheduled sessions are as follows:

- Reconciliation of the Bank of America AP Disbursement Account
- Reconciliation of the Bank of America Common Account including accounting line creation
- Reports and Inquiries

The following are the key items which were configured in PeopleSoft for the fit/gap sessions.

- Bank Accounts: Three Bank of America accounts for the AP Controlled Disbursements, Payroll Disbursements and Common Account and First Community Bank Lockbox account.
- Treasury Accounting Rules: Three examples were set up for Bank Fees, Wires and ZBA transactions.

The specific items, which were configured to support the above mentioned items, in the PeopleSoft FINDMX database are outlined below.

Configuration Task	Notes	Navigation
Bank Accounts		
Treasury Options	Set up Business Unit COA01	Set Up Financials/Supply Chain > Business Unit Related > Treasury > Treasury Options
Bank Information	Under SetId COA01, set up Bank Code BOFA for Bank of America and FCB for First Community Bank	Banking > Bank and Branches > Bank Information
Bank Branch Information	Under SetId COA01, set up Bank Branch BOFA for Bank of America and FCB for First Community Bank	Banking > Bank and Branches > Bank Branch Information
Bank Integration Layouts	Set up PPD and FundTransfer payment types under SetID COA01 for the bank codes BOFA and FCB.	Banking > Administer Bank Integration > Bank Integration Layouts
External Accounts	Under SetId COA01 set up the following bank accounts: Bank Acct Description COM1 Common Account PRC1 Controlled Disbursement PRC2 Payroll Disbursement Acct LOCK First Community Lockbox	Banking > Bank Accounts > External Accounts
Account Groups	Set up bank account groups for Common Account, Disbursement Accounts and Lockbox Accounts.	Banking > Administer Bank Statements > Account Groups Banking > Bank Accounts >My Account Groups

Configuration Task	Notes	Navigation
Treasury Accounting Rules		
Statement Activity Type	Zero Balance Transfers, Bank Statement Fees and Outbound Wires.	Banking > Administer Reconciliation > Statement Activity Type
Accounting Templates	Under SetId COA01 set up accounting templates for Zero Balance Transfers, Bank Statement Fees and Outbound Wires.	Cash Management > Treasury Accounting > Accounting Templates
Bank Statement Accounting	Set up accounting rules for BofA Common account for ZBAs, Bank Statement Fees and Outbound Wires.	Banking > Administer Reconciliation > Bank Statement Accounting

The following transactional data was staged in the system for the fit/gap sessions. Data was staged to represent online or interfaced data in the future system.

- Bank Statements: Two bank statements were entered online to simulate bank statements which will be imported via an interface from Bank of America and First Community Bank.
- Accounts Payable Payments: Payments via PeopleSoft Payables were entered online to demonstrate how AP payments would be automatically reconciled against the bank statement.

Data Staged	Notes	Navigation
Bank Statements	Manually entered three bank statements to show reconciliation of the disbursement accounts and the accounting line creation process for the common account.	Banking > Bank Statements > Enter Bank Statements
Enter Vouchers	Entered vouchers to be staged for payment.	Accounts Payable > Vouchers > Add/Update > Regular Entry
Vendor Payments	Made payments to vendors using the payment methods of ACH, Wire and Check.	Accounts Payable > Payments > Pay Cycle Processing > Pay Cycle Manager

5 Significant Gaps

There were no significant gaps uncovered during the fit gap sessions. There was only one real gap because there is not a delivered interface from Payroll to Banking/Cash Management for bank reconciliation purposes. However, this is a relatively minor gap which can be solved through building a custom interface from HRMS to Financials. Since this would be a bolt-on customization it would not affect the underlying application.

The larger issues are the unknown. While nothing major is anticipated, a full fit gap analysis of the systems could not be conducted as decisions on systems and modules had not been made. While these decisions should not impact the Cash Management module directly, they may affect the overall business process and functionality within other modules. These issues are discussed in great detail in section '9 Open Issues/Information Needed'.

6 Process/Contract Change Needs

The only real business process changes will be due to the fact that the system operates fundamentally differently than the current City systems. Also, much of the work is done manually now which will be automated in PeopleSoft. City Treasury and Accounting business processes which will be impacted are as follows:

- Bank Transaction posting to accounting
- Bank Transaction reconciliation
- Bank to GL Balance reconciliation
- Cash Reporting
- Investment and Debt tracking

<u>Bank Transaction posting to accounting</u>
The bank transaction posting to accounting process will change as this process will be automated. Currently banking (payment, including by check, but not deposits) transactions on the bank statement are entered manually into Cashbook which subsequently sends a file to GEAC to create a journal entry. Going forward, the bank statements will be imported electronically into PeopleSoft and then (according to the accounting rules) create accounting entries which are generated into the GL. Therefore step-by-step procedures will need to be drafted before training.

<u>Bank Transaction reconciliation</u>
The bank reconciliation process will also be automated in PeopleSoft. Currently this is a manual process where bank statement reports are matched (manually) against the transactions. Going forward, in PeopleSoft, the bank statements will be imported electronically into PeopleSoft and the system will perform an automatic reconciliation. Therefore only reconciliation exceptions and those entries which require accounting entry creation will require review or additional processing. Step-by-step procedures will need to be drafted before training to outline what users will do when in PeopleSoft.

Bank to GL Balance reconciliation
The bank to GL reconciliation is currently done manually and will be automated in PeopleSoft. Part of this process will be facilitated through the bank transaction posting to accounting and the bank transaction reconciliation processes as outlined above. Once these processes have been completed, accounting will use PeopleSoft to identify unreconciled or unprocessed items to verify the reconciliation. Therefore, work will still be required to research items, but the work will be limited to system-identified reconciliation differences, which will reduce the overall work load. Again, like above, step-by-step procedures will need to be drafted before training so users understand how to use the system to aid the reconciliation process.

Cash Reporting
Currently cash reporting is only done from the investment perspective. In PeopleSoft, Treasury will utilize cash position management, which touches on cash forecasting and cash utilization. This is a new business process, but primarily focuses around reporting. The real business change will be addressed during design which is when we will need to define how the City wants to structure their cash positions.

Investment and Debt tracking
Investments are currently tracked in Sungard and debt service is tracked in spreadsheets. Going forward, the goal is to track both investments and debt in one system and integrate them into accounting. As of right now, the City is evaluating JP Morgan's Sympro system and PeopleSoft Deal Management as possible solutions.

In summary, most all of the business process changes will need to be documented for training, but in theory the concepts are all identical, just the steps and systems the users will be using will be different.

7 Legislation Change Needs

No known legislation changes were noted.

8 Security Concerns

There are no major security concerns at this point. The specific security access for each user will be defined during the design phase of the implementation. The security access will be defined as follows:

- Who will need access to the Banking and Cash Management modules, this includes accounting and treasury personnel
- Which pages will each user need to access
- What system functions will each user need

All of the security needs will be handled through the creation of PeopleSoft security Permission Lists, Roles and User Preferences.

9 Open Issues/Information Needed

There are primarily two major issues which are still open as decisions on which systems are going to be used for various Treasury business processes are still pending. Therefore, we can only take educated guesses on the potential fit gap analysis for the associated requirements.

The first issue is the current Cashbook system which is used to book payments is being replaced as it is not going to be supported in the future. Therefore we need to know what system will replace this application. The future functionality will be outside the PeopleSoft Cash Management module. However, it does affect potential interfaces into PeopleSoft. For example, if PS AR module is implemented then interfaces from POS, Envision, SAD and Cry Wolf into PS AR will need to be developed. This is necessary to support the creation of accounting entries from AR into GL and to support the bank reconciliation process for payments/deposits, as Banking/Cash Management is integrated with AR deposits. If another Oracle AR/Billing application is implemented, then we will need to create interfaces from this system in the PS GL to record the accounting entries and a second interface into the AR deposits table to support and facilitate the bank reconciliation process for AR deposits. Also, the POS, Envision, SAD and Cry Wolf systems would need to be integrated into this other Oracle AR/Billing application.

The second issue surrounds investment and debt tracking. Currently CABQ uses Sungard to track its investments and debt is tracked by spreadsheets. The Sungard application is not integrated with the current accounting system which creates a lot of manual work, and secondly, the user community is not satisfied with Sungard. Therefore, two products are being explored to replace it. So as with the previous issue, we will need to know which system, either PS Deal Management or JP Morgan's Sympro, will replace the current investment and debt tracking systems. If the JP Morgan Sympro application is implemented, then we will need to build two interfaces (one from the debt module and one from investments) between Sympro and PS GL to automate the creation of journal entries. If the PS Deal Management module is implemented, then the integration between Deal Management, Cash Management and GL is a non-issue because these applications, as delivered, are tightly integrated. However a potential interface from Deal Management into a pricing service, such as from Bloomberg or one of the other many companies which offer this service, may be required, as the Sympro product comes delivered with integration into JP Morgan's pricing vendor.

In summary, once these decisions have been made, we will be better suited to analyze the specific business process needs and determine the appropriate recommendations for the overall system design.

10 Legacy System Data Requirements

The data requirements from the legacy system are typically categorized into two areas, control data and transactional data. Control data refers to static information, such as high-volume set up/configuration data. Transactional data is defined as the transactions which are input into the system during daily transactional processing.

The control data for Banking/Cash Management is quite minimal, such as bank set up data, etc., and will be entered manually during the system configuration step in the design phase.

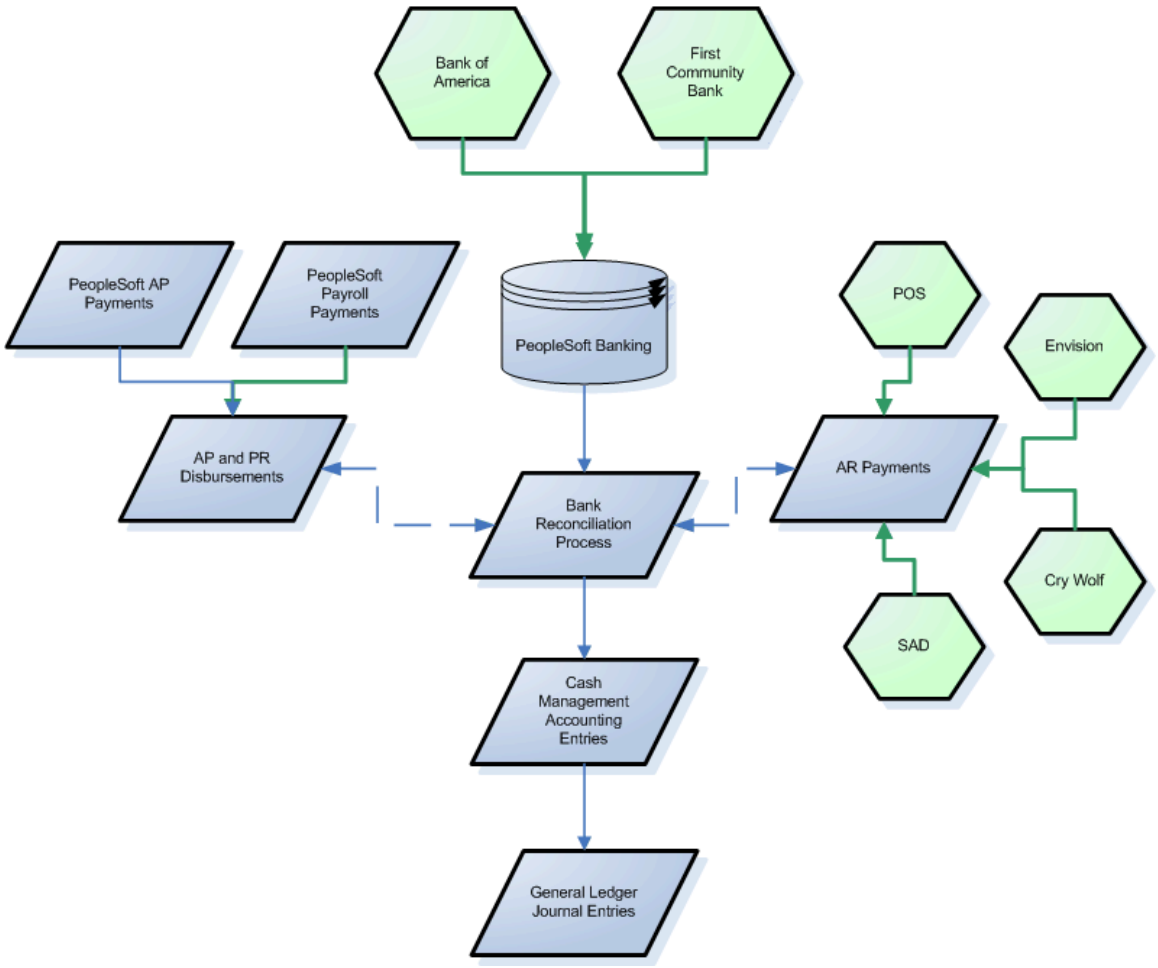
The transactional data for AR payments, which is currently preformed in Cashbook will need to be evaluated later to see if this information is necessary in PeopleSoft (or another application). If so, it should be captured as part of AR design, as this is not really Cash Management data. Other transactional data, such as bank statements and other banking transactions will mostly likely not need to be converted. This is primarily due to the fact that most of this work is done manually and the conversion process would take longer than the seen benefit. In other words, don't convert – enter the data manually. This can be re-evaluated later, but at this time we are not foreseeing the need to convert legacy system data.

11 Future Phase Documentation

The following diagram shows the 'future' process flow for the bank reconciliation process in PeopleSoft. Note these process flow diagrams touch on the system process and do not include any manual or TBD processes outside the system. The TBD processes, i.e. current open issues, such as what system and how AR Payments will be entered or interfaced, will hopefully be addressed before the design phase. During the design, a comprehensive process flow will need to be developed for training purposes.

The systems in 'green' are outside of PeopleSoft and the systems in 'blue' are within the PeopleSoft applications, with the exception of the AR Payments which is unknown. The processes in 'green' are the interfaces which are new and will need to be developed during design.

Future Bank Reconciliation Process



12 Requirements/Fit Gap Document

Outlined in the matrix below is the fit gap analysis of the Treasury requirements. The column, Source, indicates the function or department initiating the requirement and the column, Functional Requirement, lists the specific purchasing requirement followed by whether or not the requirement as a 'fit' or 'gap' in PeopleSoft. The last column is fit or gap notes for each of the requirements. The definition of each of the fit/gap columns is as follows:

Fit/Gap Column Heading	Column Definition
• Response Required	Additional information is required in order to determine the exact business need.
• Met with Prod Suite Config	Requirement met through standard system configuration or delivered tool sets.
• Met with BPR	Requirement met through a Business Process Redesign, i.e. a change to the current business process
• Met with Bolt-on	Requirement met through a bolt-on customization which does not affect the core application
• Met with Extension	Requirement met through a customization and change or extension to the core application
• Software Module	Requirement met through another software application or PS module

Requirement Number	Source	Functional Requirement	Response Required	Met with Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
Banking/Treasury									
CM-1	Treasury/Acctg	Perform Bank reconciliation of the disbursement accounts (the Payroll and AP zba Disbursement accounts at BofA)		X		X			Through the configuration of the bank reconciliation rules we will be able to automate the reconciliation of the disbursement bank accounts. However, a custom interface from HRMS, for payroll disbursements, to Financials/CM will need to be developed (see below).
CM-2	Treasury/Acctg	Perform Bank reconciliation for the bank accounts receiving deposits/payments (both Lockbox accounts at First Community and the Animal Control, Water & Common Accounts at BofA)		X					Through the configuration of the bank reconciliation rules we will be able to automate the reconciliation of these bank accounts.
CM-3	Treasury	Integration of Bank Balance and Transaction Activity into Banking		X					Through use of the delivered Bank import process we will be able to integrate bank balance and daily activity information into PeopleSoft. Note the import process will need to be modified to meet CABQ requirements. This is common as the bank import process is usually always modified to ensure the data is properly loaded into the bank statement tables.
CM-4	Treasury/Acctg	Automate the Transaction Posting (from the Bank Stmt) through to the General Ledger.		X					Through the configuration of the delivered bank statement accounting rules we will be able to automatically create accounting entries during the bank reconciliation process. Specifically, the Statement Activity Types, Bank Statement Accounting and Accounting Templates will need to be configured based upon CABQ's transaction types and accounting rules.

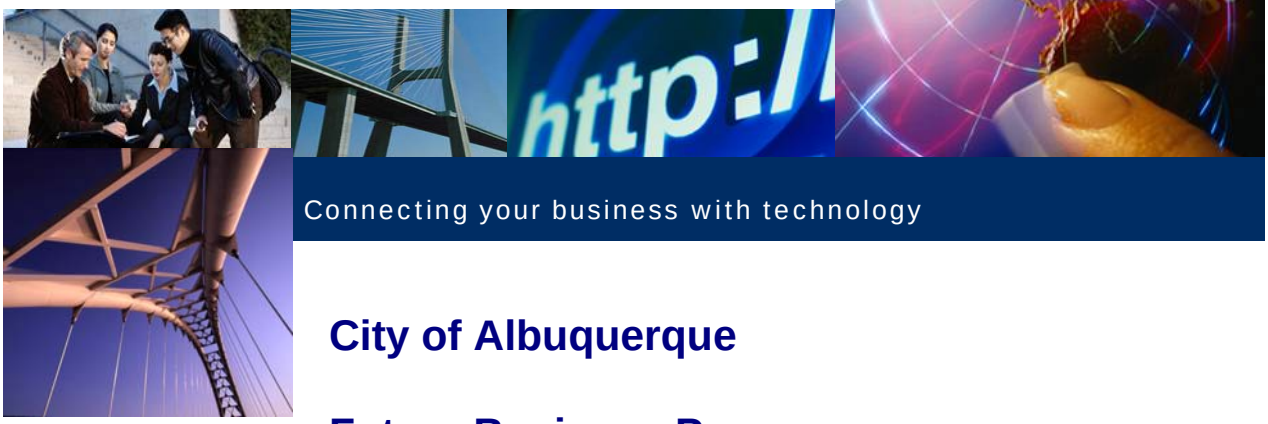
CM-5	Treasury/Acctg	Automate the bank reconciliation process.		X					Using the Auto Reconciliation and Book to Bank reconciliation processes, we will be able to greatly automate this function.
CM-6	Treasury	Ability for remote areas to log/book their Cash Book deposits	**X**					X	Unsure if this function will be performed in PeopleSoft or another billing/receivable system. If it is decided that PS will be used for this function, then we will have the users enter deposits into Accounts Receivables as Direct Deposits.
CM-7	Treasury/Acctg	Automate the monthly GL journal entries for debt tracking	**X**					X	Unsure if this function will be performed in PeopleSoft or another debt tracking system. If it is decided that PS Deal Management will be used for this function, then the debt activity will be entered into Deal Management and passed to Cash Management to create the accounting entries, which in-turn is integrated with the GL for the creation of journal entries. If not, then we will explore using the MS Excel-based journal entry import process to automate this process. Otherwise, if Sympro's debt tracking module is purchased we will explore interfacing the data from Sympro to PeopleSoft.
CM-8	Treasury/Acctg	Automation of the monthly GL journal entries for interest, deposits, premiums, discounts and unrealized gain/loss from the investment account (the custodian investment account at BofA)	**X**					X	Unsure if this function will be performed in PeopleSoft or another investment tracking system. If it is decided that PS Deal Management will be used for this function, then the investment activity will be entered into Deal Management and passed to Cash Management to create the accounting entries, which in turn is integrated with the GL for the creation of journal entries. If not, then we will explore interfacing this data from Sympro into PeopleSoft. (That is assuming Sympro is implemented and replaces Sungard.)

CM-9	Treasury/Acctg	Ability to correct or adjust entries if bank statement does not match the deposits		X					Transactions which do not have an exact match can be 'force reconciled'. The underlying bank statement accounting rules, which we will define, will dictate how the accounting for these types of transactions are handled.
CM-10	Treasury/Acctg	Ability to update or correct the GL deposit entries for either the current month or after the month end close		X				X	Unsure if this function will be performed in PeopleSoft or another billing/receivable system. However, just following best practices, entries for corrections/adjustments to prior month transactions should be accrued and then entered into the subsequent or current month.
CM-11	Treasury/Acctg	Ability to update or correct POS credit card payments prior to posting to the GL	**X**					X	Unsure if this function will be performed in PeopleSoft or another billing/receivable system. If it is decided that PS will be used for this function, then we will have the users update/modify deposits in the Accounts Receivables module.
CM-12	Acctg	Automate the re-allocation of interest to the funds		X				X	The re-allocation of interest would probably best be handled through the Allocation tool in PS General Ledger. The recommendation is to build GL allocations to automate this process.
Interfaces									
CM-13	Treasury/Acctg	Interface Bank Balance and Transaction Activity into Banking. Import Bank Statements from Bank of America and First Community Bank into PeopleSoft.	**X**	X					Through use of the delivered Bank import process we will be able to interface daily bank statements, including the bank balance and daily activity information into PeopleSoft. (Note the import process will need to be modified to meet CABQ requirements. This is common as the bank import process is usually always modified to ensure the data is properly loaded into the bank statement tables.) However, we will need to verify if First Community Bank can provide the bank files in the format PS requires (as we already know

									BofA can provide the necessary file format). Otherwise, additional custom work will be required.
CM-14	Treasury	Auto-reconciliation of the Payroll disbursement account. Interface payroll payments into PS for reconciliation.				X			Will need to create a custom interface to load Payroll payments into Financials/CM. Note this interface should load the bank reconciliation disbursement table or into a custom table so as to differentiate between AP and PR payments.
CM-15	Treasury	Integration between the Lockbox and the cash posting system	**X**					X	Unsure if this function will be performed in PeopleSoft or another billing/receivable system. If it is decided that PS will be used for this function, then a custom interface will need to be developed to interface data from the Lockbox into Accounts Receivable.
CM-16	Treasury	Integration between the POS system and cash posting system	**X**					X	Unsure if this function will be performed in PeopleSoft or another billing/receivable system. If it is decided that PS will be used for this function, then a custom interface will need to be developed to interface data from the POS system into Accounts Receivable.

CM-17	Treasury	Integration between the Portfolio management and debt management systems and PeopleSoft CM	**X**					X	Unsure if this function will be performed in PeopleSoft or another investment tracking system. If it is decided to use PS Deal Management for this function, then the integration between Deal Management, Cash Management and the General Ledger will meet this requirement with the delivered product configuration. Otherwise, custom interfaces will need to be developed.
Analysis and Reporting									
CM-18	Treasury/Acctg	Transactional reports for bank statement transactions, disbursement transactions and deposit/payment transactions need to be accessible for reconciliation purposes		X					Custom reports and/or queries will need to be developed as there are minimal delivered reports within Cash Management/Banking.
CM-19	Treasury/Acctg	Control reports/queries to identify unprocessed statements, unreconciled items, unposted accounting entries, etc. will need to be developed to assist during the transactional processing.		X					Custom reports and/or queries will need to be developed as there are minimal delivered reports within Cash Management/Banking.
CM-20	Treasury	Cash Position Analysis		X					The cash positioning functionality will be configured based upon CABQ's specific needs. Additional reports may need to be developed and/or the existing reports modified.

Notes:
The bank reconciliation function includes both the bank statement to transaction reconciliation and the bank statement to GL balance reconciliation



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Future Business Process
CIP Capital Projects & Grants
November 6, 2006

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1 CIP Capital Improvement Planning

The Capital Improvement Program process will remain the same with the implementation of PeopleSoft. The City's Capital Planning Process is performed outside of any computerized system. It may be supplemented with historical reports and data from computer systems.
Business Process Changes and System process changes will take affect at the start of the Project planning process and should be applicable to most processes going forward.

Ten Year Program

Guidelines

The Mayor promulgates the guidelines for City departments to use in planning the projects and programs for the ten-year Capital Improvements Program. The guidelines are based on the Administration's goals, the needs of the City and the current bonding capacities of the program. The guidelines are issued in January of each even-number year for planning the projects for the Capital Improvement Program bond election held in the following odd-number year.

The department prepares project request forms using the Mayor's guidelines. The projects should each have a description, budget and implementation schedule.

Capital Improvement Program Committee

The Capital Improvement Program Committee (CIP Committee) is composed of the following members:

Chief Administrative Officer (CAO), Chairman
Three Deputy Chief Administrator Officers
Two Department Directors appointed by the CAO

This committee receives reviews and makes the final recommendation of all projects for a two year or ten year program to the Mayor. The committee determines the final project scope and budget.

The requesting department prepares the final Project Request forms for the projects prioritized and recommended to the CIP Committee.

Included in the Project Request forms is the justification and alternatives on the ten-year proposal. The CIP Committee reviews final documents and approves the project. If an adjustment to the proposal is made by the CIP Committee then the department requesting the funds will make the corrections on the Project Request forms.

The Mayor reviews the final recommendations of the CIP Committee, makes the changes and submits the ten year Capital Program, including the two year budget cycle, to the Environmental Planning Commission (EPC) by November 21 of even-number years.

Environmental Planning Commission

The EPC reviews and comments to the Mayor and City Council on the ten year Capital Program Projects which deal specifically with the environment. The EPC is required to hold at least one Study Session and one Public Hearing on the Capital Project.

The CIP Committee presents the Ten Year Program for the Mayor. The CIP Division of the Municipal Development Department prepares the package for presentation. The appropriate department makes presentations and/or answers questions as requested by the EPC members at both the study sessions and the public hearings.

Mayor's Final Review

The Mayor reviews the EPC recommendations and makes any final changes, which may include the recommendations of the EPC, in the final recommendations and forwards to the City Council by the first of the year of odd-number years.

City Council

The City Council reviews and approves the Mayor's ten year Capital Projects including any amendments which the Council make. The Council must act on the request within 60 days of introduction of the Mayor's recommendations. Council's resolution does not appropriate funds but authorizes projects to be considered and categorized by the Bond Counsel for inclusion in the Bond Election.

Bond Election

Sixty days prior to the proposed Bond Election date, the City Council must enact a resolution calling for the election, setting the proposed purposes and their respective amounts.

Bond Sale

Once the electorate has approved the Capital Projects, the bonds are then authorized for sale by City Council Ordinance.

Appropriating Resolution

CIP Division prepares the Appropriating Resolution in conjunction with the Department of Finance Treasury Division on the Bond Sale Ordinance. At this stage the requesting departments begin implementing their projects.

Semi-Annual Amendments

The Capital Projects, as approved by the City Council, can be amended under the guidelines promulgated in the CIP Ordinance. The CIP Division views, coordinates, prepares and presents the semi-annual amendments to City Council in the April and October Clean-up Resolutions.

The process is as follows:

Amendments to the approved Capital Projects are routinely made every six months in April and again in October. These include:

1. Changes in scope to projects
2. Changes in budget of more than 20% of the Council-approved appropriation.
3. Addition of or deletion of projects.
4. Redirection of project funds to higher priority projects.

CIP holds meetings with each department to discuss their current CIP projects. A department submits written requests to CIP for inclusion in the Clean Up Resolution. Requests are submitted by memo with the appropriate Project Request form(s) detailing justification for amendment.

Mayor/Chief Administrative Officer Review

The CAO reviews the total package of requested amendments from the departments and discusses with the CIP Division. Unless questions or problems arise, the Mayor submits those projects requiring environmental review to the EPC

Environmental Planning Commission

Environmental Planning Commission is required by the CIP Ordinance to review and make recommendations to the Council only on those projects which involve: scope change, redirecting funds to higher priorities, and/or have an impact on the development or protection of the environment. The CIP official presents the "Clean Up" Resolution for the Mayor. The CIP Division prepares the package for presentation. The department makes presentations and/or answers questions by the EPC at the Public Hearing.

City Council

The Council reviews and acts on all scope, redirecting of funds and budget adjustments to the Capital Improvement projects. All approved changes are enacted in the appropriating resolution.

Minor Changes

Minor changes to the projects in the Capital program can be made administratively by the CAO and Mayor. Emergency changes to the projects which cannot wait until the semi-annual amendments but require Council action.

Budget changes to the projects which require adjustments of less than 20% of the original or amended Council-approved appropriation can be made through administrative action. The **20%** maximum is calculated on a cumulative basis of all transfers of funds for the project from the date of the appropriation by Council. These changes must be prepared in the CIP Division and require CAO approval.

2 Project Planning

Future Business Process

Today, the City's actual and budgeted yearly performance plan is formulated in two parts – a financial plan and a performance plan. The financial plan is organized by Fund, Department, and Program Strategy. The performance plan is organized by Goal, Desired Community Condition, and Program Strategy. Also, Annual Objectives are included in the overall process and appear in both plans. For the most part, Objectives are the tangible products or achievements rather than the activities that produce the outputs. As part of the Annual Plan, departments may include Capital Projects in the plan that are necessary to meet the Goals. However, there is no fiscal planning or structural planning for these projects. The CIP Planning takes place separately and is described in section 1.

As part of the Project Costing implementation, each Project can be associated to a Fund and a Program. This association is used in reporting and analysis.

As noted earlier, the City also needs information on the Goal, Desired Community Condition (DCC) and the Objective fields. This information is currently derived manually for the Performance Plan but is not built natively into the City's computerized systems.

The most significant change to the City's current accounting structure is that the Project Costing portion of the financial structure will no longer be statically tied to a rigid hierarchical structure.

The General Ledger will consist of Fund, Program, Department, and GL Activity.
Project Costing will contain Project Costing Business Units (see below), Projects, and Activities. What was formerly the "Activity" will now be the Project ID in PeopleSoft. The Project Activity will represent phases of a project such as Design, Construction, and Purchase of Equipment.

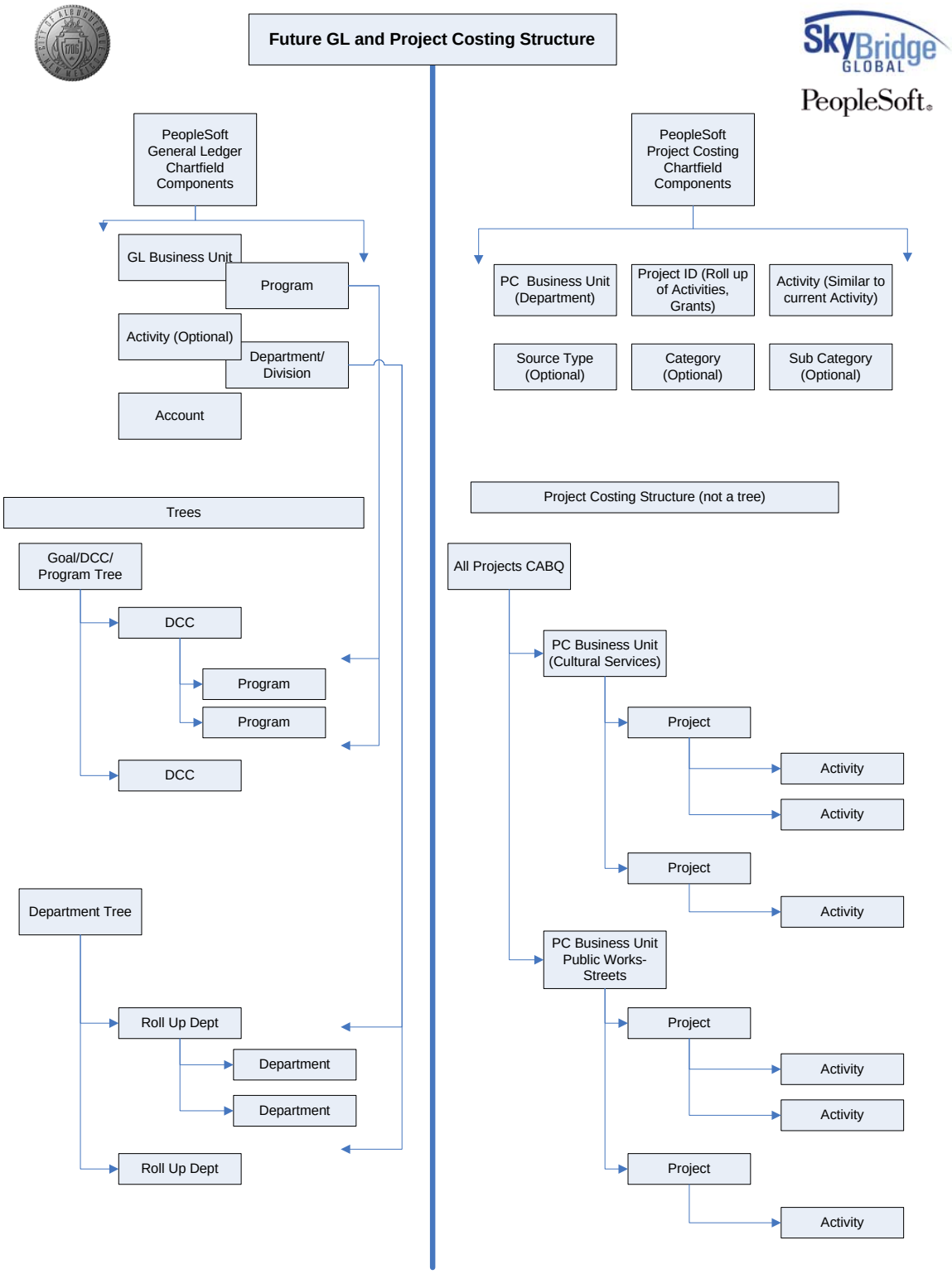
Project Costing Business would be as follows. These represent the major departments within the City that have Capital Projects.

Unit	Descr
PCOMB	Projects-Office of Mgmt & Budg
PCDMD	Projects-Dept of Municipal Dev
PCFCS	Projects-Family and Comm Servc
PCAVI	Projects-Aviation
PCCSV	Projects-Cultural Services
PCENV	Projects-Environmental Services
PCFAO	Projects-Finance and Admin Srvc
PCFIR	Projects-Fire
PCPRK	Projects-Parks & Recreation
PCPOL	Projects-Police
PCSEA	Projects-Senior Affairs
PCSOW	Projects-Solid Waste
PCTRA	Projects-Transit
PCWTR	Projects-Water Authority

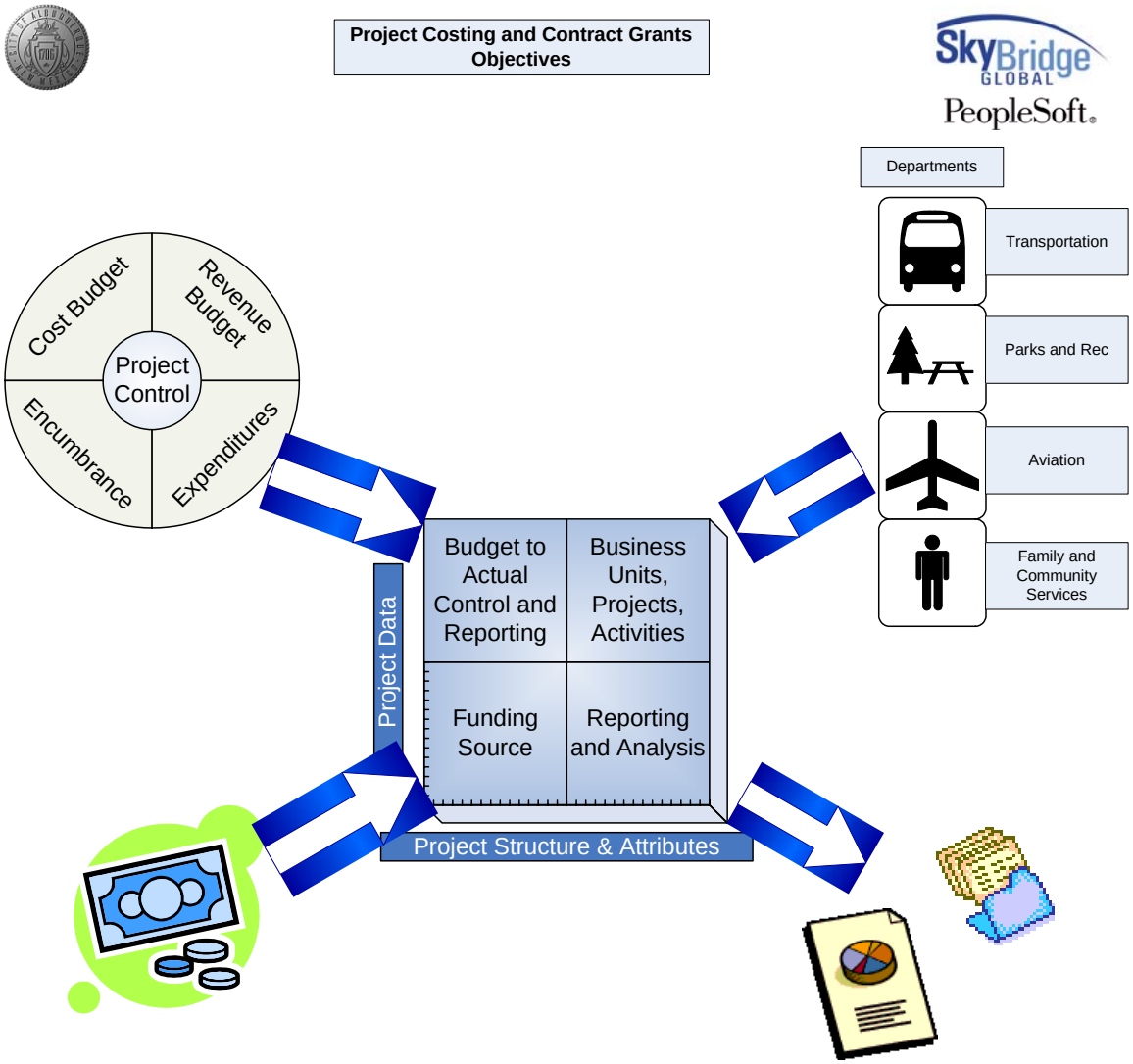
The following diagram shows how the structure should look in the future. As explained above, GL fields are structured with certain components and Project Costing has a separate structure for use within this module.

It is important to note that ALL transactions related to a project will be coded to ALL fields- GL fields included. However if a transaction is not related to a specific Capital Project then it is not necessary to input Project information (for example, expenses of the CIP Division). FUND, ACCOUNT, DEPARTMENT, PROGRAM, and GL ACTIVITY will be all that is needed.

It is important to note that the Activity in the current system could represent a Department, a Project, or some other component. In the new design, the Activity field is being named GL Activity and should never be used to represent a Project or a Department.



The future process can be shown in a summary level diagram as shown below. There are several key components of the Business Process.
Projects and Grants are identified and set up in the system.
Appropriations and Revenue Estimates are posted to the project.
Appropriations are posted to the Commitment Control Ledger, spending is controlled by the Commitment Control module of PeopleSoft.
Project and Grant tracking is performed by various on-line analysis tools and reports.



3 CIP Implementation

CIP Implementation Phase

The CIP Implementation Phase will remain as is. This is a manual process that takes place outside the system and involves vendor selection and scoping of the Project. At this point the Project could be set up in the PeopleSoft system and portions of the data could be entered. The Project Id would be established, the activities and the budget could be entered, etc. It could be considered a preparation phase. The project could be placed in a “Pending” status. This would prevent any actual cost transactions, payroll, etc. from being charged to the project.
There may be circumstances where cost is incurred before the project is underway. This could be accomplished by opening the project before the vendor selection and scoping is completed.

Council appropriates the funds necessary to design, build or purchase the established requirements of the project. It is the responsibility of the City’s departments to implement their projects on a timely basis. The procedures are as follows:

Scoping of the Project

The user department provides the scope and description of the project which is to be designed as planned. The following items are formulated.

1. Size
2. Location
3. Estimated Construction Costs
4. Equipment needs
5. Timeframes for design and development
6. Zoning
7. Utilities
8. Participation by other City departments and/or agencies
9. Grant Funds
10. Other special considerations. (Landscaping, furnishings, special mechanics)

The scope contains all the elements which the department requires and wants included in the project. All the elements are the basis on which the Consultant is selected.

The department arranges the scoping meeting with CIP, Engineering, and participating departments and agencies. The department drafts a preliminary scope and description for their review, discussion and input. The department finalizes the scope and description based on the meeting and subsequent committee input.

A pre-design input form is used as a guide in developing the project scope and description.

Consultant Selection Process

Appropriation for the project has been approved by the Council and created by CIP in the financial system. The initiation of a project begins with the notification to CIP Division. At this point the department is ready to begin its scheduled implementation.

The department initiates the Consultant Selection process, construction process or acquisition of property as appropriate and in accordance with their predetermined schedule for the project. Department prepares Project Initiation Form and forwards to CIP Division.

Consultant Selection

There are three means of selecting a Consultant for the design of a project.

1. A selection can be made without the Selection Advisor Committee process if the design fee is $25,000 or less, inclusive of reimbursable, special services and taxes.
2. If the design fees exceed $25,000, the Selection Advisory Committee must recommend the selection of the consultant to the Mayor for submission to Council.
3. If adverse funding loss situation [what does this mean?] exists for which a project must be designed and cannot wait for the regular selection process, the emergency process of the City's Procurement code may be used for the selection of the consultant. This process requires submission of an Executive Communication to Council for approval at the subsequent scheduled meeting following the emergency selection. As an example, in order to continue providing an essential service to its citizens, the City must purchase a piece of equipment or request a repair to a building. This purchase or repair would normally require the full compliance with the Procurement Code, however the nature of the emergency may allow the use of this exception to those requirements.

Advertisement for Consultant

This portion of the phase may be altered depending on the final design in Purchasing. See Purchasing Future Process for more information.

The department submits the scoping description and estimated construction costs of the project to the City's contracted Architect or the City's contracted Engineering with a request to advertise the project for consultant selection.

The advertisement for Architect or Engineering selection requests interested consulting firms to submit a response to the Request for Bid and required information on which the selection for the design of the project is based. The advertisement establishes the type of expertise required of the consultant and the deadline and place of submission for the project. This sets the scope and magnitude of the project for consultant agreement negotiations and any subsequent requirements for consultant selection and design.

Selection Advisory Committee

The Selection Advisory Committee (SAC) is composed of the following:

- Two persons at large individuals registered in the particular discipline
- One person appointed by the Mayor registered in the particular discipline.
- One representative from the user department
- One City employee individual at large (i.e. individual from CIP, Purchasing, etc)

The SAC Chairman receives and distributes the consultant proposals (responses to the RFP) and sets the meeting for review and/or interview of the consultant. The Committee, based on the consultant submissions and/or interviews, makes a prioritized recommendation for the selection of the consultant to design the project.

The SAC Chairman forwards the Committee recommendations of the consultant selection process to the Mayor. The Mayor forwards an Executive Communication naming the top three Consultants to Council for approval.

Initiation of Project

The department, in cooperation with the SAC Administrator, provides a "Letter of Selection" to the consultant. The Letter of Selection is the official notice to the consultant of their selection for the design of the project. The Letter of Selection also initiates the negotiation process with the consultant. The SAC Administrator is responsible for the negotiation process with the consultant.

The SAC Administrator is responsible for negotiating the Agreement with legal and the department's concurrence and cooperation.

Pre-Design Meeting

The pre-design meeting is a discussion of the project, its scope, any special consideration inherent in the project, and what the consultant must do to provide the design of the CIP project (called a design program). [maybe I got lost. What's a "design program?"]

It establishes the design and construction schedule. Also it is the basis for which the SAC administrator drafts the design agreement proposal (i.e. design analysis, scope of services, preliminary plans, final plans, and construction administration).

Proposed Agreement

The consultant prepares a proposal based on the discussion at the pre-design meeting, forwards it to the SAC Administrator for his review and which is used in preparing the Draft Agreement. The department reviews the proposal and submits comments to the SAC Administrator.

Final Agreement

The final agreement is the culmination of the negotiated and written review process. It includes:

1. Scope of work
2. Consultant fees
3. Terms and Payments
4. Special Services
5. Time of Performance
6. Plan Submissions and City Review time deadlines

The department submits a requisition to the CIP Division to authorize the consultant contract purchase order.
Note: the requisition should be for the amount of the agreement including gross receipts plus 10% for special or additional services. The additional 10% earmarked for special services is shown as a "Memo Item Only." If the special services or supplemental exceeds 10%, payment will not be made until the department authorizes and identifies the source of additional funds.

Proceed with Project

The CIP Division prepares a Notice to Proceed Letter which notifies the consultant to begin with the design of the project as specified in the agreement. The City's Chief Administrative Officer executes the Letter and Consultant agreement.

Construction Selection

Request for Bid

Any construction project in excess of $25,000 shall be made by competitive sealed bid. When a contstruction project is advertised for Construction Bid, it is required that advertisement include a a mandatory meeting on each project. The Scope of Services, bid requirements and plans of the construction project are sent to the requestor with a given due date.

Responses to bids are sent to the City Clerk and are opened on the required date as specified in the Bid Package. The City Clerk with a Development Review Committee opens the bids and

evaluates the responses to determine if all requirements are met and evaluate the cost. The lowest cost response is then awarded the contract.

5 Setting up the Project and Contract (Grant)

Fiscal Unit

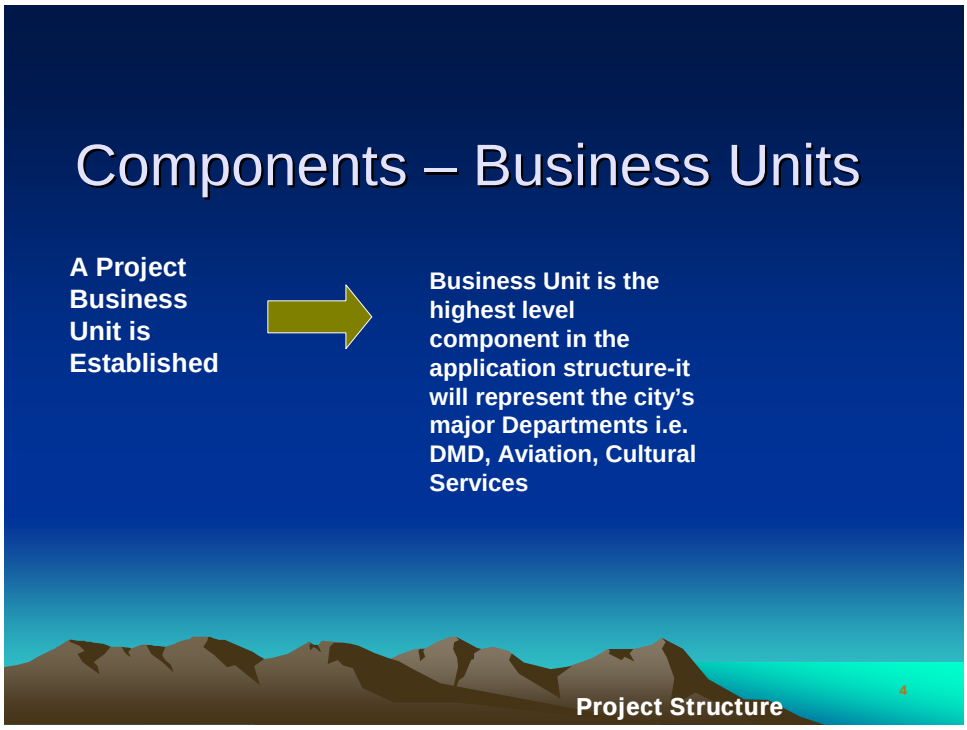
The City's CIP Division is the lead division for all Capital Improvements and will be the administrator for Project Costing. This requires managing the authorization for expenditures, maintaining system validation tables and training of new users in the use of the Project Costing application. The following are the on-going functions of the CIP Division's fiscal unit.
Administering Project Costing.

- Appropriations (Project Costing Budget Entry, Estimated Revenue)
- Projects (Setting up the Project and associated Activities)
- Requisitions (Entering requisitions. This function may become decentralized in the future. Departments managing a Capital Project may enter their own requisitions.)
- NOTE: one of the reasons the City's CIP Division fiscal unit (CIP Fiscal) performs a lot of the purchasing for Capital Projects is because the current system does not have a means of "controlling" spending. CIP Fiscal must insure appropriation budget is available. If requisitioning is decentralized and additional control is desired, CIP could be included in the work flow approval process.
- Contract Setup
- Billing and Revenue processing for Grants (other departments managing Grants would also have the ability to maintain and process Grant/Contract management.
- Generating and distributing reports

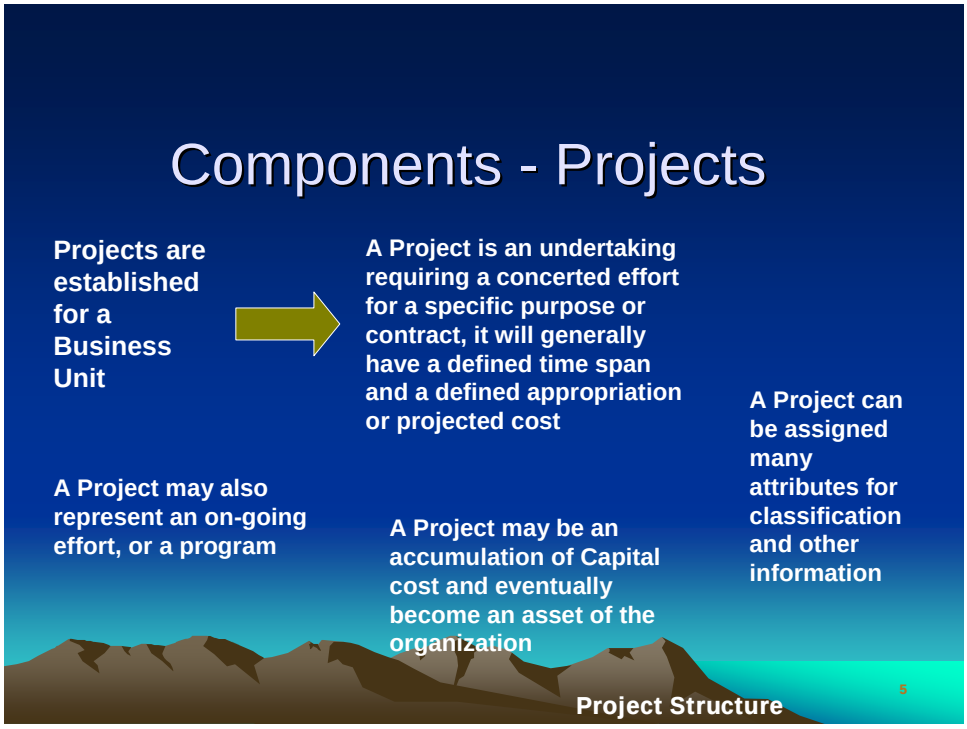
When the Project is set up in the PeopleSoft system there will be numerous fields available for capturing Project Data and general information. See the requirements document for all of the requirements and solutions.

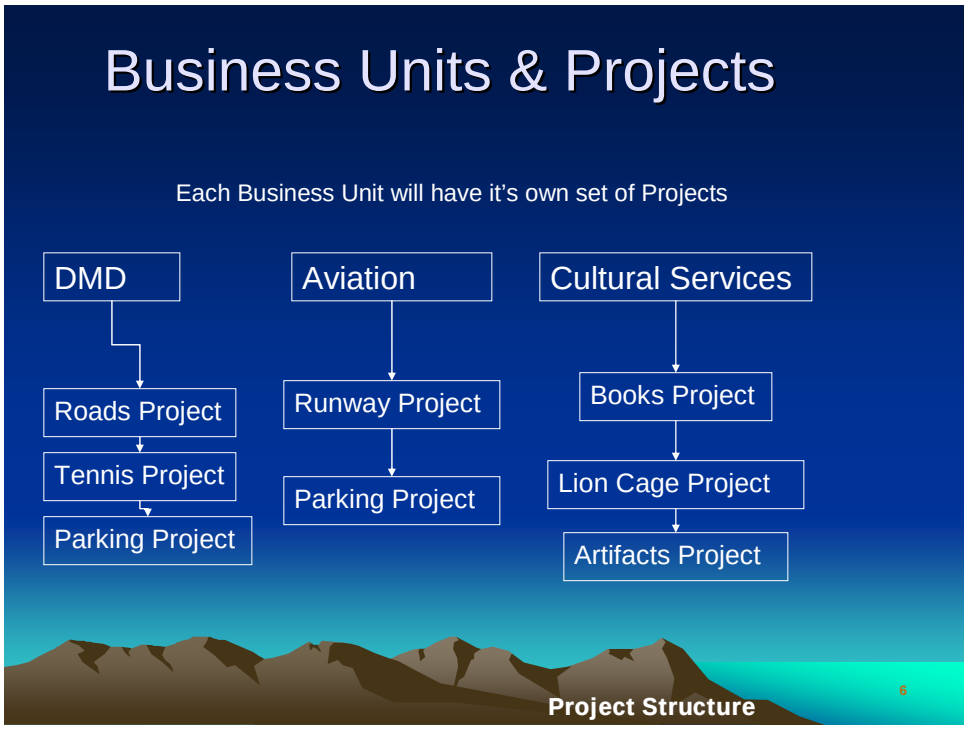
The Project General Structure is shown below. It represents the Business Unit, Project and Activity Structure.

Business Unit is the top level of the Project Costing Structure. See Section 2 Project Planning for a list of proposed Business Units.

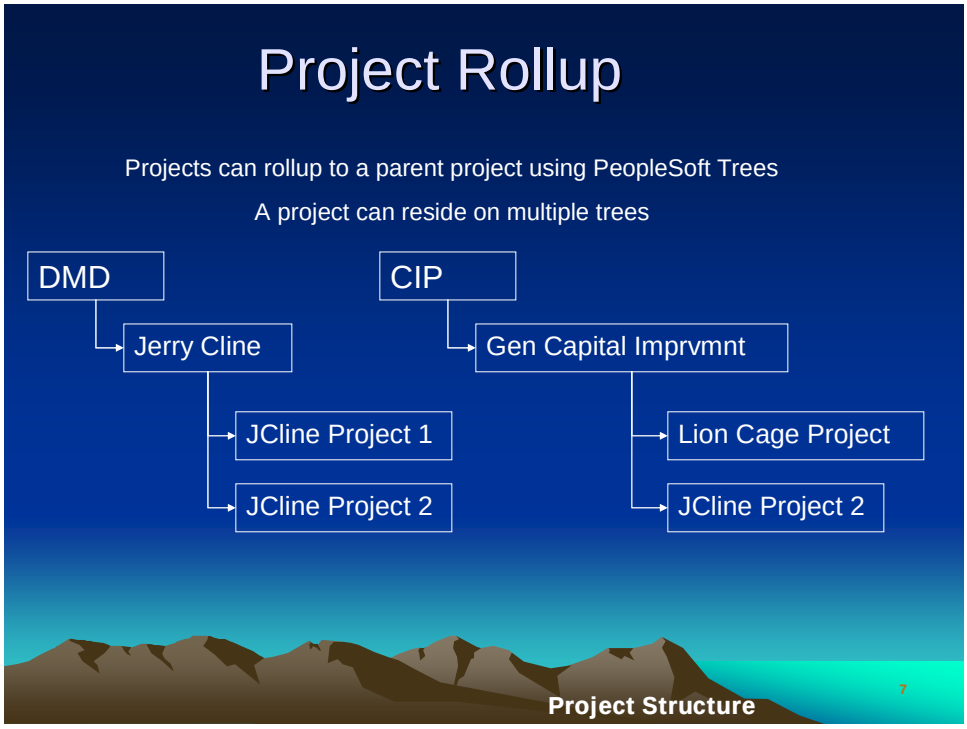


Each Business Unit will have its own set of Projects that they will manage.

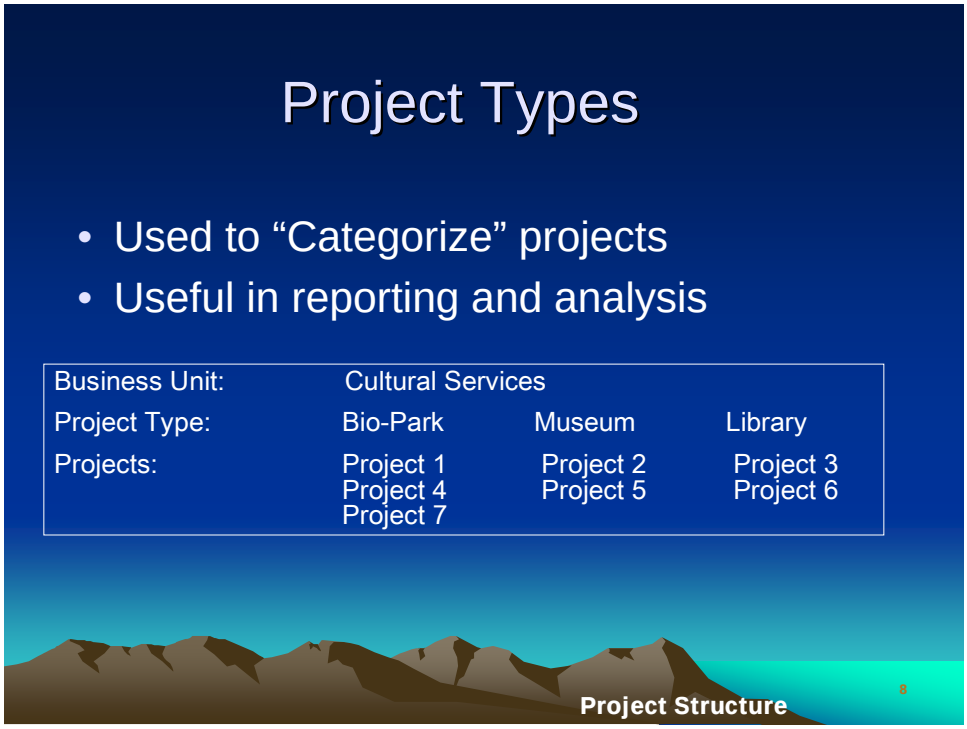




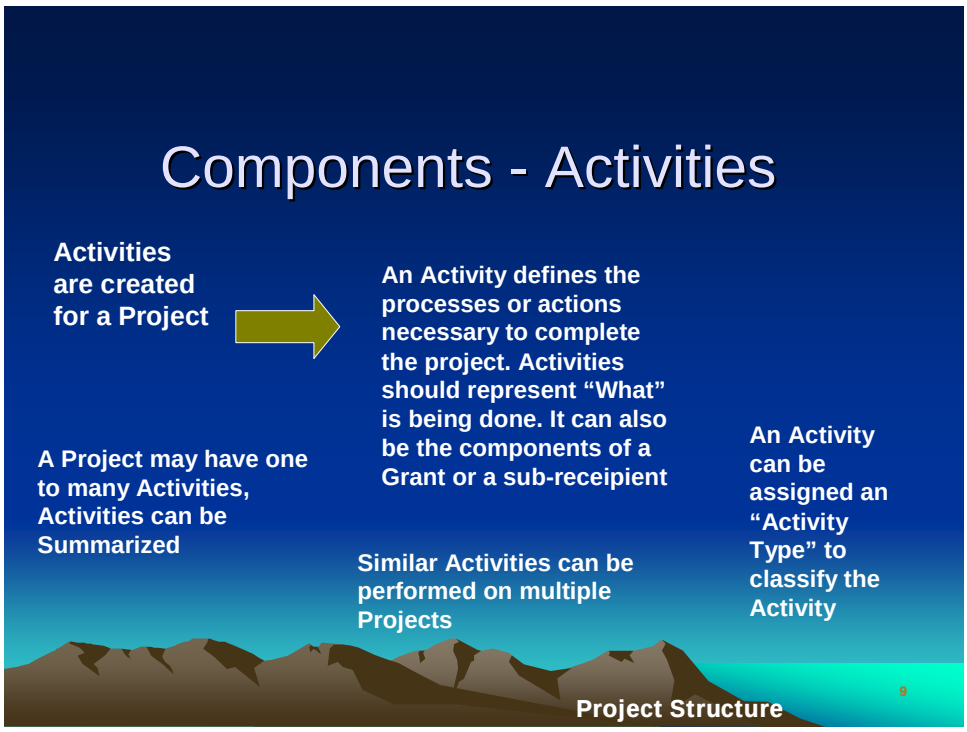
Projects can be rolled up on a tree. As shown in the example below a project can belong to two separate trees for separate rollup and analysis purposes. This is one of the requirements recorded in the requirements document. In addition it was set up in the Prototype and custom sample reports were developed allowing the option to report on either tree option. See report sample section.



Projects will be classified by Project Type. See Requirements document on Project Type function.



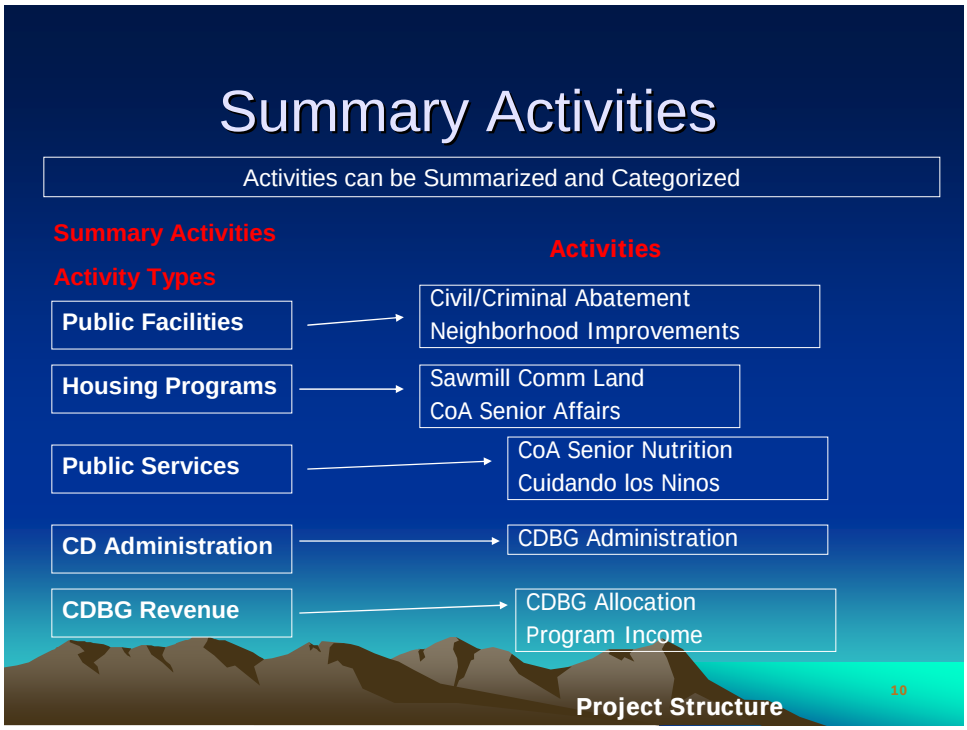
Activity Structure will be setup as shown below.



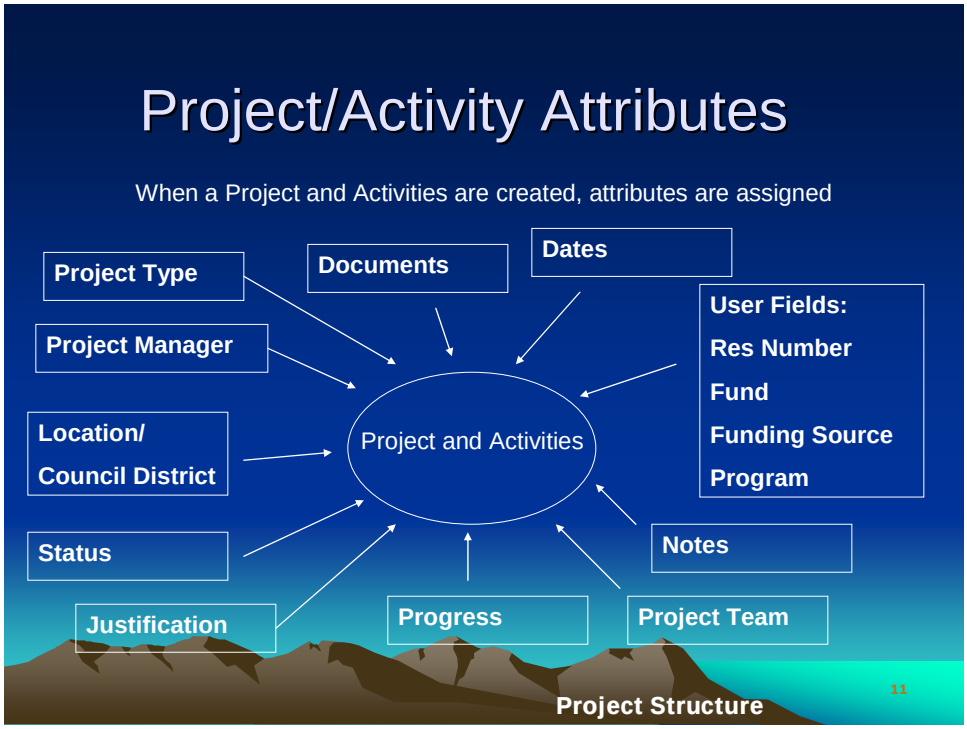
Activities will be Standardized and can be assigned by Project Type, see example below for DMD.

SetID	Activity (15 char)	Descr (30 char)	Proj Type
SHARE	EQUIPMENT	Equipment	TRAFF
SHARE	EQUIPMENT	Equipment	STRTS
SHARE	EQUIPMENT	Equipment	STORM
SHARE	EQUIPMENT	Equipment	STMNT
SHARE	EQUIPMENT	Equipment	PARKS
SHARE	EQUIPMENT	Equipment	PARKG
SHARE	EQUIPMENT	Equipment	FACIL
SHARE	EQUIPMENT	Equipment	CIP
SHARE	CONSTRUCTION	Construction	TRAFF
SHARE	CONSTRUCTION	Construction	STRTS
SHARE	CONSTRUCTION	Construction	STORM
SHARE	CONSTRUCTION	Construction	STMNT
SHARE	CONSTRUCTION	Construction	PARKS
SHARE	CONSTRUCTION	Construction	PARKG
SHARE	CONSTRUCTION	Construction	FACIL
SHARE	CONSTRUCTION	Construction	CIP
SHARE	DESIGN	Design Architect &Planning	TRAFF
SHARE	DESIGN	Design Architect &Planning	STRTS
SHARE	DESIGN	Design Architect &Planning	STORM
SHARE	DESIGN	Design Architect &Planning	STMNT
SHARE	DESIGN	Design Architect &Planning	PARKS
SHARE	DESIGN	Design Architect &Planning	PARKG
SHARE	DESIGN	Design Architect &Planning	FACIL

This example shows how a Project/Grant for Family and Community Service would be structured. Summary Activities and Activity Types can be used to create a rollup for Grant reporting purposes.

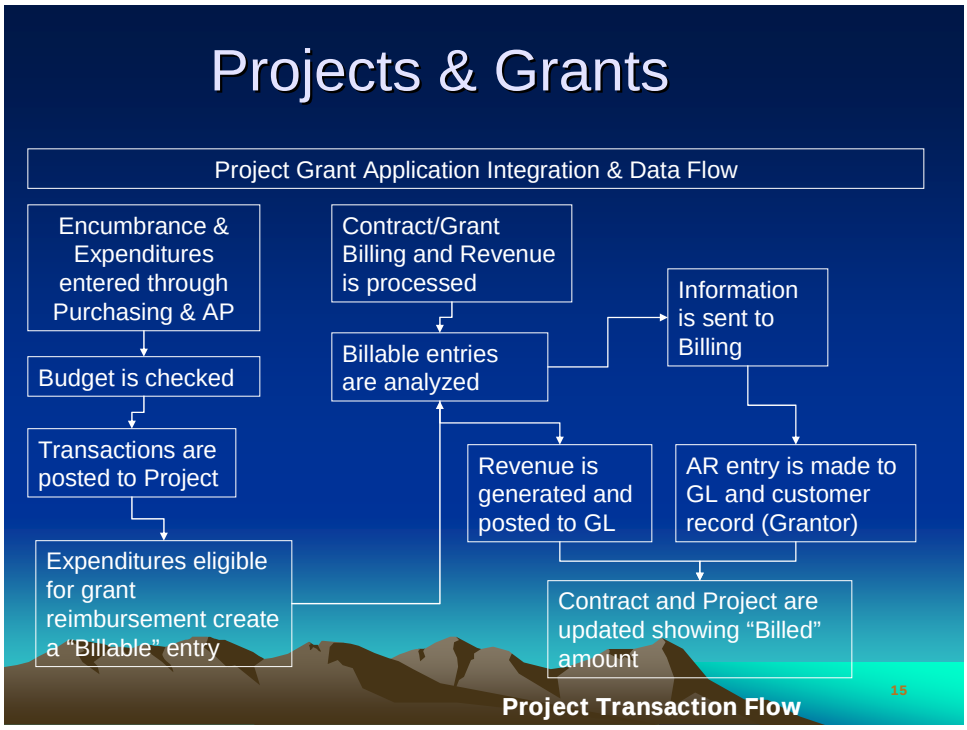


This diagram shows the various attributes that can be added to the Project and Activities. These can be used for reporting.



6 Project and Contract Processes

This section and the diagram below shows the future process for the overall Projects/Grants/Contract process.



Requisition /Purchase Order Functions

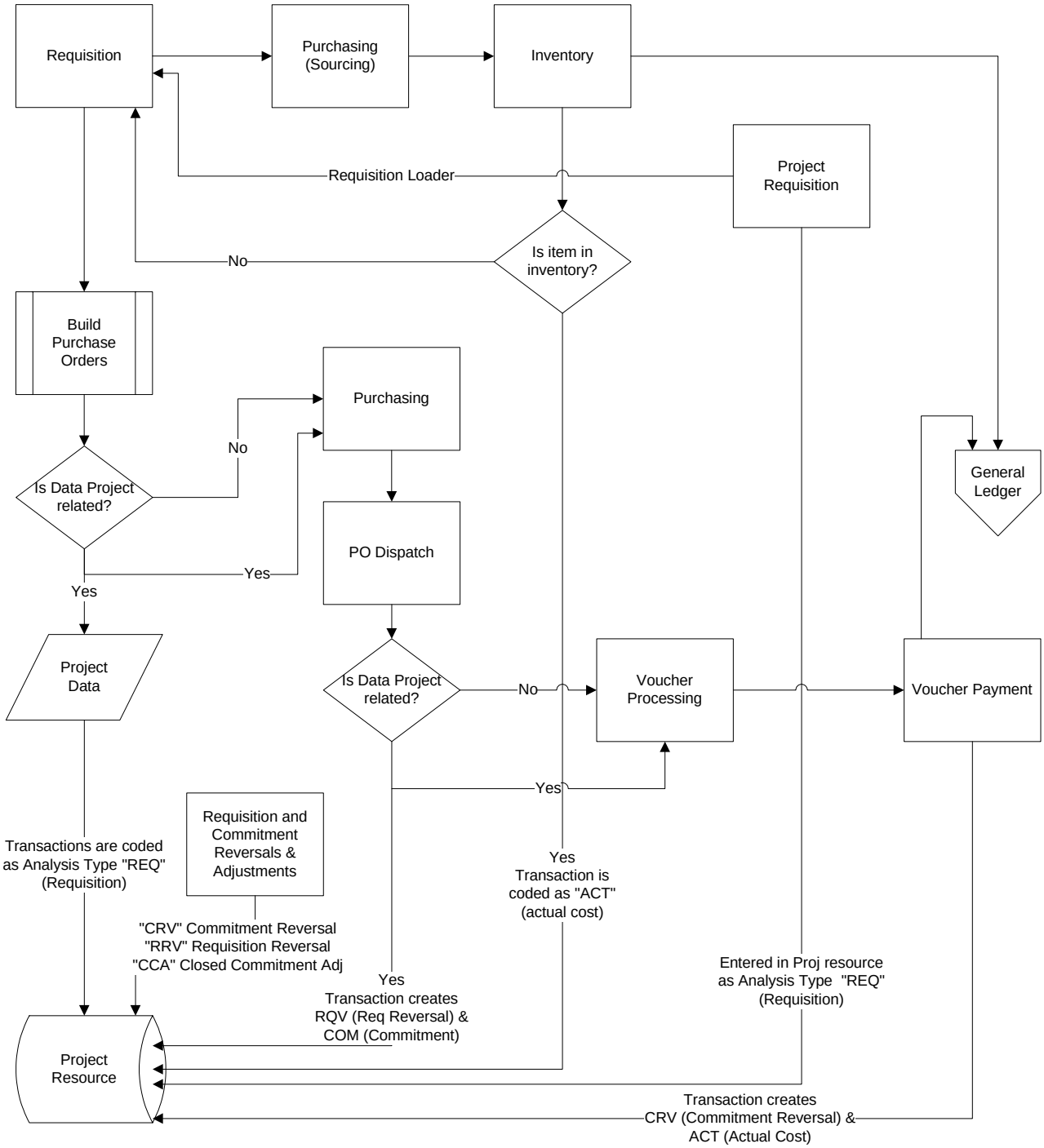
The CIP Division commits and encumbers funds through creating and maintaining written requisitions and on-line purchase orders for Capital Projects. The system used will be PeopleSoft Purchasing.

The department sends the Request for Bid to the Planning Division who, in turn, assigns a project number before the City's contracted Engineer advertises. The department submits an approved requisition to the CIP Division which should include the following information:

- Fund Number
- Project
- Program
- Account
- Department
- Project ID
- Activity ID

Upon the CIP Division's receipt of the requisition, a Purchase Order is created to commit and encumber funds. After the creation of the Purchase Order the information is transferred to Project Costing through the interface process. Shown below is the Process flow for Purchasing, AP and Inventory. Inventory is not scheduled for one of the applications in Phase 1.

Project Transaction Flow - Purchasing/AP/Inventory



Invoice Function

The CIP Division receives the approved invoices from the Project Manager. An audit is done on all documentation to insure that the invoice and supporting documents are correct and in compliance with the appropriation and capital project.
The invoice is entered into the Accounts Payable System. The established indirect over head rate is calculated by the City Economist. The rate is applied for each project on the actual expenditure. The indirect overhead is calculated automatically using the rate set and plans assigned to the Contract or Project. In addition, indirect overhead fees can now be calculated on encumbrances giving the Project Manager and CIP Finance a complete picture of the total cost of the project.

Clean Up on Projects

Throughout the life of the project if the costs exceed the appropriations then the CIP Division needs to determine if an adjustment for funds from one project to another can be made administratively.
The Administration (Mayor, Chief Administrative Officer, or CIP Director) can move funds from one project to another to cover the expenditures:

- If any Project is $1,000,000 or less the Administration can move funds to or from the project up to an amount equal to 20% of the total cost of the project.
- If any Project is more than $1,000,000 but less than $5,000,000, the Administration can move funds up to 10%.
- If any Project is $ 5,000,000 or higher and any project that is above the required Administrative percentage, the City Council has to re-appropriate money to each capital project, which is to approve the movement of funds from one project to another, in a clean up process which occurs twice each year.

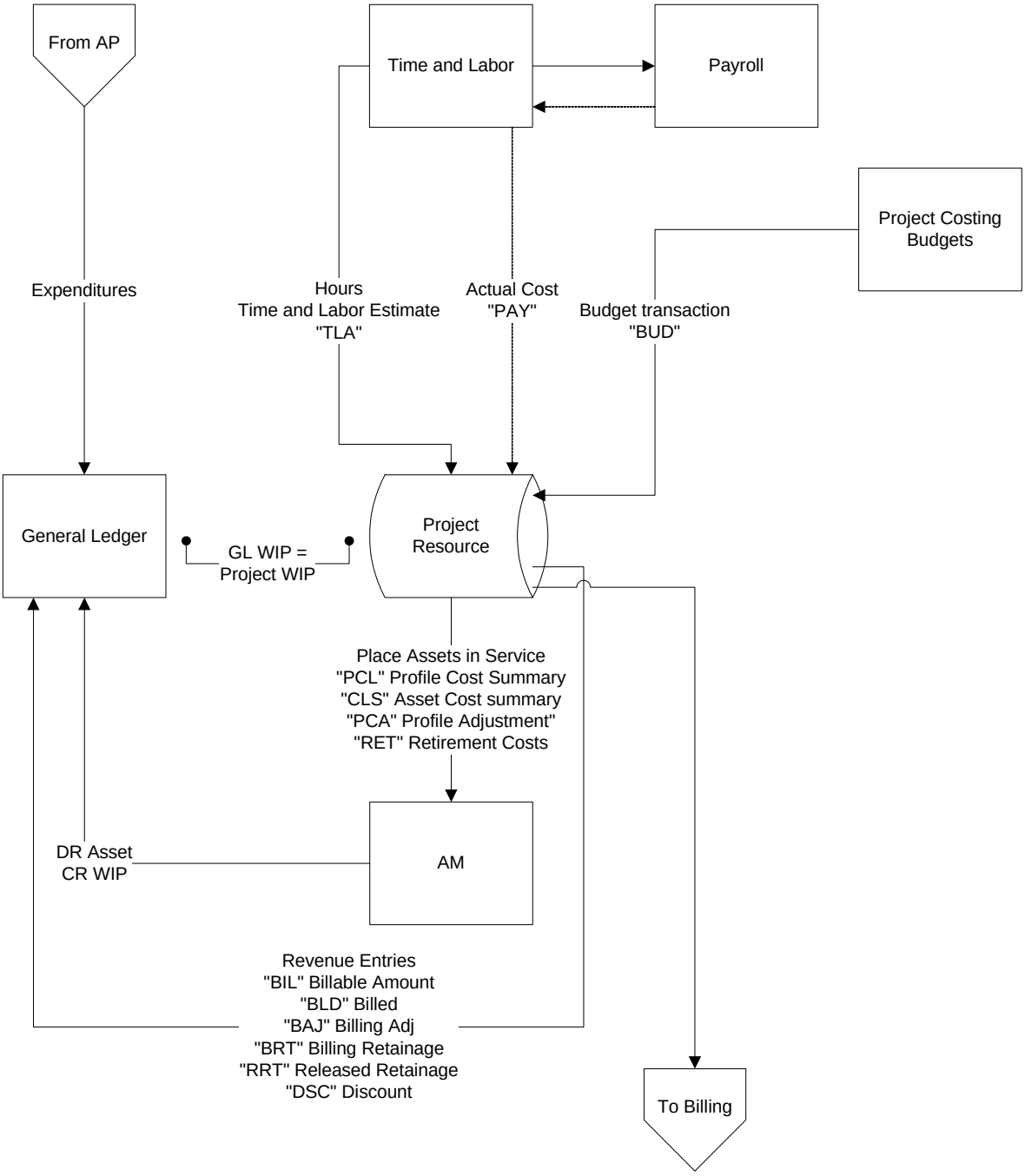
Re-Appropriation will be documented in the Commitment Control module using Budget Adjustments. The adjustments are sent to Project Costing with a specific “analysis type” to identify the re-appropriation.

Labor Charges/ General Ledger Entries, and Asset Management Integration

All personnel costs will be captured at the Project and Activity level through PeopleSoft Time and Labor. Labor charges are posted directly to Project Costing via an interface process.

General ledger entries can be made directly in General Ledger and sent to Project Costing through an interface process.

Project Transaction Flow - GL/Time & Labor/Budgets



Revenue / Expenditure Adjustments

The Revenue and Expenditure Adjustments function will be processed through a Journal Voucher in AP or a GL Journal Entry. A Journal Entry consists of a transfer from any project(s) to any other project(s). When an entry is made the funds are committed and will have a sequential entry number.

Year End Close/Asset Management processing

At the end of the Fiscal Year the General Ledger will be closed using the normal process. Projects do not get closed out, the accumulated cost remains in the Project Costing system for the life of the Project and beyond. As part of the General Ledger close, the Project balances must be reclassified to WIP along with the booking of Capital Assets. If the Asset Management module is not implemented the following process was designed to accomplish the accounting treatment.

PC Fixed Asset Accounting

Without Fixed Asset Module

2006

General Ledger
Capital Expenditure

Proj A	50000	
Proj B	90000	
Proj C	15000	
2006 year end close		
Proj A		50000
Proj B		90000
Proj C		15000

Project Costing

Project	Budget	Expense	% Completed
Proj A	50000	50000	100%
Proj B	100000	90000	90%
Proj C	30000	15000	50%

Cost is accumulated in PC. Projects with 90% completion are eligible for capitalization.

Closing Rules are written using Chartfield Sets that will close "ALL" capital expenditures to WIP

2006 year end close

WIP

Proj A	50000	
Proj B	90000	
Proj C	15000	
Project Capitalization		
Proj A		50000
Proj B		90000
	155000	140000

Project Capitalization

Fixed Assets

Proj A	50000	
Proj B	90000	

Projects with 90% completion are eligible for capitalization. And booked to the Capital Asset Accounts. This can be performed using Accounting Rules in PC.

The offset is to WIP, the remaining balance in WIP represents the diffeence between the capitalized and uncapitalized portion of the Projects that were not 100% complete.

2007

Capital Expenditure

Proj B	10000	
Proj C	15000	
2007 year end close		
Proj B		10000
Proj C		15000

Project Costing

Project	Budget	Expense	% Completed
Proj B	100000	100000	100%
Proj C	30000	30000	100%

In the following fiscal year the same process takes place. Those projects that were not complete incur the remaining cost and at year end get closed out to WIP

WIP

Bal Fwrd	15000	
Proj B	10000	
Proj C	15000	40000

Project Capitalization

Fixed Assets

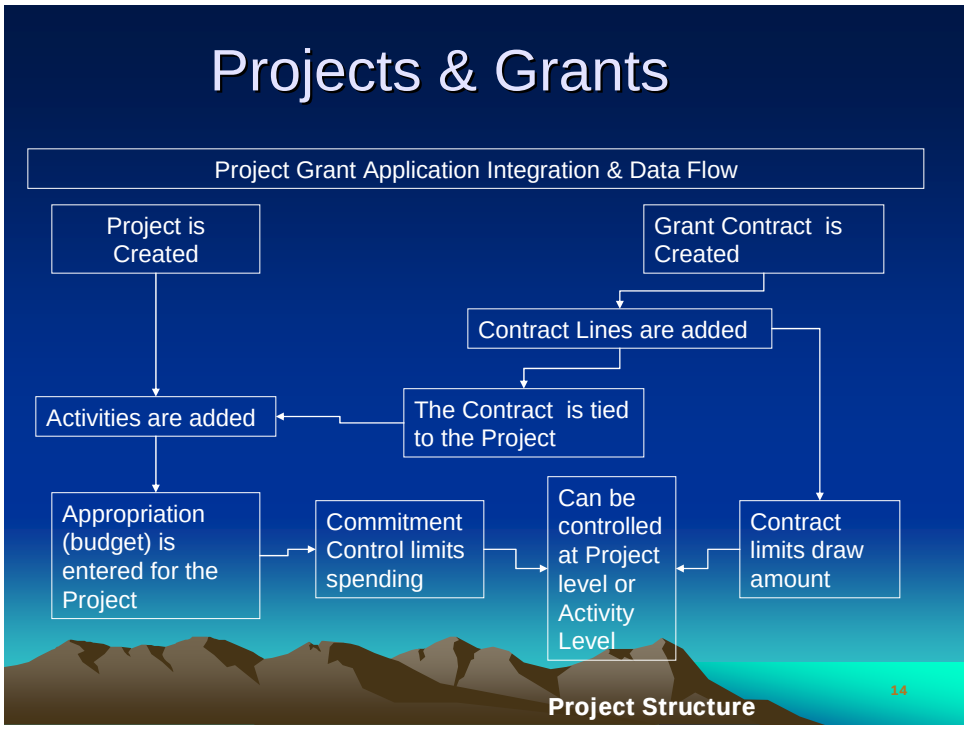
Proj B	10000	
Proj C	30000	

When the Project is competed the entry to fixed Asset accounts can be mad with the offset to WIP. Balancing out the WIP account.

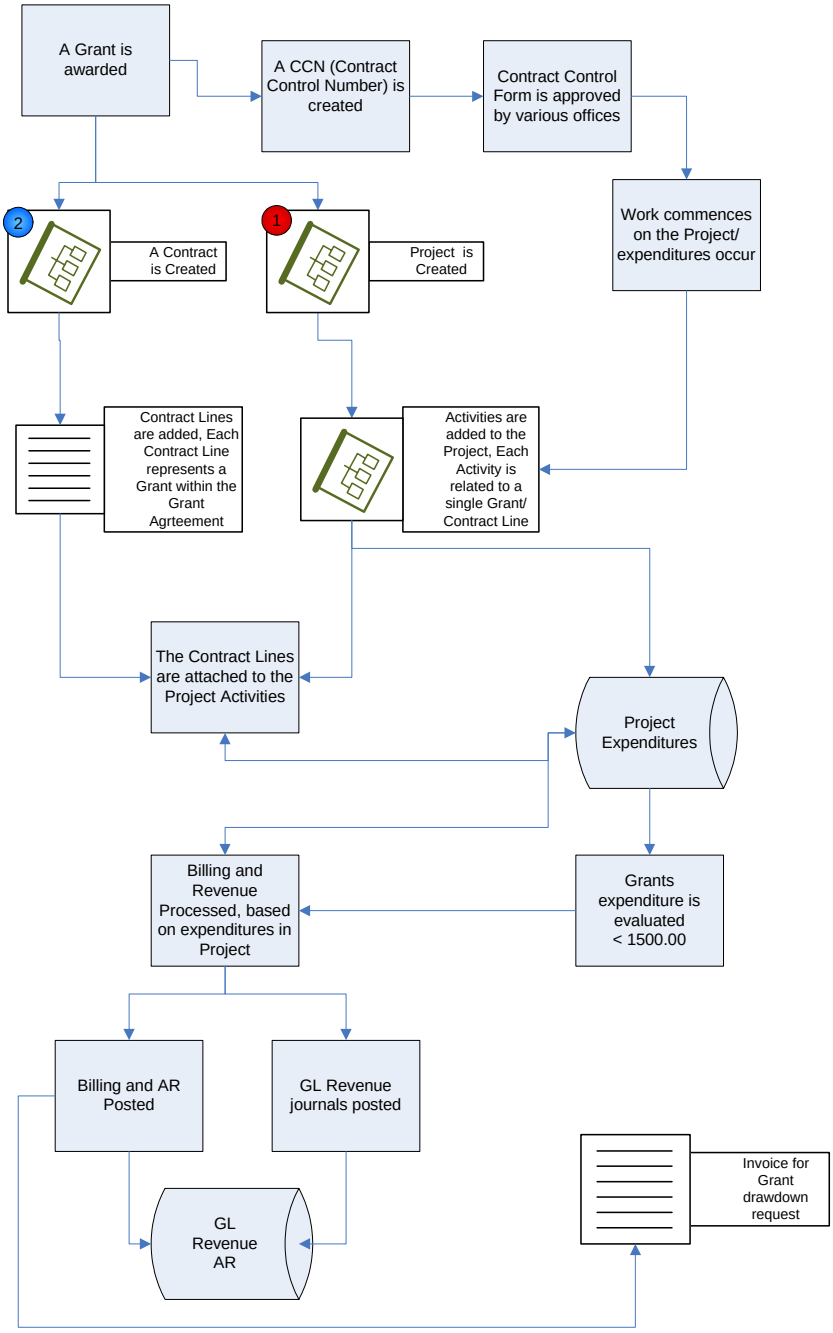
Grants

The State of New Mexico as well as Federal and Local sources provide funding for many of the City Capital Improvement Projects. The Funding is provided through a Federal, State, or Local grant. When a grant is awarded, a contract between the Grantor and City is created. The Contract is sent to City Council for approval reflecting the amount of the grant with the matching funds required. When the appropriation is approved, an activity is created associated with the grant.

When the Grant is approved a Contract will be created as well as a corresponding Project and Activities. The diagrams below show the process flow of establishing the Contract and Project and the transaction flow.



Future Grants Process



6 Project-Based Work

Specific examples of COA activities that could be viewed as Project-Based Work:

- Capital improvement Projects (CIP)
- Information systems division (ISD) projects
- Grants (HUD, Transit, HHS, Public Safety, etc…)
- Strategic projects
- Emergency preparedness projects
- Other projects as determined by management

Departmental Projects

Most of the departments within the City own and manage Capital Projects. For some departments CIP Fiscal performs most of the administrative functions and manages the Project. Reporting is distributed to the departments allowing them to review the activity and appropriation balances. In the future departments will have the on-line tools and reporting capabilities to manage projects with less dependence on CIP Fiscal.

Grants (HUD, Transit, HHS, Public Safety, etc…)

Grants will be set up as Projects and Contracts. The Contracts module is the vehicle for managing and automating the billing and revenue process for grants. The integration between Billing, Project Costing and AR is the accomplished through the Contracts module)

Strategic Projects and Community Goals

Strategic and Community Goals will be captured in the General Ledger Program and GL Activity structure. Capital Projects can be assigned a Program and could be associated to Goals as long as the Program structure is designed properly. Project Costing can be used to capture statistical information and related costs. Although no requirements and analysis was performed on the Goals and how they could be related to Projects, it is possible to create such a relationship between the modules. Shown below is an example of how statistical information can be captured in Project Costing and used in reporting.

Statistical Data

In addition to capturing cost data, statistical and metric data can also be input into the system

Statistical Accounts, Statistic Codes, Unit of Measures can all be utilized

- Meals Served
- Locations
- Hours worked
- Miles Driven
- Balloons Launched

Transactions 17

Statistical Data

Statistical data can be analyzed in reports and compared to cost data

Senior Meal Program		Supplies/Food Cost	Labor	Overhead	Total
		$ 50,000	$ 150,000	$ 20,000	$ 220,000
Metric/Unit of Measure	Qty.		Cost Per Unit		
		Supplies/Food Cost	Labor	Overhead	Total
Resource Hours:	14000	$ 3.57	$ 10.71	$ 1.43	$ 15.71
Meals Served:	53000	$ 0.94	$ 2.83	$ 0.38	$ 4.15
Locations:	15	$ 3,333.33	$ 10,000.00	$ 1,333.33	$ 14,666.67
Miles Driven:	87500	$ 0.57	$ 1.71	$ 0.23	$ 2.51

Transactions 18

7 Project Reporting

Reporting Objectives and Processes

CIP Status Report

CIP Fiscal is responsible for reconciling all Capital Projects and providing a current balance to the City's Administration. Each project is reconciled and a status report is submitted to all project managers. The status report reflects the net of total appropriations minus the estimated indirect overhead.

If any request for a change order, additional services or notice to proceed is submitted to a project, CIP Financial reviews the balance and determines if the funds are available. If funds are not available the change order is denied.

The Status report will be available with current data on a real time basis. In addition, any department can create the report at any time. A single Business Unit can be selected so departments can report only for their section. Reports are available on demand. Sample below:

Business Unit: PCDMD Projects-Dept of Municipal Dev

Project ID	Project Description	Bonds	Grants	Appropriation Total	Expenditures	Encumbrance Balance	Total Expend & Encumbered	Ind Overhead Encumbrance	Ind Overhead Expenditures	Appropriation Balance	Percent of Budget Used
Project Type: FACIL DMD-Facilities											
04_ST_GRT											
JC_TENNIS	Jerry Cline Tennis 04-1623	488	25,000	25,488	24,000	20,000	44,000	216	259	-18,512	173.0%
	Total for: 04_ST_GRT	488	25,000	25,488	24,000	20,000	44,000	216	259	-18,512	
05_ST_GRT											
JC_TENNIS_A	JC Tennis Court 03-246	0	50,000	50,000	0	5,000	5,000	54	0	45,000	10.0%
JC_TENNIS_B	Jerry Cline Tennis 04-1634	10,988	50,000	60,988	5,000	20,000	25,000	216	54	35,988	41.0%
	Total for: 05_ST_GRT	10,988	100,000	110,988	5,000	25,000	30,000	270	54	80,988	
CIP_MISC											
PK_FAC_REHAB	Parking Facility Rehab	0	0	0	0	0	0	0	0	0	0.0%
	Total for: CIP_MISC	0	0	0	0	0	0	0	0	0	
	Total: FACIL DMD-Facilities	11,476	125,000	136,476	29,000	45,000	74,000	486	313	62,476	
Project Type: PARKG DMD-Parking											
04_GO											
PK_FACILITY	Parking Facilities Rehab	500,000	0	500,000	0	0	0	0	0	500,000	0.0%
	Total for: 04_GO	500,000	0	500,000	0	0	0	0	0	500,000	
	Total: PARKG DMD-Parking	500,000	0	500,000	0	0	0	0	0	500,000	
Project Type: PARKS DMD-Parks											
05_GO											
MILE_H_LL_001	Mile High Baseball Field	50,000	0	50,000	0	0	0	0	0	50,000	0.0%
	Total for: 05_GO	50,000	0	50,000	0	0	0	0	0	50,000	
	Total: PARKS DMD-Parks	50,000	0	50,000	0	0	0	0	0	50,000	
	Total: PCDMD	561,476	125,000	686,476	29,000	45,000	74,000	486	313	612,476	

DMD Project Status Report

The DMD Project Status Report is prepared for DMD Project Management. This report will be available to all departments. The data shown includes many of the information attributes of the Project. While this report does not capture every aspect of the current report it would be available on demand. The current process requires weeks of assembling data and formatting the report in spreadsheets, etc. Sample below:

Cover Page- information will change depending on the Department (PC Business Unit) running the report.

Summary Page- the report is grouped into sections based on the Project Type (DMD Division in this example). Each change in Project Type would include the summary page.

Division/Project Type: DMD-Facilities

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Project Status

Department of Municipal Development

PROJECT NAME	PROJECT_ID	DISTRICT	ESTIMATED START DATE	ESTIMATED END DATE	ACTUAL START DATE	ACTUAL FINISH DATE
Jerry Cline Tennis 04-1623	JC_TENNIS	DISTRICT2	10/11/2004	1/31/2007	11/8/2004	1/31/2007
JC Tennis Court 02-246	JC_TENNIS_A	DISTRICT1	10/13/2004	2/29/2008		
Jerry Cline Tennis 04-1934	JC_TENNIS_B	DISTRICT2	10/11/2004	1/31/2007	10/15/2004	2/5/2007
General Capital Improvments 06	GEN_CAP_2006	DISTRICT1	12/1/2006	12/31/2007		
Parking Facility Rehab	PK_FAC_REHAB	DISTRICT1	1/1/2007	1/1/2010		

Detail Page – this page recaps each project detail

Division: FACIL DMD-Facilities

Project Information:

Project ID: JC_TENNIS
Project Description: Jerry Cline Tennis 04-1623
Project Type/Division: DMD-Facilities
Fund: 305
Program: 7230E

Start Date: 10/11/2004
End Date: 1/31/2007
Class: REC_FACILITY
Type: DEVELOP
Appropriation ID: R061059 2004

Project Scope:

Construction of the support building and court renovation.

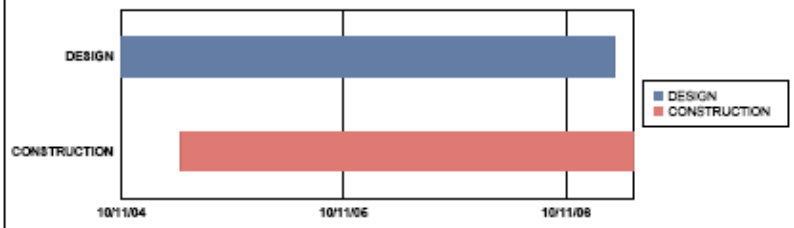
Location:

Location: DISTRICT2
Address: Albuquerque
House/Senate:
http://www.cabq.gov/council/comaps.html
http://www.cabq.gov/council/codist2.html

ACTIVITIES

CONSTRUCTION	Construction	Start: 1/15/2005	End: 1/31/2007	Percent Complete: 15.0%
Notes: Lee Landscaping				
DESIGN	Design Architect &Planning	Start: 10/11/2004	End: 12/31/2006	Percent Complete: 85.0%
Notes: ABC Architects				

Project Status Chart



Project Notes:

Note 1: Started construction on time, determining feasability of add on to Tennis Complex
Note 2: Additional $50,00 contributed by State Grant 06-262
12/19/06 Construction on hold

Financial Information:

Appropriation:	25,488
Re-Appropriation:	0
Total Appropriation:	25,488

Expenditures:	24,000
Encumbrance:	20,000
Indirect Overhead on Encumbrance:	216
Indirect Overhead on Expenditures:	259
Total Indirect Overhead:	475
Total Expend & Encumbered Cost:	44,475
Appropriation Balance:	-18,987
Percent of Appropriation Used::	

Project Rollup- this report is a sample of how projects would be rolled up on a tree.

Parent Project Report

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Parent Project - Project	Appropriation	Re-Appropriation	Appropriation Total	Expenditures	Encumbrance Balance	Total Expend & Encumbered Cost	Indirect Overhead on Encumbrance	Indirect Overhead on Expenditures	Appropriation Balance	Percent of Budget Used
JERRY_KLINE										
JC_TENNIS Jerry Cline Tennis 04-1623	25,488	0	25,488	5,000	20,000	25,000	216.00	54.00	488	98.0%
JC_TENNIS_A JC Tennis Court 02-246	0	5,000,000	5,000,000	0	0	0	0.00	0.00	5,000,000	0.0%
JC_TENNIS_B Jerry Cline Tennis 04-1934	30,988	0	30,988	0	0	0	0.00	0.00	30,988	0.0%
Total for: JERRY_KLINE	56,476	5,000,000	5,056,476	5,000	20,000	25,000	216.00	54.00	5,031,476	
MILE_HIGH_LL										
MILE_H_LL_001 Mile High Baseball Field	50,000	0	50,000	0	0	0	0.00	0.00	50,000	0.0%
Total for: MILE_HIGH_LL	50,000	0	50,000	0	0	0	0.00	0.00	50,000	

End of Report

8 Glossaries of Terms

PeopleSoft Application Fundamentals

Business Unit - An identification code that represents a high-level organization of business information. You can use a business unit to define regional or departmental units within a larger organization.

Set ID - An identification code that represents a set of control table information or TableSets.

Table Set - A TableSet is a group of tables (records) necessary to define your organization's structure and processing options.

PeopleSoft 8.9 Financials and HCM ChartFields

Account - Classifies the nature of a transaction. This field is required.

Fund Code - The primary structural units of Government accounting. A method of recording financial information that groups resources into funds based on their source and any limitations on use.

Department - A principal administrative division of a government; tracks information according to a divisional breakdown of an organization; can be used to indicate who is responsible for or affected by a transaction.

Program Code - Tracks revenue and expenditures for programs within or across organizations. Can be used to identify groups of related activities, cost centers, revenue centers, responsibility centers and educational programs.

GL Activity – will be used to supplement activity that is taking place and in NOT related to Project Costing (see Activity below).

Project Costing Business Unit - Used as an operational subset of an organization to organize project activity independently of the constraints of the standard accounting procedures for the financial posting and reporting of the organization. You create PC Business Units on the Project Costing Definition page.

Project ID/Grant - Captures additional information useful for grant and project accounting.
The Project ChartField does not have effective dating.

Activity - Activities are the specific tasks that make up a project. You create activities on the Project Activities page or the Activity Details page.

Source Type - Source types identify the purpose or origin of a transaction. For example, you might create a source type of labor to track total labor costs in a project.

Category - Use categories to further define source types.
Although defining categories and subcategories is optional, using them provides greater flexibility and granularity for tracking and analyzing costs.

Sub Category - Use subcategories to further define categories.

Statistics - Use to define statistical data such as number of units.

Communication Strategy and Plan

City of Albuquerque

Enterprise Resource Planning (ERP) Project, Phase 1

Last Updated:
March 5, 2007

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Executive Summary

During times of change, communication is more critical than ever. It provides individuals with the appropriate information to ease the transition of changing from the current business processes to new ways of thinking and working.

The Enterprise Resource Planning (ERP) project will affect employees of the City of Albuquerque who are the users of the processes being changed. Impacted personnel must be thoroughly informed of the intended transition and the implications of such a transition so that the support and ownership necessary for organizational success is provided.

The Communication Plan and Strategy provides general information on communication goals, objectives, principles, and mechanisms. A comprehensive and structured approach to communication is critical to the success of the ERP project. Clear, planned, and regular communication of information will ensure effective management of project resources and will provide the foundation for a successful implementation. Communication lines between and among the Steering Committee, Project Team, and key Project Stakeholders must be open and effectively used to facilitate the ongoing, timely communication of key project messages.

The ERP project is large and complex. Because of this complexity, the City of Albuquerque has dedicated a considerable number of functional and technical employees to the project on a full or part time basis. In addition, other employees will assist with the project as department liaisons or subject matter experts. Change will occur with the implementation of the ERP system – changes to employees' roles and responsibilities and changes to current business processes. Multiple layers of management and system users must be informed as to the challenges, successes, and changes brought by ERP.

This plan is a living, working document that will be updated as the project progresses, decisions are made, details are discovered and issues arise. The latest version of this document will always be available on the ERP Project SharePoint site.

Note: The End-User Training Strategy and Plan is a separate document that will provide information on the goals, objectives, principles and mechanisms related to end-user training.

Purpose of the Communication Strategy

This communication strategy is a framework for providing timely, meaningful and consistent information within a complex project encompassing many stakeholders. The purpose of this strategy is to facilitate progress throughout the project, create receptivity to change, and engender support for the project.

Goal and Objectives of the Communication Strategy

The goal of the Communication Strategy and Plan is to build stakeholder commitment to the vision, future state (environment that will exist at the conclusion of the project) and changes that the City of Albuquerque will undergo as a result of the project.

The objectives are as follows:

- Design and communicate messages dealing with the change impact through all levels of the organization, making sure that messages are aligned and appropriately targeted to each audience;
- Create ongoing, open, honest feedback loops with key stakeholder groups;
- Provide frequent, credible information that creates awareness and clarifies the goals of the project; and
- Inform the development of effective training and reference materials for personnel who will perform the new work procedures.

Communication Critical Success Factors

The following factors contribute to the success of the Communication Strategy and Plan:

- **Content** – Information must be relevant, specific, meaningful, understandable, up-to-date, and at an appropriate level of detail for the various identified stakeholders. The message should convey realistic expectations and should encourage open discussions about the impact of anticipated changes, keeping in mind that the approach used to communicate information should also be based on stakeholders' needs and feedback. The content should tie back to project objectives.
- **Timeliness and Repetition** – Information must be shared in a way that allows stakeholders many opportunities to absorb the messages and react.
- **Context** – All communication should demonstrate and reinforce management support and commitment by clearly indicating the sources of the information. In addition, communication should emphasize business needs.
- **Format/Medium** – All communication should be delivered in formats that are effective and easily accessible. Existing communication methods should be used whenever possible.
- **Participation** – The successful implementation of this plan is dependent upon participation from project team members and other subject matter experts.

Communication Approaches

The communication approaches that will be employed to ensure the success of the project are:

- Developing a common understanding among key stakeholders as to the overall purpose, scope and objectives.
- Communicating the business reason for the changes being made, including the costs and risks of not changing.
- Communicating about the newly designed business processes with consideration for the implications and job impacts created by these changes.
- Managing and working through the natural resistance to change by designing and executing a communication plan that keeps City of Albuquerque employees and stakeholders informed and updated on critical project milestones.
- Encouraging, collecting and responding to feedback in ways that enable stakeholders to give input to decisions, and to know that their input was heard, considered, and responded to.

Assumptions

- Each stakeholder group will have differing information needs.
- An Institutional Readiness team will be formed that will be aware of each stakeholder group's preferred methods of communication.
- Each member of the Institutional Readiness team will be a champion for the successful implementation of the system.

External Communications

Communication to the press and other external audiences about the project is not within the scope of this communication plan/change management effort. However, if such communication is determined to be necessary, all communications containing information targeted for audiences outside the City of Albuquerque organization will be handled directly by the Project Sponsor(s) and/or City public relations officers. Existing procedures for handling public communications, including press releases, will be applied.

Although labor union representatives are City employees, for the purposes of this communication plan, labor unions are considered an external audience. Therefore, communication with labor unions is outside the scope of this plan and will be addressed (if required) in the manner described above.

Communication Roles and Responsibilities

Responsible Person	Role(s)
Steering Committee	• Review and approve select communications as brought forward by the Project Manager/Change Manager. • Coordinate with Change Manager on message content and direction. • Recommend specific groups to target for communications. • Assist in removing barriers or resolving conflicts concerning the communication plan. • Support and contribute to key messages targeted to their organizations. • As appropriate, communicate key messages.
Project Manager(s)	• Provide oversight for communication activities • Resolve issues around communication messages and approval process. • Promote positive communication to project stakeholders. • Support and contribute to communications, such as Outreach Sessions, as needed. • Review and approve communication messages; decide when Steering Committee review is needed.
Change Manager (Systems Transition Manager)/Change Management Team	• Develop communication plan with input from other project participants and stakeholders. • Lead the creation of key messages and materials. • Organize and oversee communication events. • Ensure the collection of and response to feedback from stakeholders. • Facilitate the resolution of issues relating to the communication plan.
Project Team Members	• Apply communication materials and key messages while working with stakeholders and others. • Participate in communication events as needed. • Support and contribute to the creation and delivery of communication mechanisms. • Help resolve issues as needed.
Functional Leads/Subject Matter Experts	• Assist Project Manager/Change Manager in identifying change impacts and potential mitigation plans. • Assist Change Manager in planning communication and training activities for their home organizations. • Identify and assist in resolution of change issues (e.g., resistance behaviors) that need to be addressed by the team. • Assist Change Manager in identifying areas needing special focus for communication. • Provide guidance and expertise in knowledge area for all communications.

Feedback Plan

Feedback is a key success factor for the OCM strategy. By providing stakeholders with many opportunities for feedback and other input, we increase the level of buy-in and support for the project and improve the quality of the results. Stakeholders will provide feedback in many forms, including e-mail messages, phone calls, and face-to face communications. As appropriate, the feedback items will be addressed and shared with stakeholders via the various communication mechanisms.

An Open Approach

The standard practice during the ERP project will be to invite feedback at every practical opportunity; for example, during face-to-face outreach sessions, on the ERP Information website, at Fit/Gap and design sessions, and at informal and formal gatherings where ERP is discussed.

Institutional Readiness Team

One key way that we will collect feedback is through a team called the Institutional Readiness Team (IRT). This team will be convened during the Analysis phase, and will consist of representatives from all City departments. The decision was made at the 12/12/2006 Steering Committee meeting to invite the Fiscal Managers to join this team. The IRT members will meet monthly during the life of the project, and will be a key liaison between the departments and the ERP project team. They will assist with identifying and resolving any communication or organizational change management issues that arise during the course of the project.

Tracking of Feedback

Feedback items will be logged in the ERP Project SharePoint site. The Change Manager, with the assistance of the Project Manager(s), will assign the items to the appropriate resources and will ensure that appropriate follow-up occurs. This will ensure that we have a record of feedback received and any actions taken.

Internal Project Team Communication

The project managers from SkyBridge and the City (in this case, Stan Low from the City and Jeff Kehoe from SkyBridge Global) are responsible for internal project team communication. To ensure that the project team members are communicating effectively with one another, a regular schedule for meetings and status updates will be established.

Stakeholder Analysis

This Stakeholder Analysis will be continually updated throughout the project as decisions are made and additional information is gathered.

Legend:

	Levels of Commitment
Contact	Individuals have been informed of the Success Indicators for the project; individuals have been informed of why the project is being done
Awareness	Individuals are aware of the basic scope and concepts of the project
Understanding	Individuals understand the impacts to the organization and their functional areas
Desire	Individuals understand impacts and benefits to them
Adoption	Individuals are willing to work toward achieving "Green" on the Project Success Scorecard; Individuals are willing to work toward achieving the project's goals
Internalization	Individuals make the Success Indicators their own; Individuals create innovative ways to use the system to improve their functional work processes; Reinforce project through resources and behaviors

	Key Stakeholder Types
1	Control critical resources (time, $, labor)
2	Must approve aspects of the project
3	Influence other critical players, either formal authority or informal authority or influence
4	Own a key work process impacted by ERP

Grayed rows	More analysis needed

Stakeholder Group	Will use ERP to do their job	Will be required to work differently as a result of ERP	Needed to provide inputs (information, decisions) into the project	Key Stakeholder Type	Current Level of Commitment (see legend)	Level of Commitment needed for ERP to meet Project Success Indicators	What is important to those stakeholders who are far from the required level of commitment?
HR Analysts in HR Employment division 2-3 (Frank Romero, Pearl Maestas, one vacancy - was Patrick Petracca) Managers: Darlene Herrera, Mary Scott, Judy Montoya Also: Karmela Ortiz	Yes	Yes	Yes	4	Awareness	Internalization	Will need different skills in future (doing clerical work today, will need to be more analytical – problem-solving, deeper understanding of how total system works), we may need more of them than we have today; will likely be overwhelmed by the look and feel of PeopleSoft; Division name may change to "Workforce Administration" to match the software module name; will be a specific security-defined role in Psft; need to unlearn old codes, learn new codes. Need lots of training and communication, firm hand-holding; involvement in project (as-is, requirements, fit-

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							gaps), good support from Director (Pat Miller)
HR Analysts in Class and Comp 3 (Ernest Montoya, Rebecca Lopez-Sawyer, vacant) Manager: Darlene Herrera Also: Karmela Ortiz	Yes	Yes	Yes	4	Desire	Internalization	Will need different skills in future (doing clerical work today, will need to be more analytical – problem-solving, deeper understanding of how total system works), Division name may change to "Position Administration" to match the software module name; will be a specific security-defined role in Psft; unlearn old codes, learn new codes. Continued involvement, will be in fit-gaps. Training. Seem more open to change than most.
HR - Insurance Specialist 3 today (Bill Sena, Alex Lee, new one just hired)	Yes	yes					Currently enroll people in their benefits (from paper form to data entry); do a little bit of analysis to make sure you qualify and have the required forms.
HR - Insurance Coordinator 1 vacant but Karmela Ortiz may be filling in	Yes	yes	yes	3, 4	n/a	Internalization	Less system work, more involved in plan management, outside entities, flu shot clinics, handles unemployment claims today.
HR Fiscal Officer/Fiscal Supervisor Anna Garza Tanya Gallegos (Fiscal Supervisor)	Yes	yes	yes	4	Awareness	Internalization	Some fear exists in this stakeholder group. Role not clearly identified (may have a new role in transferring monies to PERA and to carriers – release payment) Similar to Employment, may need a lot of hand-holding, communication, and training.
HR Coordinators (all departments	yes	yes	no	4	Awareness	Adoption	Workflow process will change , P1 (personnel transaction system) will go away; they create P-1s (person you are putting in a position) and B-3s (request to fill a position) (is electronic today, will be paper form in Phase 1; online will happen in Phase 2); possible changes to rules and regs - considered departmental source for rules and regs, help administer bargaining contracts
Fiscal Officer/Fiscal Manager(responsible for budget) Fiscal Manager is highest level (E18) –controls budget, supervises other fiscal staff Fiscal Officer – may control budget, may manage	Yes (Payroll, GL, Purchasing, Contracts, Project Costing)	Yes	Yes	3, 4	Contact/Awareness	GL - Desire/Adoption	Benefits - Will need PERA info (actuals) – today this is done thru payroll; that will change with ERP, will be managing PERA thru the Benefits office, electronically after payroll is confirmed. (Will Fiscal Officers have a role here? Not clear yet.) GL – Business processes will change - (e.g. Journal Entry process – JVs are created by

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people, has specific budgets (E16) Fiscal Supervisor or Analyst Larger departments may even have Accountants.							Accounting in other orgs but here any dept can key a JV into the GL, Fiscal managers approve, Accounting reviews and posts.) Somewhat decentralized system today, there are some checks and balances today BUT with Psft the Accounting office will have greater controls over what's happening. May decide to "centralize" the accounting function. ERP will give fiscal managers greater ability to problem solve and analyze budgets, expenditures. Fit/Gap sessions will help address needs – will have a rep from each dept. Information and education will get us there. Some will quickly get to Adoption; others will be more "wait and see". This group is intelligent and hard-working, but they have a lot on their plates. (because Directors rely on them)
Central Payroll -3 Payroll Techs: Jannan Stewart Roberta Padilla Stephanie Sanchez	Yes	Yes	Not a lot (except for perhaps Jannan, who does garnishments and levies, child support, bankruptcy)	4 Vendor payments (Stephanie) Work comp (Roberta) Garnishments (Jannan)	Awareness .	Adoption	This group are primarily processors, not decision-makers (some limited decision-making). Will need to ask for some input on their specific areas of knowledge; Keep them informed. Expect some resistance from this group, but communication and involvement should help. (Potential issue here)
Central Payroll Payroll Analyst Sarah Williamson	yes	yes	Yes – esp for requirements related to extracts for Access	3 and 4	Understanding	Internalization	Is the person who gets data out of the system and puts it into Access (for specialized stuff like sick leave conversion, sick leave incentive, vacation excess); Runs the jobs to actually update the payroll. Will need training of course. We will make many decisions before we get to the point of involving her. Communication is happening. Likes the software.
Central Payroll Payroll Supervisor: Was Laurice (vacant)	yes	yes	yes	1	n/a	Internalization	Will care about every piece of T&L and Payroll. Does Payroll meet all regulatory reqs; does T&L meet labor contracts, rules and regs. Can we make the timekeepers comply – will we make their lives easier or more difficult? Will be concerned about security levels, change in

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							ownership from HR, T&L and Payroll roles from what they currently are to what they will be.
Timekeepers, back-ups 50-60 people Entering time for payroll, entering other payments, some do setups of additional pays/starts/stops/retros	Yes	Yes	No	4	Contact or Awareness	Adoption	Screens, tasks, policies will change (TBD). Plan some demo sessions with groups of timekeepers to facilitate understanding, they will talk to each other to help get info out there. Training of course. Would like to do something at least once a month – email update for timekeepers like an e-newsletter? Special targeted communication in addition to PUG meeting.
Payroll officers (different titles in different areas, could be HR officer for example) 5-10 people?? Approval role for timekeeping, sit in on contract discussions Only in bigger areas: not all departments	Yes	Yes	Yes	3, 4	Awareness	Internalization	Some will be skeptical as a result of previous project that took 7 years and didn't meet their needs, not exactly resistant, but will need convincing. Could potentially have some requirements that we aren't currently aware off, but more likely some will be doing things they aren't supposed to be doing. Also some processes may become more time-consuming in Phase 1; will get better after Phase 2. Potentially running things on their own with Access or whatever, pulling data from Reportnet, etc. This group interacts with their managers to share information re new contract stuff, special bonus payments, etc. Need to include them early enough that they start seeing how it's going to work, this will help create buy-in (sometime after fit/gaps). Invite Darlyn Garcia (APD) and Stephanie Aragon (Fire) to participate in Fit/Gaps. Possibly Vera Taylor at Transit? Laurice has been building Understanding with a few key people (APD, Fire, Water Utility, Transit) who have lots of special stuff. Will need a security role for this.
Central Accounting/Financial Financial Reporting Accounting Officer –Greg Stricklin Ruth Lott Jamie Barreras	Yes (GL, Commitment Control, Asset Management?)	Yes	Yes (Ruth Lott, Debbie Dombroski)	3,4	Awareness	Internalization	Need additional assessment of this stakeholder group. Major impact is so obvious that people haven't articulated it fully yet – this group has been involved in requirements gathering and is participating in Fit/Gaps. Greg Stricklin is on Steering Committee and very enthusiastic about

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Barbara Burns Debbie Dombroski Michelle Hayden Pete Leyva Garick Maes Michael Shynkar							the project. Some tasks that will change: Capitalization of costs when project is 90% complete Overhead costs – journal entries move costs from fund to fund Journal entries - moving $ from one dept to another
Budget Office - Budget Analysts (6) Patsy Pino Mark Sandoval Jayne Aranda Karen Lopez Kari Powles Dee Dixon	Yes	Yes	Yes	2	Awareness	Adoption, ideally Internalization (getting ready for EPM).	Once all approval processes occur, they will load approved budgets into PeopleSoft. Big change is they will not be shifting budget $ around frequently as they do today; will be monitoring and pulling reports, will use the "analyst" part of their role. Concerned about losing control they currently have. Patsy Pino is representative and will be in Fit/Gaps. Budget has a lot of control today over shifting dollars around. Business processes as delivered by PS minimizes the work they have to do and the amount of approvals they get involved with. If we structure the system properly, approvals happen once per year then the system manages it. They have requested a demo of the product, but we don't have the time for this right now due to tight schedule. There is a special change management issue here
City Economist Jacques Blair	Yes	Yes	Yes	3 and 4 (revenue projection process)	Understanding	Adoption/ would like Internalization	Today BudPro doesn't work for revenue; ERP will give him better access to financial information. Will be a user but most activity is analyzing data outside the system. Will pull data from ERP and other sources. Address needs via requirements meetings and demos of what he'll be able to do. He is not a doubter, has been influenced via conversations to date. Will be in budget fit/gap.
Budget Office - Performance Analysts Chris Payton	Yes	Yes –	Yes (some) – next phase	2	Awareness/Understanding	Understanding	Not heavily impacted in Phase 1; reporting only, processes will not change significantly

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Beth Mohr Jim Schnaible Also: Ted Shogry (Performance Manager) Budget Officer Anna Lamberson	No	No		1	Awareness	Desire	Mostly concerned with requirements for performance budget – financial budget needs are addressed via Budget Analysts
Accounts Payable group Gerri Maurino (mgr) Need additional names here	Yes	Yes	Yes	2 (potential 1099 function within Accts Payable)	Awareness/Understanding	Internalization	ACH/regular vendor check payments (payroll deductions, garnishments) will be impacted in some way. Get invoices, cut checks Concern is not to make it harder than it is today; we need to work together to make sure we don't let anything fall between the cracks.
Accounts Receivable Gerri Maurino (mgr) Need additional names here	Yes	Yes			Awareness?	Adoption?	
Purchasing Officer (John Vigil)	yes	yes	yes	1,2,3,4	Awareness	Adoption (within a year at internalization)	Reports and approvals role; wants the system to improve; wants electronic requisitions, wants a single integrated system; better internal control (has a one-yr objective of refining and defining purchasing rules for the City) Will be principal player in fit/gaps Seems committed and willing to change practices. Has a great attitude as long as he sees improvement
Assistant Purchasing officer (Viola Cunningham)	yes	yes	yes	3,4	Awareness	Adoption (and Internalization later)	Will be influential in winning over key others (Buyers) Oversees the Buyers; more hands-on than John Vigil. Makes sure everything is done properly. Will probably need even deeper knowledge of system than John – could be more a "system admin" type person. Will be principal player in fit/gaps – key along with John Vigil – (she is his right arm and has most knowledge of 3 current systems
Buyers in Purchasing Suzanne Boehland Tom Courtin Kelli DeAngelis	Yes	Yes	No		Contact/Awareness?	Adoption	They create POs Input not really needed but will be important for gaining their buy-in. Would like it improved, but also want a say-so to make sure they will like it.

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Denise Gallegos Bernice Hughes Walter Jaramillo Chuck McCoy Joe Rael Wayne Riddle							John V wants all buyers to be exposed to the system.
Capital Improvement Group (CIP) Dolores Gomez (financial mgr) KC Baca Christine Ching	Yes (Purchasing, Contracts, Project Costing)	Yes	no		Awareness	Desire	Create POs for their CIP stuff; setting up and tracking contracts; they believe that whatever works for the City will work for them – Need more information about these stakeholders). PC –they are the keeper of capital projects for the administration. Set up the projects. Issue POs. Create and distribute reports. Reappropriation requests. Communication should be sufficient to achieve Desire (success or failure will not depend on them). CIP projects are funded by State grants, Federal grants, general obligation bonds, operating funds. Current system is CPTS – somewhat of a project tracking system. Today they create an "activity" in the CPTS system; transactions are done in GL, which feeds it to CPTS.
Legal (contracts) - Paula West	Yes Purchasing (Procurement Contracts)	yes	yes	1,2,3,4	Contact/Awareness	Adoption	Her concern is that it will work more efficiently than current CTS, and that she will be able to track all contracts thru approval, means of communication b/t her and depts.. Paula is in charge of current CTS system (Currrent thinking is that ERP will replace CTS but this isn't confirmed) She will be in a Fit/Gap, and during Design, Testing
Requisitioners/Purchasers in departments (structure varies) – FUG represent maybe 50% of these Viola may have list of all authorized requisitioners? ~55 people total?	Yes (Project Costing, Purchasing, Contracts?)	yes	no		Mixed (Contact at best)	Understanding//Desire	Open reqs and receive/track POs, possibly some reporting (tracking payments, receiving). Will need additional info for requisitions for projects (CIP and other) In PeopleSoft when people go to enter transactions they will enter fund, account, etc. and also the project information (Project costing business unit, project ID, and activity for the project) May use other fields also. (a PCBU is different from a BU and there will be a

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							PCBU for each department) Analysis and reporting capabilities will be more decentralized (while administration will stay centralized). Will use the term "Activity" to actually mean activity (design, construction, etc.) Also will categorize project types.
Treasury Chris Daniel							
Pat Montoya (Program Manager in Planning, DMD) – Project Costing Liaison between City Council/Mayor and DMD	Yes (Project Costing)	Yes	Yes	1,2,3,4	Desire	Internalization	Pat works with the DMD Project Managers, is an important influencer and key liaison (meets once/month with all DMD project managers). Is hoping to replace his current system (unknown) to track and report.
Project Managers in DMD	Yes (Project Costing)	Perhaps	No?				
People in non-DMD Departments who Manage CIP projects	?? (Project Costing)						
Mayors Office/City Council	No	No	No			May need to have new reports explained to them.	Will be receiving the new reports/new data on CIP and other project that get tracked using Project Costing
People in departments who manage grants. There is one person in CIP who does this (KC Baca oversees and a clerk does it). Need more info about this group	Yes (Contracts)	Yes					Contracts module does the fiscal management of a Grant. Ties a contract to a project. Set up a contract using contracts module and then tie it to a project. Do draw requests (billing) and revenue recognition. Contracts module automates this. Would probably use Project Costing to check on status – what needs to be billed, etc. Billing module ill be used only for Grants. (ERM will be used for all other revenue)
All managers/supervisors	No (not likely in Phase 1)	Yes	No	3	Mixed	Awareness	This group influences other stakeholders (timekeepers, fiscal managers, HR coordinators). Will need to adapt to possible changes in rules and regs, pay structures, etc.
All City Employees	No (not likely in Phase 1)	Yes	No		Mixed	Awareness	May have different forms to fill out, different deadlines to submit forms, different methods to communicate; if we lose the "P-29" that will upset

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							some people (historical report of leave use and leave balances) Benefits – Important that whatever we do would not have a negative impact. Payroll – no negative impact

Communication Program and Activities

This communication plan is based on an integrated approach using the following communication activities:

- Face-to-face Outreach Sessions
- Project Web Site
- E-mail Communications
- Project Name and Logo
- Posters and Flyers

Activity	Purpose	Description	Frequency/Timing	Participants
Face-to-Face Outreach Sessions	Outreach Sessions are designed to encourage ownership, nurture acceptance and build an understanding of the changes and their impact on the organization's business processes. These sessions provide an opportunity for the project team to communicate about project objectives, timelines, structure, training, etc., as well as: • Update the stakeholders on project direction, status, issues and decisions • Provide information on policy and procedure changes • Answer stakeholders' questions concerning the project • Address any concerns the stakeholders may have	Outreach Sessions are designed to encourage ownership, nurture acceptance and build an understanding of the changes and their impact on the organization's business processes. Outreach Sessions involve stakeholders whose work processes and/or procedures will be impacted by the project implementation Examples of face-to-face outreach events include: • presentations • brown bag lunches • demos • education sessions.	Outreach Sessions should typically occur at the beginning of the project and at the end of each major project phase. These events may also be tied to major milestones. Because the ERP project is a long-term project with lengthy phases, outreach sessions will be scheduled with sufficient frequency to ensure that stakeholders remain engaged in the project (e.g., possibly once every 1-2 months for certain groups). Wherever possible, we will take advantage of existing, regularly scheduled meetings in the stakeholder organization.	• Project Manager(s) • Change Leader(s) • Steering Committee Members – as needed • Sponsoring Leader(s) from the Impacted Organization • Stakeholders/Employees from the Impacted Organization (e.g., "end-users") • Project Team Members and Other Subject Matter Experts - as needed

Project Web Site	A project web site provides a means of publishing a variety of information designed to keep the stakeholders and all City employees informed about the project. The web site can also provide a mechanism for questions to be submitted and answers to be posted.	The project web site will contain the following: • An overview of the project • Information on the goals, objectives and scope of the project • Guiding principles for the project • Project schedule and/or calendar of events • Training information • Most recent project status information • Contact information The ERP communication web site will be delivered via SharePoint. It will be accessible to all employees and will contain information as described above. The Change Management Team will manage the site. (Note: This site is separate from the ERP Project SharePoint site, which is for internal project team document sharing.)	A project web site will be created soon after project initiation is complete and the project objectives have been clearly established. The site will be updated at least once every two weeks during the life of the project. If updated less frequently the site will appear to be out of date and people will not refer to it regularly.	• Project Manager(s) • Change Leader(s) • Project Team Members and Other Subject Matter Experts – as needed
E-mail Communications	E-mail communications will be used to share updates and information of a more urgent nature that needs to be “pushed” to stakeholders. E-mail should not be used as the primary communication with any key stakeholder group. However, e-mail may be used as the primary means of communication with low-impact stakeholder groups; e.g., stakeholders whose business processes will not change as a result of the project.	The subject line will clearly identify the message as a project communication. Types of information that will be addressed via e-mail include: • Changes in the dates for project activities or training events. • Updates on progress for specific action steps that have previously been communicated. • Reminders about events or other activities.	E-mail communications will be used as needed throughout the entire project life cycle.	• Project Manager(s) • Change Leader(s) • Sponsoring Leader(s) from the Impacted Organization • Project Team Members and Other Subject Matter Experts – as needed

Project Name and Logo	A project name and logo will enable us to more effectively communicate about the project by helping to establish a project identity. Especially because the ERP project will span multiple years, establishing a project identity is an appropriate activity that will create valuable recognition and emotional attachment. This personality or identity is called the project "brand", and it is key to maximizing buy-in and support from the myriad of people required to make the project a success.	The quality of each action that the project team takes, cumulatively, will determine whether the project is a success or a failure. If both the core and wider team are truly engaged, they will feel part of something that deserves their best. The concept of improving engagement is well-accepted through approaches such as stakeholder management, management of teams, leadership and communication planning – and project branding has been developed as an enhancement to these approaches by creating projects that are more appealing to stakeholders and more attractive to team members. The brand is a promise that you make to your market – the prospective team members, stakeholders, sponsors, contractors and suppliers, anyone required to deliver the project.	The project name and logo serve to identify the project in all forms of communication throughout the entire project lifecycle.	• Project Manager(s) • Change Leader(s) • Sponsoring Leader(s) from the Impacted Organization • Project Team Members and Other Subject Matter Experts – as needed
Posters and Flyers	Posters and/or flyers, as well as other printed material, will be used to create awareness of specific events or new behaviors that are to be encouraged. These communication mechanisms should be used primarily to promote participation in an activity or event, rather than to simply communicate information that does not require action. •	• Announcements of major project communication or training events. • Information that helps reinforce new behaviors.	Poster and/or flyers will be used as needed throughout the entire project life cycle.	• Project Manager(s) • Change Leader(s) • Project Team Members and Other Subject Matter Experts – as needed

Communication Plan (To be Updated after Fit/Gaps and Ongoing)

Initiation/ChartField Analysis Phase

Communication/action	Key messages/details	Audience targeted	Due Date	Channel	Responsibility			Status
					Develop	Review/ approve	Deliver	
General project information (internal "press release" type article) (1st Noticias article plus ERP Website release)	Why we are doing the project, what the project is, objectives, scope and timeline, key contacts	All City Employees	9/1/06	City website (Noticias) and project website (when available)	Cheryl, et al.	Stan, team, Gail	Cheryl	Complete 9/7/06
Presentation on the importance of improving our processes – and how ERP fits into the big picture	Bigger picture of why we should all be very interested in improving our processes (concepts shared by Gail and Anna)	People in impacted departments (Payroll, HR, Purchasing, etc.); other groups whose support is needed	9/5/06	Meetings with various groups	Cheryl, et al.	Stan, team	Cheryl	Complete 9/5/06
Preparing for Process Analysis presentation	Materials to explain the importance of the process analysis work, why we need your participation and input	Anyone who will be asked for assistance during process analysis	9/20/06	Meetings with various groups and individuals (face-to-face)	Cheryl	Stan	Stan, Cheryl, functional leads	Complete
	Payroll Users Group presentation of above		9/21/06				Cheryl, Laurice	Complete
	Financial Users Group presentation of above		9/21/06				Cheryl, Elaine	Complete
	HR Coordinators meeting		10/11/06				Cheryl, Stan, Patrick, Carol	Complete
2nd Noticias article	City Council approval of Planning and Analysis contract with vendor (SkyBridge)				Cheryl	Stan, team	Cheryl	Complete

Planning and Analysis Phase

Communication/action	Key messages/details	Audience targeted	Due Date	Channel	Responsibility			Status
					Develop	Review/ approve	Deliver	
Planning and Analysis phase presentation	Explanation of major activities and outcomes of Phase	All audiences	11/1/06	Face to face outreach sessions (Various, planned and ad hoc)	Cheryl	Stan, Jeff	Cheryl	Complete
Planning & Analysis Noticias article Institutional Readiness Team meetings	Explanation of major activities and outcomes of Phase; meet the ERP team	All audiences	12/1/06	City website	Cheryl	Stan	Cheryl	Complete 12/4/06

Connecting your business with technology

Planning & Analysis of PeopleSoft HRMS & Financials Applications

General Ledger Module

February 2007

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Building 7
Marietta, Georgia 30067
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1 Fit/Gap Approach

The General Ledger business requirements were compiled by the SkyBridge General Ledger consultant from experience with government sector entities along with the City General Ledger representative. Multiple sessions were held with the Accounting Division to review the requirements and make changes, additions, or deletions as necessary to the list. Participants in these sessions included Greg Stricklin – City Accounting Officer, Ruth Lott – Accounting Systems Coordinator, Debbie Dombroski – Principal Accountant, and various other City employees in the Accounting Division.

As part of the requirements gathering, business processes were also documented by the ERP team from meetings held with various members of the Accounting Division, or other City employees with knowledge of City processes. Gerald Romero - Department Fiscal Manager for Family and Community Services was also contacted so that the ERP team could gain an understanding of specific processes by that Department that may have a critical impact to the project. Additionally, the Aviation Department was contacted to address any specific processes that may not be part of the overall City processes. Requirements were further developed from these documented business processes.

These initial meetings allowed the ERP team to discuss the overall project with those City employees in attendance. These discussions allowed for a high level overview of the PeopleSoft Financials' functionality. From these presentations, concerns about the current City financial applications were also discussed which led to additional business requirements.

The General Ledger fit/gap sessions were held to demonstrate at a unit level how the PeopleSoft application met the City's business requirements. Department Fiscal Managers, Fiscal Officers, or their representatives were invited to the first fit/gap session. This session allowed the GL ERP team to update all department representatives on the focus, direction, and timelines for the project. A high level overview of the PeopleSoft Financials integration points, functionality, and reporting capabilities were discussed with some application demonstrations.

During follow-up sessions, each requirement was demonstrated online, when feasible, using City of Albuquerque existing data structures. When system setups were too extensive to complete for demonstration of a specific requirement with the City's data, PeopleSoft delivered demo data was utilized.

Each requirement was demonstrated, where possible, to the various fit/gap session participants by login into the PeopleSoft Financials applications and navigating through the application links to the functionality/page meeting the requirement. Discussions and concerns were documented in meeting minutes for each session.

Business requirements, after demonstration and/or discussion, were recorded as either met by the PeopleSoft General Ledger application, or reporting tools, or as not met. Two requirements were not met by the baseline (or "Vanilla") application. Both of these requirements are discussed in section 6 – Identified Gaps in this document. Both requirements would require some level of customization of the baseline application to meet the requirements of the City.

Additional business requirements may surface during future project phases and will be recorded in the business requirements document. These newly identified requirements will be addressed at that time with those requirements not met by the baseline application being escalated to Project Management and, as appropriate, to the City's Project Steering Committee.

2 Session Attendees and Roles

Session 1

January 10, 2007 General Ledger Fit Gap Session

Attendees

Frank Guerrero	GL/Commitment Control	SkyBridge Global
Elaine Padilla	ERP Functional Implementer, GL	DFAS ISD/ERP
Mary Lou Harris	ERP Functional Implementer, CC	DFAS ISD/ERP
Barbra Portzline	ERP Org Change Manager	SkyBridge Global
Leslie Hall	Fiscal Manager	DFAS Fleet
Lola Neudecker	Budget Auditor	Internal Audit
Carmen Kavelman	Internal Audit & Invest Director	Internal Audit
Dolores Gomez	CIP Fiscal Manager	Municipal Development/CIP
Christine Ching	CIP Analyst	Municipal Development/CIP
Dawn Candelaria	Fiscal Officer	Cultural Services
Thomas Torres	Fiscal Manager	DFAS Risk Management
Debbie Dombroski	Principal Accountant	DFAS Financial Reporting
Connor O'Laughlin	Fiscal Manager	Cultural Services
Aubrey Thompson	Fiscal Manager	Police
Ruth Lott	Accounting Systems Coord	DFAS Financial Reporting
Pete Leyva	Principal Accountant	DFAS Financial Reporting
Gerald Romero	Fiscal Manager	Family & Community Svcs
Steve Falk	Fiscal Manager	Solid Waste
Gary Young	Fiscal Manager	Parks & Recreation
Nela Wilkinson	Fiscal Manager	Transit
Pam White	Assoc Director of Finance	Aviation
Angela Ekofo	Fiscal Manager	Aviation
Jamie Barreras	Principal Accountant	DFAS Financial Reporting
Michelle Hayden	Principal Accountant	DFAS Financial Reporting
Barbara Burns	Principal Accountant	DFAS Financial Reporting
Dolores Amaya	Administrative Assistant	Economic Development
Michael Banuelos	Fiscal Officer	Environmental Health
Michael Shynkar	Principal Accountant	DFAS Financial Reporting
Pauline Pino	Grant Writer	Fire
Greg Stricklin	Accounting Officer	DFAS Accounting
Patsy Pino	Budget Analyst	Office of Mgmt & Budget
Dee Dickson	Budget Analyst	Office of Mgmt & Budget
Kari Powles	Budget Analyst	Office of Mgmt & Budget
Mark Sandoval	Budget Analyst	Office of Mgmt & Budget
Karen Lopez	Budget Analyst	Office of Mgmt & Budget
Jayne Aranda	Budget Analyst	Office of Mgmt & Budget
Don Miller	Budget Legislative Analyst	Council Services

Stan Allred	Fiscal Manager	ABQ Water Authority
Richard Sertich	Assoc Director of Planning	Planning
Garick Maez	Principal Accountant	DFAS Financial Reporting
Patricia Latter	Fiscal Manager	Fire
Mona Keller	Fiscal Manager	Senior Affairs

Session 2

January 16, 2007 GL Fit Gap

Attendees

Frank Guerrero	GL/Commitment Control	SkyBridge Global
Elaine Padilla	ERP Functional Implementer, GL	DFAS ISD/ERP
Mary Lou Harris	ERP Functional Implementer, CC	DFAS ISD/ERP
Barbra Portzline	ERP Org Change Manager	SkyBridge Global
Cheryl Puterbaugh	ERP Org Change Manager	DFAS ISD/ERP
Jeff Kehoe	ERP Project Manager	Skybridge Global
Lola Neudecker	Budget Auditor	Internal Audit
Dolores Gomez	CIP Fiscal Manager	Municipal Development/CIP
Christine Ching	CIP Analyst	Municipal Development/CIP
Dawn Candelaria	Fiscal Officer	Cultural Services
Carol Duty	ERP Technical Support	DFAS ISD
Stan Low	ERP Project Manager	DFAS ISD/ERP
Roberta Duran	Fiscal Officer	Legal
Mikie Kildare	ERP Technical Support	DFAS ISD
Debbie Dombroski	Principal Accountant	DFAS Financial Reporting
Ruth Lott	Accounting Systems Coord	DFAS Financial Reporting
Gerald Romero	Fiscal Manager	Family & Community Svcs
Jamie Barreras	Principal Accountant	DFAS Financial Reporting
Michelle Hayden	Principal Accountant	DFAS Financial Reporting
Michael Shynkar	Principal Accountant	DFAS Financial Reporting
Greg Stricklin	Accounting Officer	DFAS Accounting

Session 3

January 18, 2007 GL Fit Gap

Attendees

Frank Guerrero	GL/Commitment Control	SkyBridge Global
Elaine Padilla	ERP Functional Implementer, GL	DFAS ISD/ERP
Mary Lou Harris	ERP Functional Implementer, CC	DFAS ISD/ERP
Leslie Hall	Fiscal Manager	DFAS Fleet
Nela Wilkinson	Fiscal Manager	Transit
Lola Neudecker	Budget Auditor	Internal Audit
Debbie Dombroski	Principal Accountant	DFAS Financial Reporting
Pete Leyva	Principal Accountant	DFAS Financial Reporting
Jamie Barreras	Principal Accountant	DFAS Financial Reporting
Michael Shynkar	Principal Accountant	DFAS Financial Reporting
Barbara Burns	Principal Accountant	DFAS Financial Reporting
Patsy Pino	Budget Analyst	Office of Mgmt & Budget
Terri Suarez	Fiscal Manager	DFAS Administration

Session 4

January 23, 2007 GL Fit Gap

Attendees

Frank Guerrero	GL/Commitment Control	SkyBridge Global
Elaine Padilla	ERP Functional Implementer, GL	DFAS ISD/ERP
Mary Lou Harris	ERP Functional Implementer, CC	DFAS ISD/ERP
Cheryl Puterbaugh	ERP Org Change Manager	DFAS ISD/ERP
Patrick Petracca	ERP Functional Implementer, HR	DFAS ISD/ERP
Barbara Burns	Principal Accountant	DFAS Financial Reporting
Stephanie Yara	Asst Accounting Officer	DFAS Accounting
Angela Ekofo	Fiscal Manager	Aviation
Mikie Kildare	ERP Technical Support	DFAS ISD
Dolores Gomez	Fiscal Manager	Municipal Development/CIP
Debbie Dombroski	Principal Accountant	DFAS Financial Reporting
Ruth Lott	Accounting Systems Coord	DFAS Financial Reporting

Session 5

January 24, 2007 GL Fit Gap

Attendees

Frank Guerrero	GL/Commitment Control	SkyBridge Global
Elaine Padilla	ERP Functional Implementer, GL	DFAS ISD/ERP
Mary Lou Harris	ERP Functional Implementer, CC	DFAS ISD/ERP
Carol Scurlock-Garcia	ERP Functional Implementer, HR	DFAS ISD/ERP
Barbara Burns	Principal Accountant	DFAS Financial Reporting
Stephanie Yara	Asst Accounting Officer	DFAS Accounting
Angela Ekofo	Fiscal Manager	Aviation
Mikie Kildare	ERP Technical Support	DFAS ISD
Lupe Gallegos	Finance Tech	DFAS AR and SAD
Christa Wagner	Finance Tech	DFAS AR and SAD
Linda Allen	Fiscal Analyst	DFAS AR and SAD
Lola Neudecker	Budget Auditor	Internal Audit
Debbie Dombroski	Principal Accountant	DFAS Financial Reporting
Ruth Lott	Accounting Systems Coord	DFAS Financial Reporting

3 Session Dates

General Ledger:

January 10, 2007
January 16, 2007
January 18, 2007
January 23, 2007
January 24, 2007

Budgeting (Commitment Control)
January 09, 2007
January 17, 2007
January 19, 2007

4 Data Used

The City's existing chartfields (GL Account, Program, Activity, Fund, Department, Project, Grant) were loaded to the demonstration database (FINDMX) for use in business requirement fit/gap sessions. No change to the existing City's chartfield structure was made for this load or demonstration. The City's ledger balances as of September 30, 2006, were loaded to the PeopleSoft General Ledger system for demonstration of specific requirements.

Basic setups for a General Ledger entity (called Business Unit in PeopleSoft) were entered to demonstrate the future design of the City's financial applications.

Trees, a tool for creating hierarchical relationships between data elements, creating reports, and performing specific functions in PeopleSoft, were created using City data for demonstration of specific reporting requirements.

PeopleSoft Demo data was used where appropriate and available.

5 Requirements/Fit Gap Document

REQS DOC GL BUDGET_FINAL_DOC

6 Identified Gaps

Two issues were identified during this "fit/gap" phase of the City's PeopleSoft Financials Implementation project.

Both issues have been identified as requirements of the City for the PeopleSoft General Ledger application.

Issue 1. Defaulted values must be entered by the system for Fund, Program, and Department when a user enters Account and Activity chartfields.

In the City's current BudPro application, the system is designed to auto-fill the Fund, Program, and Department when a transaction is entered based on the Account and Activity used.

Issue 2. Journal description should be a required field when entering a journal.

In the City's current BudPro application, the system is designed to require a description on JVs entered. This was identified as a requirement by the Chief Financial Officer's Office for JV entry in BudPro.

7 Recommended Process Changes

One business process was identified for change.

1. JV's are entered by a large group of City personnel crossing all City departments.

At conversion to the new PeopleSoft Financials applications, the City should consolidate the journal entry functions to the Office of the Chief Accountant.

The City's financial application systems' current state and business processes allow, and require, individual departments to enter their own JV's to the BudPro system. There are, at a minimum, two reasons that promote this de-centralized manner of JV entry.

- Inter-department charges require both departments to enter their respective debit and credit entry which then authorizes the JV to post to the GL.
- With the current system, centralized entry of JVs would make it too cumbersome for the Chief Accountant's staff to manage the workload that would be required of a centralized function.

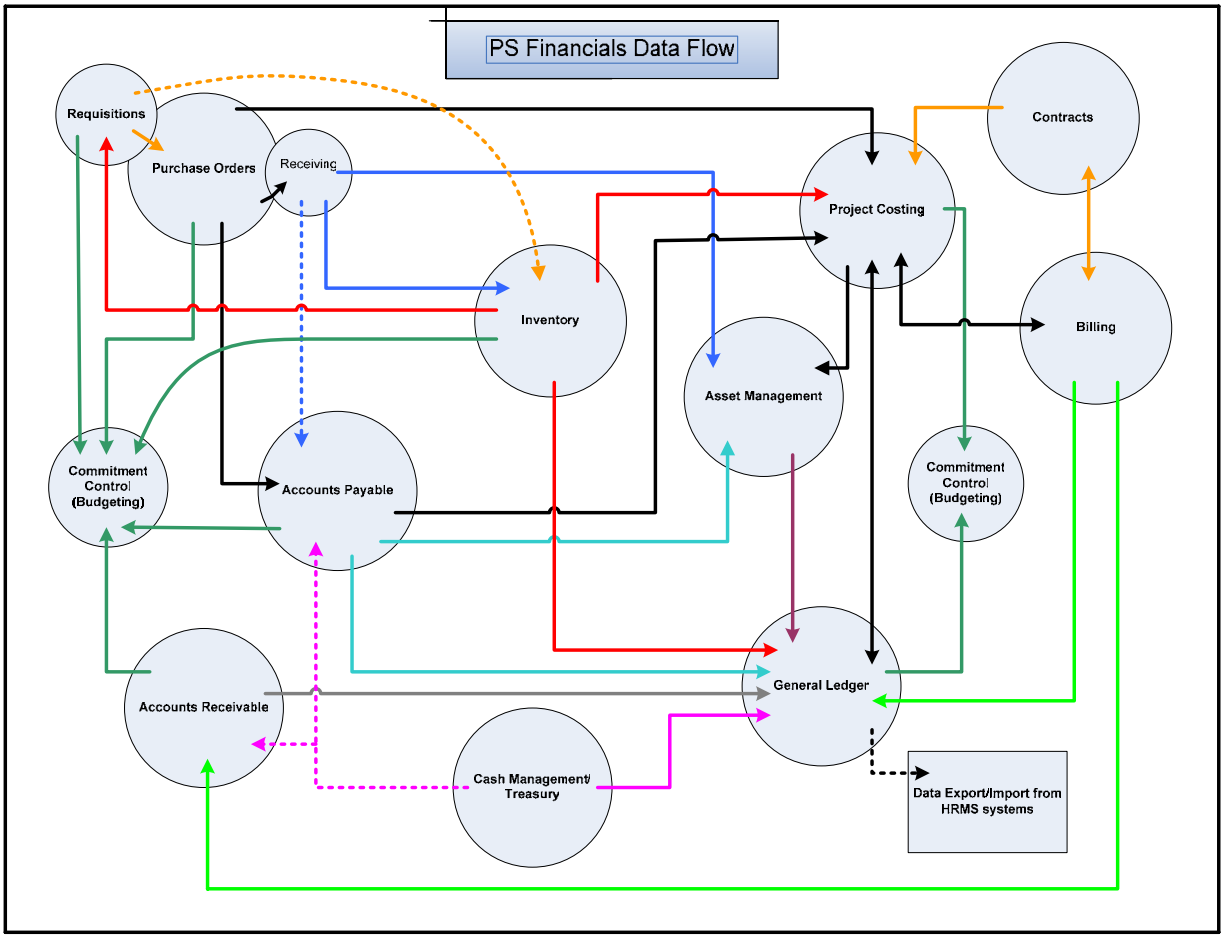
With the integrated functionality of the PeopleSoft applications:

- Manual JV entry will be greatly minimized.
- Minimized manual JV entry could allow for the centralized function of JV (journal) entry.
- Transaction entry of one source document will cause data to flow from one application to another with no, or little, additional user input. (Note: Some exceptions do apply.)
- System functionality available in the PeopleSoft applications will allow various existing manual JV entries to be replaced.

With the new PeopleSoft applications it will be necessary to minimize the entry of JVs directly to the GL. Sub-ledger to ledger data integrity should not be compromised by manual entries to the General Ledger. A centralized function for JV entry will reduce the opportunity for error in maintaining balanced sub-ledgers to ledger balances.

Diagram 1 below identifies integration points between PeopleSoft Financials applications.

Diagram 1



Note: Color coding is used to reflect how one application (also known as Module) integrates with other applications. Two applications, Inventory and Asset Management, are included as their project status was not finalized at the time this diagram was created.

8 Recommended Legislation Changes

No Legislation or Administrative Rules changes were identified during this phase of the City's PeopleSoft Financials Implementation project. Review of Legislation and Administrative Rules will continue during the next phase of the project to determine impact on system design.

9 Security Concerns

No security concerns were noted during this phase of the City's PeopleSoft Financials Implementation project. Application security will be evaluated on a continuous basis during follow-up phases of the implementation project. Any concerns identified during these later phases will be discussed with the project team, project management, and City personnel with authority to review system security and make final security decisions.

10 Open Issues

Two open issues were identified during this "fit/gap" phase of the City's PeopleSoft Financials Implementation project. An open issue is one which requires input from project management, and/or the project's steering committee.

Both issues have been identified as requirements of the City for the PeopleSoft General Ledger application. These open issues have been recorded to the project's "Issues" log.

Issue 1. Defaulted values must be entered by the system for Fund, Program, and Department when a user enters Account and Activity chartfields.

In the City's current BudPro application, the system is designed to auto-fill the Fund, Program, and Department when a transaction is entered based on the Account and Activity used.

Note: This customization would require a large amount of effort to impact all financial applications as the customization can not be done in one centralized location for use by all data entered in PeopleSoft.

Issue 2. Journal description should be a required field when entering a journal.

In the City's current BudPro application, the system is designed to require a description on JVs entered. This was identified as a requirement by the Chief Financial Officer's Office for JV entry in BudPro.

Note: This change would require minimal effort to make a change to one field on one record definition.

11 Legacy System/Data Requirements

Conversion of legacy system data will be reviewed and finalized with the City project staff, data owners and project management.

Terms
In the following section "***Transaction Data***" is that data which is entered on a daily basis by users of the current City systems (BudPro – JVs, CashBook, Purchase Orders, PO Release, etc.) "***Control Data***" is data that is established by specific individuals, or groups, within the City for use by other users of the current City systems for transaction data entry (GL Account, Program, Activity, etc.)

Transaction Data:
For the General Ledger, it is anticipated that no transaction data will be converted for any prior fiscal years unless conversion from current systems to PeopleSoft General Ledger occurs at any time other than at July 1. Only ledger summary balances would be converted for a non-Fiscal Year conversion.

Control Data:
City chartfields (GL Account, Program, Activity, Fund, Department, Project, Grant) will be converted to the PeopleSoft Financials system.

- Where necessary existing values will be reviewed to remove objects (i.e. GL Accounts) no longer needed due to inactivity over the past 5 years – or other duration as agreed upon by City personnel.
- GL Accounts may be added to provide a lower level of analysis of detailed transactions where desired by the City.
- Programs will be reviewed to remove objects no longer needed due to inactivity. Numbering conventions will be revisited during the design phase of the project to determine if logic built into the numbering scheme should be removed.
- Activity will be redesigned to move objects that represent a level within the City's organizational structure to the PeopleSoft 'Department' field. The numbering convention will remove logic from the design of the activity id.
- Fund will be reviewed to remove objects no longer needed. Numbering conventions will be revisited during the design phase of the project to determine if logic built into the numbering scheme should be removed.
- Project ids will be reviewed to remove objects no longer needed. Numbering conventions will be revisited during the design phase of the project to determine if logic built into the numbering scheme should be removed.
- Grant ids will be reviewed to remove objects no longer needed. Numbering conventions will be revisited during the design phase of the project to determine if logic built into the numbering scheme should be removed.
- Department id will be created to take advantage of the design built into PeopleSoft around this chartfield.

12 Future Phase Documentation

The following diagrams show the current state of the City's systems:

Diagram A

City systems as presented in April, 2006.

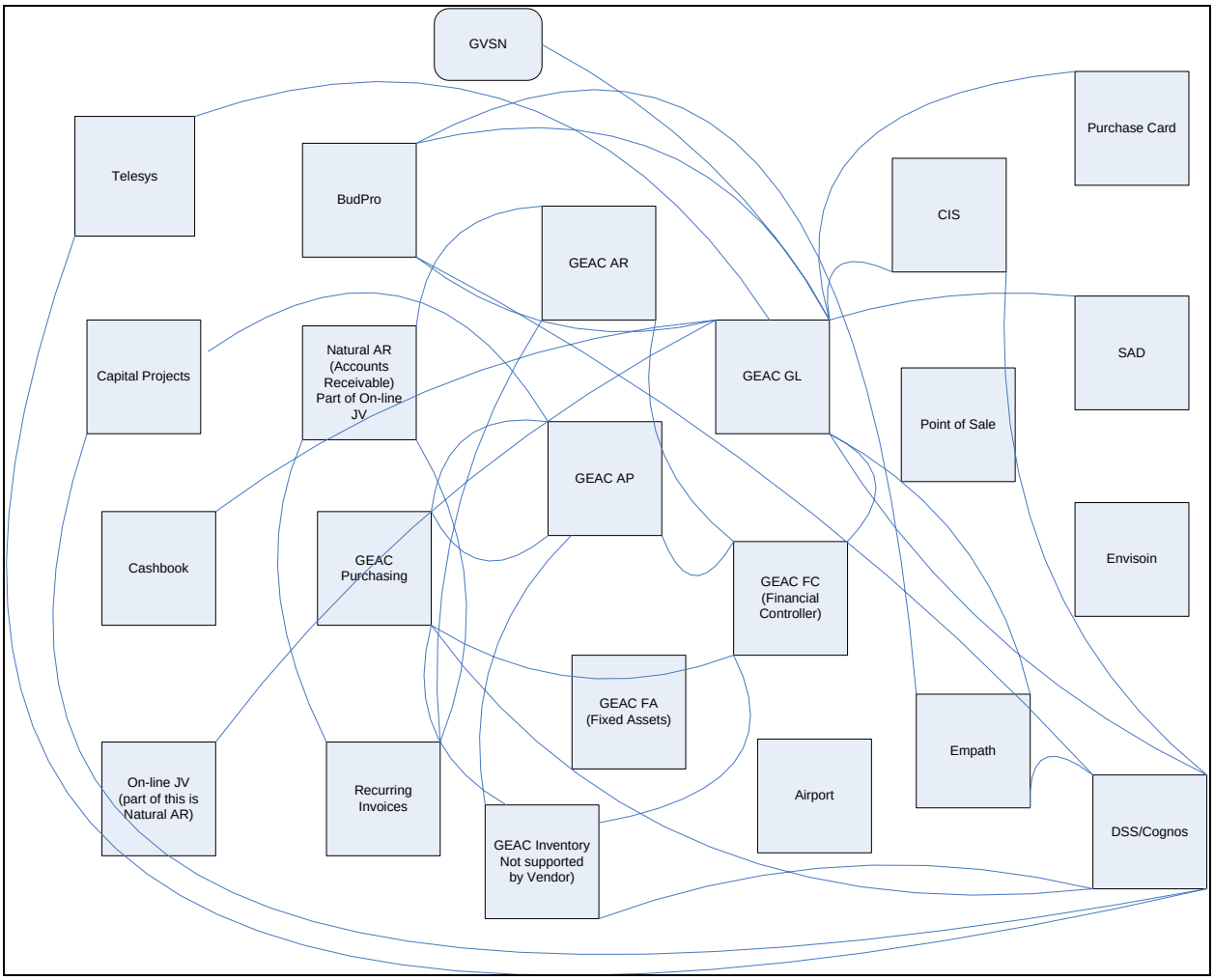


Diagram B

Presentation after systems review by SkyBridge, April, 2006

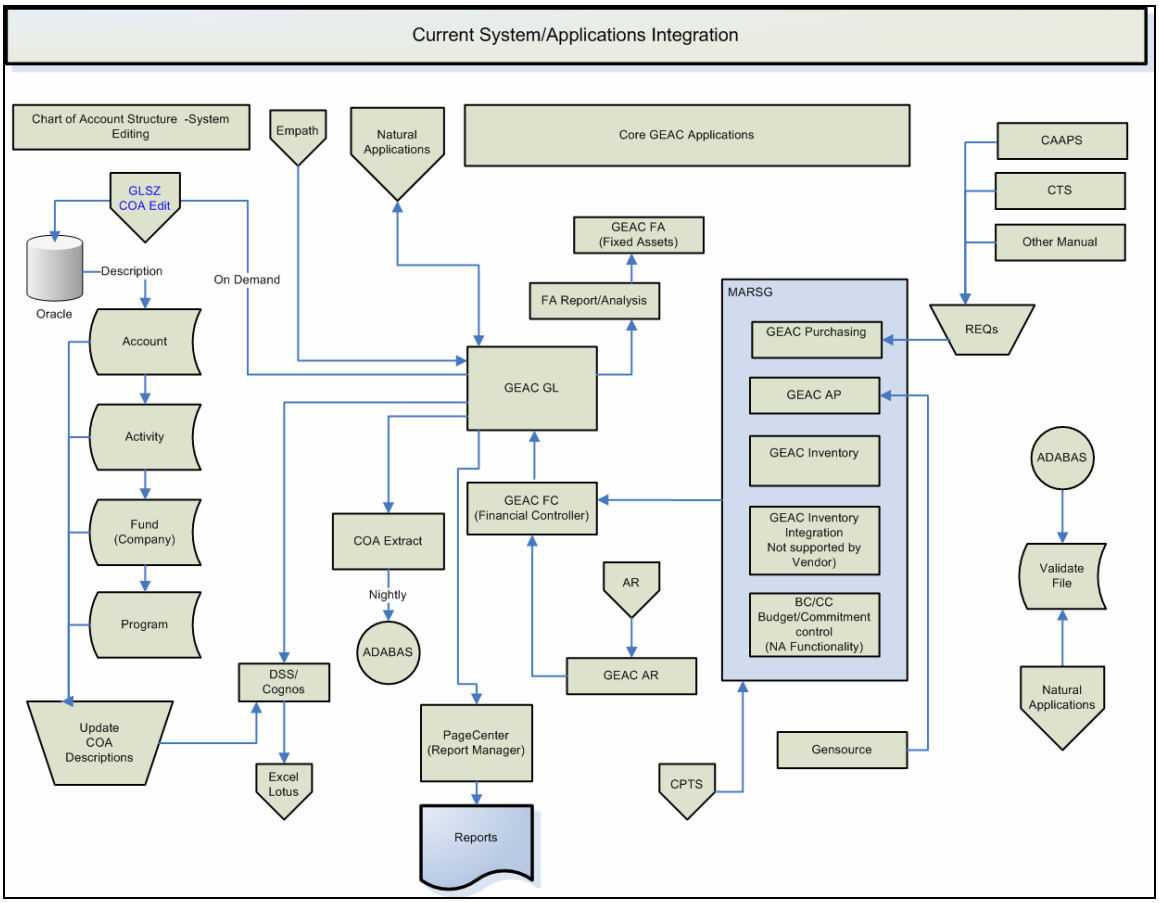


Diagram C

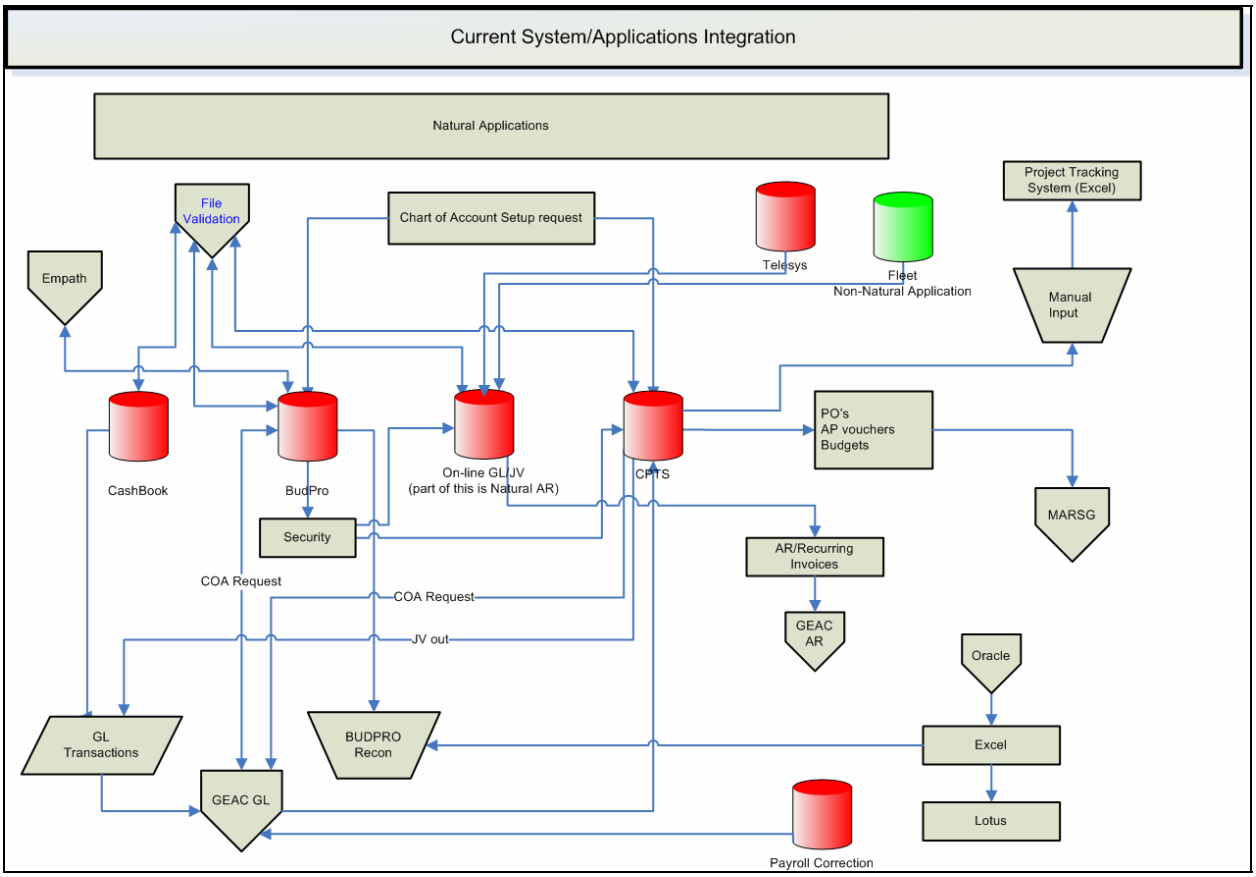

Current System/Applications Integration
Natural Applications
File Validation
Chart of Account Setup request
Telesys
Fleet
Non-Natural Application
Project Tracking System (Excel)
Empath
Manual Input
CashBook
BudPro
On-line GL/JV
(part of this is Natural AR)
CPTS
PO's
AP vouchers
Budgets
MARSG
Security
AR/Recurring Invoices
COA Request
COA Request
JV out
GEAC AR
Oracle
GL Transactions
BUDPRO Recon
Excel
GEAC GL
Lotus
Payroll Correction

Diagram D

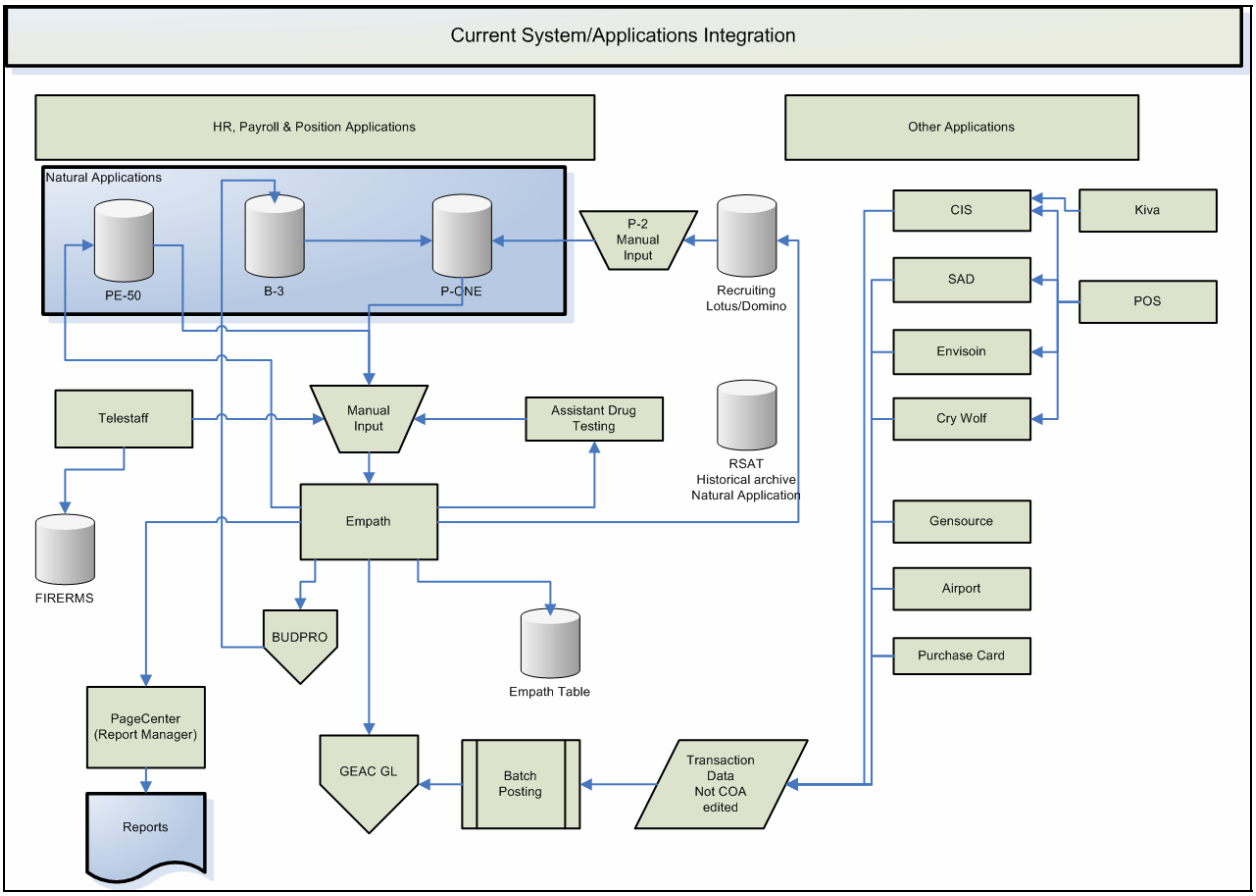

Current System/Applications Integration
HR, Payroll & Position Applications
Other Applications
Natural Applications
PE-50
B-3
P-ONE
P-2 Manual Input
Recruiting Lotus/Domino
CIS
Kiva
SAD
POS
Envisoin
Cry Wolf
Telestaff
Manual Input
Assistant Drug Testing
RSAT Historical archive Natural Application
Empath
Gensource
FIRERMS
Airport
BUDPRO
Purchase Card
Empath Table
PageCenter (Report Manager)
GEAC GL
Batch Posting
Transaction Data Not COA edited
Reports

Diagram E

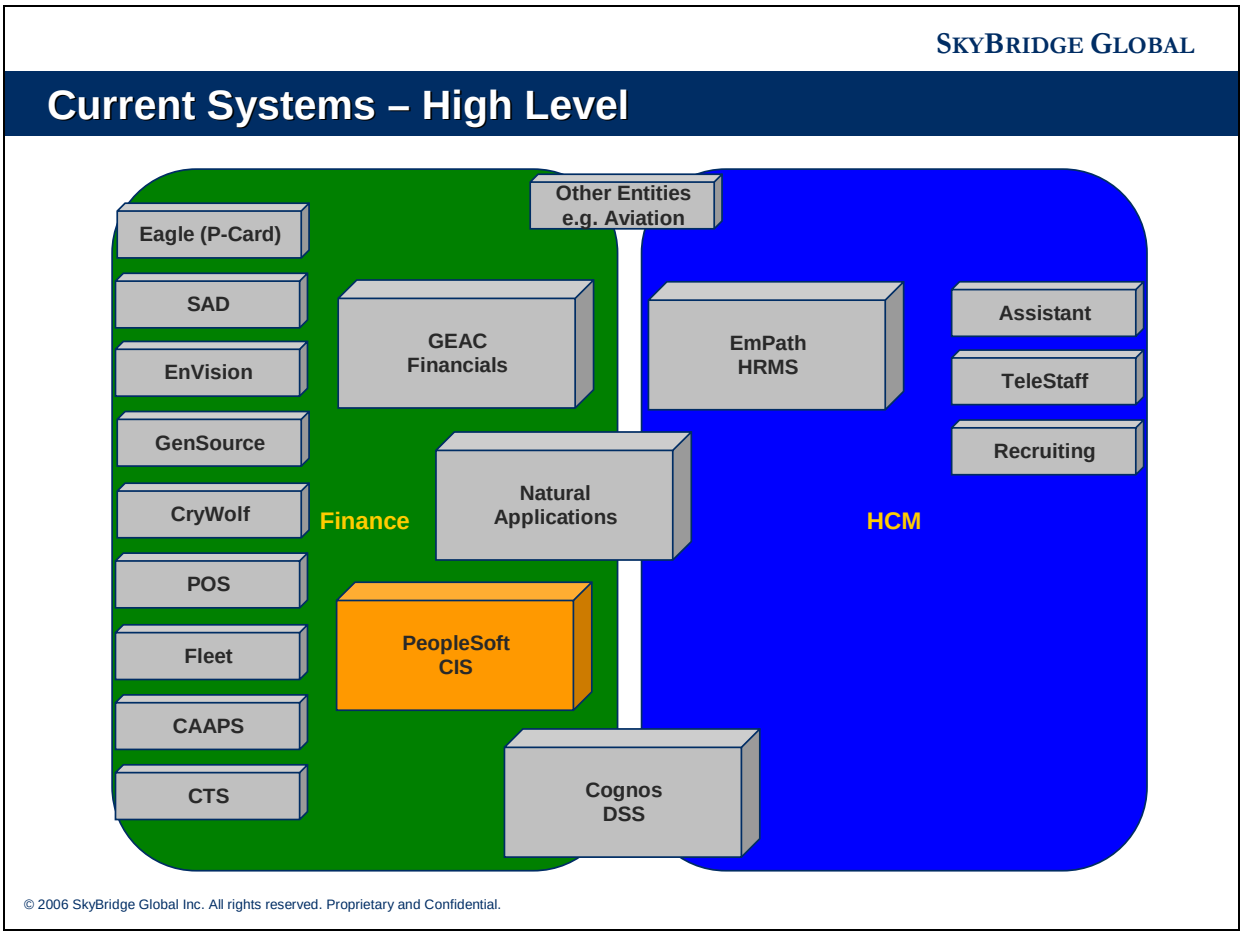

SKYBRIDGE GLOBAL
Current Systems – High Level
Other Entities
e.g. Aviation
Eagle (P-Card)
SAD
EnVision
GenSource
CryWolf
POS
Fleet
CAAPS
CTS
GEAC
Financials
Natural
Applications
PeopleSoft
CIS
Finance
EmPath
HRMS
Assistant
TeleStaff
Recruiting
HCM
Cognos
DSS
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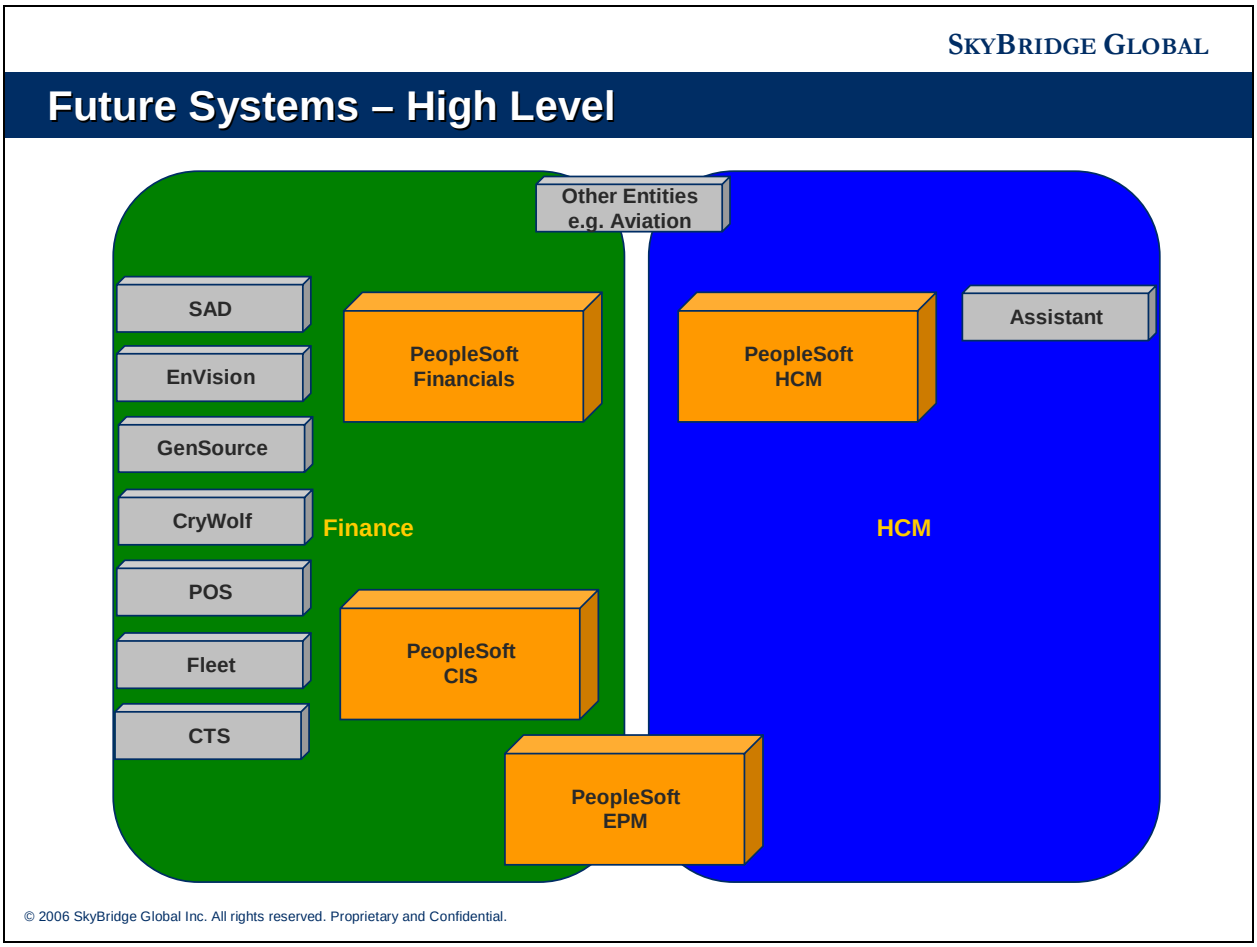
Diagram F


SKYBRIDGE GLOBAL
Future Systems – High Level
Other Entities
e.g. Aviation
SAD
EnVision
GenSource
CryWolf
POS
Fleet
CTS
PeopleSoft
Financials
Finance
PeopleSoft
CIS
PeopleSoft
EPM
PeopleSoft
HCM
Assistant
HCM
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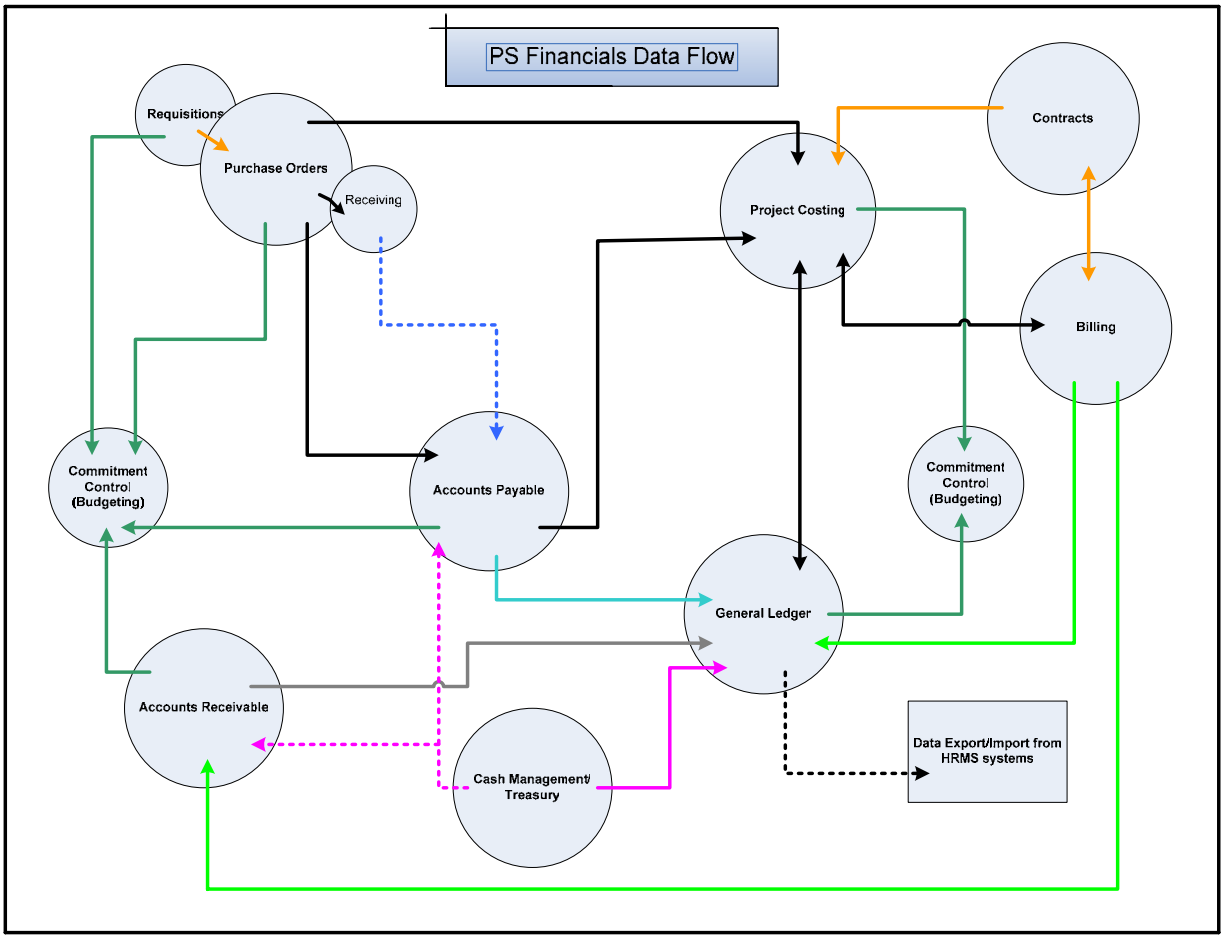
The following diagram shows one possible approach to implementing the PeopleSoft Financials and Supply Chain applications. This diagram does not include the Inventory and Asset Management applications as displayed in Section 7 of this document.



Note: Color coding is used to reflect how one application (also known as Module) integrates with other applications.

In the final conversion to the PeopleSoft applications integration points between applications will highly reduce the amount of data entry as a transactions moves from one application to another.

PeopleSoft General Ledger Business Processes

PeopleSoft General Ledger delivers the following business processes, not all of which may be used by the City of Albuquerque. They are being noted for future consideration.

Business processes likely to be used by the City in a production environment:

- Create and process journal entries.
- Create and process open items.
- Create and process inter-unit and intra-unit transactions.
- Process subsystem journals using Journal Generator.
- Import and process spreadsheet journal entries.
- Import and process transactions from a flat file.
- Approve journal entries for processing.
- Review financial information.
- Enter and process statistical transactions.
- Create and process allocations.
- Create and process Average Daily Balance (ADB).
- Create and process Commitment Control transactions in General Ledger.
- Consolidate financial data.
- Build summary ledgers.
- Close ledgers.
- Maintain standard budgets
- Generate general reports.
- Generate regulatory ledger reports
- Generate statutory reports.
- Generate federal reports.
- Create XBRL documents.
- Running General Ledger background processes.
- Monitor background processes.
- Archive tables.

Business processes not likely to be used by the City in a production environment:

- Enter and process Value Added Tax (VAT) transactions.
- Create and process entry event transactions.
- Process multiple currency.

PeopleSoft General Ledger Integrations

General Ledger serves as the core of the PeopleSoft Financial Management System. The PeopleSoft subsystem applications, such as Payables and Receivables, create accounting entries that you select to process in the Journal Generator. Journal Generator creates the appropriate journals from the accounting entries and sends them to General Ledger for posting to the appropriate ledgers. From this posted accounting data, you can obtain both detail and summary accounting information and produce numerous financial reports at the City or at a Department level, as required to report internally and externally.

There are four major ways of integrating data into General Ledger:

- Database tables—PeopleSoft subsystem applications running in the same database create accounting entries in a table.

  Run Journal Generator to create journals from these accounting tables.

- Application messaging—PeopleSoft subsystem applications from a different database create accounting entries and use application messaging to send them to General Ledger. Example: HRMS Payroll journal entries.

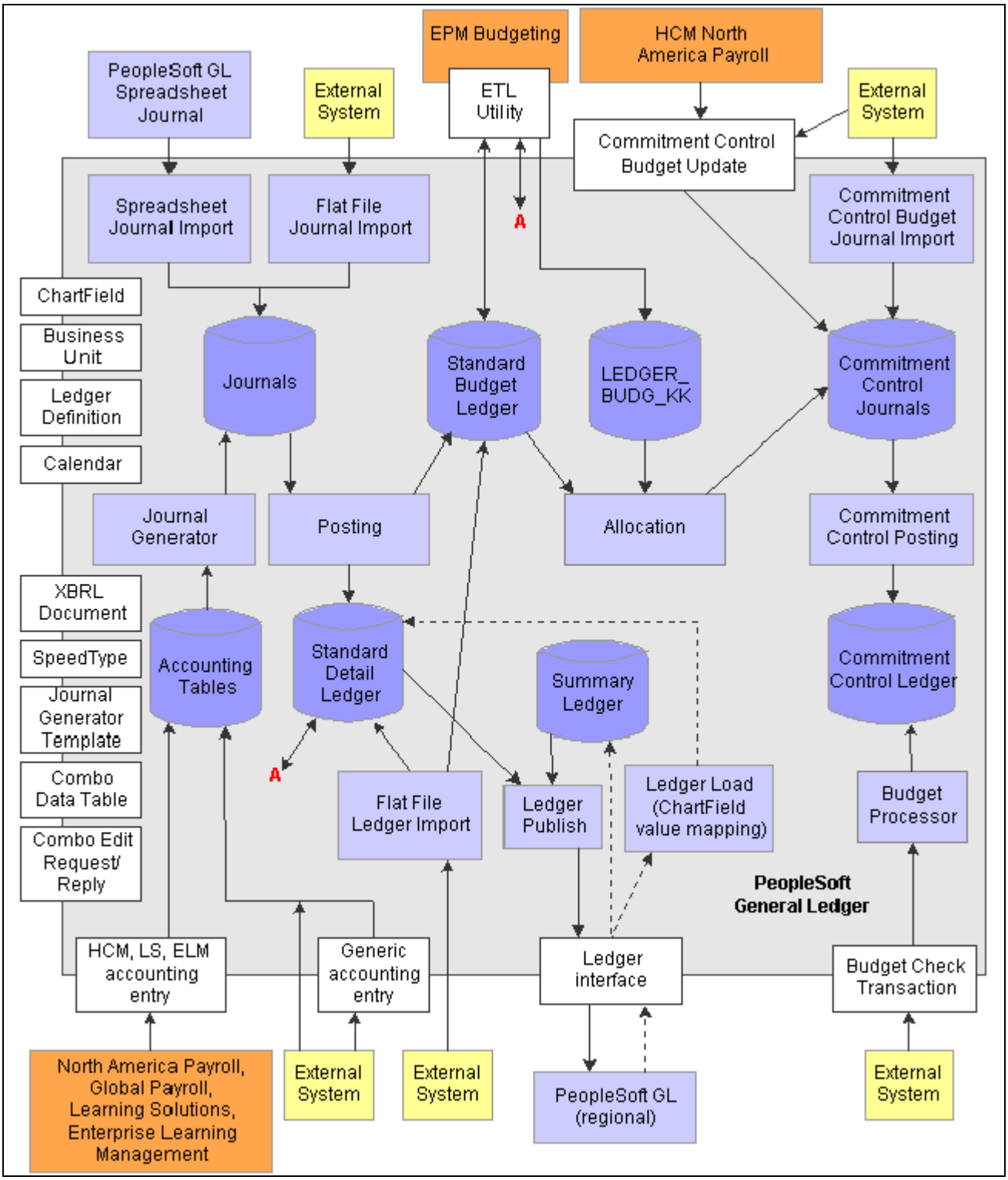
  Run Journal Generator to create journals and optionally send the updated journal information back to the subsystem using application messaging. Remote subsystems also use application messaging to perform various validation and data synchronization activities and to send commitment control budget journals to General Ledger.

- Flat File Imports—General Ledger has several file import processes for you to import journals, ledger data, and commitment control budgets into the system. This would be used for existing City systems that will remain after moving to PeopleSoft. Example: Crywolf, Envision, GenSource, and Fleet.

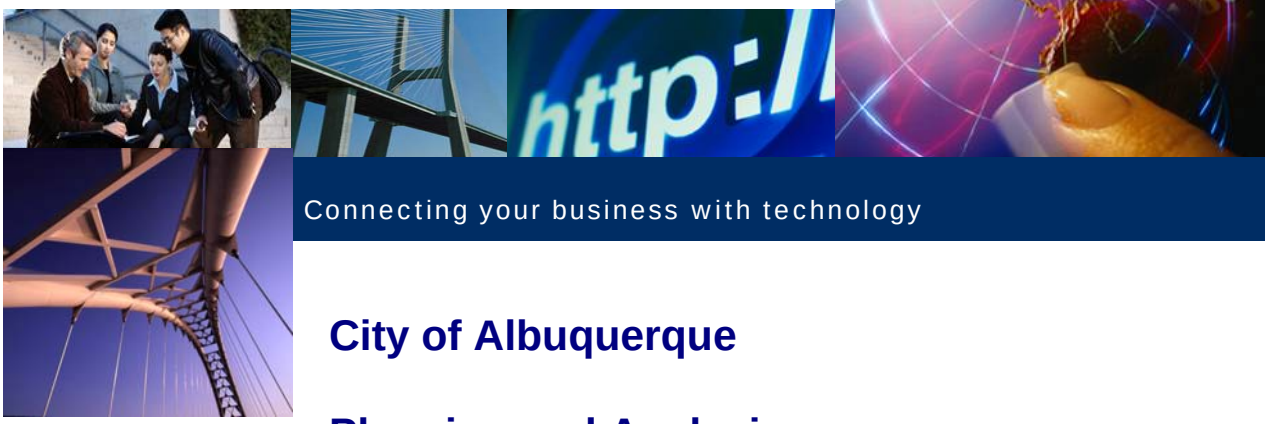
- XML import over the Internet—General Ledger delivers a Spreadsheet Journal interface for you to prepare your journals offline and then import them over the Internet using an XML and HTTP connection.

  The Excel to Component Interface utility uses the same mechanism to import data into various setup tables.

This diagram details the various integrations with General Ledger:



General Ledger integration map



Connecting your business with technology

City of Albuquerque

Planning and Analysis
Fit Gap Summary
Position Management/HR/Base Benefits
January 24, 2006

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Building 7
Marietta, Georgia 30067
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13 Sign off and Approval ..... Error! Bookmark not defined.

1 Fit Gap Approach and Overview

PeopleSoft HRMS is an integrated suite of applications and business processes that are based on the best practices that are commonly implemented in businesses today. PeopleSoft HRMS integrates with other PeopleSoft applications, such as PeopleSoft Enterprise Financials, PeopleSoft Enterprise Workforce Analytics, and PeopleSoft Enterprise Learning Management. PeopleSoft HRMS also integrates with other third-party applications. PeopleSoft HRMS uses various integration technologies to send and receive data. With this integration and best practice approach in mind, each of the City's systems and processes in use in the HR department was reviewed. Below are the large sub-sections of the HR and Benefits processes as defined by PeopleSoft and at a high level what they include.

The ***Manage Positions*** business process helps you define Human Resources by position, rather than job or by employee.

With this application, you can:

- Create and track a position's data and history.
- Process employee appointments by position.
- Maintain incumbent data.
- Budget for positions and departments.
- View incumbent, position, and budget histories.

PeopleSoft Enterprise Human Resources ***Administer Workforce*** provides the foundation for your human resource management system. The data entered into the Administer Workforce business process is available to all of the Human Resources business processes as well as the other applications in the PeopleSoft Enterprise products

The Administer Workforce business process includes five basic steps:

- Setting up the basic codes and formats needed for the business process.
    - Job code data
    - Locations
    - Benefit plans/rates
- Adding a person's human resource record into the system.
    - Personal data
    - Job Data
- Entering additional data into the system.
    - Emergency Contact
    - Education
    - Company Property

- Updating the record
  - Address changes
  - Marital Status changes
  - Promotions/Transfers/Terminations, etc.
- Viewing and reporting on employee data

PeopleSoft ***Base Benefits*** provides you with the tools you need to manage your employee benefit programs. It enables you to set up your basic benefits system architecture and manually enroll employees and their dependents into the benefits system. This comprehensive benefits management solution supports a full range of benefit programs and plans, and provides you with everything you need to maintain your benefit records and to respond to inquiries from decision makers, managers, and other employees.

With the Base Benefits business process, you can:

- Define the tables you need to build your benefit programs.
- Manually enroll employees and dependents into benefit programs.
- Print HIPAA (Health Insurance Portability and Accountability Act) reports.
- Track and manage FMLA (Family Medical Leave Act) requests.
- Calculate accrued leave awards and maintain employee leave balances.
- Manage qualified savings plans and pension plans.
- Send enrollment data to third-party administrators.

The Position Management, Workforce Administration and Base Benefits fit/gap approach was to deliver to the session attendees a prototype model that contained the data currently in use by the City of Albuquerque so users could easily recognize the values and the relationships between the modules.

The Human Resources Subject Matter Experts (SME's) conducted the fit/gap sessions so the participants could garner knowledge of how quickly the navigation within PeopleSoft could be learned. Additionally, the SME's were able to demonstrate the Human Resources Department's eagerness to move to the new PeopleSoft HRMS system.

2 Session Attendees and Role

Session Attendee	Attendee #	Role	Department
Carol Scurlock-Garcia	1	ERP SME	Human Resources/ERP
Patrick Petracca	2	ERP SME	Human Resources/ERP
Shelly Summerour	3	Project Consultant	Skybridge Global
Judy Montoya	4	Human Resources Mgr	Human Resources
Darlene Herrera	5	Human Resources Mgr	Human Resources
Rebecca Lopez-Sawyer	6	Human Resources Analyst	Human Resources
Ernest Montoya	7	Sr.Human Resources Analyst	Human Resources
Pearl Maestas	8	Human Resources Analyst II	Human Resources
Frank Romero	9	Human Resources Analyst II	Human Resources
Jan Gibson	10	Human Resources Mgr	Human Resources
Alexandria Lee	11	Insurance & Benefits Specialist II	Insurance & Benefits
Tanya Gallegos	12	Fiscal Analyst	Insurance & Benefits
Anna Garza	13	Fiscal Officer	Insurance & Benefits
Stan Low	14	Application Development Mgr	ISD ERP
Pat Miller	15	Director of HR	Human Resources
Mary Scott	16	Human Resources Administrator	Human Resources
Tanda Meadors	17	Director of DFA	DFA
Anthony Ortiz	18	HR Systems Specialist	Human Resources
Tim Skelton	19	Systems Analyst II	ISD
John Koury	20	ERP SME	ISD
Laurice Chappell	21	ERP Payroll SME	DFA Accounting/ERP
Cheryl Puterbaugh	22	Systems Transition Mgr	DFA ISD
Mikie Kildare	23	Systems Analyst II	ISD
Barbara Portzline	24	Project Consultant	Skybridge Global
Sara James	25	Project Consultant	Skybridge Global
Kay Read	26	Project Consultant	Skybridge Global
Jeff Kehoe	27	Skybridge Project Manager	Skybridge Global

3 Session Dates

Session Date	Topics	Notes	Attendees
01/09/07	Brown Bag Presentation ERP Team and Steering Committee	High level overview of hiring an employee into PeopleSoft, adding an employee's emergency contact, enrolling into benefits, and adding dependent/beneficiary data.	1, 2, 3, 14, 15, 17, 18, 19, 20, 23, 24, 25,26
01/12/07	Comprehensive HR/Base Benefits overview for Human Resources Managers	Review PeopleSoft HR capabilities for Position Management, Workforce Administration and Base Benefits at a high level.	1, 2, 3, 4, 5, 15, 16, 21, 23
01/16/07	Position Management Fit/Gap	Reviewed the Department Table, Department Tree, Org Charting, Location Table, Job Code Table and the Position Table.	1, 2, 3, 7, 8, 9
01/17/07	Workforce Administration Fit/Gap	Reviewed Workforce Admin by hiring an employee with the newly added position, entered the employee's emergency contact information. Reviewed effective dating by adding various action reasons.	1, 2, 3, 4, 5, 6, 7, 8, 9, 16, 21,22
01/18/07	Base Benefits Fit/Gap	Reviewed hiring an employee, adding dependent/beneficiary information, enrolling in benefits and attaching dependent/beneficiaries to enrolments. Also, reviewed how the payroll benefit deductions would appear on the paycheck.	1, 2, 3, 4, 10, 11, 12, 13, 18, 23

4 Data Used

Position Management – Positions, departments, job codes and location codes were set up with the City of Albuquerque's data to prototype what the positions might look like using "Full Position Management". Employees were then hired into the new positions. Delivered reports (a fully configured report with few variable criteria are called SQR's) were generated to show vacant positions, filled positions, and incumbent information. SME's also created reports (an ad hoc type of report with many variable criteria are called queries) to get additional Position Management data.

Salary plans, including grades and steps, were set up and reviewed based on the current City of Albuquerque plans.

The PeopleSoft delivered edit (a method of checking data entered by a user into a blank on a screen to ensure it is a valid value) warning of the assignment of an employee to a position without a vacancy was also reviewed.

Data was shown demonstrating the creation of the Department Tree as well as creating organizational charts utilizing the department tree and position table. A "tree" is an organizational representation of data showing relationships between the different levels of data. Data may be viewed using any one of several tree views, to allow the same data element to reside at a variety of levels on an organizational chart in relation to other data elements.

Workforce Administration – From the positions created in the Position Management Fit/Gap session, employees were hired into the newly created positions. Effective dated rows were then inserted promoting, terminating and rehiring employees. The importance of "effective dated rows" is that data can be entered for an event that has not yet occurred. In this fashion, PeopleSoft is a more powerful tool than one that requires the change in status to be entered into the system on the exact date of the event.

An example of the PeopleSoft-delivered edits (data validation rules that are pre-programmed with PeopleSoft) was demonstrated by attempting to hire a new employee with a social security number that already existed in the system. Action/reason edits were also reviewed.

Emergency contact information was added for the employees.

Base Benefits – Benefit and leave plans and their respective rates were set up to mirror the City of Albuquerque's current plans. Dependent/Beneficiary information was set up for the employees and then employees were enrolled into various benefit plans. Also shown were the PeopleSoft delivered edits not permitting enrollments into improper coverage codes for eligible dependents.

A payroll was created and calculated allowing the users to see the benefit deductions on pay check data. PeopleSoft-delivered benefit audit reports were generated to show discrepancies in setups and enrollments.

5 Significant Gaps

Position Management - no gaps found.

Workforce Administration – no gaps found.

Base Benefits – the following gaps were identified:

1. The PeopleSoft-delivered leave plans have maximum accrual at the plan level and not at the service level. The City of Albuquerque currently allows each service level to assign a maximum accrual balance.
   Recommendations:
   - Create and run a custom sqr after the accrual process has run each pay period to check the maximum by plan type, by benefit plan and by service level and set the employees accrual balance back to the maximum if exceeded.
   - Create a custom table that could be maintained by the SME to set/adjust the maximum based on service level. Modify the delivered accrual process to check the maximum accrual amounts by plan type, by benefit plan and by service level.

- Set up a Benefit Plan for each plan and for each service level. The current minimum leave plans to be set up would be 18. Each of these leave plans run twice per pay period after the pay confirmation and prior to the check print process. By setting up additional plans this would increase the number of benefit plans needed from 18 to approximately 50. This would be a very labor intensive process.

2. PeopleSoft delivered Leave Plan accrues based on the employee's service date. The City of Albuquerque offers an additional leave known as "birthday". Currently an employee's birthday leave accrues on the employee's actual birth date, rather than the service date. This non-service date accrual is not supported by PeopleSoft in a "vanilla" environment.
   Recommendations:
   - Employees would accrue 1 day at the beginning of each year and if not taken by the end of the year they lose unused hours. Those employees who are hired after 1/1 of the current year would accrue the hours on the next accrual run.
   - Write a custom sqr to run and populate 1 day of service based on the employee's birthday. The employee would only accrue up to a maximum of 8 or 10 hours based on their scheduled hours.

3. The PeopleSoft age-graded table allows to calculate "per hundred" or "per thousand". The City's calculation is "per ten thousand".
   Recommendations:
   - This could be handled in PeopleSoft by carrying the rate out 4 digits but PeopleSoft delivered is only 3 digits.
   - The Benefits area works with the carrier to change 6 rates in the plan that do not currently round to 3 digits.

   Gap Closed: This gap has been resolved by the City of Albuquerque working with the current carrier and changing the rates.

4. The City of Albuquerque's basic life plan is set up with rates and premium calculations that do not fit within the setup of the PeopleSoft-delivered tables.
   Recommendation:
   - Change the current rate/premium calculations to reflect a factor x salary rather than a rate per salary range.

   Gap Closed: This gap has been resolved by the City of Albuquerque changing their current business process and calculation based on a factor x salary.

6 Process/Contract Change Needs

Position Management – none known at this time.

Workforce Administration – none known at this time.

Base Benefits -

- Change with the carrier, the age graded rates for the supplemental life plans to reflect 3 digits rather than 4. ***Complete***
- Change the Basic Life rates with the carrier to calculate at a factor * salary rather than a rate per salary range. ***Complete***

7 Legislation Change Needs

Position Management – none known at this time.

Workforce Administration – none known at this time.

Base Benefits – none known at this time.

8 Security Concerns

Position Management – none known at this time.

Workforce Administration – none known at this time.

Base Benefits – none known at this time.

9 Open Issues/Information Needed

Position Management – none known at this time.

Workforce Administration – none known at this time.

Base Benefits – Currently 2 significant gaps have been identified with recommended solutions for each. The City of Albuquerque will need to review the recommended solutions and determine the best approach for their needs.

10 Legacy System Data Requirements

The City of Albuquerque's current interfaces from the Application System, Advertising System and Job Spec System to Empath will need to be modified to interface with PeopleSoft.

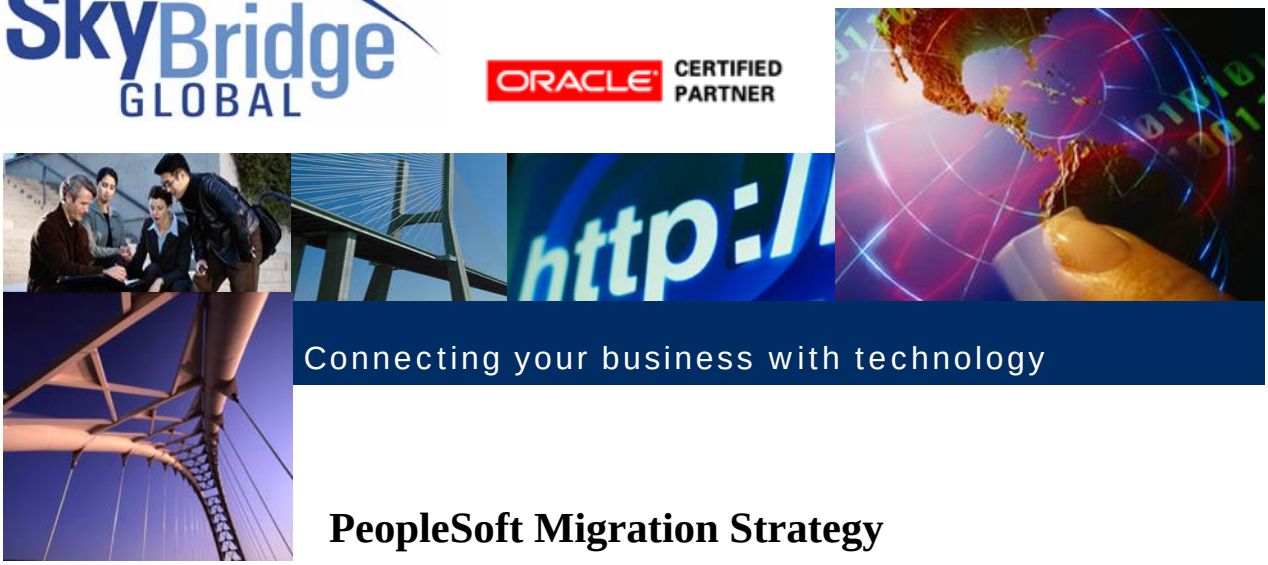
11 Future Phase Documentation

The to be processes are not changing except for how the data will be entered into PeopleSoft. Attached are the new data entry procedures.

C:\Documents and Settings\sbgshs.COA

12 Requirements/Fit Gap Document

C:\Documents and Settings\sbgshs.COA



Connecting your business with technology

PeopleSoft Migration Strategy

January 19, 2007

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Revision History

Version	Date	Author / Reviewer	Revision / Reviewer Notes
0.01	01/09/07	Ed Bandoh	Original

Approval History

Version	Date	Approver	Approver Role

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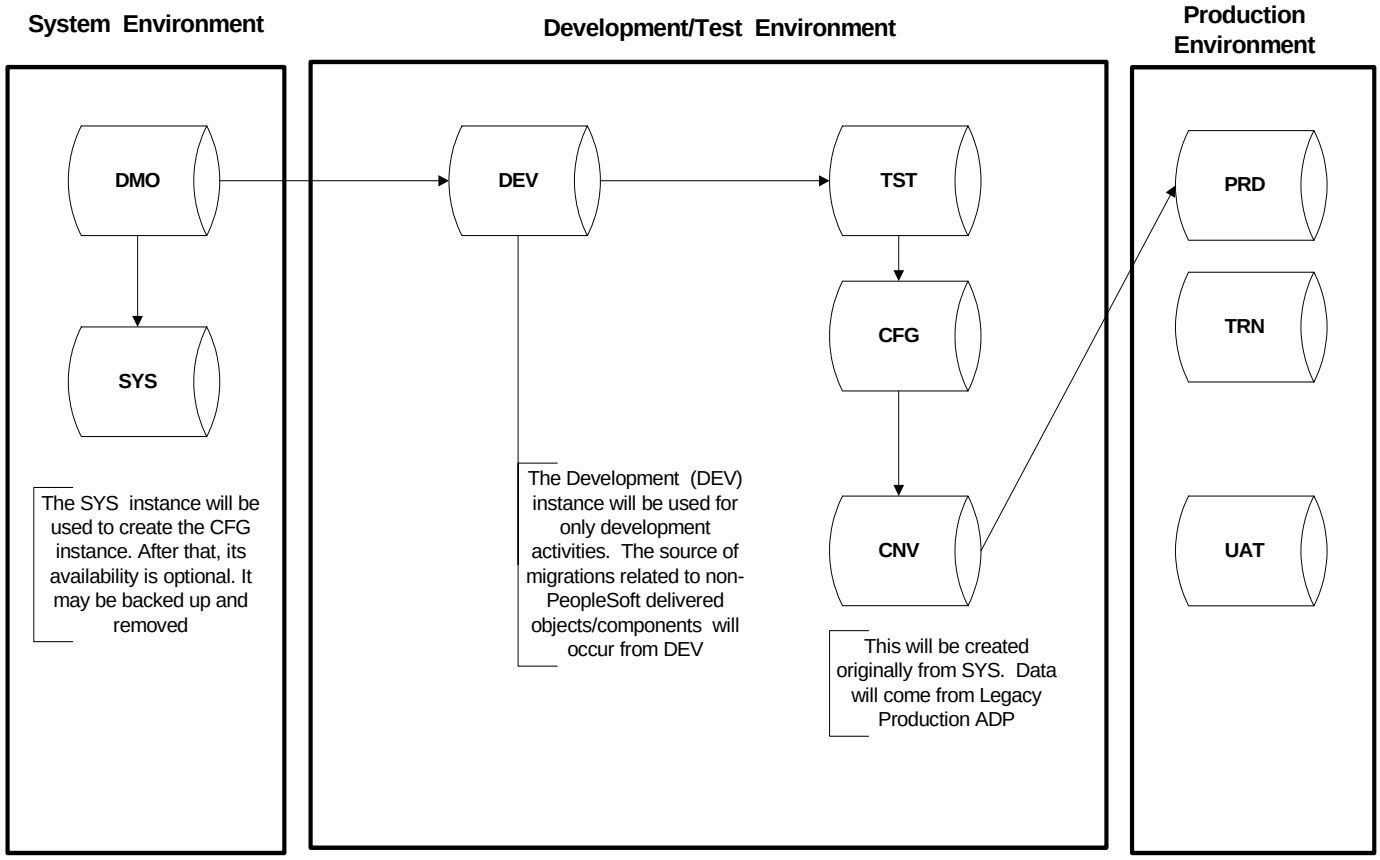
Preface

This document can be used to develop migration standards for the City of Albuquerque (CABQ) on-site PeopleSoft Environments. PeopleSoft does not publish such customizations and migration standards. However; the information contained within is used by many clients and represents a best practice approach.

Environments

In order to manage database instances, they must be identified with a particular environment. An environment can consist of one or many database instances. Each environment has its own user base that decides the activities performed on each instance. To illustrate this, note the diagram below:



The arrows represent the suggested migration path of objects.

Environment	Description	Owner
System	Consists of the PeopleSoft delivered DMO and SYS database instances. DMO has standard system and user data provided by PeopleSoft to allow users to experiment with functionality, transactions and configurations. Note that a typical DMO database: • Contains no CABQ transactions or company information. • Acts as a comparative reference versus CABQ database instances. • Receives PeopleSoft updates & service packs. SYS has no user data and basic system data to make the instance operational. Note: The SYS instances availability is optional after Go-Live.	Typically owned by the area responsible for database management (IT infrastructure or DBA group) since the application of PS service packs are performed by same.
Development /Test	Consists of one or more instances used for development. Examples: DEV for application development, CNV for conversion and interface development. and TST for testing. Typical rules that govern development/test environment: • Used as a starting point for all customizations; • Object locking in all development instances is turned on; • All objects must be associated with a project and all associated objects within a project must be linked/locked • Source of customized objects and their projects occurs from the application development instance (DEV)	Typically owned by the Application Management Team
Production	Consists of one or more instances supporting the day-to-day business activities. Environment will consist of the following instances: • User Acceptance Test (UAT) – Instance	Typically the management team of the business area that the environment supports.

used for quality assurance testing purposes. It will contain CABQ application configuration and security and limited production transactions

- CFG – Instance containing the CABQ application configuration without transaction data. This instance will be the CABQ version of the SYS instance, meaning it will be used to create all other CABQ database instances or used to refresh other instances periodically. This instance will be backed up daily.
- PRD –CABQ production database instance.
- TRN – Instance used for training. Contains CABQ configuration data. CABQ specific training data along with application security specific for this instance.

Typical rules that govern this environment

- Limited access to PeopleTools;
- All objects locked to prevent customizations or modifications. All PS service packs and customization related objects are received from the development/test environment after formal review.

Back up Strategy and Schedules

DMO -> Will be backed up pre and post application of updates and fixes.
DEV -> Will be backed up daily.
TST -> No back ups will be scheduled.
CFG -> Will be backed up daily.
PRD -> Will be backed up daily.
CNV -> Will be backed up daily.
TRN -> Will be created from CFG.

The Production database and files will need to be backed up on a daily basis. The detailed requirements (what files, databases etc.) as well as the type of backup (full volume or incremental) will be determined in later stages of the project. In addition to the daily backups, weekly, monthly and annual backups will also be required. The following table provides a preliminary schedule and storage characteristics of the backup mechanisms. These will be refined during the later stages of the project also.

Type	Time	Storage
Daily	Start at 12:00AM every day	2 Incremental versions (TSM)
Daily (Production)	Start at 2:00 AM every day	7 Incremental versions (TSM)

Prior to a database backup, ensure that application server and process scheduler services have been stopped. It is not necessary to stop the web server services since they do [not?] have any database connectivity. There will be a script to automate this stop and start. Determine where the scheduling of this will take place.

Please follow the following shutdown order prior to a backup:

- WebServer
- Application Server domains
- Process Scheduler
- Database

The reverse order is followed for bringing up the instance.

Change Control

Overview

This section contains guidelines for making changes to or creating new PeopleSoft objects and programs within a PeopleSoft database instance in a particular instance during the Project. In addition, Change Control Locking should be activated for the Development instance by the System Administrator.

Change control procedures have three main objectives:

1. Controlling and documenting desired object modifications / customizations;
2. Developing and testing the changes and controlling when and if they are moved to other database instances; and,
3. Denying access to the object by another developer.

The general approach to the delivered software is to avoid modifying the delivered objects, programs, and reports. Objects include Menus, Records, Pages, Queries, Fields, Views, and Trees. Programs and reports include SQRs, nVision, and Crystal reports. All changes to the PeopleSoft database, instance, programs, and reports will be entered and approved in a CABQ-maintained PeopleSoft Change Control Application. This could be an Access database or an Excel spreadsheet.

To support the upgrade and change processes, PeopleSoft maintains internal version numbers on its database objects. PeopleSoft 8 Application Upgrade projects come as a *maintenance project*, which is a set of files containing the definitions for a PeopleSoft project and its related database objects. The project file allows you to quickly apply patches to your database directly or through the Change Assistant.

Post Project implementation, CABQ's Change Request System will be used to migrate changes to Production using the existing workflow application. Additional work integrating to a Source Control system will need to be made at that time.

Types of Change Requests

<u>Patch Migration and Systems Upgrades:</u> These changes could involve file server, database server, database, network, and application modules. Typically the appropriate staff applies these changes.

New Development: Create new SQR, programs, and other reports. Also this type of change can include creating new pages, menus, and database tables.

Modify Existing Code or Object: Modify existing SQR, programs, nVision and Crystal reports. Changes to these modules will require a new name to be given to the modified modules, so the original master remains intact. Also, this type of change can include modifying existing pages, menus and database tables.

Change control is enabled in Application Designer by navigating to: **Application Designer ->Tools ->Change Control**. Open the Administrator Tab and enable the System-wide options check boxes. Click OK.

A separate document, **CABQ Tech - Development Standards and Procedures**, is available for naming and documentation standards for customization of delivered objects and development of new ones. This will provide an effective means of identifying CABQ objects/enhancements from the delivered PeopleSoft application objects, thereby reducing the time and effort when upgrading to subsequent releases. Some examples are discussed elsewhere in the document.

Effective communication of these standards will help everyone understand the role of the different database instances, the purpose of them, and help keep instances and their objects and configuration data synchronized.

Identifying a data migration strategy assures that:

- Data in the configuration tables that were set up during the Structure Phase are located in the correct database instances as needed;
- Configuration data in their tables will not be corrupted or altered if migrated;
- Contention for the same objects by developers will be kept to a minimum;

Object Migration

Process Overview

All PeopleSoft object development and customization can be typically initiated and controlled by a Change Request. Once approved, the modification can be performed. Once development is completed, the associated objects have to be migrated to the other PeopleSoft environments for adequate testing and sign off. This section describes that migration process flow.

Database Object Development or Customization

All PeopleSoft object development or customizations will be done in the development database. Within Application Designer, the developer will create a new project to contain the new or modified objects. The developer will move any object to be modified into the project and lock the project and its objects, either new or existing. The developer should note the reason for making changes in the Project Properties.

When the objects are ready to be tested, the developer will use the upgrade feature of Application Designer to designate the objects to be copied to the test database. The Developer will use the upgrade feature to copy the project objects from the development database to the appropriate test database. Upon successful completion of testing, the PeopleSoft Administrator will copy the project objects from the test database to the other instances identified. During the deployment phase, the PeopleSoft Administrator will copy the objects to the Production database following successful completion of testing. This flow is diagrammed in figure 1 below:

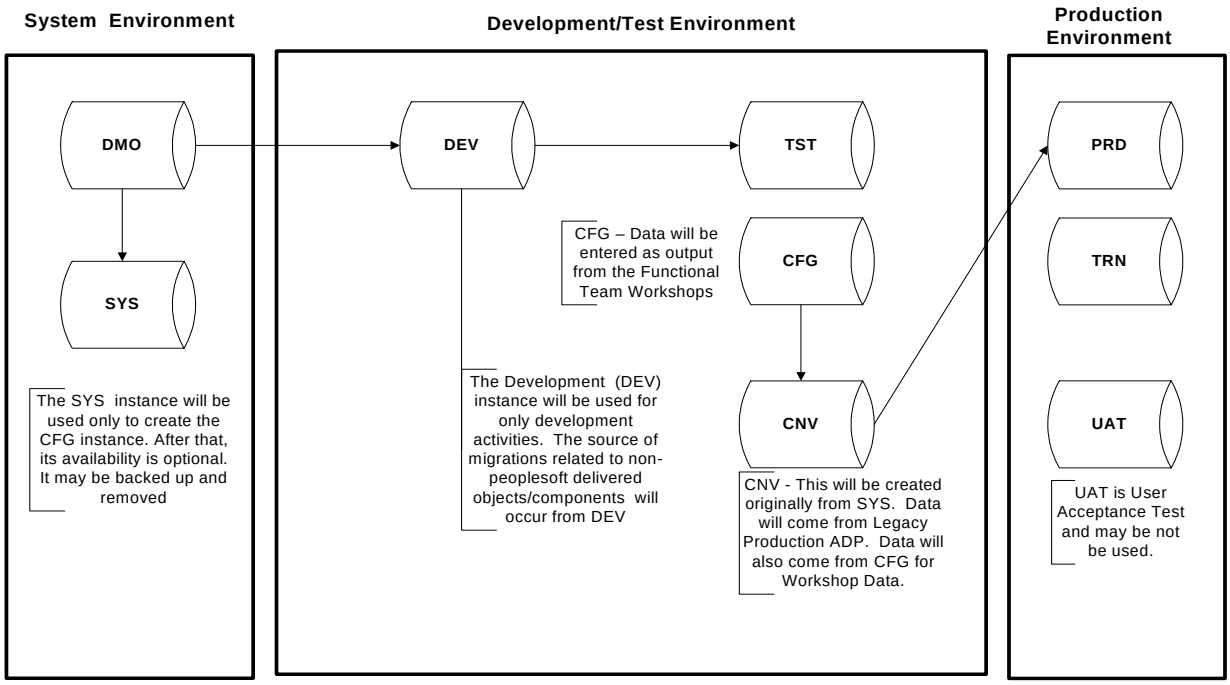


Figure 1

Database Object Migration Flow

Note: The migration of objects from the DMO instance pertain to those objects supplied by PeopleSoft via service packs (a.k.a. patches and fixes). Otherwise all CABQ objects start their migration from the development instance.

Notes:

1. All updates/fixes, and patches will be applied first to the Demo instance.
2. The UAT is optional.
3. Conversion will be unit tested in TST.
4. Final conversion will be done in CFG and then migrated to PRD using datamover scripts.
5. It has been decided that application engine programs will be used for conversion.

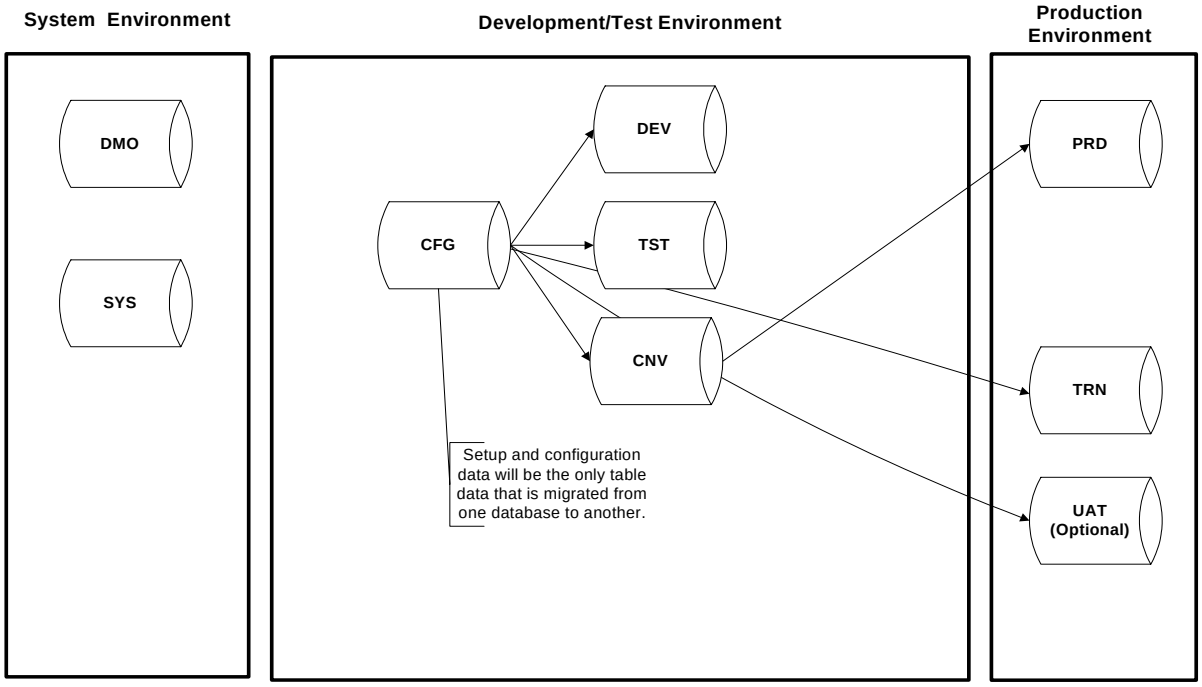
Setup Data Migration

Datamover scripts can be used to move setup and configuration data from the CFG database to any other instance except SYS and DMO. The purpose of the CFG database is to maintain a pristine source of setup and configuration data. The CFG database will be the source to sync setup and configuration data to DEV, TST, and any other instance. The CFG instance will also contain a project with all custom translates that can be migrated using PeopleTools. This instance is used to build the PRD instance. After that, it can be maintained for configuration data management or deleted.

The following diagram, Figure 2, depicts the data migration flow.

Figure 2

Setup Data Flow



Non-Database Object Development or Customization

Non-database object (SQR's, Crystal, etc.) development or customization will be done in the appropriate user development directory. These external objects to be modified will be copied from the development instance source directory to a development directory. Security will be set to not allow modification of delivered external objects.

When the objects are ready to be tested, the PeopleSoft Administrator will copy the objects to the appropriate test directories. Upon successful completion of testing, the PeopleSoft Administrator will copy the objects from the test directories to the appropriate conversion and training directories.

Use configuration manager to control the search order of the SQR directories, thereby allowing the separation of any new or modified SQR from the delivered directory.

Migration Management

Process Overview

The following section details the procedure to manage migration requests for internal and external objects. Migration procedures are used to formally request, approve and track customized objects from their initiation and development to their eventual use in the production database.

Benefits of migration management

Benefits of formalizing and tracking object migrations within PeopleSoft instances are:

- Ensures that customizations are applied in a controlled manner so that the instances are kept fairly equal;
- Migrations are only implemented on the basis of formal requests, authorized and approved by appropriate management and/or instance owners;
- Continued compatibility of all objects within instances;
- Provides an audit trail of the requestor, developer, and approver and when the migration occurred for each instance.
- Ties together any related external objects to internal objects, thereby insuring all objects related to a modification or customization are migrated.

Roles and Responsibilities

The following section identifies roles and responsibilities for migration management. CABQ may or may not choose to combine roles (like PeopleSoft Migration Administrator and PeopleSoft Administrator) due to the amount of development work or frequency of formal migrations.
(Note : These are suggestions only and are subject to full discussion)

Role	Responsibility
Application Migration Administrator (During Project – Tim Boyles	The Application Migration Administrator is responsible for the following: • Coordinate the migration of a project within the PeopleSoft database and any related external objects from the time a Migration Request is made and approved to the point the migration is complete. • Work with the requester to identify the review team. • Co-ordinate the move with the PeopleSoft Administrator. • Verify that the migration was done correctly. • Notify the review team and any other identified “need-to-know” person that the migration is complete. • Manage the Migration Request repository. • Communicate the status of the Migration Request.
PeopleSoft Administrator (Tim Boyles)	The PeopleSoft Administrator is responsible for the following: • Carry out the technical implementation of the migration. • Move objects and data to target instances. • Verify that the migration was done correctly. • Communicate with the Application Migration Administrator to clarify Migration Requests. • Assist and work with DBA and the Support Roles (LAN, WAN, security) to implement the PeopleSoft Data Management Process.

Role	Responsibility
Requester (Team Members)	The requester is any member of the team that is responsible for entering a Migration Request. The Requester is responsible for the following: • Supply all of the necessary information for the Migration Request. • Enter the Migration Request. • Work with the Application Migration Administrator to identify the Review Team members. • Verify the migration. • Resubmit any Migration Requests to promote the move of objects to the next instance.
Review team	The Review Team is responsible for the following: • Approve the Migration Request before the migration is implemented.
Client Rep (Unknown)	The Client Rep is responsible for the following: • Approval of any Change Request (i.e. using the Change Control Board (CCB}) post-project implementation.

Review Team Guidelines

The Review Team for the Migration Requests should be selected using the following guidelines:

For normal migration requests:

- Functional Team Leaders/Managers of the data / objects to be moved
- Application Migration Administrator
- Instance Owner (If a development instance, the IT manager. Production: Financial Accounting Manager)
- Application Owner
- Production Manager

For ‘emergency’ migrations:

- Functional customer of the data / objects to be moved
- Application Migration Administrator
- Information Technology Manager
- Production Manager

It should be noted that in order for a migration to be considered an 'emergency', the migration should address one or more of the following:

- Legal issues
- Production critical issues (stoppage)
- Regulatory issues

Migration Request Form

The administrative information that needs to be collected and tracked is listed below:

- The Requesters name and phone number
- A summary line describing the request
- The purpose of the request
- The Migration Request creation date
- The migration due date
- Priority of the request, normal or emergency
- List of reviewers
- List of people who need to be notified when migration is ready

The technical information pertaining to the objects that needs to be collected and entered in the Migration Request is listed below:

- Names of source and target instances
- For each object
  - the project
  - the type of object
  - a brief description
  - the location of the source object
- What needs to be created or altered (table, indexes, and/or view)

The tool that will track the lifecycle of the Migration Request should identify the status of the request. Examples of status are:

- NEW

- REVIEW
- RESUBMIT
- SCHEDULE
- MIGRATE
- VERIFY
- AUDIT
- WITHDRAWN
- CLOSED

Sample Migration Request Form

Sample Migration Request Form.doc

CABQ Migration Request Form

PeopleSoft Migration/Database Refresh Form

Project Name _____

Requester Name _____ **Request Date _____**
Approval _____ **Approval Date _____**

Instance Information

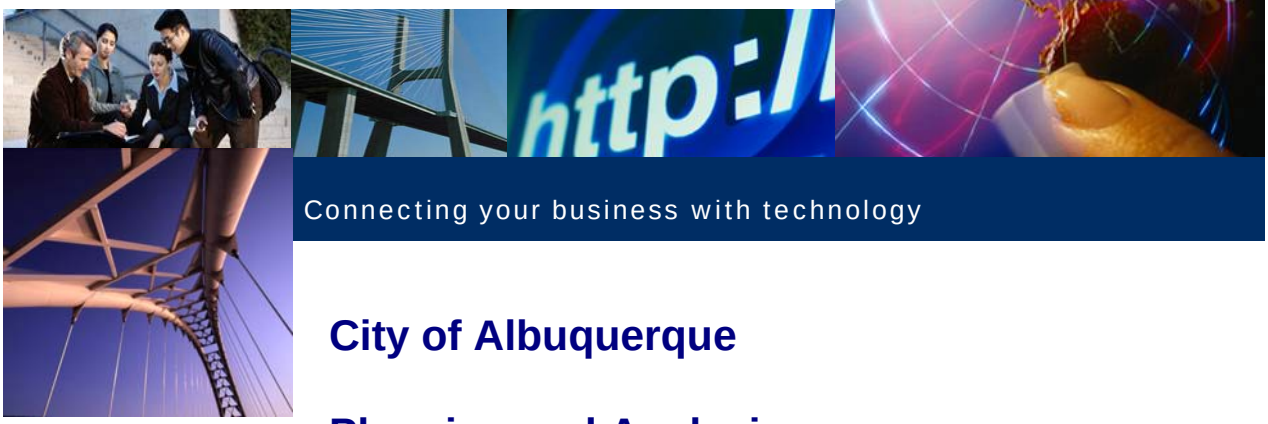
Source Instance	Target Instance	Date Needed	Instance approval	Migration/Refresh Complete
HR89DEV	HR89TST			
	HR89CFG			
	HR89CNV			
	HR89UAT			
	HR89PRD			

Object Information:
Project Name in Source :
Build Project in Target? Y/N

	Object Name	Object Type	Build Object? Y/N	Build Action	External Object Source directory
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					

Related Security Information:

Special Instructions:



Connecting your business with technology

City of Albuquerque

Planning and Analysis
Payroll
February 9, 2007

161 Village Parkway
Building 7
Marietta, Georgia 30067
www.skybridgeglobal.com

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12 Requirements/Fit Gap Document ..... **??**

13 Sign off and Approval ..... Error! Bookmark not defined.

1 Fit Gap Approach and Overview

Payroll for North America provides the tools to calculate earnings, taxes, and deductions efficiently; maintain balances; and report payroll data while minimizing the burden on IT managers and the City's payroll staff.

With Payroll for North America, you can design the payroll system to meet the City's specific requirements. Provide the system with some basic information about the types of balances that you want to maintain, how you want to group the workforce, and when you want to pay them. You can define and establish earnings, deductions, taxes, and processes that fit your unique business needs. The payroll system enables you to calculate gross-to-net or net-to-gross pay, leave accruals, and retroactive pay. You can automatically calculate imputed income for group-term life insurance and process unlimited direct deposits.

During the Fit/Gap Sessions, we reviewed many aspects of the City's requirements, including but not limited to:

- Earnings types including regular earnings and additional pays.
- Compensation with multiple compensation rates.
- Shift needs.
- Deduction types for benefit premiums, tax withholdings, garnishments, and other deductions.
- Payroll accumulator balances to maintain and use.
- Employee pay groups, which are groups of employees that share common payroll characteristics, such as working for the same organization or sharing the same pay frequency or pay date.
- How to establish Pay Calendars that reflect the City's payroll periods, pay dates, and Fair Labor Standards Act (FLSA) periods throughout the year.
- Employee holidays for payroll processing.
- How to create pay run IDs to process payrolls more efficiently.
- Garnishment Processing.
- Direct deposits for the workforce.
- Define control data for creating paysheets and running other batch processes.
- How to manage the FLSA requirements for City Firefighters

2 Session Attendees and Role

Payroll Fit/Gap 1/16/2007 Attendees	Position	Payroll Fit/Gap 1/29/2007 Attendees	Position	Payroll Fit/Gap 1/30/2007 Attendees	Position
MyChelle Andrews	IT/SAI	Laurice Chappell	Payroll	MyChelle Andrews	IT/SAI
Cheryl Puterbaugh	OCM	Sara James	Time and Labor	Stephanie Yara	Accounting MGR
Laurice Chappell	Payroll	Carol Spurlock-Garcia	Benefits	Carol Spurlock-Garcia	Benefits
Sara James	Time & Labor	Patrick Petracca	Human Resources	Patrick Petracca	Human Resources
Tim Skelton	Payroll	Shelly Summerour	Human Resources	Shelly Summerour	Human Resources
		Mary Lou Harris	Financials	Sarah Williamson	Payroll
		Elaine Padilla	Financials	Tim Skelton	Payroll Technical
		Sarah Williamson	Payroll		
		Stephanie Yara	Accounting MGR		
		Tim Skelton	Payroll Technical		
		Barbara Portzline	OCM		

3 Session Dates

1/16 1-4PM PY Table Setup/Prototype - ISD Grand Central - Room 205

1/29 2-5PM PY Fit/Gap/Processes Accounting Conference Room -8-

1/30 2-5PM PY Fit/Gap/Processes Accounting Conference Room -8-

4 Data Used

Sample but realistic City prototype data was entered into the system to demonstrate the capabilities of PeopleSoft. Basic set up tables were created as the data notes below and that enabled the various processes available in Payroll to be run and completed. This data, while similar to the data that may be used later in production, should not be considered the final setup data for the system.

Prototype Pay Calendars

First Day of Pay Period	Last Day of Pay Period	Payday Check Date	Year	PS Proposed Pay Run ID	Legacy Run ID	PS Balance ID Calendar	PS Balance ID Period
Sat 12/24/05	Fri 01/06/06	Fri 01/13/06	2006	TEST1	0113	CY	1
Sat 01/07/06	Fri 01/20/06	Fri 01/27/06	2006	TEST2	0127	CY	1
Sat 01/21/06	Fri 02/03/06	Fri 02/10/06	2006	TEST3	0210	CY	2
Sat 02/04/06	Fri 02/17/06	Fri 02/24/06	2006	TEST4	0224	CY	2
Sat 02/18/06	Fri 03/03/06	Fri 03/10/06	2006	TEST5	0310	CY	3
Sat 03/04/06	Fri 03/17/06	Fri 03/24/06	2006	TEST6	0324	CY	3
Sat 03/18/06	Fri 03/31/06	Fri 04/07/06	2006	TEST7	0407	CY	4
Sat 04/01/06	Fri 04/14/06	Fri 04/21/06	2006	TEST8	0421	CY	4
Sat 04/15/06	Fri 04/28/06	Fri 05/05/06	2006	TEST9	0505	CY	5
Sat 04/29/06	Fri 05/12/06	Fri 05/19/06	2006	TEST10	0519	CY	5
Sat 05/13/06	Fri 05/26/06	Fri 06/02/06	2006	TEST11	0602	CY	6
Sat 05/27/06	Fri 06/09/06	Fri 06/16/06	2006	TEST12	0616	CY	6
Sat 06/10/06	Fri 06/23/06	Fri 06/30/06	2006	TEST13	0630	CY	6
Sat 06/24/06	Fri 07/07/06	Fri 07/14/06	2006	TEST14	0714	CY	7
Sat 07/08/06	Fri 07/21/06	Fri 07/28/06	2006	TEST15	0728	CY	7
Sat 07/22/06	Fri 08/04/06	Fri 08/11/06	2006	TEST16	0811	CY	8
Sat 08/05/06	Fri 08/18/06	Fri 08/25/06	2006	TEST17	0825	CY	8
Sat 08/19/06	Fri 09/01/06	Fri 09/08/06	2006	TEST18	0908	CY	9
Sat 09/02/06	Fri 09/15/06	Fri 09/22/06	2006	TEST19	0922	CY	9

Prototype Employee Listing

Count	Employee Name	EMPLID	CO	Pay Group	Position	RATE	Sal/Hr
1	Mickey Mouse	0100	AQQ	EXM	TEST0000	65,000/A	S
2	Patrick Sweazy	0106	AQQ	EXM	TEST0000	55,000/A	S
3	Dooby Doo	0107	AQQ	EXM	TEST0000	85,000/A	S
4	Judith Marsh	0108	AQQ	EXM	TEST0000	85,000/A	S
5	Dawson Leary	0112	AQQ	EXM	TEST0000	95,000/A	S
6	Dauphine Duck	0102	AQQ	FIR	FIRE	35.00/hr	H
7	Peggy Lou	0103	AQQ	FIR	FIRE	28.00/H	H
8	Dr. Doo Little	0104	AQQ	FIR	FIRE	17.00/H	H
9	Robert Redford	0105	AQQ	NON	POLICE	22.50/H	H
10	Flo Flapper	0109	AQQ	NON	POLICE	18.50/H	H
11	Beaver Cleaver	0110	AQQ	NON	POLICE	25.00/H	H
12	Mylo MinderBinder	0111	AQQ	NON	POLICE	32.00/H	H
13	Joe Smith	0145	AQQ	EXM	TEST0000	35,000.A	S
14	Mary Julie	0146	AQQ	EXM	TEST0001	87,000.A	S
15	John Sussex	0147	AQQ	EXM	TEST0002	38,500.A	S
16	Sue Beck	0148	AQQ	FIR	FIRE	15.25/H	H
17	Sara Fleck	0149	AQQ	NON	POLICE	22.00/H	H
18	Sallie Lou	0150	AQQ	NON	POLICE	27.37/H	H
19	Balu Snow	0154	AQQ	NON	POLICE	27.10/H	H
20	Eddie Smith	0155	AQQ	NON	POLICE	28.00/H	H

Prototype Core Table Values

Tables	Prototype Values	Effective Date	SetUP Complete	Navigation:
BU	BUAQQ	1/1/1980	Y	Set Up HRMS, Foundation Tables, Organ Business Units
SET ID	SHARE	1/1/1980	Y	Set Up HRMS, Foundation Tables, Organ Business Units (Part of BU Setup)
Company	AQQ	1/1/1980	Y	Set Up HRMS, Foundation Tables, Organ Company Table
Location	New Mexico	1/1/1980	Y	Set Up HRMS, Foundation Tables, Organ Location Table
Co Location	AQQ	1/1/1980	Y	Set Up HRMS, Foundation Tables, Organ Company Location Table
Establishment	USA	1/1/1980	Y	Set Up HRMS, Foundation Tables, Organ Establishment Table
Departments	HR	1/1/1980	Y	Set Up HRMS, Foundation Tables, Organ Department Table
	FIRE	1/1/1980	Y	Set Up HRMS, Foundation Tables, Organ Department Table
	POLICE	1/1/1980	Y	Set Up HRMS, Foundation Tables, Organ Department Table
Tax Location	NM	1/1/1980	Y	Set Up HRMS, Product Related, Payroll f America, Fed/State, Tax Location Table
Job Code	HR- EXEMPT	1/1/1980	Y	Set Up HRMS, Foundation Tables, Job A Code Table
	FIRE NON	1/1/1980	Y	Set Up HRMS, Foundation Tables, Job A Code Table
	POLICE - NON	1/1/1980	Y	Set Up HRMS, Foundation Tables, Job A Code Table
Bank	390489053 WELLSFARGO		Y	Set Up HRMS, Common Definitions, Ban
Source Bank	ku07 wellsfargo		Y	Set Up HRMS, Common Definitions, Ban Bank Accounts
Holiday Schedule	TEST	1/1/1980	Y	Set up HRMS, Foundation Tables, Organ Holiday Schedule
Forms	US CHECK	1/1/1980	Y	Set Up HRMS, Common Definitions, Ban Table
	DDP	1/1/1980	Y	Set Up HRMS, Common Definitions, Ban Table
Earn Programs	NON	1/1/1980	Y	Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Program Table
	EXM	1/1/1980	Y	Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Program Table

Earning Codes	**RG1**	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	OVT (NON)	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	SKK (EXM)	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	HLL (NON)	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	VAC (NON)	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	HAZ (NON)	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	VCE (EXM)	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	HOE (EXM)	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	CLO	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	BON	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	SCH	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
	LON	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, E Table**
Special Accumulators	**457**	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, S Accumulators**
PERA	**PER**	**To Be Set Up**		**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, S Accumulators**
Balance ID	**CY**	**2005-2007**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Payroll Processing Controls, B Table**
Shift Table	**N/A**	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Compensation and Earnings, S**
Pay Groups	**NON**	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Payroll Processing Controls, P Table**
	EXM	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Payroll Processing Controls, P Table**
	FIR (FIRE)	**1/1/1980**	**Y**	**Set Up HRMS, Product Related, Payroll f America, Payroll Processing Controls, P Table**
Pay Calendars	**2005-2007**		**Y**	**Set Up HRMS, Product Related, Payroll f America, Payroll Processing Controls, P Table**

FLSA Pay Calendar	Future Development	TBD		Set Up HRMS, Product Related, Payroll f America, Payroll Processing Controls, F Table - Custom
Pay Run IDs	TEST 1		Y	Set Up HRMS, Product Related, Payroll f America, Payroll Processing Controls, P
	TEST 2		Y	Set Up HRMS, Product Related, Payroll f America, Payroll Processing Controls, P
	TEST 3		Y	Set Up HRMS, Product Related, Payroll f America, Payroll Processing Controls, P
Positions	TEST0000	Exempt	Y	Organizational Development, Position M Maintain Positions/Budgets, Add/Update
	FIRE	Non Exempt	Y	Organizational Development, Position M Maintain Positions/Budgets, Add/Update
	Police	Non Exempt	Y	Organizational Development, Position M Maintain Positions/Budgets, Add/Update
Budgets	Future Development	TBD		Organizational Development, Position M Maintain Positions/Budgets, Update Dep Budget Data
Ben Program	AQQ	1/1/1980	Y	Set Up HRMS, Product Related, Base Be Program Structure, Benefit Program Tab
Ben Plan/Ded	MED	1/1/1980	Y	Set Up HRMS, Product Related, Base Be and Providers, Health Plan Table
Ben Plan/Ded	Vacation VSAL	1/1/1980	Y	Set Up HRMS, Product Related, Base Be and Providers, Leave Plan Table
General Deductions	Garn	1/1/1980	Y	Set Up HRMS, Product Related, Payroll f America, Deductions, Deduction Table Up HRMS, Product Related, Payroll for N America, Deductions, General Deductio
	Union Dues	1/1/1980	Y	Set Up HRMS, Product Related, Payroll f America, Deductions, Deduction Table Up HRMS, Product Related, Payroll for N America, Deductions, General Deductio
	Charity	1/1/1980	Y	Set Up HRMS, Product Related, Payroll f America, Deductions, Deduction Table Up HRMS, Product Related, Payroll for N America, Deductions, General Deductio
	Parking	1/1/1980	Y	Set Up HRMS, Product Related, Payroll f America, Deductions, Deduction Table Up HRMS, Product Related, Payroll for N America, Deductions, General Deductio
	Bond	1/1/1980	Y	Set Up HRMS, Product Related, Payroll f America, Deductions, Deduction Table Up HRMS, Product Related, Payroll for N America, Deductions, General Deductio
Deduction Subset	BON	1/1/1980	Y	Set Up HRMS, Product Related, Payroll f America, Deductions, Deduction Subset

5 Significant Gaps

The following is a list of possible Gaps discovered during this initial Fit/Gap Analysis Phase:

- System must provide an interface from Payroll to PERA

- System should provide ability to submit medical insurance coverage data to the various Vendors via automated means (electronic data interface)

- System must provide the ability to pay the Firefighter Staff based on a 24 Day/182 Hour schedule. FLSA calculation must maintain hours worked even when the hours worked were within a different pay period - for the FLSA Overtime Premium portion.

- Payroll system should cause only those deductions that are available to an employee to be available to the person using the system when entering deductions.

- Payroll system should by able to determine if an employee must have Fair Share deductions made in lieu of normal union dues as specified in the union contract.

- System should allow retroactive payroll adjustments (if authorized by appropriate person) for a specific employee or through a global process, such as a position reclassification or "re-grade" of a job classification. System should provide the ability to automatically generate retroactive salary adjustments for hourly rates, deduction amounts, etc. System should automatically generate pre-tax deductions for overpayments or special pay amounts for underpayments.

- System should provide ability to accommodate Leave Donations

- System should provide ability to accommodate Military Leave process for City

- System should provide the ability to track compensatory time off

- System should provide the ability to calculate Longevity Pay for each employee based on his/her various rules/dates

- System should be able to handle Temporary Upgrade Rates for employees based on contract formulas and/or rate tables.

- System should provide the ability to hold all rate tables needed for various clothing allowances, incentive pays, etc.

- System should have the ability to calculate pro-rata benefits for partial period employees.

- System must have the ability to convert sick leave balances based on specific designated tiers to cash or vacation balance on an annual basis
- System must have the ability to adjust annual (end of year) vacation balances back to allotted maximums – based on contract specific instructions. (VC Excess)

- <u>System must be able to identify employees eligible for the Sick Leave Incentive and award vacation hours based on that eligibility.</u>

- System must be able to adjust taxable wages paid under Injury Time codes by the amount paid to the employee from the self-funded Work Comp program, paid through accounts payable.

- Current process is to book to the GL on pay period end, and to Payroll on check date. System allows for only one method to be used at a time-either post based on PPend Date or Check Date. Cannot post one way for GL and another for Payroll Balances

6 Process/Contract Change Needs

Within the Payroll Module most processes will remain unchanged. The physical screens and methods of data entry may be different, but the overall processes will be largely the same as they are today. These business processes will be confirmed during design and the start of documentation for the project and training will begin at that time.

No contract changes are required at this time.

7 Legislation Change Needs

There are no known legislative changes needed.

However, determination should be made before Phase 2 begins, regarding Salaried employees. Currently, these employees are set up within the legacy system as hourly (calculated by hours x rate; coded as exempt) employees, even though they are actually exempt employees (who typically do not have their pay calculated in an hourly fashion). This FLSA status inconsistency should be considered for correction during the next phase.

8 Security Concerns

There are no known security concerns that would cause any customization to PeopleSoft security.

Within the Payroll Module, special review will be necessary to ensure proper segregation of duties within the department. PeopleSoft delivers many classes of security for Payroll and these should be considered during creation of the Payroll Security for the City. The beginnings of these classes have been documented in the Security Strategy document and in other detailed security documents that have been created for the City.

9 Open Issues/Information Needed

Determination should be made before Phase 2 begins regarding Salaried employees. Currently, these employees are set up within the legacy system as hourly (calculated by hours x rate; coded as exempt) employees, even though they are actually exempt employees. This is also noted in Section 7 above.

10 Legacy System Data Requirements

Legacy employee payroll data will need to be converted into the new PeopleSoft system. The volume of data to be converted will be defined at a later date.

11 Future Phase Documentation

As the payroll processes are in themselves similar between systems, no future phase documentation has been created for Analysis. There will not be “major” changes in processes for payroll. The detail processes and their training documentation will be started in the design phase and continue to be refined as necessary until training begins.

12 Requirements/Fit Gap Document

The requirements listed below are general requirements that have been used at other governmental agencies. These and any other City-specific requirements should be gathered and reviewed during the next phase of the project.

Requirement Number	*Source*	*PeopleSoft Navigation*	*Functional Requirement*	*Response Required*	*Met with Prod Suite Config*	*Met with BPR*	*Met with Bolt-on*	*Met with Extension*	*Software Module*	*Narrative/Justification*
Payroll										
PY_1										
PY_1.1	PY	SetUp HRMS, Product Related, Payroll Processing Controls, Pay Group Table	System should be compatible with multiple pay periods (weekly, biweekly, semi-monthly, monthly) and multiple pay bases (hourly, salaried, exception, etc.).		Yes					
PY_1.2	PY	Workforce Administration, Job Information, Job Data, Comp Tab - **Organizational Development, Position Management, Positions/Budget, Add/Update Positions**	System should provide ability to calculate regular pay as follows: Pay equates to regular hourly rate (calculated from employee's record, unless overridden through timesheet entry) x (Total Hours		Yes					
PY_1.3	PY	Payroll Processing USA, Produce Payroll, Precalculation Audit report	System should provide all required edits to ensure proper calculation of employee payroll.		Yes					

PY_1.4	PY	Set UP HRMS, Product Related, Payroll for North America, Payroll Processing Controls, Pay Group Tab 8	System should perform NET pay reasonableness checks by comparing "reasonable" limits established in the System.		Yes					
PY_1.5	PY	Set UP HRMS, Common Definitions, Banking, Banks and Source Banks **EE Direct Deposit is set up at the EMPLOYEE level**	System should provide ability to process direct deposits for payroll using National Automated Clearinghouse Association (NACHA) format and required content, and generate remittance advices to support each transaction. System should allow for total net pay to be deposited to multiple bank accounts based on pre-established user-defined amounts or percentages. SSN, Direct deposit amount, Routing number (bank ID, Account type (savings, checking), Account number, Prenote indicator		Yes					
PY_1.6	PY	Set UP HRMS, Product Related, Payroll for North America, Payroll Processing Controls, Pay Group - Paysheets Tab	System should allow for partial period payment to employees who do not work the entire pay period (new hires, terminations, employees on leave without pay for a portion of the pay period). (For Salaried employees only)		Yes					
PY_1.7	PY	Set UP HRMS, Foundation Tables, Organization, Company, Default Settings	System should provide ability to process lump sum termination payments with the ability for payment to be made 30 days after termination date – if necessary.		Yes					
PY_1.8	PY	Workforce Administration, Job Information, Job Data-Payroll Tab	System should provide ability to distinguish employees subject to NO FICA, or Medicare Only from employees subject to FICA.		Yes					

PY_1.9	PY	**Payroll for North America, Periodic Payroll EventsUSA, Earnings ..., ETC.** Set Up HRMS, Product Related, Payroll for North America, Compensation and Earnings, Earnings Table **Set Up HRMS, Product Related, Payroll for North America, Deductions** Set Up HRMS, Product Related, Payroll for North America, Special Accumulators	System should be flexible and expandable regarding earnings accumulators and their associated calculations. System should provide the ability to establish earnings accumulator limits; these limits should be flexible as they are subject to change. The flexibility/expandability should be user-maintainable. Specific Accumulators needed are: (but not limited to) **Federal income tax withholding base wages, FICA (Social Security/OASDI) base wages, FICA (Medicare) base wages, Retirement salary base, Unemployment salary base, Worker's compensation salary base, Insurance salary base, 457 deferred compensation base, Earned income credit base, State income tax base wages (for multiple states)**		Yes					
PY_1.10	PY	Set Up HRMS, Product Related, Payroll for North America, Compensation and Earnings	System should track taxable fringe benefits/allowances, such as moving expenses and educational assistance. System should provide ability to track taxable educational assistance.		Yes					
PY_1.11	PY	Payroll for North America, Periodic Payroll EventsUSA, Balance Reviews, Deductions	System should track non-taxable, but W-2 reportable items such as 457 Deferred Compensation and Dependent Care benefits.		Yes					
PY_1.12	PY	Set Up HRMS, Product Related, Payroll for North America, Compensation and Earnings	System should provide ability to calculate FLSA overtime and edit for employee earnings type eligibility (only certain employees are eligible for FLSA overtime).		Yes					

PY_1.13	PY	Payroll Processing USA, Produce Payroll, Calculate Pay	System should provide ability to process trial payrolls for biweekly and other supplemental payrolls.		Yes					
PY_1.14	PY	Set Up HRMS, Product Related, Payroll Processing Controls, Pay Calendar Table, Add a New Value	System should allow for the execution of a separate supplemental payroll (in addition to the regularly scheduled payrolls) on an “as needed” basis.		Yes					
PY_1.15	PY	Set Up HRMS, Product Related, Payroll for North America, Deductions	System should provide a deduction table to establish and maintain information and rules specific to an unlimited number of deductions: Deduction type, Deduction name, Deduction priority/order, Deduction arrears allowed, Deduction calculation base, Scheduled frequency, Partial deduction allowed (Y/N), GL liability account, Effective date		Yes					
PY_1.16	PY	Payroll for North America, Periodic Payroll EventsUSA, Balance Reviews, Deductions (by specific Deduction Code)	System should be flexible and expandable deduction accumulators. System should provide the ability to establish accumulator limits; these limits should be flexible as they are subject to change. The flexibility/expandability should be user-maintainable. The accumulators should include the following: **For employee Deduction:** Month to Date Quarter to Date Year to Date **For Employer Deduction:** Month to Date Quarter to Date Year to Date		Yes					

PY_1.17	PY	Set Set Up HRMS, Product Related, Payroll for North America, Deductions, Tax Effect Up HRMS, Product Related, Payroll for North America, Deductions, Tax Effect	System should provide ability to designate each deduction for pre-tax, after-tax, Pre-tax Benefit, and Taxable Benefit processing.		Yes					
PY_1.18	PY	Payroll for North America, Employee Pay Data USA Tax Information, Update Employee Tax Data; Federal, State, Local Tax Data	System should maintain employee withholding data for Federal and State taxes, and properly calculate employee taxes in accordance with Federal and State law by utilizing employee tax withholding data, tax tables, and earnings accumulators associated with each tax.		Yes					
PY_1.19	PY	Payroll for North America, Employee Pay Data USA,Tax Information, Update Employee Tax Data; Federal, State, Local Tax Data	System should provide ability to allow employees to withhold additional Federal income tax beyond tax amounts computed based on tax tables and withholding allowances.		Yes					

PY_1.20	PY	Set Up HRMS, Product Related, Payroll for North America, Deductions, General Deduction Table Set Up HRMS, Product Related, Payroll for North America, Compensation and Earnings, Special Accumulator Table	System should calculate employer portion of taxes and benefits calculated as a percentage of earnings based on employee earnings accumulators.		Yes					
PY_1.21	PY	Set Up HRMS, Product Related, Payroll for North America, Deductions Payroll for North America, Employee Pay Data USA, Deductions, General Deductions	System should provide ability to monitor annual maximum deduction amounts and halt the deduction once the predefined maximum is reached.		Yes					
PY_1.22	PY	Payroll for North America, Employee Pay Data USA, Deductions, General Deductions **Benefits, Enroll in Benefits**	System should provide ability to process deductions taken in a fixed amount each pay period (insurance premium).		Yes					
PY_1.23	PY	Set Up HRMS, Product Related, Payroll for North America, Deductions, General Deduction Table	System should provide ability to process deductions that are a specified dollar amount or computed as a percentage of pay.		Yes					

PY_1.24	PY	Set Up HRMS, Product Related, Payroll for North America, Deductions, General Deduction Table **Payroll for North America, Employee Pay Data USA, Deductions, General Deductions**	System should provide ability to assign effective start/stop dates for all deductions.		Yes					
PY_1.25	PY	Set Up HRMS, Product Related, Payroll for North America, Deduction Table	System should provide ability to process refunds of overpayments with a target amount (reimbursement to the City of an overpayment made to an employee through an installment plan). These payments must reduce correct accumulators (taxable and retirement accumulators)		Yes					
PY_1.26	PY	Set Up HRMS, Product Related, Payroll for North America, Compensation and Earnings, Earnings Table	System should provide an earnings table to establish and maintain information and rules specific to an unlimited number of earnings: Earnings Name Earnings Code Subject to Federal Subject to FICA Subject to Supplemental Tax Adds to Gross Etc.		Yes					
PY_1.27	PY	Set Up HRMS, Product Related, Payroll for North America, Deduction Table	City employees are provided with the option to purchase various options for medical insurance coverage (HMO, PPO, Etc). The insurance premium is paid by combination of employee and City contributions. System should capture the following benefits deductions and insurance coverage data and provide for the ability to print this data on pay stubs: Deduction Code, Deduction Name, Pay period deduction amount, Year-to-date employee deduction amount, Pay period City contribution amount, Year-to-date City contribution amount		Yes					

PY_1.28	PY	Custom Interface	System should provide ability to submit medical insurance coverage data to the various Vendors via automated means (electronic data interface).		No					Custom Outgoing Interface - if do not use AP Interface
PY_1.29	PY	Set Up HRMS, Product Related, Payroll for North America, Deduction Table	City employees are provided with the option to purchase various other types of insurance coverage (life, dental, long-term disability, accidental death and dismemberment, dependent care). System should capture benefits deductions and insurance coverage data as follows: Deduction type (multiple types of coverage), Pay period employee deduction amount, Month-to-date employee deduction amount, Year-to-date employee deduction amount, Pay period City contribution amount, Month-to-date City contribution amount, Year-to-date City contribution amount, Effective start date, Effective end date		Yes					
PY_1.30	PY	Set Up HRMS, Product Related, Payroll for North America, Deduction Table	System should calculate imputed income subject to withholding tax and FICA taxes for term life insurance exceeding $50,000 or any other amount designated by law.		Yes					
PY_1.31	PY	Set Up HRMS, Product Related, Payroll for North America, Deduction Table **Payroll for North America ,Periodic Payroll EventsUSA, Balance Reviews, Deductions (by specific Deduction Code**)	System should allow for separate deduction accumulators for all insurance coverage deduction types.		Yes					
PY_1.32	PY	Payroll for North America, Employee Pay Data USA, Deductions, Purchase US Savings Bonds	City employees may purchase U.S. Savings Bonds through payroll deduction. System must track these deductions		Yes					

PY_1.33	PY	Payroll for North America, Employee Pay Data USA, Deductions, Purchase US Savings Bonds	System should allow for an unlimited number of bond deductions per employee.		Yes					
PY_1.34	PY	Payroll for North America, Employee Pay Data USA, Deductions, Purchase US Savings Bonds	System should maintain savings bond information as follows: Bond denomination/purchase price, Bond owner name, Bond owner SSN, Bond owner address, Deduction amount, Deduction frequency, Year-to-date balance, Carry forward balance, Co-owner/beneficiary name (multiple beneficiaries), Co-owner/beneficiary address (multiple beneficiaries), Co-owner/beneficiary SSN (multiple beneficiaries), Effective start date, Effective end date		Yes					
PY_1.35	PY	Custom 24day/182 hour FLSA Calendar	System must provide the ability to pay the Firefighter Staff based on a 24Day/182Hour schedule. FLSA calculation must maintain hours worked even when the hours worked were within a different pay period - for the FLSA Overtime Premium portion.		No		yes			Requires Custom and custom SQR to hold hours from a previous Pay Period
PY_1.36	PY	Payroll for North America, Employee Pay Data USA, Deductions, Create Garnishments	System should provide ability to establish and maintain garnishments or levies against disposable income for Federal and State tax levies, court-ordered garnishments, outstanding liabilities to the State, or other reasons dictated by State or Federal law. System should have the ability to display online- the following information: Deduction type, Withholding amount or percent, Withholding total amount, Pay period withholding amount, Year-to-date withholding amount, Disposable income attributes, Spouse social security number, Court order/case number, Disbursement name, Disbursement county, Order of withholding issue date ,Authority for withholding, Effective start date, Effective end date		Yes					

PY_1.37	PY	Set Up HRMS, Product Related, Payroll for North America, Garnishments, Disposable Earnings Definitions	System should automatically adjust garnishment and child support deduction amounts if the disposable income requirements will not be met after the deduction is taken. System should provide edit to ensure that no more than 50% of disposable income may be withheld for child support or 10% of disposable income for student loans in all cases.		Yes					
PY_1.38	PY	Set Up HRMS, Product Related, Payroll for North America, Deduction Table	City employees may contribute to 457 Deferred Compensation Plan. The 457 plan is a three-tiered program. If an employee is not in a "catch-up" or 3 years to retirement status, a maximum deduction limit per calendar year is applied. If the employee is in a "catch-up status", a higher maximum deduction amount per calendar year is applied. Deductions associated with the deferred compensation plan are processed as pre-tax deductions. System should maintain deferred compensation plan deduction data and provide for the ability to print data on employee's pay stub as follows: Deduction type, Deduction amount, Year-to-date amount.		Yes					
PY_1.39	PY	Set Up HRMS, Product Related, Payroll for North America, Deduction Table-Tab Process	System should identify each deduction type by a unique general ledger account number.		Yes					
PY_1.40	PY	Set Up HRMS, Product Related, Payroll for North America, Deduction Table **Payroll for North America, Employee Pay Data USA, Deductions, Override General Deductions**	System should provide ability to allow partial deductions if an employee's pay is insufficient to cover the deduction. System should provide ability to identify whether partial deductions are allowed for each deduction type. If a partial deduction is accepted, the corresponding deduction accumulator should be incremented only by the amount of the partial deduction taken. System should also allow for adjustments to normal deduction amounts, either increasing or decreasing, for a specified number of pay periods.		Yes					

PY_1.41	PY	Set Up HRMS, Product Related, Payroll for North America, Deduction Table	System should allow for prioritizing the order in which deductions are taken in the event that an employee's pay is insufficient to cover all deductions. System should also provide for an automatic deduction of the amount in arrears (in addition to the normal deduction) during the subsequent pay period. The corresponding deduction accumulator should be incremented by both the arrears amount and the normal deduction amount. Recommended priority of deductions is as follows: 1) FICA (Social Security and Medicare) 2) Federal income tax 3) State income tax 4) Retirement 5) Bankruptcy court order 6) Child support court order (for multiple children) 7) IRS levy 8) Student loan levy 9) deductions Health /Dental/Vision 10) FLEX BENEFITS– health care reimbursement accounts 11) FLEX BEBEFITS – dependent care reimbursement accounts 12) deduction 13) Membership dues (Union) 14) Deferred compensation 457 contribution 15) Voluntary Deductions 16) Charitable contributions (Unlimited) 17) Savings accounts 18) Checking accounts		Yes					
PY_1.42	PY	Payroll for North America, Employee Pay Data USA, Create Additional Pay	System should provide ability to generate special payments as needed (e.g., supplemental system-generated payroll expedites), in addition to the regular biweekly payments. System should process taxes and deductions in accordance with employee information maintained in the System and should allow for overrides for the special payments.		Yes					

PY_1.43	PY	Set Up HRMS, Product Related, Payroll for North America, Deductions, Deduction Subset Table	System should provide ability to optionally pay lump sum bonuses in either a separate payment or in combination with the regular payment. The user should have the ability to specify deduction processing for lump sum payments.		Yes					
PY_1.44	PY	e-Pay Self Service, Payroll and Compensation, View Paycheck	System should provide ability for employees to access current pay period, month-to-date, year-to-date payroll detail, withholding information, and leave balances through the use of an industry-standard web browser. (E-PAY ONLY).		Yes					
PY_1.45	PY	Payroll for North America USA, Payroll Processing USA,-Reverse/Adjust Paychecks	System should provide ability to cancel a payment by allowing authorized users to enter certain payment cancellation information. System should then automatically adjust earnings, deductions, and withholdings. System should provide ability to cancel an entire document or allow cancellations for the gross amount, a deduction amount, the net amount, or any partial amount.		Yes					
PY_1.46	PY	Modification	Payroll system should cause only those deductions that are available to an employee to be available when entering deductions.		No					Modification
PY_1.47	PY	Balances are maintained as date effective rows. They do not need to be cleared	System should provide ability to automatically clear all accumulators (earnings, deductions, withholdings, and employer contributions) at calendar and fiscal year-end as appropriate and clear month-to-date accumulators at end of month.		Yes					
PY_1.48	PY	Annual Year End processing allows for a Year end calendar to be created – closed and opened as needed until all corrections are made for a CY	System should provide ability to process payroll transactions for a new CYyear before the prior CY year is closed, and allow for adjustments to be made to the prior CY year after the new CY year is started.		Yes					

PY_1.49	PY	FUTURE PHASE	System should allow retroactive payroll adjustments (if authorized by appropriate person) for a specific employee or through a global process, such as a position reclassification or "re-grade" of a job classification. System should provide the ability to automatically generate retroactive salary adjustments for hourly rates, deduction amounts, etc. System should automatically generate pre-tax deductions for overpayments or special pay amounts for underpayments.		No					Retro Pay - Phase II
PY_1.50	PY	Payroll for North America, PayPeriod Reports, USA Tax Deposit Summary	System should generate Tax Liability reports for State and Federal Taxes		Yes					
PY_1.51	PY	BEN ADMIN ONLY – FUTURE PHASE	System should have the ability to calculate pro-rata benefits for partial period employees.		See Ben					
PY_1.52	PY	Set Up HRMS, Product Related, Payroll for North America, Payroll Processing Controls, Pay Calendar Table	For biweekly payroll processing, System should provide ability to handle "free periods" in which some deductions are taken and some are not.		Yes					
PY_1.53	PY	Set Up HRMS, Product Related, Payroll for North America, Federal/State Taxes, State Tax Reciprocity Table	System should provide ability to support reciprocal state taxing agreements.		Yes					
PY_1.54	PY	Payroll for North America, Payroll Processing USA, Reverse/Adjust Paychecks	System should provide ability to refund taxes and deductions taken in error.		Yes					

PY_1.55	PY	Payroll for North America, Employee Pay Data USA, Update Payroll Options	System should provide ability to use a mailing address that differs from employee's permanent residence address.		Yes					
PY_1.56	PY	Payroll for North America, Employee Pay Data USA, Tax Information, Update Employee Tax Data	System should provide ability to change EE Tax Data information as needed		Yes					
PY_1.57	PY	Payroll for North America, Periodic Payroll Events USA, Balance Reviews, Earnings, Taxes, Deductions, ETC	System should maintain EE level balances for each of the following deductions: Federal income tax FICA (Social Security and Medicare) State income tax Retirement (PERA) Garnishments (each Type-if multiple) Membership dues (Unions) Deferred compensation 457 Charitable contributions Savings Bonds Savings accounts Checking accounts		Yes					
PY_1.58	PY	To Automate - would require modification	System should provide ability to accommodate Leave Donations		No					Custom SQR
PY_1.59	PY	To Automate - would require modification	System should provide ability to accommodate Military Leave process for City		No					Custom SQR
PY_1.60	PY	Payroll for North America, Employee Pay Data USA, Tax Information, Update Employee Tax Data	System should provide ability to validate employee Earned Income Credit (EIC) eligibility and/or spousal status and process EIC changes.		Yes					

PY_1.61	PY	Payroll for North America, US Annual Processing	System should provide for appropriate calendar year-end processes.		Yes					
PY_1.62	PY	Workforce Administration, Personal Information, Modify A Person	System should capture SSN numbers to for each employee		Yes					
PY_1.63	PY	Payroll for North America, Employee Pay Data USA, Tax Information, Update Employee Tax Data Payroll for North America, Periodic Payroll Events USA, Balance Reviews, Earnings, Taxes, Deductions, ETC	System should maintain all employee information required for W-2 reporting. System should allow for reporting required employee tax information to federal, state, and local taxing authorities.		Yes					
PY_1.64	PY	Payroll for North America, US Annual Processing	System should provide a W-2 correction procedure that allows corrections to current and prior year W-2s.		Yes					
PY_1.65	PY	Payroll for North America, Employee Pay Data USA, Update Payroll Options, Payroll Options 2	System should direct and address payments to the "Estate of" a deceased employee and generate a 1099-MISC at year-end.		Yes					
PY_1.66	PY	Payroll for North America, Deductions, Create a General Deductions	System should provide ability to process multiple payroll charitable deductions for an employee.		Yes					

PY_1.67	PY	Set Up HRMS, Product Related, Payroll for North America, Compensation and Earnings, Earnings Table	System should provide ability to process all Pay Types established by the City.		Yes					
PY_1.68	PY	Payroll for North America, Employee Pay Data, Create Additional Pay	System should provide ability to process all additional Pay types to include max amounts, and start and stop dates		Yes					
PY_1.69	PY		System should provide ability to pay Vendors through the PS AP System		Yes					
PY_1.70	PY	Requirement addressed in the Base Benefit Requirements Document	System should provide the ability to accommodate the Sick Leave Annual Conversion, and the Sick Leave Incentive Programs		No					
PY_1.71	PY	Manual – will use various earnings code to accommodate this requirement	System should provide the ability to track compensatory time off		No				If automated, would require a custom SQR	
PY_1.72	PY	Payroll for North America, Payroll Distribution, Prepare GL Information – See Finance Requirements Document	System should provide a G/L Interface into the General Ledger system. System must post to GL using PPE end date. Payroll System must be set to post balances based on Check Date.		No				Will require more research with Finance Group	
PY_1.73	PY	System will require additional functionality to be added to accommodate this calculation routine	System should provide the ability to calculate Longevity Pay for each employee based on his/her various rules/dates		No					Custom SQR to determine amount to be paid to an EE based on employment dates

PY_1.74	PY	System will require additional functionality to be added to cause this required function to be automated and set up the additional pays for an employee	System should provide the ability to hold all rate tables needed for various clothing allowances, incentive pays, etc.		No					To automate, a custom SQR will need to be developed to determine amount to be paid to an EE - based on certain criteria.
PY_1.75	PY	Set Up HRMS, Foundation Tables, Organization, Holiday Schedule	System should provide the ability to accommodate the City's Holiday Schedules. Must also provide the capability of tracking Contract Holidays.		Yes*					Partial Fit
PY_1.76	PY	Phase 1 will continue to be a Manual Process. Phase II Peoplesoft Final Pay will be set up.	System should provide the ability the accommodate the Final Pay outs for Early Retirees		Yes					Manual Process Phase I; Automated in Phase II with PeopleSoft Final Pay Process
PY_1.77	PY		System must provide an interface from Payroll to PERA		Gap					

Connecting your business with technology

Planning & Analysis of PeopleSoft HRMS & Financials Applications
February 2007

Executive Summary

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Executive Summary

Planning and Analysis

The best software practices are useless if they are focused on implementing the wrong functions. The essential role of the Planning and Analysis phase is to ensure that the users' needs are properly understood before designing, coding and implementing a system to meet them.

The job of developing these requirements involves gathering relevant information from the users on their needs, current processes and desires, and distilling the critical items. The job is difficult because generally it is hard to distinguish between what is needed and what is wanted. This is further complicated by the fact that the users' needs are typically unlimited and yet the desire is to implement best practices and to be as "vanilla" as possible. There is also the limitation on requirements as a result of the cost and time needed for system implementation. Through this phase every attempt will be made to gather all known requirements for the system, but typically requirements are added and deleted, vanilla or not, until the project's time and economic limits are reached.

The City's Subject Matter Experts (SME's) normally believe they know exactly what is needed, but often this is not completely true. Their views change once they start to precisely think about the process and the application in PeopleSoft. Also, once they examine PeopleSoft through the fit/gap sessions and after, their ideas often change to meet the system design or to implement best practices. This is often the point where the resistance to change becomes most evident from the SME's and also the other users invited to fit/gap sessions. The Operational Change Management team takes note of this resistance and begins to work to effect the needed change along with the project team and also begins to formulate training needs for the future.

Modules

Based on discussion with the City and SkyBridge, the listing below is the original module implementation strategy. These selections were based on previous engagements and the analysis of what would be required at that time. These modules were then planned for review, requirements gathering, prototyping where possible, and fit/gap sessions.

Finance
General Ledger
Commitment Control
Budgeting – Basic
Purchasing
Project Costing
Accounts Payable
Accounts Receivable
Cash Management

HCM
Human Resources
Base Benefits
Payroll
Time and Labor 1

EPM
Requirements – Fit Gap
High Level Design Only

On-Going Module Recommendations

After the past few months of working with the City project team and working with many of the SME's at the City, the SkyBridge Global team has been able to refine the list of modules that are recommended to be initially implemented.

	Deployment Phase 1	Deployment Phase 2	Deployment Phase 3
HCM	HR	Time and Labor 2 (phased)	Candidate Gateway
	Payroll for North America	eBenefits	Talent Acquisition Manager
	Base Benefits	eProfile	eCompensation
	Benefits Administration	eProfile Mgr Desktop	eCompensation Mgr Desktop
	Time and Labor 1	ePay & PayMatch **	eDevelopment
	Time and Labor 2 (phased)	HRMS Portal Pack	ePerformance
			HRMS Warehouse
Financials	G/L	*Asset Management/Fixed Assets*	
	Budgeting - Basic	*Inventory – N/A*	
	A/R, Billing or CIS	eProcurement	
	A/P	FMS Warehouse	
	Purchasing	FMS Portal Pack	
	Cash Management		
	Project Costing		
	Contracts (small)		
	Grants (small)		
EPM	Requirements gathering for EPM		Enterprise Reporting
	Budgeting & Planning		
	EPM for budget preparation		

The changes to this implementation list are to move Contracts, Grants, Benefits Administration, some of Time and Labor 2 and EPM forward and to move the eApplications, Asset Management and Inventory outward. In brief the major reasons for these moves are as follows:

- Time and Labor 2 – create rules for a subsection of the City. This decision should be taken in conjunction with a revision of the roles of the Timekeepers to assure they either enter data in PeopleSoft as they have done previously in emPath or use the new Rule-Based Exception processing being phased in with PeopleSoft.
- Contracts/Grants - These two modules have been brought forward to take into account the needs of the City and also of Project Costing. The SkyBridge Global team has evaluated the limited implementation of these modules and feels the effort involved versus the functionality gained is worth bringing these forward.
- Benefits Administration – The benefits in use at the City are not sufficiently complicated to cause significant issues when implementing Benefits Administration. The City team has largely set up a test of Base Benefits in the Sandbox database and this can be easily replicated and brought forward. After training, the City Team plans to set up and test the

functionality found in Benefits Administration. Using Benefits Administration will significantly reduce the manual effort that would have been needed to enroll employees in benefits had only Base Benefits been implemented.

- EPM – This module has been brought forward to facilitate the Budget creation process. This was done with the thought that later phases of the project may have significant issues with available budget. The temporary solution that would be put into place for a later Phase 2 implementation would be too cumbersome to maintain should the EPM module not be able to be implemented due to funding limitations. It was felt by the SkyBridge Global team that this risk warranted moving EPM forward. It is cautioned, however, that the scope of this module needs to be carefully monitored for any scope expansion ("scope creep").

Fit or Gap Analysis Sessions

The requirements gathered early in the Planning and Analysis phase, plus any additional new functions that may be available in PeopleSoft, are demonstrated in Fit/Gap Sessions. These sessions are planned to:

- Answer the question …"Will PeopleSoft vanilla meet needed business processes?"
- Identify Fit/Gap from what PeopleSoft delivers vanilla
- Identify moderate changes in City procedures to be "Best Practice"
- Identify new interfaces or changes to existing interfaces
- Identify issues that require changes to City Ordinance or policy
- Identify where further research is needed to answer needs

The Fit/Gap Sessions have included prototypes or mock ups of the screens of the module whenever possible which allows users to visualize the application that isn't yet totally constructed/configured. These Prototypes have helped users get an idea of what the system will look like, and make it easier for users to make design decisions in future phases. As was expected, the team was able to make major improvements in communication between users and the project team during these fit/gap sessions. While not every communication has been positive, the lines were open and information flow was improved. The OCM team has been

involved when needed and will work during future phases to keep communication lines open and also continue to work to improve the knowledge of the project's overall goals and objectives.

The sessions included the appropriate City PeopleSoft team member, the SkyBridge Global team member, the appropriate City SME(s) and a technical team member as needed. On occasion a member of Project Management team attended multiple sessions to work through items of major concern and to improve the overall result of the fit/gap sessions. Also, reviews of each session were done to improve communication, highlight where added information might be needed, and to improve the overall delivery in the sessions

There are several risks that were managed throughout the sessions and will need to be managed throughout the next phases of the project:

- Managers, once they see the prototype, have a hard time understanding that the finished design will not be produced for some time.
- Where City data was not able to be prototyped, the users may not completely understand PeopleSoft functionality and be able to relate that to the existing business process or tasks.
- Inability of the users to make the connection between what processes are being changed to implement the best practices recommended by the PeopleSoft system and how that will change their current processes and procedures.
- Resistance to change existing processes and procedures to fit into a vanilla implementation.

Overall, each module completed the fit/gap sessions as anticipated. The sessions were productive and were able to produce the requirements and the ultimate fit of the process or to reveal a gap which will need resolution in future phases of the project. Each module has produced a summary document for the requirements unveiled during the sessions.

Gaps in Functionality

Software solutions such as PeopleSoft are enablers of the business of the City. Using the package as delivered is always the best approach and most often offers the best benefits. As a general rule, this also leads to the fastest and lowest cost implementation, but this only is best if all existing business processes can be altered to meet a vanilla implementation and that training is sufficiently successful to assure the least amount of disruption to the business. There are points where customization makes sense as the return on the investment in the customization is higher than that of leaving the item out or changing business process.

The gaps below are those that have been noted and need further review. For each of the modules, the information below identifies gaps and, where possible, initial suggested solutions are proposed. A review of these gaps should be conducted at the beginning of the next phase and a decision made on whether or not to proceed to a software change. These gaps are also discussed in greater detail in the actual Fit/Gap Summary Documents. Application of the 80/20

rule to changes is often applied to customize business-critical changes and often up to 50% of the other changes and leave the others to changes in business processes or other means to meet the requirement. In other words, if 80% of the business-critical needs (and 50% of the business needs considered non-business critical) can be met by a vanilla implementation, the business may be best served to implement the software as is and address the final 20% of the business needs through changes to the business practices.

In a total review, the numbers of gaps found between the software and currently identified needs are low and, as expected, PeopleSoft is a good fit for the City. During the Business Process Improvement phase of the project, it is suggested that these gaps be reviewed for possible process changes rather than customizing the software. Careful consideration should be given to the amount of work that an individual or team may have to do if the customization is not made versus the work needed to change the software. One process that has been used successfully in other projects is to require a business case be completed and analyzed for each customization requested. This will help to evaluate the need versus the immediate and on going cost of a customization.

Software Gaps

General Ledger

1. Defaulted values must be entered by the system for Fund, Program, and Department when a user enters Account and Activity chartfields.

In the City's current BudPro application, the system is designed to auto fillthe Fund, Program, and Department when a transaction is entered based on the Account and Activity used.

2. Journal description should be a required field when entering a journal.

In the City's current BudPro application, the system is designed to require a description on JVs entered. This was identified as a requirement by the Chief Financial Officer's Office for JV entry in BudPro.

Budgeting/Commitment Control

1. Defaulted values must be entered by the system for Fund, Program, and Department when a user enters Account and Activity chartfields. In the City's current BudPro application, the system is designed to auto fill the Fund, Program, and Department when a transaction is entered based on the Account and Activity used.

2. Defaulted values must be entered by the system for Fund, Program, and Department when a user enters Activity and Account chartfields.

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3. Journal Description is a required field when entering a journal

4. System should provide an option for coding reduction techniques or tools to significantly reduce the amount of data entry required on a transaction and the likelihood of data entry errors. A coding reduction value or code might reference specific combinations of fund, program, activity, grant, and organization. Data entry of this specific coding reduction value on a transaction would infer or "look up" the fund, program, activity, Grant, and organization (department) instead of requiring data entry of each of these elements on the transaction.

5. System must generate open encumbrance fiscal year-end reports and allow for generating budget transactions in a following fiscal year to match open and valid year-end encumbrances treated as budgetary carry forwards and as encumbrances carried forward to subsequent year appropriations. Entries for encumbrance reserves must be generated automatically, subject to editing and proper electronic approvals.

6. Ability to accept entry of budget request at all organizational levels based on user security. Also ability to restrict confidential data by user. Ability to lockout users at any period in time. Ability to lock budget or unlock budget at any phase of the budget process, including after submission by departments. With appropriate security control the ability to unlock a frozen budget at the department level if necessary.

<u>Accounts Payable</u>

1. In the existing GEAC AP system, invoice information is received with help of an automatic feed from GENSOURCE (used for claims management and workers compensation). Upon paying the invoice, the GEAC AP system sends the payment information back to GENSOURCE. The current system is using unique vendor information to process transactional information between two systems.

2. In the existing business process, vendor invoice images are captured into an image capturing system (FILENET) and linked to the GEAC AP system for subsequent business processes like matching, reviewing, paying, etc. At the end of all AP business activities, the IMAGE capturing system (FILENET) will have matching release information, PO information, and payment information along with an image of the invoice. This business process is very important from the City's auditing point of view.

<u>Purchasing</u>

1. Business to Business (B2B) needs for vendor/supplier registration, online RFB and RFP notification and vendor/supplier responses, and management of stocked goods/inventory are not handled by the Purchasing module.
2. Contract document management is currently being done in the Contract Tracking System (CTS). The 'contract' functionality in the Purchasing module is geared towards procurement contracts and is the tool which integrates with the purchase orders for managing the financial aspects of a vendor contract. However the procurement contract functionality is not intended for the creation of legal contracts, but the PS Supplier Contract Management module

addresses many of the legal contract management requirements and should be evaluated as a possible solution.

3. The creation of advertisements for bids is a functionality currently done within the CAAPSII system which is not supported by PS.

Project Costing

No functionality gaps have been identified at this time.

Cash Management

No functionality gaps have been identified at this time.

Accounts Receivable

1. The only gap identified from CIP requirements collection meetings is the requirement to print invoices in different formats for different Grantors. PeopleSoft uses both SQR & Crystal Reports for printing invoices. It may require modifying either SQR or Crystal Reports to print invoices in different formats.

Human Resources

None noted.

Base Benefits

1. The PS delivered leave plans have maximum accrual limits at the plan level and not at the service level. Recommendations:
    - Create and run a custom SQR after the accrual process has run each pay period to check the maximum accruals by plan type, by benefit plan, and by service level and set the employee's accrual balance back to the maximum if exceeded.
    - Create a custom table that could be maintained by the SME to set/adjust the maximum accrual per service level. Modify the delivered accrual process to check the maximum accrual amounts by plan type, by benefit plan, and by service level.
    - Set up a Benefit Plan for each plan and for each service level. The current minimum leave plans to be set up would be 18. Each of these leave plans requires a process to run twice per pay period after the pay confirmation and prior to the check print process. Setting up these additional plans would increase the number of benefit plans needed from 18 to approximately 50. This would be a very labor intensive process and increase the computer processing required for each pay period.

2. PS delivered Leave Plan accrues based on the employee's service date. The City of Albuquerque offers an additional leave known as "birthday". Currently an employee's birthday leave accrues on the employee's actual birth date, rather than the service date. This

non-service date accrual is not supported by PeopleSoft in a "vanilla" environment. Recommendations:

- Employees would accrue 1 day at the beginning of each year and if not taken by the end of the year they lose unused hours. Those employees who are hired after 1/1 of the current year would accrue the hours on the next accrual run.
- Write a custom SQR to run and populate 1 day of service based on the employee's birthday. The employee would only accrue up to a maximum of 8 or 10 hours based on their scheduled hours.

Payroll

- System must provide the ability to pay the Firefighter Staff based on a 24Day/182Hour schedule. FLSA calculation must maintain hours worked even when the hours worked were within a different pay period - for the FLSA Overtime Premium portion

- Payroll system should cause only those deductions that are available to an employee to be available when entering deductions

- System should allow retroactive payroll adjustments (if authorized by appropriate person) for a specific employee or through a global process, such as a position reclassification or "re-grade" of a job classification. System should provide the ability to automatically generate retroactive salary adjustments for hourly rates, deduction amounts, etc. System should automatically generate pre-tax deductions for overpayments or special pay amounts for underpayments

- System should provide the ability to accommodate Leave Donations

- System should provide the ability to accommodate the Military Leave process for the City

- System should provide the ability to track compensatory time off

- System should provide the ability to calculate Longevity Pay for each employee based on his/her various rules/dates

- System should provide the ability to hold all rate tables needed for various clothing allowances, incentive pays, etc.

- System should have the ability to calculate pro-rata benefits for partial period employees.

- System must have the ability to convert sick leave balances based on specific designated tiers to cash or vacation balance on an annual basis.

- System must have the ability to adjust annual (end of year) vacation balances back to allotted maximums – based on contract specific instructions.

Time and Labor

- Employee's birthday is treated as holiday for payroll purposes, unless the birthday falls on a weekend day.
- Comp Time is awarded with manager approval
- Floated Holiday (not floating holiday, this means you can choose not to take an official holiday and take the time later)
- FMLA Time limits and also the ability to donate time
- Different unions handle Holiday Pay differently. One union specifically has an Alternate Holiday rule that eliminates the Alternate Holiday benefit if the employee is 12 minutes late the day before or after the Alternate Holiday day is taken.
    - Rules that apply if a holiday falls on a Saturday or Sunday; different unions treat the holiday pay differently.
    - Injury time allowed is capped at 960 hours per injury
    - Untaken Sick Leave Time can be converted into Hazard Duty Leave time or Vacation time. Sick Leave time can be converted to Vacation time or can be converted to Cash (paid out using a different calculation)

Requirements Changes

There is a principle that states that the greater the functional change that will be experienced by the organization the less accurate the requirements will ultimately be. One implication of this principal is that early in design the requirements will be updated and clarified many times. This is typical and to be expected in every implementation. A consequence of early requirements freeze will result in ill informed design decisions and excessive late changes that will ultimately be required. Either some critical function will be specified before its implementation consequences are fully understood or the requirements will be too general to lead to quality design and coding. In either case, the results are likely to be unsatisfactory. Therefore, a careful balance must be achieved between allowing requirements to change after Planning & Analysis and the need to complete a vanilla Design in a timely and cost effective manner.

During the Business Process Improvement phase of the project, it is suggested that the requirements be reviewed again in detail to reveal missing requirements prior to the Design phase of the project. It is also recommended that all the gaps in functionality be reviewed to see if process re-engineering can fill a gap rather than modify or customize the software. There are cases, however, where customizations in a particular area are typical, such as in the vacation tracking area of PeopleSoft.

Organizational Change Management

As the team is aware, this implementation will mean many, many process changes at the City. Not only is the look and feel of the software used by employees changing, but many of the desk procedures that one follows with the software change and in some cases the person's job descriptions and functions will change.

Accordingly, it remains critical that the City continues to make efforts in the area of Organizational Change Management (OCM). Below are some of the assessments and thoughts the SkyBridge Global OCM Consultant identified while at the City.

Strengths

- Skybridge OCM and City OCM worked collaboratively to help ensure the success of the project Planning and Analysis phase.
- City OCM is taking the lead on using the SkyBridge methodology and demonstrates ownership of the process.
- City employees felt comfortable expressing their concerns to the OCM team.
- All deliverables of the OCM team were delivered ahead of schedule.

Risks

- High workload of City OCM (training and OCM responsibilities).
- Change management needs to remain a priority in this project due to the numbers of modules and large size of implementation. Budget concerns may impact the amount of money available for change management.

- The City OCM resource assigned to this project has a very strong training background and needs further assistance in continued OCM methodology. Therefore, additional support is needed from the SkyBridge Global OCM resource.
- The project scorecard is not fully developed (project success is to be measured against scorecard criteria).
- Some team members do not feel empowered to make decisions/recommendations about changes to business practices. It will be important to continue to assure team members are empowered and have a base for support should the need arise.
- Communication outward to all the stakeholders in this project will become increasingly important. Limited communication outward about the project has been done to date.

Other Recommendations/Items of Note

Module Next Steps

The SkyBridge Global team has attempted where possible to deliver to each of their City counterparts a list of items that can be accomplished in the next phase of this project. This list will assist the team in continuing their development in PeopleSoft and also in preparation for the remaining phases of the project. The individual lists have not been included here as they are not suited for an Executive Summary, but they are available.

As discussed in the Steering Committee, it is also recommended that the City look closely at the processes that will be implemented in PeopleSoft and begin to look in greater detail at the impact that has on processes and procedures currently in use at the City. Even if a process is essentially the same from one system to the other, there may be sub processes that a person may be following at their desks that are not system related and yet are not productive once PeopleSoft is implemented in. Obviously, the gaps noted above need detailed review, but all requirements should be reviewed again to validate all business processes of the City.

Data Cleansing

As legacy systems age, the data held within them typically becomes “dirty” and has information that is not correct, has values in fields that are not consistent with its intended use, has duplicate records, invalid addresses, invalid names, invalid punctuation or other inaccuracies. It is recommended that during this time the City team begin to review and cleanse the various fields and data that will be converted to PeopleSoft. This will assist in the data conversion and also give PeopleSoft a good base for data as it moves forward.

Resource shortage

Both functional and technical team members are critical on a project of this scale in order for it to be successful. As the project moves forward the City must own the project and provide key functional users to ensure that the processes and technology totally support the needs of the City and meet its key business drivers. A project run and operated solely by the Information Systems Division or by Consultants staffing key areas of the project without a City functional unit

counterpart can result in less than desirable results later in the project. As the next phases of the project lifecycle deal with the ultimate solution to requirements, it is critical that all key functional areas of the project be staffed by City resources to assure needed knowledge transfer and that requirements are met.

Equipment Purchase

New equipment is needed at the City to proceed to the next phases of the project. The project team proceeded in Planning and Analysis with limited numbers of databases available for use. The team worked to fit all needs within the equipment and space available in the City as the Planning and Analysis phase continued. While this wasn't a major impediment to this phase, as the project moves forward the need for equipment and space for additional environments will be critical to meeting development requirements and meeting project timelines. It is recommended that the City use the break in the project to order and install the equipment and establish the necessary environments for the project as Design and Coding begin.

Modules Not In Phase 1

There are several modules not being implemented in Phase 1 of the PeopleSoft Implementation:

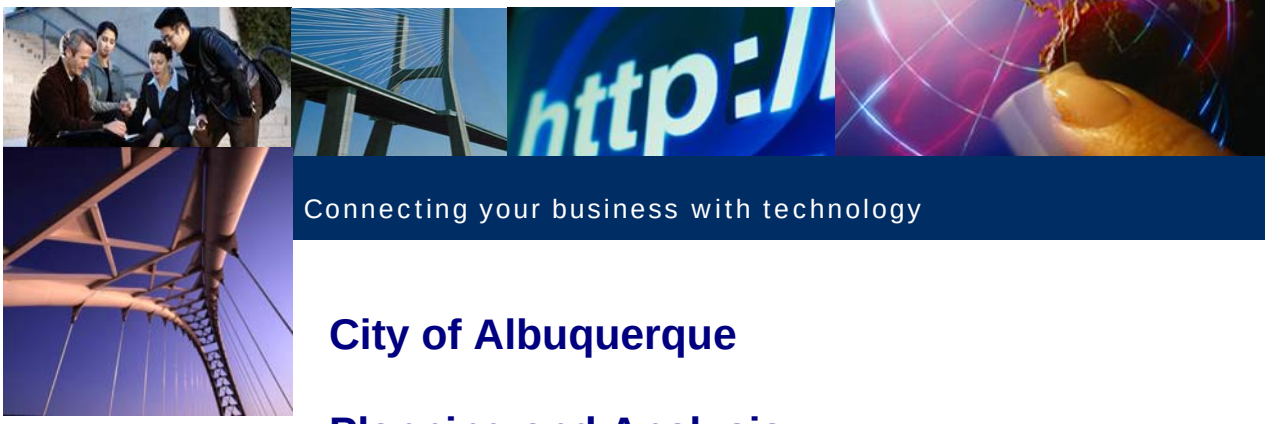
- Asset Management
- Inventory
- eSuite of Products

As was noted in the Steering Committee meeting, the Inventory and Asset Management systems currently in place at the City need to be sunset. It is recommended that the Asset Management and Inventory functions need to be reviewed and moved off the mainframe system. In the case of Inventory there is a more detailed review needed to establish whether packaged software should be used or if there is not enough real inventory to warrant tracking in this manner.

Asset Management should be reviewed to see if the current system's data could be dumped out to another database or small package software system while awaiting the implementation of PeopleSoft's Asset Management module. It is also recommended that the processes and procedures used in capitalizing and tracking assets be reviewed and updated.

Coding of Legacy Data Pulls

The coding of the legacy system data pulls can also be done during the Business Process Improvement phase. This will shorten the time needed during the conversion process and will assist in the creation of the initial test data sets that will be needed in PeopleSoft. These pull processes will also likely point to the needed data cleansing in the legacy systems. The functional staff should review each of the datasets pulled to see if data cleansing is needed. Significant time can be spent cleansing data and obtaining missing, mismatched or otherwise incorrect data.



Connecting your business with technology

City of Albuquerque

Planning and Analysis
Fit Gap Summary
CIP Capital Projects/Grants
December 11, 2006

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1 Fit Gap Approach and Overview

Fit gap sessions will be conducted with the CIP Planning office and the CIP Fiscal office. Currently no other departments will be involved in the fit gap working sessions. These departments were not included in these initial analysis and requirements sessions. In discussions with CIP, it was determined that City departments outside of CIP will have some requirements for Project Costing and Grant Management that are specific to their departments. These additional requirements will be gathered in the "Design" phase. It was determined that near the end of the Fit Gap sessions, the other departments would be invited to a general session to see a demo of the prototype and recommended solutions to current CIP requirements.

The approach to the fit-gap sessions is as follows:

1. Gather and record requirements based on analysis meetings with CIP Planning and CIP Fiscal Management.
2. Set up a system "Prototype" in the PeopleSoft applications as follows:
   - Project Costing
   - Contracts
   - Billing

   See the "Data Used" section below for a full explanation of data and setup used in the System Prototype.
3. Configure and set up the system to address requirements.
4. Conduct the fit gap sessions; see below for specific process.

We will review the requirements documents (requirements gathered from the sessions). We will discuss each requirement and review the options for meeting the requirement. Typically there are several options with most emphasis on the first option. This list below shows some options but is not all inclusive.

- Option 1: Show (using the prototype PeopleSoft application) how we will accomplish the requirement.
- Option 2: Discuss an alternate business process/ordinance change, etc. to meet the requirement.
- Option 3: Customize the application (least likely to occur).

Record the solution to the requirement.
Perform additional setup/configuration/data entry, etc. in the system to prove the viability of a requirement solution.

After each session the Project Consultant will update the Session Dates section of this document making notes of who attended, what topics/requirements were discussed and other pertinent notes from the session. Finally the Requirements spreadsheet will be updated with the resolution for each of the requirements.

2 Session Attendees and Role

Session Attendee	Attendee #	Role	Department
Guy Chavez	1	Project Consultant	SkyBridge
John Koury	2	ERP SME	ISD ERP
KC Baca	3	CIP Fiscal Manager	DMD
Christine Ching	4	CIP Fiscal Management	DMD
Pat Montoya	5	CIP Planning	DMD
Delores Gomez	6	CIP Fiscal Manager	DMD

Stan Low	7	City ERP Project Manager	ISD
Chris Framel	8	City ERP Program Management	ISD
Barbara Portzline	9	Project Change Management	Skybridge
Clint Hubbard	10	CIO	DFA
Tanda Meadors	11	Director of Dept of Finance	DFA
Patrica Miller	12	Director of Personnel	Personnel
Greg Strickland	13	Accounting Officer	DFA
Cheryl Puterbaugh	14	Project Change Management	ISD ERP
Gail Reese	15	Deputy CAO	Mayors Office
Jeff Kehoe	16	Skybridge Project Manager	Skybridge
Barbara Burns	17	Financial Reporting	DFA
Terry Suarez	18	Financial Grants	DFA
Jack Sowar	19	Financial Grants	Family Com Services
Ruth Lott	20	Financial Reporting	DFA
Debbie Dombroski	21	Financial Reporting	DFA
Carol Duty	22	ISD Tech Support	ISD ERP
Gerald Romero	23	Financial Grants Management	Family Com Services

3 Session Dates

Session Date	Fit Gap Section	Focus	Session Notes	Attendees
12/06/06	**PC_1** Project Setup	Project Business Unit, Project Types, Projects, Activities, and Project Attribute setup was presented, How to capture Appropriation information, Resolution info, Funding Source info. Project Tree rollup.	Users were receptive and had been waiting to see the actual prototype system. It was a little confusing for them to understand all of the components of setup and intricacies of system integration. **Additional Requirements:** A second rollup view- one that rolls up all projects funded by a general appropriation. See Project Trees, One was created with a delivered Business Unit Structure; the other was set up using a newly created structure.	1,2,3,4
12/13/06	**PC_2,3,4,5** Project Budgets, encumbrance, expenditure, indirect cost **CA_1&2**	Projects setup, Project Budget entry, simulated Requisition, PO, Voucher posting and PC Transactions. Capture indirect overhead on both encumbrance and actual cost. Contract/Grant setup. Contract Type, Legal Entity, Products, Customers, and tied contract lines to Projects and Activities.	This session was used to show how transactions are captured in the system and how indirect overhead is calculated on incoming transactions. Users like the on-line analysis and how the system could automatically calculate indirect cost both on expenditures and encumbrances, and how the system could report each separately.	1,2,3,4
12/18/06	**CA_3 & 4**	Flexible Analysis, Project Transactions	This session was to further review the setting up of Projects and Activities, and look at on-line analysis and reporting, as well as looking at the budget input function. Contract setup was also covered.	1,2,3,4,6,7,9
12/19/06	**PC_1 & 6**	Project Setup and Attributes of the project.	This session included Pat Montoya from CIP Planning and focus was on how to capture	1,2,3,4,5,6, 14

			information used by CIP Planning in their reporting. **Additional requirements**: In addition to Project Type and Justification, Projects have an additional classification that is used for DMD Planning; we were able to capture these values using the "Program Management" Release and Category.	
01/04/07	**PC_1.22, 2 & 6**	Using Project trees to create different rollups. Transferring budget from a general capital improvement project to a working project	We had the client set up Projects, add them to Trees, create budgets and transfer budgets to prove out the requirement PC_1.22. This is part of the City's "Cleanup" process where bond interest income is used to fund capital projects of various types.	1,2,4
01/05/07	**PC_1.22, 2, 4, & 6**	Continue from previous session.	This session was a continuation of the previous day's activities. This session was also used to preview some sample reports. As data was added to the system the reports would be viewed to see the resulting changes. In addition, Requisitions and Purchase Orders were entered and interfaced to PC. Posting results were reviewed.	1,2,3,4,7
01/09/07	**CA_1, 2, 3, 4**	Grant tracking, drawdown (billing), revenue recognition, Grant expenditures.	Grants were reviewed and discussed. This session included requirements for non-capital Grants or "operating" Grants. One requirement that was most prevalent was that operating Grants must still track costs related to the Grant and that Grant draw downs are based on the accumulated expenditure. This process will follow the same process as capital Grants. In order to utilize the system functionality for managing Grants, projects will need to be created for operating Grants. Additional requirements were added to the requirement document.	1,2,17,18,19
01/10/07	**PC_3**	Project Rate sets, Plans, Accounting Rules, Cost Sharing	This session was used to discuss various accounting transactions that can or will originate from Project Costing. Accounting rules were shown and how they can create accounting entries from Project Costing data and be sent to GL. Rate sets and plans were shown and how they can create billing (Grants) and indirect overhead cost transactions that can be processed to GL for revenue recognition. The accounting rules would be applicable to Grant revenue recognition, asset reclassification, indirect overhead cost, inter-departmental cost transfers. Also discussed was the ability to enter transactions in GL (Bond Interest Revenue) and post the entries to PC as well.	1,2,20,21
01/11/07	**PC_7**	Project Security	PeopleSoft Security was explained as well as Project Costing Security. Using a best practice approach, security can be broken down into 3 main functional areas. This was explained to them. The security will	1,2,3,4

			be designed in the "Design" phase. There are no specific requirements at this stage other than the basic requirements we outlined. There is a requirement for Project Costing-specific security (this is row level security applying Business Unit and Project data access).	
01/17/07	**CA**	Grants Setup, Revenue Recognition, AR booking	This session was to show how a Grant would be set up and attached to a project. How a sub-recipient would become a vendor for payments on the Grants. The accounts payable voucher is then coded to the Project, and an Activity that would represent the cost classification for Grant reporting. The vendor id, when interfaced to PC would capture the sub-recipient. The billing, contracts, and PC integration was also explained and shown. This is the booking of revenue, unbilled AR, and AR. Some additional requirements were discussed, one being the ability to view or report amounts of accumulated expenditures on a Grant that have not been billed, and balances of Grant funds to billed and waiting to be billed.	1,2,3,4, 13, 17, 18, 19, 20, 23
01/19/07	**PC_3**	PC Bond interest and bond arbitrage.	This session focused on the requirement and fit-gap of tracking a bond resolution, the appropriation of the bond, the booking of revenue for the bond issue (i.e. a single bond may have 2-3 issues), and the need to track expenditures against the bond issues (first in first out). Also discussed was the method for allocation of bond interest. Some options were discussed and some solutions were provided. These will be designed in more detail during the design phase.	1,2,3,4,20, 21
01/25/07	**ALL PC & CA**	Final Prototype Presentation	This meeting included approx 20 people including individual department CIP financial administrators, Grant Administrators, and CIP DMD project managers. A presentation was made giving an overview of this phase of the project, its goals and objectives. An MS PowerPoint presentation was given as on overview of the applications. Finally, the prototype and custom reports were presented showing most of the requirements and how they would be accomplished in the system.	All

4 Data Used

The following applications were configured and each component of the application that was configured is listed. In addition, transactional data is listed, and system processes that were run are also listed.

Project Costing:
Installation Options, Project Costing Definition, BU (Business Units), Projects, Activities, Project Trees, Tree Structure, and various control values to capture Project Type, Team Members, Locations, Justification Types, Phases, Budget Items, Analysis Types, Analysis Groups, Rate Sets, Rate Plans, Integration Templates, Accounting Rules, Project Roles, Source Types, and transactions to mimic Requisitions, Purchases Orders, Commitment Reversals, AP Voucher actual cost. Budget Plans were entered and posted; PC-Interface Edit was run to post transactions and to process billing rows for Contracts/Grants. Interface Edit also processed indirect overhead charges on encumbrances and actual cost.

Business Units

Unit	Descr
PCOMB	Projects-Office of Mgmt & Budg
PCDMD	Projects-Dept of Municipal Dev
PCFCS	Projects-Family and Comm Servc
PCAVI	Projects-Aviation
PCCSV	Projects-Cultural Service
PCENV	Projects-Environmental Services
PCFAO	Projects-Finance and Admin Srvc
PCFIR	Projects-Fire
PCPRK	Projects-Parks & Recreation
PCPOL	Projects-Police
PCSEA	Projects-Senior Affairs
PCSOW	Projects-Solid Waste
PCTRA	Projects-Transit
PCWTR	Projects-Water Authority

Contracts:
Installation Options, Contract Definitions, BU (Business Units), Contracts, Products, Product Groups, Customers, Contract Types, Legal Entity, Revenue and Billing Plan Template, Contract GL Options, Distribution Codes.

Billing:
Installation Options, Billing Definitions, BU (Business Units), Other setup items included delivered values in the PeopleSoft Demo.

5 Significant Gaps

No significant Gaps have been identified at this point. There are a number of intricate and complex processes that will require more involved configuration and design, however all of the requirements have addressed and can be accomplished. There are some small modifications that would need to be implemented to meet these requirements. Some of them have already been built into the prototype and include putting prompts behind the Project User Fields. Suggested modifications will be listed in the "requirements" matrix.

6 Process/Contract Change Needs

With the introduction of Project Costing and the Contracts module, many of the current business processes will be subject to change. It will mostly impact the accounting treatment of capital project indirect cost booking, intra department charges and appropriation, fixed asset booking, billing and revenue recognition for Grants.

7 Legislation Change Needs

There are no legislation change needs identified at this time. There is a resolution that limits amounts of re-appropriation as follows:

<1,000,000 20% allowed internally
>1,000,000 <5,000,000 10% allowed internally
>5,000,000 approval by City Council required

The City currently has a device built into the control of the Activity that tracks and limits re-appropriations. This information will be noted in the "Requirements" matrix. We believe the Commitment Control budget transfers and the Project Parent Tree rollup will meet any Ordinance requirements. This has already been setup and demonstrated in the Prototype requirements.

8 Security Concerns

There are currently no security concerns. Security was covered in a requirements session as well as a prototype session. See PC_7 in the "Requirements" matrix for explanations and solutions to the basic security needs.

9 Open Issues/Information Needed

The requirement gathering sessions were limited to CIP Fiscal, DMD Planning, and Family and Community Services. The other Departments within the City structure were not included in the sessions by direction of the Steering Committee. During the Design phase additional requirements are sure to surface and will most likely need to be incorporated into the design. It is foreseen that there may be a need to revise or supplement the requirements documents. Additional time will need to be allocated to perform these tasks.

10 Legacy System Data Requirements

There will be a need to address and devise a data conversion strategy. The current strategy is to not convert history. This may be applicable to general ledger which has data that can be closed out at year end and only balances brought forward. However, many projects and Grants span multiple years; it may be necessary to track the inception to date expenditures, Grant revenue received, etc., in order to accurately account for a capital project. At a minimum, it may be necessary to load balances.

11 Future Phase Documentation

The analysis sessions and fit-gap sessions addressed many of the requirements and many of these examples were built into the prototype to demonstrate how the requirement would be met. However, the requirement sessions were limited to the core CIP planning and fiscal groups.

It is most likely that other departments who own and manage capital projects will have additional requirements that have not been discovered. During the “Design” phase these departments will have an opportunity to address additional issues and requirements. It is important to note that the fit–gap session that was conducted represents a high percentage of the requirements, but it is not a guarantee that we have captured all of the requirements. It should be expected that during the Design and Testing phase additional requirements and issues will surface.

12 Requirements Documentation

This section includes two of the columns from the actual requirements spreadsheet documents. It shows the requirement number and the description. See the Project Costing and Grants and Contracts Requirements document for the full fit gap summary.

Requirement and Fit Gap
Project Costing

Requirement Number	***Functional Requirement***
PROJECT COSTING	
PC_1	**Project Setup**
PC_1.1	System must uniquely identify each project through the assignment of a project number and provide a comprehensive accounting for all project activity including project-related descriptive information. Information to be maintained includes, but is not limited to:
PC_1.2	Project Owner (Dept)
PC_1.3	Project Number
PC_1.4	Project Description
PC_1.5	Have the ability to identify which division within DMD the project belongs to (DMD or Other Department Divisions)
PC_1.6	Project Scope
PC_1.7	Project Phase
PC_1.8	Identify the Project Location (Council-District, House, Senate)
PC_1.9	Project Begin Date
PC_1.10	Project End Date
PC_1.11	Project Purpose/ Classification for CAFR
PC_1.12	Indicate how the Project and Activity are being funded.
	Indicate the Program/Purpose that the project is related to.
PC_1.13	Project/Activity Facility Type (used by planning)
PC_1.14	Project Cost Asset Classification
PC_1.15	Project Phase Contractor
PC_1.16	Classify Funding Source
PC_1.16	Continued
PC_1.17	Project Construction notes
PC_1.18	Project Manager
PC_1.19	Resolution ID and Year of appropriation
PC_1.20	Record Grant Appropriation Separate from Indirect funding
PC_1.21	Be able to assign projects to a parent project

PC_1.22	Be able to show a project rolling up to 2 different parents. i.e. a major capital improvement project may use a portion of funding to appropriate a project that is part of another parent (Coors Blvd). Need to show that a project rolling up to both the original capital improvement parent and the Coors Parent. The alternate to Major Capital Improvement funding would be a Capital Interest earned source of funds. This fund source would be structured the same as the Cap Improvement.
PC_2	**Project Budget Control**
PC_2.1	Enter an Appropriation for a Project
PC_2.2	Identify the Funding Source of the Appropriation by Project Be able to separate budget entry by Bond, State Grant, and other funding sources.
PC_2.3	Set limits and control limits for appropriation transfers according to the following schedule: <1,000,000 20% allowed internally >1,000,000 <5,000,000 10% allowed internally >5,000,000 approval by City Council required
PC_2.4	Record amount available for transfer based on the schedule shown above. Be able to show the amount transferred and the remaining balance available for transfer.
PC_2.5	Track appropriation transfers and be able to report on all transfers.
PC_2.6	Post revenue received from Bond interest to a general project, then twice a year, during "Cleanup", transfer the interest funding (which is not an appropriation), to the operating project as the budget for that project. As stated in PC_1.22, track the projects that are funded from that source.
PC_3	**Project Costs, & Revenue**
PC_3.1	Record Encumbrances and Actual Expenditures
PC_3.2	Project Cost must be reclassified to Assets when Project is 90% complete
PC_3.3	Project Cost Balance (not-capitalized) must be transferred to WIP at year end.
PC_3.4	Accounting must be able to calculate project cost completion.
PC_3.5	Interest Income from Bond proceeds must be posted to projects and made available for expenditures. Some interest can only be used to fund indirect cost; interest revenue is calculated on appropriation balance.
PC_3.6	Fixed Asset category must be captured by the system in order to separate cost into appropriate Assets.
PC_3.7	Cost must be charged back to departments who own a project and other departments are working on the project. The department doing the work must receive cost relief.

PC_3.8	When a Bond is approved the projects are already pre-determined and appropriation is set for each project that the bond will fund. The total Bond approval may be for $25,000,000; that full amount is appropriated to the projects. However the bond sale is performed in several issues. Issue A, may be for $10,000,000. When proceeds are received, they are recorded as revenue on the Project. IRS regulations and reporting requirements state that issue A should be spent first; Accounting would like to ensure this and would like to track the amount of expenditures against the separate bond issue revenue received.
PC_3.9	Record Bond Interest revenue in the General Ledger and post it to a project to be transferred and used to fund various construction and rehab projects. Currently a new project is created for each year of a bond interest. When the interest is transferred CIP Fiscal must transfer funds from multiple projects.
PC_3.10	Transfer the interest revenue from the "bond interest" project to the functional project (becomes the spending budget).
PC_4	**Project Purchasing (PO Management)**
PC_4.1	Create Purchasing Contract for CIP projects with not to exceed amounts.
PC_4.2	Capture Project information on a Requisition and PO that remains static for the life of the PO
PC_4.3	Have the ability to create change orders to Purchase Orders
PC_4.4	Record the name of the design consultant
PC_4.5	Record the name of the construction company
PC_4.6	Be able to see PO balance.
PC_4.7	Have the ability to reference and research the PO's for a project. Be able to identify the PO number and vendor.
PC_5	**Project Payables (AP Management)**
PC_5.1	Record invoices against a PO
PC_5.2	Track paid invoices
PC_5.3	Have the ability to reference and research an invoice for a project. Be able to identify the invoice number and vendor.
PC_6	**Project Analysis and Reporting (Tracking)**
PC_6.1	System should provide the ability to track and report project operations (budget, expenditures, encumbrances, revenues) over several different periods including fiscal year, appropriation year project period, and any specified period within the project period.
PC_6.2	CIP Financial Status Report
PC_6.3	Grant expenditures Report
PC_6.4	Estimated Revenue and booked revenue from Bond interest income
PC_6.5	Contract Control Summary report
PC_6.6	Financial Report by "Purpose" is combination of Fund and Function
PC_6.7	CIP report by Division/Department
PC_6.8	CIP report by Funding Source Grant/GO Bonds
PC_6.9	Asset summary categorization report by CIP

PC_6.10	Appropriation adjustment reports-distribution of Appropriated amounts to Projects
PC_6.11	Report on "Cleanup", bond interest transfers. From project to Project.
	DMD Project Status Report
PC_7	**Project Security**
PC_7.1	Security should be able to give users various levels of access and restrict users from performing certain functions or changing certain data
PC_7.2	Super Admin users should have all access to PC control table setup and maintenance, to enter and maintain projects, to enter budgets and other transactions, to run interface and accounting processes, perform on-line analysis and run and distribute reports.
PC_7.3	Project Managers and Department Financial admins should be able to maintain projects (i.e.. Update progress, status, managers, justification, phases, etc.), perform on-line analysis and run and distribute reports.
PC_7.3	Project Users should be able to view only project information, perform on-line analysis and view recipients of reports.

Requirement and Fit Gap
Grants & Contracts

Requirement Number	***Functional Requirement***
Contracts	
CA_1	**Establishing Grants and General Grant Information**
CA_1.1	System must uniquely identify each Grant through the assignment of a Grant number and associate the Grant to the related Projects.
CA_1.2	Each Grant within a Grant Agreement must be appropriated
CA_1.3	Grants must be associated to an Activity
CA_1.4	Grant administrator must track association of Grant to an Activity
CA_1.5	Grant funding source must be recorded
CA_1.6	Grant fund year or time span must be recorded
CA_1.7	Identify which Department owns the Grant
CA_1.8	Grant Description
CA_1.9	Classify the Grant
CA_1.10	Assign a person responsible for the Grant Administration
CA_1.11	Record all of the Grant numbers associated with the General Grant Agreement
CA_1.12	Be able to enter Grant Revenue Accounting (GL revenue accounting)
CA_1.13	Establish Grant Terms (attachment to Project and Activity to create drawdown request based on Activity expenditures)

CA_2	**Grant Numbers and Funding**
CA_2.1	Each Grant Agreement has multiple Grant control numbers, must be able to record and assign all individual numbers
CA_2.2	Identify the Funding Source of the Grant by agency

CA_2.3	Grants must be able to be amended with additional funds made available through adjustment process
CA_2.4	Track appropriation transfers for Grants.
CA_3	**Contract Grant Cost and Revenue Recognition**
CA_3.1	Estimated revenues must be recorded for a Grant
CA_3.2	Grant drawdown request amounts must be calculated (see reports), the amount drawn must be recorded as revenue.
CA_3.3	Actual revenue must be distributed between all appropriate Grants/activities on the AR request form
CA_3.4	Actual revenue must be posted to the appropriate Activity.
CA_3.5	Some Grants have sub recipients, the payment requests and payments to the sub recipients must be tracked.
CA_3.6	Drawdown requests for Grants that have sub recipients must be reported to the funding source based on the type of cost incurred by the sub recipient. The components of the Grant may include a grouping of the items being funded including the sub-recipients.
CA_3.7	A project/Grant can have various funding sources, or there may be City matching funds for a portion of the project/Grant funding. If the Grant represents, for example, 60% of the funding of the project, only 60% of the cost of the project could be requested from the Grantor.
CA_3.8	Grant reimbursement expenditures are sometimes limited to certain types of costs. The system must have a way to filter out those cost which should not be billed. i.e. overtime for a Police officer, certain admin costs, etc.
CA_4	**Contract Grant Billing**
CA_4.1	Grant drawdown request must be calculated (see reports); that amount must be billed to the Grant provider.
CA_4.2	Grant drawdown request must be greater than a threshold set by the state ($1,500) per Grant
CA_4.3	Some Grant drawdown requests must include detail backup of the expenditures, including copies of invoices. PO's, etc.
CA_4.4	Billing for the state must be on a prescribed format and include a cover letter with the Grant title/project name/location
CA_4.5	Grant drawdown request must include the Grant number, the appropriation ID, descriptions, etc.
CA_4.6	Bill must show Grantee information (City info/address/ etc.)
CA_4.7	Bill must show payment computation total Grant-funds received to date, the amount requested this draw, and Grant balance.
CA_4.8	Payment request should show request sequence (i.e. 3rd billing, 4th billing)
CA_4.9	Invoices must be reviewed to ensure they are eligible for Grant reimbursement
CA_4.10	Bill must have a place for signatures by the Grantee Fiscal Officer and Grantee Representative, and must be notarized
CA_5	**Contract/Grant Analysis and Reporting (Tracking)**
CA_5.1	Track and report the amount of each Grant and the amount drawn down on each Grant.

CA_5.2	Report the expenditures associated with each Grant. Be able to provide detailed information including vendors invoice numbers, PO numbers, etc. for each expenditure related to the Grant.
CA_5.3	Report the amount of revenue received from each Grant.
CA_5.4	Create a Grant cover letter to supplement the Grant request
CA_6	**Grant Security**
CA_6.1	Contract Administrator would have the ability to create, maintain, and process billing and revenue for Contracts.
CA_6.2	Contract Analyst could review contract information and run contract reports.

13 Prototype Report Samples

Capital Implementation Program
Financial Status Report
As of Project Costing Accounting Date: April 30, 2007

PeopleSoft. 1/22/2007 1:18:05PM HF_PC007

Business Unit: PCAVI Projects-Aviation

Project ID	Project Description	Bonds	Grants	Appropriation Total	Expenditures	Encumbrance Balance	Total Expend & Encumbered	Ind Overhead Encumbrance	Ind Overhead Expenditures	Appropriation Balance	Percent of Budget Used
Project Type: PARK Parking Structures											
07_ST_GRT											
PRK_STRUCT	Airport Parking Structure	0	85,417	85,417	0	0	0	0	0	85,417	0.0%
	Total for: 07_ST_GRT	0	85,417	85,417	0	0	0	0	0	85,417	
	Total: PARK Parking Structures	0	85,417	85,417	0	0	0	0	0	85,417	
Project Type: TERMN Terminal											
08_GO											
1175100	Terminal Expansion	0	972,003	972,003	0	0	0	0	0	972,003	0.0%
	Total for: 08_GO	0	972,003	972,003	0	0	0	0	0	972,003	
	Total: TERMN Terminal	0	972,003	972,003	0	0	0	0	0	972,003	
	Total: PCAVI	0	1,057,420	1,057,420	0	0	0	0	0	1,057,420	

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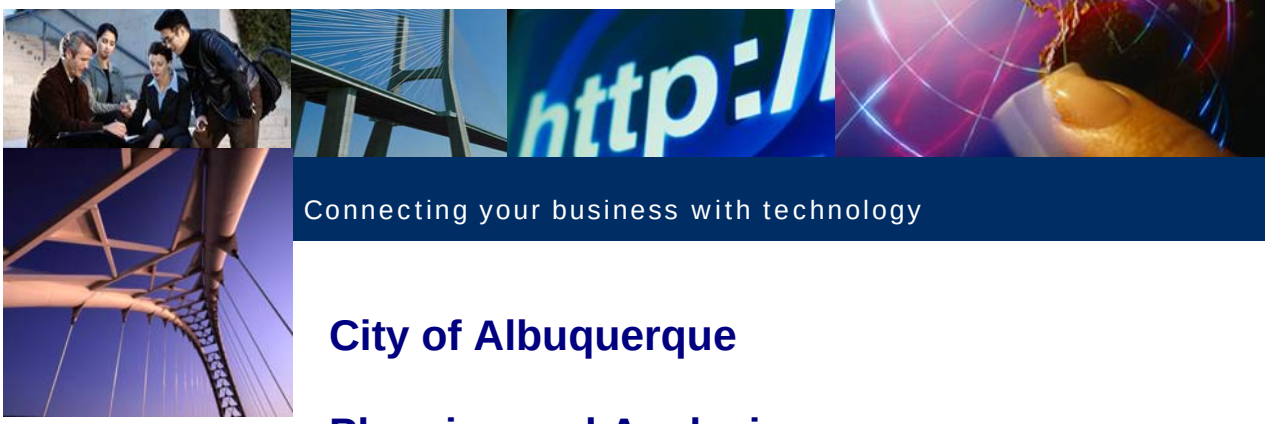

Connecting your business with technology

City of Albuquerque

Planning and Analysis
Fit Gap Summary
Purchasing
January 31, 2006

161 Village Parkway
Building 7
Marietta, Georgia 30067
www.skybridgeglobal.com

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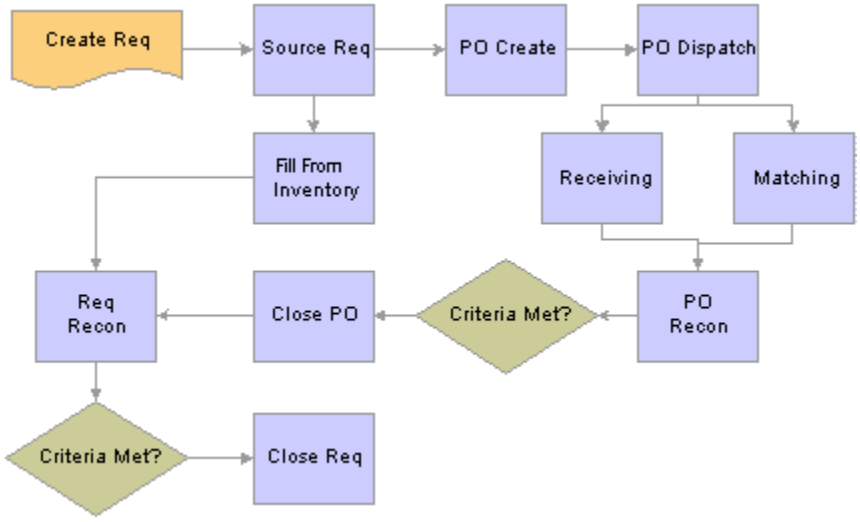
1 Fit Gap Approach and Overview

The approach of the fit/gap sessions for the Purchasing module was to show the base functionality of the module and demonstrate a simple prototype of the future state business processes within PeopleSoft. The intent of showing the base functionality is for the attendees to have a basic understanding of the application and knowledge of creating requisitions and purchase orders with the intent of having the attendees acquire this basic understanding prior to the business process discussions.

In general the PeopleSoft (PS) Purchasing module supports the procurement process of goods and services for the entire life cycle of the requisition. The Purchasing module will streamline the procurement process through automatic workflow routing for approvals, notifications and exceptions. Also, all of the purchasing activities can be managed online from one integrated package from vendors, to purchasing items, to managing expenditures through commitment control through the procurement process. Below is a process flow diagram from PeopleSoft showing the lifecycle of a requisition through to the purchase order.



Within the City of Albuquerque, the key procurement business processes which we focused on during the sessions were standard Purchases, the RFx processes (which include Request for Quotes, Request for Bids, Request for Proposals and Request for Information) and the Procurement Contract processes. This was based upon our initial discovery and information gathering via questionnaires and meetings with the Purchasing Division. Outlined in the matrix on the following page are all of the delivered 'vanilla' business process functionality and integration points for the PeopleSoft Purchasing module. Notes explaining why functionality will not be implemented and used by the City of Albuquerque are also included for reference purposes.

Functionality	Required	Notes
PeopleSoft Purchasing Business Processes:		
Requests for quotes	Yes	
Procurement cards	No	Functionality will not be used, but will interface transactions from EGLS to PeopleSoft GL
Procurement contracts	Yes	
Online requisition creation	Yes	
Batch requisition creation	No	Requisitions will not be sourced from any other module or 3rd party system.
Requisition change orders	Yes	
Requisition reconciliation	Yes	
Online purchase order creation	No	PO's will be created from a requisition, RFQ or contract, but will not be created online.
Batch purchase order creation	Yes	
Purchase order change orders	Yes	
Purchase order reconciliation	Yes	
Receiving	Yes	
Inspections	No	Not applicable
Returns to vendors	No	RTV's will be handled through PO change orders.
Procurement Analysis	Yes	
Integration:		
PeopleSoft General Ledger	Yes	Will accrue unvouchered PO's and be used for encumbrance reporting.
PeopleSoft Payables	Yes	
PeopleSoft Projects	Yes	Will use one-way, two-way and three-way matching.
PeopleSoft Asset Management	?	Unsure when AM will be implemented, but will assume this functionality is necessary at some point and will structure the module accordingly.

Based upon the core system requirements (as outlined above), the approach of the fit/gap sessions is to demonstrate the 'future state' inputs and data flows for all the functionality denoted with a 'Yes', as these are the required City functions that will need to be implemented. This is how we defined the essential procurement business process categories of standard Purchases, RFx and Procurement Contract processes.

Specifically, standard purchases were defined as the procurement of goods or services under $10,000. This includes expense, capital and CIP purchases. Standard purchases utilized the basic Requisition to Purchase Order process in PeopleSoft.

The RFx process was defined as any of those business processes which required a Request for Bid (RFB), Request for Proposal (RFP), Request for Information (RFI) or Request for Quote (RFQ), regardless of approval level. The RFx process utilized the Requisition to RFQ to Purchase Order process in PeopleSoft. [Note while each of the RFQ, RFB, RFP and RFI procedures has a specific and unique business function, the process, as defined in PeopleSoft, is virtually identical. Therefore, unless stated otherwise, we have used the term RFx to refer to all of these business processes.]

Lastly the Procurement Contract was defined as any business process which required a contract regardless of dollar amount, i.e. approval level. This includes the contract, contract to council for final approval and professional and technical contract business processes. The procurement contract process utilized the Procurement Contract to Purchase Order process in PeopleSoft.

2 Session Attendees and Role

Session Attendee	Attendee #	Role	Department
Mark Jacobson	1	Project Consultant	SkyBridge
John Koury	2	ERP SME	ISD ERP
Mary Lou Harris	3	ERP SME	ISD ERP
John Vigil	4	Purchasing Officer	Purchasing
Viola Cunningham	5	Assistant Purchasing Officer	Purchasing
Tom Courtin	6	Purchasing Buyer	Purchasing
Bernice Hughes	7	Purchasing Buyer	Purchasing
Suzanne Boehland	8	Purchasing Buyer	Purchasing
Joe Rail	9	Purchasing Buyer	Purchasing
Kelli DeAngelis	10	Purchasing Buyer	Purchasing
Paula West	11	Contract Legal	Purchasing
Wayne Riddle	12	Purchasing Buyer	Purchasing
Cheryl Puterbaugh	13	City ISD OCM	ISD OCM
Barbra Portzline	14	OCM Consultant	SkyBridge OCM
Stan Low	15	City ERP Project Manager	ISD
Jeff Kehoe	16	Project Manager Consultant	SkyBridge
Lorraine Nunez	17	Assistant to Contract Legal	Purchasing

3 Session Dates

Session Date	Topics	Notes	Attendees
1/11/07	Fit Gap- Presentation of Initial Prototype and system overview	Introduction to fit/gap session and system introduction. Show basic system set up, items and Requisition and Purchase Orders.	1,2,3,4,5,6,7,8,9,10, 11,12,13,14,15,16
1/16/07	RFQ, RFB and RFP Process	Show RFQ/RFB/RFP processes from Requisition through PO creation.	1,2,3,4,5,6,7,8,9,10, 12,16
1/17/07	Procurement Contracts Process	Show how Procurement Contract to Purchase Order process function work and review reports, inquiries and query.	1,2,3,4,5,6,7,8,9,10, 12,16,17
1/23/07	Review Requirements	Analyze requirements to determine if each requirement is a fit or a gap.	1,2,4,5

4 Data Used

The data used during the fit gap session with the users was a combination of actual City data and PS delivered demo or 'dummy' data in the FINDMX database. This database was a copy of the delivered PS Demo database which contains sample data. The demo or sample data was used due to time constraints, as there were not sufficient resources or need to set up a full system prototype. Also, in some cases, the data was similar to actual City requirements, such as with Freight Terms, Shipping Codes, Origins and Units of Measure.

The City data used were copies of actual requisitions, PO's and contracts which were entered online into the PS Purchasing module. Furthermore, portions of the FINDMX database were configured to emulate the potential look and feel of the system. The tables below show the items which were configured with City data for the fit gap sessions.

Purchasing Set Up	Notes	Navigation
Business Unit Definition	Added Business Units ABQ01 and ABQ02.	Set up Financials/Supply Chain > Business Unit Related > Purchasing > Purchasing Definition
Business Unit Options	Added processing option for SetID COA01.	Set up Financials/Supply Chain > Business Unit Related > Purchasing > Purchasing Options
PO/AP Processing Controls	Updated BU COA01.	Set up Financials/Supply Chain > Business Unit Related > Procurement > Procurement Control
Vendors	Set up Vendors; GEO Thomson, Trinity Pest Control, Chaparral Materials and Cibola County Corrections.	Vendors > Vendor Information > Add/Update > Vendor
Locations	Set up locations for City Hall, City Hall Floor #4, Aviation, Parks & Recreation under SetId SHARE.	Set Up Financials/Supply Chain > Common Definitions > Location > Location
Ship To Locations	Set up Ship to locations for City Hall Floor #4, Aviation, Parks & Recreation under SetId SHARE.	Set Up Financials/Supply Chain > Product Related > Procurement Options > Purchasing > Ship To Locations
Vendor Quote Groups	Added vendor group CAMPING, which includes two vendors, Camper's Warehouse and Trailblazers, under SetId SHARE.	Purchasing > Request for Quotes > Manage Vendor Quote Group
Comments	Created comment type DEL for Deliveries under SetId COA01. Added four standard comments to the comment type Delivery. The comments are Delivery within 30 Days, Overnight, Drop Ship and Pick-up.	Set Up Financials/Supply Chain > Product Related > Procurement Options > Purchasing > Standard Comment Type Set Up Financials/Supply Chain > Product Related > Procurement Options > Purchasing > Standard Comments
Speed Charts	Added a speed chart for Office Supplies, OFF_SUPPLY, under the under SetId COA01.	Set Up Financials/Supply Chain > Product Related > Procurement Options > Management > Speed Chart
Budget Overview	Created Budget Overview inquiry, BDGT_OVER, which includes commitments and pre-encumbrances.	Commitment Control > Review Budget Activities > Budget Overview (BUYER1)

Item Set up	Notes	Navigation
Categories	Added categories for Cars, Chairs, Construction, Desks, Equipment, Forms, Furniture, Gloves, Material, Paint, Paper, Pens, Pipe, Safety, Signs, Trucks and Wire to the SetID 'SHARE'.	Items > Define Controls > Item Categories
Item Catalog	Created an item catalog tree 'CABQ_PO_ITEMS'	Tree Manager > Tree Manager
Items	Added items for Chairs, Cement, Paint, Gloves, Bandages, Paper and Envelopes under the SetID 'SHARE'.	Items > Define Items and Attributes > Define Items
Purchasing Kit	Created the purchasing kit 'CABQ_CYCLING'	Items > Define Items and Attributes > Purchasing Kit Definition

User Set Up	Notes	Navigation
Permissions	Modified Permission Lists EP02000 & EP01000. Added Permission Lists PO_Contracts and PO_Items.	PeopleTools > Security > Permissions and Roles > Permission Lists
Roles	Added Roles Buyer1 and PO_Contracts.	PeopleTools > Security > Permissions and Roles > Roles
Users	Added Users BUYER1, BUYER2, REQUESTER1 and LEGAL1.	PeopleTools > Security > User Profiles > User Profiles
User Preferences	Created User Preferences for BUYER1, BUYER2, REQUESTER1 and LEGAL1.	Set Up Financials/Supply Chain > Common Definitions > User Preferences > Define User Preferences
Buyers	Added buyers BUYER1 and BUYER2.	Set Up Financials/Supply Chain > Product Related > Procurement Options > Purchasing > Buyer Setup
Requesters	Added requester REQUESTER1.	Set Up Financials/Supply Chain > Product Related > Procurement Options > Purchasing > Requester Setup

Data Staged	Notes	Navigation
Requisitions	Added about fourteen requisitions. Some of these were added online during the fit/gap sessions and some were used for demonstration purposes for the RFQ and PO sourcing process.	Purchasing > Requisitions > Add/Update Requisitions
RFQ's	Added about five RFQ's. One of these was added online during the fit/gap sessions, the others were added and sourced into PO's for demonstration purposes.	Purchasing > Request for Quotes > Add/Update RFQs
Contracts	One master contract and ten individual contracts were created. Two of contracts were added online during the fit/gap sessions and the others were staged to show the PO release process.	Purchasing > Request for Quotes > Add/Update RFQs
Purchase Orders	Over twenty PO's were created. Most of these were sourced from the Requisition, RFQ or Contracts for demonstration purposes. The others were sourced online during the fit/gap sessions.	Purchasing > Purchase Orders > Add/Update POs

5 Significant Gaps

The major or significant gaps which were encountered primarily stem from systems which the Purchasing Division currently uses or features they intend to implement, but are not functions that are supported within the PS Purchasing module. Most of the functionality is supported within PS, but is comprised of other modules which are currently outside the scope of the first phase of the PS ERP project.

Specifically, Business to Business (B2B) needs for vendor/supplier registration, online RFB and RFP notification and vendor/supplier responses, and management of stocked goods/inventory are not handled by the Purchasing module. The PS eProcurement and eSupplier modules address many of the requirement gaps surrounding the City of Albuquerque's B2B needs and the PS Inventory module provides the functionality to manage inventory stock. All of these applications integrate with the Purchasing module, but are different modules provided by PS. These modules could be evaluated for implementation in Phase One or shortly thereafter.

Another functionality gap is contract document management which is currently being done in the Contract Tracking System (CTS). The 'contract' functionality in the Purchasing module is geared towards procurement contracts and is the tool which integrates with the purchase orders for managing the financial aspects of a vendor contract. However the procurement contract functionality is not intended for the creation of legal contracts. The PS Supplier Contract Management module addresses many of the legal contract management requirements and should be evaluated as a possible solution.

Lastly the creation of advertisements for bids is another piece of functionality currently done within the CAAPSII system which is not supported by PS. This gap could be handled two ways. Either this could be done completely outside the PS system or a bolt-on customization could be built to provide this functionality. The requirements surrounding the creation of an advertisement seem fairly straightforward and could be developed using the tool set available in the PS Application Designer.

The exact solution for each of these gaps will need to be explored in greater detail during the design phase in order to determine the best course of action to meet user's needs while being cognisant of system implementation and support costs.

6 Process/Contract Change Needs

There are six main business process changes which will need to be discussed and procedures developed during the design or in some cases at least prior to training. The six areas are as follows:

- Vendor Maintenance
- On-line Requisitions
- On-line/Electronic Requisition and PO approvals
- Contract to PO tracking
- One time distributions for disbursements
- PO Receiving

The following section provides additional explanations of each of these business processes changes.

Vendor Maintenance
Currently the vendor maintenance is done in the Accounts Payable Division. Purchasing uses the Vendor information on the non-related issues such as issuing RFQ's, vendor registration and even creating Requisitions. The RFQ's or Requisitions may be released before Accounts Payable sets up the vendor. Therefore the process should change to allow Accounts Payable and Purchasing to share the maintenance of the vendor file. This can be achieved through security within PS and using the Vendor approval process. This business process should be discussed in greater detail during the design phase of this project so both parties, Purchasing and Payables, are in agreement on the future policies and procedures.

On-line Requisitions
Currently all requisitions are created manually on a hard copy form. Going forward, the future state in PS will allow for all requisitions to be created online. Therefore, procedures for training and security definitions will have to be created for the users in each department who will be responsible for creating requisitions.

On-line/Electronic Requisition and PO approvals
In the current systems all approvals are hand written signatures on both the requisition and purchase order forms. These documents are routed through the appropriate City departments during the approval process. In the future state within PS, the documents will be routed electronically for approval. Therefore, each approval scenario will need to be mapped exactly during the design phase and the users will need to be trained to use the system to approve requisitions and PO's online. Some related considerations are how will non-system users approve things online? Will all approvers within the process be set up as users or will people be delegated to approve things for them, as in the case of committee approval, etc.? All of these business process issues will have to be decided upon during the design phase.

Contract to PO Tracking

Currently each Department who writes a contract uses the boiler plate which is part of the current contract tracking system (CTS). The legal unit responsible for all contracts reviews the contract on-line and can communicate electronically with the Departments to finalize the proposed contract. Also the CTS program currently tracks the status of the contract through the whole review process.

If the People Soft program cannot provide the same functionality as the current process then the PeopleSoft Contracts business process will need to be changed to support the City's current business process for contracts either manually or through the implementation of another system.

One time distributions for disbursements

One time disbursements currently are written on a requisition and sent directly to Purchasing or Accounts Payable (depending on the type of purchase). Those items routed to Purchasing are reviewed and then routed to Accounts Payable for payments, but the buyers do not perform any action on the requisition and purchase orders are not created.

It is recommended that we change this process and route all requisitions (with the possible except of employee expense reimbursements and petty cash reimbursements) to Purchasing for review before the requisition is sent to Accounts Payable for payment. The reasoning is that these one time disbursements are not truly requisitions and in PS the requisition is not an approval in Payables. Also the process seems to be inconsistent and it would reduce the user's confusion if there was one process for all one time disbursements.

Therefore, given this scenario, a possible solution would be to have the users create requisitions for all disbursements online in PS. Then the requisition would be routed to one of the eight buyers for review. Upon review, the buyer would approve the requisition and source it into a PO. Then it would be routed to Payables where the disbursement request is matched against the PO for approval. Again, like the other items mentioned above, the specific details and procedures should be discussed and finalized during design.

PO Receiving

The current process for 'approving' the goods or services received or rendered is the department releases the payment after the invoice has been received. This is the mechanism which allows or authorizes Payables to make payment on an invoice.

In the future, following best practices, it would be advisable if PO's were marked as received in the PeopleSoft system at the time goods were received or services rendered. Using the concept of matching, PS would match the invoice/voucher to either the PO or the invoice/voucher to the PO and Receiving (depending if two-way or three-way matching is being used). This would remove the need to route invoices to the departments for approval and 'release', as the approval would have already been authorized at the time of the PO receipt process. While there are always exceptions and users may not receive the PO timely, at least the system would identify this and not allow approval until the department was notified and they receive the PO in the system. Secondly, this would help track true expenditures better, as PO receipts can be accrued into the GL versus waiting for the invoice to be entered to recognize the expense or manually having to accrue the expense.

The procedures for this business process and the security definitions for the users in each department who will be responsible for receiving PO's will have to be defined in detail.

7 Legislation Change Needs

Requirements in legislation pending before the State of New Mexico may, if adopted, create the need for the City of Albuquerque to produce several purchasing reports that currently are not available.

8 Security Concerns

There are no major security concerns at this point. The specific security access for each user will be defined during the design phase of the implementation. The security access decisions will answer the following questions:

- Who will need access to the Purchasing module? Determine who will be procuring goods/services and who will have read-only access to information, i.e. reports, inquires, etc.?
- Which pages will each user need to access?
- What system functions will each user need?

All of the security needs will be handled through the creation of PeopleSoft security permission lists, roles and user preferences.

9 Open Issues/Information Needed

There are primarily two major issues which are still open. One of these issues surrounds contract tracking and the other surrounds requirements related to other PS modules, but were uncovered during meetings with Purchasing to discuss their requirements.

The contract tracking issue is two-fold, but related. Basically the legal department is currently tracking revenue contracts and government contracts which may have zero dollar amounts. The issue is a revenue contract is not a procurement contract and contracts with zero dollar amounts can not be used to build purchase orders, so they would be for information purposes only. Both of these types of contracts should be researched more to determine where these contracts should be tracked going forward and/or if a contract management system should be implemented to help support all contract tracking issues.

The second open issue is the City's inventory management system. If GEAC is 'sunsetted', then the current departments (aviation, warehouse, transit, solid waste and public works) will not have an inventory system to use unless either the PS Inventory module or another inventory management software application is implemented, whether it be a home grown system or COTS application. Either way, this issue will need closure before we start the system design so that we adequately plan for how these systems will integrate and how this requirement will be met.

10 Legacy System Data Requirements

The data requirements from the legacy system have been broken down into two areas, control data and transactional data. Control data refers to static information, such as a Vendor List. Transactional data is defined as the transactions which are input into the system, e.g. purchase orders.

Outlined below are the types of legacy data which may need to be retained in some fashion. Meaning the data will either need to be converted either manually or electronically into PeopleSoft. The data needs are as follows for these two areas:

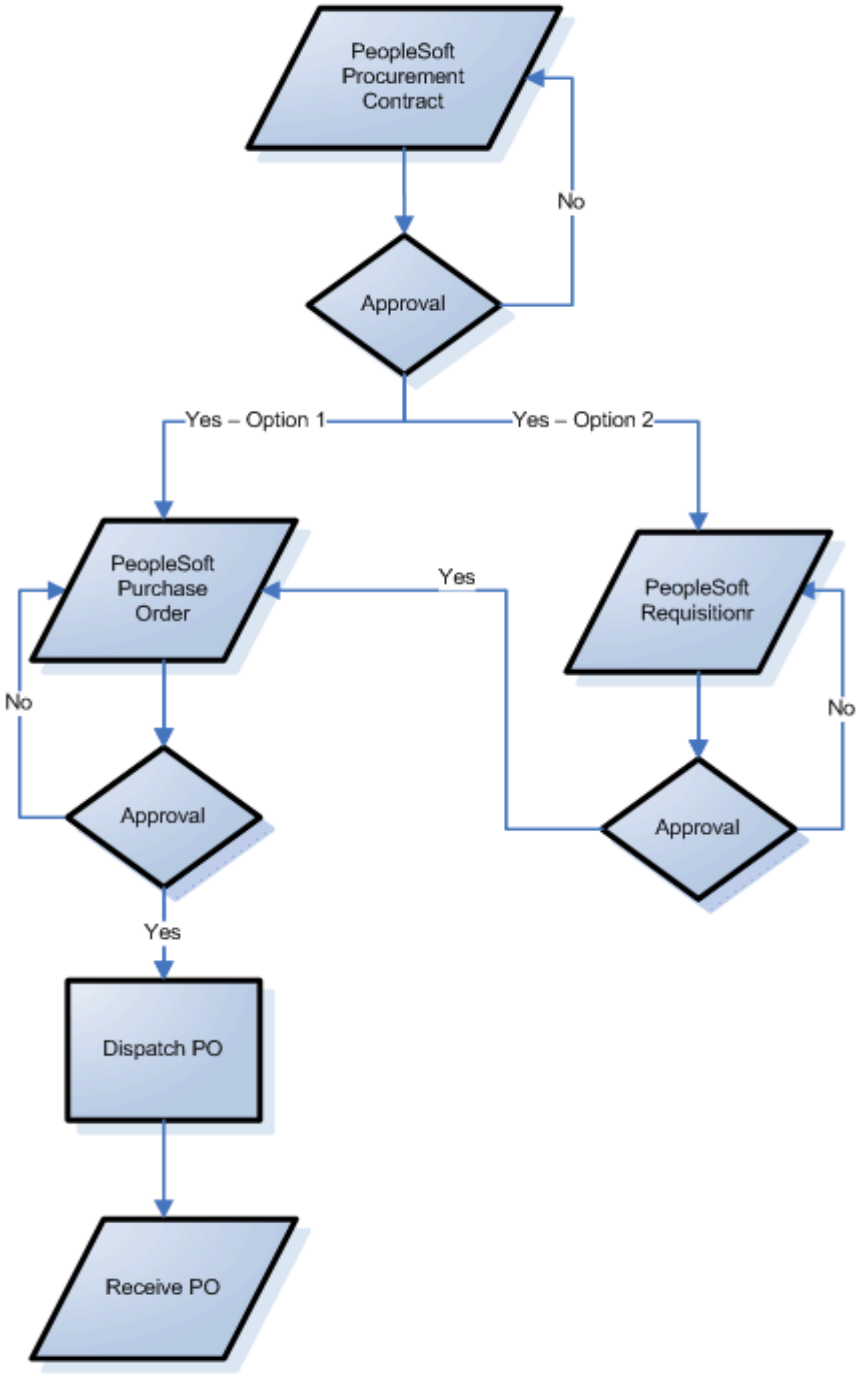
Type	Description	Notes
Control	Vendor	The conversion or input of vendors will be managed by Payables requirements. However, we will assume that all open or current vendors will be converted or input into PeopleSoft.
Control	Locations	These delivery addresses may be collected and entered manually versus converting the data from the legacy system. The course of action will be defined during the detail design phase.
Control	Ship To Locations	-Same as above-
Transactional	Contracts	The contracts are created by Departments and controlled by the Purchasing Department. The process will need to accommodate online contracts and tracking system.
Transactional	Purchase Orders	The Purchase Orders will be created by the Purchasing Buyers and the course of action will be defined during the detail design phase.
Transactional	RFB	The RFB will be created by the Purchasing Buyers and the course of action will be defined during the detail design phase.
Transactional	RFQ	The RFQ will be created by the Departments and the Buyers will review, approve, and issue the Quotes and the course of action will be defined during the detail design phase.
Transactional	RFP	The RFP will be created by the Purchasing Buyers and the course of action will be defined during the detail design phase.

11 Future Phase Documentation

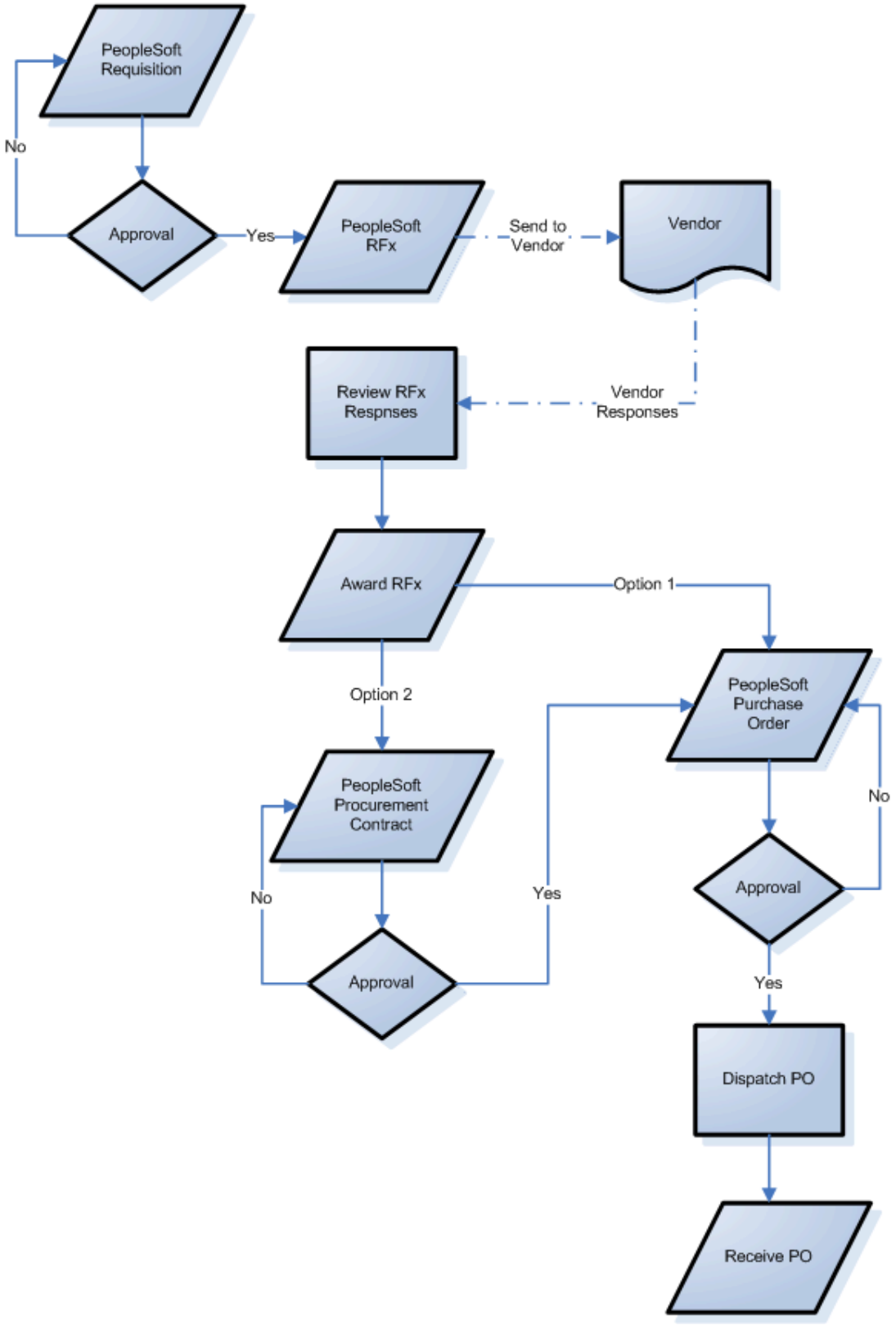
The following diagrams outline the basic 'future' process flow for standard purchases, procurement contracts and RFx purchases. Note these process flow diagrams touch on the system process and do not include any manual or TBD processes outside the system. The TBD processes, i.e. current gaps, will be addressed during design and a comprehensive process flow will need to be developed for training purposes.

Future Process Flow for Standard Purchases

Future Process Flow
For Procurement Contracts



Future Process Flow for RFx Purchases



12 Requirements/Fit Gap Document

Outlined in the matrix on the following pages is the fit gap analysis of the Purchasing requirements. The column, Source, indicates the function or department initiating the requirement and the column, Functional Requirement, lists the specific purchasing requirement followed by whether or not the requirement as a 'fit' or 'gap' in PeopleSoft. The last column is fit or gap notes for each of the requirements.

The definition of each of the fit/gap columns is as follows:

Fit/Gap Column Heading	Column Definition
• Response Required	Additional information is required in order to determine the exact business need.
• Met with Prod Suite Config	Requirement met through standard system configuration or delivered tool sets.
• Met with BPR	Requirement met through a Business Process Redesign, i.e. a change to the current business process
• Met with Bolt-on	Requirement met through a bolt-on customization which does not affect the core application
• Met with Extension	Requirement met through a customization and change or extension to the core application
• Software Module	Requirement met through another software application or PS module

Requirement Number	Source	Functional Requirement	Response Required	Met with Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
PURCHASING									
Requisitions									
PO-1	Dept	When creating requisitions the core financial system must capture the following data: • Requisition number • Appropriate accounting classification values • Estimated amounts • Date and fiscal year (Defaults) • Requestor ID • Buyer ID • If Warehouse, Location Code/# (City Warehouse, City Supplies, etc.) • Item # (Item list in database) • Item Description (if warehouse use stock #) • Quantity Required • Vendor SKU • UOM of EA (EA is required) • Required Date MM/DD/YY • Ship to Code • GL Company • GL Account • GL Center		X					All fields are delivered in the delivered product in the online Requisition page or are attributes of the purchasing item.
PO-2	Dept	Need ability to split a requisition line for either shipment or acctg distribution.		X					Delivered functionality allows for multiple lines on each Requisition Line. Each line on a Requisition may have one or more schedules, i.e. ship to locations and due dates, and each Requisition line schedule may have one or more

									GL accounting distributions, i.e. chartfield lines or account, dept, fund, etc.
PO-3	Purchasing	Need ability to attach/associate documentation to the Requisition which is required for Purchase Order.		X					Any associated or required paperwork can be attached to the Requisition in the comments page on either the requisition header, line and schedule.
PO-4	Dept/Purchasing	Requisition Approval		X					This will be managed through the configuration of the delivered Requisition Work Flow set up.
PO-5	Purchasing	Need validation/approval of the GL Account & GL Activity chartfields.		X					This will be handled by combination edits which will be set up by GL/Accounting. The combo edits will validate which chartfields are acceptable in conjunction with the other GL chartfields.
Purchase Orders									
PO-6	Purchasing	When the Requisition is pulled to the Purchase Order Header. The following data lines are required: · Vendor Name · Address · Vendor number · Date of order · Date of required services · Expiration Date · Information on where to ship the product · Departments Fund/Activity/Account number · Number of units to be purchased		X					The expiration date is used for PO's against contracts. Within PS, this functionality is controlled by the expiration date on the contract. All other fields are delivered on the standard Purchase Order pages.

		including costs per item · Any additional comments about the purchase							
PO-7	Purchasing	Need ability for buyer to update or correct the PO		X					Users with the proper security access, i.e. buyers, will have the ability to update PO's after they have been sourced from requisitions, RFQ's or procurement contracts. Additionally, once PO's are dispatched (and sent to vendors), they will have the ability to create PO change orders.
PO-8	Purchasing	Ability to send Purchase Order and match it with the Requisition and associated paperwork.		X					Any associated paperwork can be attached to either the requisition or PO on the comments page. Delivered requistion to PO cross reference reports and online inquiries are available to 'match' requisitions to PO's.
PO-9	Purchasing	Ability to distribute/route the approved Purchase order to the processor for distribution (vendor/department/Accounts Payable/file)		X					PO's will be generated by Purchasing. The department, accounts payable and the file employees will have access to view and print PO's as they wish. Desire to have an email notification when PO is

									dispatched.
Request for Bid									
PO-10	Purchasing	Associate the bid file to the requisition.		X					PeopleSoft has the capability to attach documents to requisitions, PO's and contracts. Will need to ensure all departments have access to create pdf files and/or ability to scan documents.
PO-11	Purchasing	Ability for Buyer to select vendors that they would like bids to go to and processor checks for any additional vendors that have not been indicated by the Buyer.		X					Vendors/suppliers will be associated during the RFx process. The vendor list is the source list for selecting which vendors are to receive the RFx. If additional vendors (outside those selected by the buyer), need the RFx sent to them, then they can either manually send the request to the vendor and update the RFx upon the vendor response or they can use the mechanism which is already set up on the CABQ purchasing website to distribute requests to vendors.
PO-12	Purchasing	Ability to create an advertisement for the Bids including identifying what publications the ads will be placed				X			The procurement process in PS does not have an advertising feature. Therefore we could build a custom bolt-on application for users to create ads and select the publication to receive the ad.
PO-13	Purchasing	The ad should have the following information: • the number of days the ad should run • the ability for the ad's description/text to				X			The procurement process in PS does not have an advertising feature. Therefore we could build a custom bolt-on application for

		be written and updated							users to create ads. We will build the required fields into the custom page/process.
PO-14	Purchasing	The Buyer must be able to add, edit or delete instructions on the Bid package.		X					The bid package can be updated through use of standard comments related to bid instructions. The comments can be either entered at the header or line level. Additionally, the Bid form would be modified to include the terms and conditions of the bid.
PO-15	Purchasing	Ability to post the completed RFB and RFP to the CABQ internet website.				X		X	Unsure if resources are available to build an interface from PS to the CABQ purchasing website. If not, as this website is not fully supported, then we will have the users manually upload the RFx's to the website, as they do now. Additionally, the e-Supplier module in conjunction with the Strategic Sourcing module allows for online vendor access to PS pages to view and update RFx's. This module should be evaluated for implementation in future phases.
PO-16	Purchasing	Ability to print Bid copies so they can be sent to the City Clerk, requesting department and copy is inserted into the bid notebook.							Manual process outside of PeopleSoft

PO-17	Purchasing	Ability to Tabulate and Award Bids.		X					The RFx process in PS allows for users to add/update vendor responses as well as have vendors submit files to be loaded into PS. Additionally, the e-Supplier module allows for online vendor access to PS pages to view and update RFx's. This module should be evaluated for implementation in future phases.
PO-18	Purchasing	Ability to electronically store ROA memo and form templates in the system.				X			Will need to create an ROA form which can be updated and distributed, i.e. printed, faxed, etc.
PO-19	Purchasing	Ability to post the ROA to the Web for the protest period. (5 day protest period)				X		X	Unsure if resources are available to build an interface from PS to the CABQ purchasing website. If not, as this website is not fully supported, then we will have the users manually upload the RFx's to the website, as they do now.
PO-20	Purchasing	Print ROA's to be mailed to vendors that offered a response on the bid and copies sent to City Clerk, requesting Department and posted publicly in the purchasing office on a bulletin board.		X			X		The ROA will need to be developed in a report, which can be distributed via print, email, etc. The vendor will ultimately receive the PO, which the standard PS system will support various distribution methods, i.e. FAX, Print, email, etc.
PO-21	Purchasing	Awarded Bids need Requisition pulled to the Purchase Order Header.		X					Delivered functionality in PS allows for awarded RFx's to be sourced into PO's. Note the delivered form in PS is for an RFQ. Therefore, like forms for RFB, RFP and RFI will need to be created. When the forms are printed the user will select which form they with to use, i.e. RFB,

									RFP, RFQ, etc.
Purchasing Contract Processing									
PO-22	Purchasing	Ability to track unique contract number.		X					Contract number is assigned when the procurement contract is created. The unique procurement contract number can either use a default sequential number or can be user defined at the time of entry.
PO-23	Purchasing	Ability to associate the Contract to a Purchase Order.		X					PS will automatically associate procurement contracts with PO lines through either releasing PO's directly from the contract or by entering the Contract number into the Requisition or PO during the procurement process. Delivered reports will indicate which PO's are associated with which procurement contracts.
PO-24	Purchasing	Ability to enter the contract and assign control number.		X					The contract control number will most likely be the contract id in PeopleSoft, which is assigned when the procurement contract is created. The unique procurement contract id can either use a default sequential number or can be user defined.

PO-25	Purchasing	Log information regarding routing of contracts, i.e. when sent to whom.		X					The procurement contract process in PeopleSoft does not have work flow attached to it. However, the system does track the audit trail of when the procurement contract was entered, modified and approved. Also one could use the Contract Activities page to enter the routing for each contract and have the users mark their activity 'done' when they have completed it.
PO-26	Purchasing	Ability to update and change contract.		X					Controlled through security users will have the ability to open and update previously approved contracts.
PO-27	Purchasing	Ability for Purchasing staff to updates the status of a contract.		X					Controlled through security users will have the ability to open and update contract statuses.
PO-28	Purchasing	Ability to set up terms and amount of contract.		X					This is the main function of the Procurement contract process in PeopleSoft. The vendor, amounts, quantities and terms are key aspects when setting up and defining a Procurement Contract.

PO-29	Purchasing	Need to match contract with approved purchase order.		X	X				PS will automatically associate procurement contracts with PO lines through either releasing PO's directly from the contract or by entering the Contract number into the requisition/PO during the procurement process. Delivered reports will indicate which PO's are associated with which procurement contracts. The concern about controlling the goods or services purchased against a contract can be controlled through the configuration of the Purchasing Definition and the Purchasing Item Attributes by using the item/vendor relationship. This would affect the current business process, but would increase the controls on the types of goods or services the departments are trying to procure.
PO-30	Purchasing	Ability Issue purchase order from Contract, even if it's a mock PO, i.e. if City is receiving money as it serves as a cover sheet for filing		X					PO's can be released directly against a contract or associated with a contract (by entering the contract id) during the procurement process in the requisition and PO. Any PO that is dispatched does not have to be physically sent to a vendor.

PO-31	Purchasing	Need to distribute a copy of the contract to the following: • City clerk (contract only) • Department (with purchase order) • Purchasing (with purchase order and other required documents) • Vendor (with purchase order) • Risk management (original insurance certificates)		X					Electronic copies can be distributed online through attaching the legal contract to the procurement contract. If only hard copies of signed contracts are available, then they will need to be routed in the same method they are today.
PO-32	Performance Budgeting	Ability to identify Social Service Contracts for publication		X					Through use of the Category field on the Contract Line, we can set up the organization hierarchy for commodities and the departments working with those commodities.
Professional/Technical Services Request for Proposal									
PO-33	Purchasing	Update RFP from the Vendor responses sent to Purchasing on the date specified in the Proposal.		X					Users can update or add new vendor responses via the Add/Update Vendor Responses page.
PO-34	Purchasing	Ability to review RFP responses and provide the Recommendation of Award.		X					Users can review the vendor responses individually through the Update Vendor Responses page or in summary on the Award Quotes page. Additionally online inquiries are provided for Quotes by Vendor, Vendor by Quote and Responses by Vendor. Although, an additional query and/or report may be necessary.
PO-35	Purchasing	Need to be able to have Purchasing publishes the RFP after Legal reviews the proposed contract.		X					The RFP can be updated through use of standard comments related which relate to specific standardized RFP instructions. The comments can be either entered at the header or line level. Additionally, the RFP form would be modified to include the terms

									and conditions of the RFP.
PO-36	Purchasing	Ability to track Vendor responses which are sent to Purchasing.		X					Vendor responses can either be entered online into the Add/Update Vendor Responses page or vendors can send a file which can be uploaded into the system.
PO-37	Purchasing	Ability to select/award a vendor and send letter to the CAO for approval.		X					RFx's will be awarded via the Award Quotes page. The CAO would approve the RFx form. If this is to be done electronically, then Work Flow rules would need to be developed as there is not a delivered Work Flow process for RFQ's. If this needs a hard-copy signature, then we can create an RFP award form (basically a report identifying the vendor which was awarded the RFP). This form could be printed or distributed via email to the CAO for approval.
Contracts (CTS)									
PO-38	Purchasing	Basic information required on a contract. • Type of contract • Date • Originator • Department		X					All of these fields are available in the delivered on the Procurement Contract pages.

PO-39	Purchasing	Ability to store contract template for Professional and Technical Services				X			Unclear as to the exact requirement, as Professional and Technical contracts only make up appox. 30% of the total types of contracts. However, we might be able to meet this requirement in one of three ways. One way would be to create a custom page to attach external documents. Then users with security access to this page would be able to view and download the templates. A second and perhaps more robust customization would be to develop a custom online template for users to create contracts. The contract data would be stored in the database and extracted on a 'form'. Then it could be printed or routed for approval. Lastly, the Services Contract Management module could be evaluated to determine if this module meets the legal department's needs, as it allows for the creation of legal contracts and has work flow built in the routing process.
PO-40	Purchasing	Need ability to identify aggregate contracts if the same vendor during the same fiscal year is over $75k.		X					This can be managed through PS query. Query can be written to monitor contracts for the same vendors or through querying on master contract field if master contracts are used.

PO-41	Purchasing	Need to route Contract to the following functions: • Internal Department Review • Review or Action outside Department • CIP Review • Legal Review • Risk Management Review • RFP Waiver Approved • Others as required (Information Systems Committee's)				X			Does the contract need to be routed electronically or as a hard copy? If the later, then this is a manual process outside the system. If not, then we would need to either build Work Flow routing for a Contract or use a more manual process (though use of the Contract Activities and Query) to identify who needs to review a Contract.
PO-42	Purchasing	Ability to review Contract and create & view comments in contract		X					Comments can be added in either the Header or Line on the Procurement contract
PO-43	Purchasing	Need a history of all contracts.		X					All data stored in PeopleSoft is available in the Oracle database. Delivered processes do not delete data in Oracle. Only archive processes move data from one table to another, but the data is never deleted.
PO-44	Legal	Ability to track existence of Revenue contracts	X						This is not a Procurement Contract as it will not be part of the procurement process, i.e. process within requisition, PO or voucher. Need to research if it is appropriate to track this within the Contract module or outside the system.
PO-45	Legal	Ability to track existence of Government Contracts with zero dollar amounts	X						This is not a Procurement Contract as it will not be part of the procurement process, i.e. process within requisition, PO or voucher. Need to research if it is appropriate to track this within the Contract module or outside the system.

Approval Processing									
PO-46	Purchasing	Routing Approval Authorities for Purchase Order Contracts, City Council needs to approve: • Professional/Technical contracts are greater than or equal to $55,000. • Legal contracts over $ 55,000 City Council • Other government agreements above $75,000. Obtain final approval and signature on contract and contract control form from CAO if over $55,000.		X					This will be managed through the configuration of the Purchasing Work Flow.
PO-47	Purchasing	Routing Approval Authorities for Professional/Technical Services Purchase Orders and : Contracts over $ 55,000 • Must be approved by City Council • Must be competitively selected • Approved by Mayor and Chief Administrative Officer • Signed by Chief Administrative Officer Contracts from $ 25,000 to $ 55,000 • Reviewed by Chief Administrative Officer • Chief Administrative Officer may waive competitive selection process • Purchasing Officer must approve and sign Contracts Up to $ 25,000 • Not subject to competitive selection • Department Director and Purchasing Officer must sign		X					This will be managed through the configuration of the Purchasing Work Flow.

PO-48	Purchasing	Unique purchases should be routed to the specified departments. For example, vehicle purchases must be routed to fleet for review and technical processes must have TRC review.		X					The routing will be managed through Work Flow based upon the Category field which will be set up in an organization hierarchy by commodity and department working with those commodities
Receiving									
PO-49	Acctg	Ability to accrue expenses and capital from received/un-invoiced PO's		X					This is handled through the Accrue Receipts and Generate Journals processes in PS.
Other									
PO-50	Warehouse	Ability to setup and order stocked items with the following attributes: • Item Number • Catalog Number • Source Type • Inventory Class • Planner ID • Carrying Cost % • Inv Control Code • Order Quantity Type • Safety Stock Type • Safety Stock • Lead Time • Buyer ID						X	It appears that all of this information is available in PS. However, this is an Inventory issue and should be discussed in more detail when the inventory module is implemented.
PO-51	AP/PO	Ability to authorize voucher for payment by matching the invoice to the PO and receipt.		X					Matching rules for one-way, two-way and three-way matching will be set up to 'approve' the voucher if it meets the rules in the associated PO and/or PO Receipt.
Analysis and Reporting									
PO-52	Purchasing/Acctg	Produce detailed listings and summary reports of pre-encumbrances and commitments by the elements of the		X					Delivered online inquiries or custom reports will provide this information.

		defined accounting classifications.							
PO-53	Purchasing/Acctg	Maintain historical data on all pre-encumbrance and commitment transactions.		X					Data will not be removed from PeopleSoft (although in the future it maybe occasionally archived). Either way, the data will be in the system once PS goes live. Historical data, prior to PS, will depend on how much data is initially converted.
Future Enhancements, Not Supported by the Current System									
PO-54	Purchasing	Ability to track PO change orders.		X					Change orders are automatically tracked in PS by the change order date and change order number.
PO-55	Purchasing	Automatic routing of approvals on requisitions and purchase orders.		X					This can be accomplished through the configuration of the delivered Work Flow processes.
PO-56	Purchasing	Should be able to send the advertisement electronically to all publications identified				X			Would need to build a custom process to create and distribute ad's to publications. Also, the publications would have to be able to receive ad's electronically. This will need to be researched more to see if it is feasible.
PO-57	AP/PO	Share vendor maintenance between AP and Purchasing, as AP requires some non-purchasing data and purchasing requires some non-ap related data and Purchasing needs to add vendors for RFQ's and Contracts sometimes before the vendor is set up by AP.			X				PS supports approval on vendors and through security the ability to 'share' vendor maintenance functions. The CABQ will need to define how they will want this process to work in PS.
Other									
PO-58	Purchasing	Request for information (RFI)		X					RFx forms for RFQ would need to be modified for an RFI. Custom process scheduler processes will need to be created

									for each new form.
PO-59	Purchasing	Rapid procurement-advertisement is not necessary							Manual process outside of PeopleSoft
PO-60	Purchasing	Purchase Order requires City of Albuquerque specifications, i.e. logo, legal verbiage on the form, etc.		X					PO form needs to be modified to include the legal verbiage, the City logo, etc. This is common for any customer implementing the purchasing module.
PO-61	Purchasing	Requisition Form should have City of Albuquerque specifications, i.e. logo, etc.		X					Requisition form needs to be modified which is common for any customer implementing the purchasing module.
PO-62	Purchasing	RFx forms should have City of Albuquerque specifications, i.e. logo, etc.		X					RFx forms (for RFP, RFQ and RFB) need to be modified from the RFQ form, so there is a form for each business process. Custom process scheduler processes will need to be created for each new form.
PO-63	Purchasing/Depts	One time distributions for disbursements			X				Disbursements should either be processed through to Purchasing or excluded from the requisition process. Either way, the business process will need to change and PS can support either method.
PO-64	Purchasing	Online vendor registration						X	Currently this is done through the CABQ Purchasing website. It is recommended that this continue until the e-applications within purchasing are implemented which support this functionality within PS.

Executive Sponsor:

- Executive with demonstrable interest in the outcome of the project
- Responsible for securing spending authority and resources for the project
- Acts as a vocal and visible champion
- Legitimizes the project's goals and objectives
- Ultimate decision-maker for the project
- Final approval of all scope changes
- Approves to proceed to each succeeding project phase

Steering Committee:

- Fulfill the role of management representatives from the key organizations involved
- Be actively involved in the project oversight and control
- Act individually and collectively as a vocal and visible project champion
- Approve project deliverables
- Help resolve issues and policy decisions
- Approve scope changes
- Provide direction and guidance to the project
- Assist in securing funding
- Act as liaison to executive groups and sponsors
- Provide well-understood and agreed-upon project scope and objectives
- Drive organizational priorities, cooperation, and focus, such as removal of barriers and response to escalation points, to ensure project success

Project Manager:

- Establish reasonable project controls for system development lifecycle (*e.g.*, system requirements baseline and change control) to ensure quality control
- Manage project risks that affect baseline scope and objectives, ensuring that contingencies are implemented to mitigate risks such as schedule conflicts, schedule delays, and cost overruns
- Provide formal, structured mechanisms to change project scope and objectives with buy-in from affected constituencies
- Manage integration of all project teams
- Work closely with the Executive Sponsor and the Steering Committee to manage project scope to meet budget and schedule objectives
- Perform detailed project planning and monitor progress against the established project schedule and budget
- Manage resolution of functional and technical issues, team morale, and business issues which cannot be resolved at the project team level
- Benefit realization (value-added) focus that keeps the business case in the center of program governance
- Coordinate the development of subsequent phases/releases emphasizing strategic value with each phased release

Organizational Change Manager:

- Create the Project Communication Plan
- Identify and communicate with stakeholders and all parties in interest
- Evaluate end user competencies and training needs
- Evaluate the gap between the documented end user job descriptions at outset of project and as needed at go-live
- Gather information and sentiment related to the navigation and usability of the new system
- Facilitate evaluation of business processes
- Facilitate business process changes
- Provide Weekly Status Reports to Project Manager

Technical Resources:

- Provide guidance and direction on technical aspects of implementation
- Establish and support specific technology infrastructure components across all technical environments
- Manage integration with functional teams to translate business information requirements into flexible business applications
- Work with project management team to complete all work plans and deliverables
- Create the technical design of interfaces and conversions
- Manage the timely identification and resolution of technical-related issues
- Attend fit-gap sessions to gain end-user and process prospective of potential development
- Develop creative and quality solutions that meet the customers needs with a minimum of customization required
- Work with the Functional Users to develop and execute quality testing of any development within the system

Functional Resource:

- Study and practice to become the PeopleSoft applications expert (of the module assigned)
- Become experienced in design of the application and in customization to the PeopleSoft modules as necessary to meet the City's needs
- Perform the fit/gap analysis to determine the needs of the City met by out-of-the-box functionality of the software
- With assistance of implementation vendors, write the functional design documentation
- Manage the report analysis and resulting report design specifications
- Follow the implementation methodology prescribed by the project management team for the project
- Follow the change management methodology prescribed by the organizational change management team for the project
- Manage the timely identification and resolution of issues
- Provide guidance insight related to the implementation process and techniques resulting from your expertise of the subject matter and personnel in the City
- Work with project management team to complete all tasks assigned in the work plans and necessary to create all deliverables
- Facilitate end-user meetings and manage customer expectations
- Review and approve system and acceptance test plans/scripts
- Participate in all communication activities required by the organizational change management team

Security Administrator:

- Responsible for PeopleSoft user adds/changes/deletes
- Develop expertise in of row/field-level security, base tables, benefits administration, and permission lists
- Attend security-related fit-gap sessions to gain end-user and process perspective of potential development and security needs
- Provide input where necessary on delivered PeopleSoft security functionality
- Develop creative and quality solutions that meet the customer security needs with a minimum of customization required
- Work with the Functional Users to develop and execute quality security testing plans of any development and delivered functionality in the system
- Work with the Functional Users to design and document processes and procedures necessary to implement and maintain security within PeopleSoft

PeopleSoft Administrator:

- Administer application configuration (table maintenance and business configuration) as requested via change control procedures
- Analyze and resolve PeopleSoft issues related to configuration, chartfields, trees, processes, and process scheduler
- Analyze and resolve support issues as requested by developers
- Administer code control system, editing tools and other software that is related to PeopleSoft development
- Administer PeopleSoft connection access
- Interact with DBA's for PeopleSoft database-related issues such as performance, restores, refreshes, installs, etc.
- Research and control updates to PeopleSoft through code migration, patches and fixes, and major software updates from PeopleSoft.

PeopleSoft Database Administrator:

- Install and maintain Peoplesoft environment to support production, test, development, and other required environments
- Tune the system at the database level
- Proactively maintain table sizes
- Maintain indexes required in the database, including dropping and re-building of those indexes
- Manage system performance including outage requirements and re-start requirements
- Maintain server security for all required databases
- Document the database design and communicate that design to all technical resources
- Manage the back up and restore requirements for development

City of Albuquerque Staff				
Red denotes where the City is below the recommendation				
		Number		
Project Administrative Staff:	**Name**	**Required**	**Available**	**Notes**
Project Manager	Stan Low	1	1	
Administrative	Vacant	1	1	Risk: assigned to other projects as well
Functional Staff:				
HR/Benefits Functional	Petracca, Scurlock-Garcia	2	2	
Time and Labor Functional	Chappell	1	0.25	Assisting with current payroll system
Payroll Functional	Chappell	1	0.25	Assisting with current payroll system
GL/Commitment Control Functional	Padilla	1	1	
OCM	Puterbaugh	2	1	Risk: still in the hiring process for OCM2
EPM Functional	Harris	1	1	Through Requirements Only
AR/Billing/Cash Mgmt Functional	----------	1	0	Resource not available
Purchasing Functional	Koury [50%], Harris [25%]	1	0.5	Resource split between modules
Project Costing Functional	Koury [50%]	1	0.5	Resource split between modules
Asset Management/Inventory	----------	1	0	Resource not available
Technical Staff:				
HR Technical	SA1 to be hired	1	0	Req'd Design And Code Phase (starting March 1)
Time and Labor Technical	Armenta [50%]	0.5	0.5	Req'd Design And Code Phase
Payroll Technical	Andrews, Armenta [50%]	1.5	1.5	Req'd Design And Code Phase
GL/Commitment Control Technical	PA2 to be hired	1	0	Req'd Design And Code Phase
AR/AP/Billing/Cash Mgmt Technical	Kildare	1	1	Req'd Design And Code Phase
Purchasing Technical	Duty + PA2 to be hired	0.5	0.25	Req'd Design And Code Phase
Project Costing Technical	PA2 to be hired	0.5	0	Req'd Design And Code Phase
PS Security	Aranda	1	0.5	Resource split amongst activites
PS Admin/DBA	Nielsen, Bell, Boyles	3	3	Shared Resources
SkyBridge Global:				
Engagement Manager	Todd Murphy	1	1	Part Time Resource
Project Manager	Jeff Kehoe	1	1	
Functional Staff:				
HR Functional	Summerour	1	1	
Time and Labor Functional	James	1	1	
Payroll Functional	Read	1	1	
GL/Commitment Control Functional	Guerrero	1	1	
OCM	Portzline	1	1	
EPM Functional	Daniel	1	1	Through Requirements Only
AR/AP/Billing/Cash Mgmt Functional	Reddy, Jacobson	1	1	Cash Mgmt Being Shared
Purchasing?Cash Mgmt Functional	Jacobson, Reddy	1	1	Cash Mgmt Being Shared
Project Costing Functional	Chavez	1	1	
Technical Staff:				
HR Technical	Summerour	1	0	Req'd Design And Code Phase
Time and Labor Technical	James		0	Req'd Design And Code Phase
Payroll Technical	Read	1	0	Req'd Design And Code Phase
GL/Commitment Control Technical	Guerrero	1	0	Req'd Design And Code Phase
AR/Billing/Cash Mgmt Technical	Reddy	1	0	Req'd Design And Code Phase
Purchasing Technical	Jacobson	0.5	0	Req'd Design And Code Phase
Project Costing Technical	Chavez	0.5	0	Req'd Design And Code Phase
PS Security	Bandoh	1	0	Req'd Design And Code Phase
PS Admin/DBA	Bandoh	1	0	May want to consider this resource
HW Infrastructure/middleware	Bandoh			

Planning and Analysis
Participation Matrix

Deliverables	Role								
	Project Sponsor	Steering Committee	City Proj Mgr	Skybridge PM	Module Funct Res	Module Tech Res	City SME	City PS Security	City PS Admin/DBA
Project Initiation/Kick Off Mtg			A,I	C	P	P	P	P	P
Communication Strategy Doc	N	N	A,M	A,M					
Project Team Roles/Resp Matrix			A	C					
GL Functional Workshops/Fit Gap Analysis	N	N	A	A,M	C,I	P	I		
BU/KK Functional Workshops/Fit Gap Analysis	N	N	A	M	C,I	P	I		
Project Costing Functional Workshops/Fit Gap Analysis	N	N	A	M	C,I	P	I		
PO Functional Workshops/Fit Gap Analysis	N	N	A	M	C,I	P	I		
Accounts Receivable Functional Workshops/Fit Gap Analysis	N	N	A	M	C,I	P	I		
Accounts Payable Functional Workshops/Fit Gap Analysis	N	N	A	M	C,I	P	I		
Cash Management Functional Workshops/Fit Gap Analysis	N	N	A	M	C,I	P	I		
HR Functional Workshops/Fit Gap Analysis	N	N	A	M	C,I	P	I		
BB Functional Workshops/Fit Gap Analysis	N	N	A	M	C,I	P	I		
TL Functional Workshops/Fit Gap Analysis	N	N	A	M	C,I	P	I		
PY Functional Workshops/Fit Gap Analysis	N	N	A	M	C,I	P	I		
EPM Requirements Analysis	N	N	A	M	C,I	P	I		
OCM Strategy Document	I,N	I,N	A,I	M					
Infrastructure Architectural Review Document	I,N	N	A	M		C,I	I		I
Reporting Strategy Document	I,N	I,N	A	M	C,I		I		I
Interface Strategy Document	I,N	N	A	M	I	C,I	I		
Security Strategy Document	I,N	N	A	M	I	C,I		C,I	I
Resource Loaded Project Plan	I,N	I,N	A	C	I	I		I	

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A - Approves the deliverable
R - Reviews the deliverable
C - Creates the deliverable
I - Provides input
N – Is notified when a deliverable is complete
M - Manages the deliverables
P - Participant

Connecting your business with technology

City of Albuquerque

PeopleSoft Security Questions

January 23, 2007

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Security Considerations

To provide City of Albuquerque with a starting list of security issues to consider when implementing Peoplesoft applications.

Defining security is an iterative process. This document contains only a few of the questions that need to be asked when developing a Peoplesoft security strategy. Each of the systems that are being sunset and moved into PeopleSoft will need an evaluation of the current security design, changes made to bring the security process up to date, and changes in business process due to the move into PeopleSoft. Security audit concerns will need to be addressed and the designs will need to meet the requirements of the business users. These reviews have been started during the Planning and Analysis phase and will be refined during the Design phase.

Some of the issues to consider when designing Permission Lists

- The permission list should provide the ability to access which subset of pages and in which of the available modes (i.e. display only, correction, etc.)?
- Should this permission list provide the ability to start/stop the application server?
- What navigator homepage should be assigned?
- Will City of Albuquerque allow passwords to be emailed?
- Will the permission list use the timeout interval? If so, what should the interval be?
- Will there be specific sign on times associated with the permission list? Usage of this capability is meant to limit sign on and system usage times of the system. If so, what will those times be?
- Should the permission list provide the ability to use object security? Normally this usage is restricted to a limited population that understands the PeopleSoft background tables so no damage to the system occurs.
- Should the permission list provide the ability to use data mover? Normally this usage is restricted to a limited population that understands the PeopleSoft background tables so no damage to the system occurs.
- Should the permission list provide the ability to use import manager?
- Should the permission list provide the ability to access application designer? If the answer is yes, for each available object type which type of access should be provided?
- Should the permission list provide access to query designer?
- Determine the query profile for this permission list -- i.e. should the permission list be able to run/write queries? If the permission list can write queries then what type of queries? Etc.

- Which records/views views should the permission list be able to access via query? Will the records/views need to be modified to enforce the row level security?
- Which access groups should be associated with the permission list?
- Which process groups should be associated with the permission list?
- Determine the process profile for the permission list (i.e. which permission lists should be able to change the output destination, change where a process is run, etc.)
- Will this permission list need different security in different instances? If so, what are the differences based on the instance?
- Will the permission list provide the ability to use the web and/or portal to access Peoplesoft?
- Will this permission list be used to migrate fixes/upgrades?
- Should this permission list be used to lock/unlock objects in all environments?
- Should this permission list be used to modify any structures in tree manager?
- In HRMS, all primary permission lists should begin with 'PP' and all row security permission lists should begin with 'DP'
- Associate all row security permission lists to the security tree
- If the application uses application messaging, which channels should be associated with the permission list and in what mode?
- If the application uses business interlinks, which interlinks should be associated with the permission list?
- If the application uses mass change, which templates should be associated with the permission list?

Some of the issues to consider when designing Roles

- Which permission lists should be associated with this Role?
- Is City of Albuquerque using workflow?
- Should the roles have the ability to grant another role (i.e. should the payroll manager be able to give someone the payroll clerk role)?
- Will City of Albuquerque use Query (data in Peoplesoft tables) or PeopleCode (user info in a 3rd party system) to dynamically define Role members? If so, which queries and which peoplecode.

Some of the issues to consider when designing Userids

- Will City of Albuquerque be using LDAP?
- Will each user have a separate Userid?
- Will a HRMS Userid need access to one of the Financials applications or vice versa?
- Some area will need to determine which panels a user needs access to. This is related to permission lists and roles and may necessitate the modification/creation of permission lists and roles.
- How will City of Albuquerque handle terminations and transfers? When a Userid is deleted, the Userid is deleted from all tables within Peoplesoft (for that application). Which tables should be exempt from this process?
- What standard will City of Albuquerque use in creating the Userid? Should the Userid match the NT login ID (i.e. LDAP)
- How will City of Albuquerque handle the data in production associated with userids if new standards for userids are defined?
- What will the initial password be? How will the user receive their password?
- Will the user need to sign on 2 or 3 tier?
- Is there a Peoplesoft security document that is normally sent to new users?
- Will the security administrator grant access to the user personalization features in 'My Profile'? If so, which features should be users have the ability to modify?
- Attach the row level, primary, process profile and navigator homepage permission lists to the Userid

Some of the issues to consider when designing Query Security

- Will the query tool be available for use in this particular application?
- Should users be restricted to the same data in Query that they can access via pages?
- Will City of Albuquerque enforce query security via query security records? If so, what is the performance impact of this decision?
- Should City of Albuquerque be using secured views instead of query security records?
- Will use of the query designer tool be phased out as a result of using EPM?
- Will City of Albuquerque enforce query security via custom views?
- Is City of Albuquerque using fast security?

- Define access groups in Tree Manager. If necessary, create new views in application designer.

Some of the issues to consider when creating Passwords

- Will City of Albuquerque be using LDAP?
- Will City of Albuquerque be using single sign-on
- Are there City of Albuquerque/departmental standards that should be followed when creating passwords?
- Will City of Albuquerque use PeopleSoft's password controls? If so, what should the setting be?
- Are you using forgotten passwords hints?
- Automating reset (think any public website) or manual (think ISD HelpDesk)

Some of the issues to consider when designing HRMS security

- Is City of Albuquerque using row level security (i.e. security prevents certain rows from appearing in pages based on a key field (s)?
- If City of Albuquerque is using a security tree, how many active security trees are needed?
- Does City of Albuquerque use customized security views?
- Should the row level security features be enforced within SQRs?

Some of the issues to consider when designing Financials security

- Is City of Albuquerque using row level security (i.e. security prevents certain rows from appearing in pages based on a key field(s)?
- Should userids/roles have restricted access to specific business units, setids, ledgers or other key fields within the application?
- Will City of Albuquerque be using single sign-on?

Other items for security consideration

- Will City of Albuquerque use Peoplesoft/Oracle auditing features? If so, on which tables?
- Should security based on the security tree be used within SQRs in HRMS?
- Is there a need to secure Nvision reports by ledger or trees and queries?

- Will developers incorporate City of Albuquerque security needs in reports (i.e. SQRs, etc.)?

- Determine if the DBA wants to review and/or run all SQL scripts which create/modify database objects

- Determine if process groups are strictly enforced (i.e. only certain process groups used with payroll processes, etc.)

- Has it been determined if most employees should not be able to see themselves? If this criteria is necessary, then the security views and corresponding security table(s) will need to be modified to assure that this restriction takes effect.

- Will City of Albuquerque implement Fast Security? Fast Security is used to speed retrieval of data into pages and queries. However, there is a price: customization to use new search views and depending on the type of fast security City of Albuquerque implement, static security data.

General Peoplesoft security recommendations

- If a security tree is used in production for HRMS, keep at least 1 old security tree in case the current tree in production become corrupt

- Consider using a Userid to start/stop the application server that has no other Peoplesoft security attached to it (i.e. other than a permission list which just gives the ability to start the application server)

- The environment closest to production should have the same security that production does --- i.e. use this instance to catch potential loopholes in production security

- Allow only the DBA to determine the DDL models in all environments. If City of Albuquerque don't want the DBA to have a Peoplesoft login id, then the DBA would work with the system administrator to have that person configure the DDL models.

- Determine how many people know the sysadm password. At some companies, the sysadm password is changed whenever someone who knows the password leaves the company.

- To help the security administrator, add a menu for custom security related reports: i.e. what operators are in what permission list, who has access to the maintain security menu, etc.

- **Change the password of PS and VP1 in all environments**

- Audit all permission list changes in the production environment

- In production, have only one permission list with more than read-access to application designer. Assign this list temporarily on an as needed basis during the migrations of fixes, etc., to production

- In most environments (except for development) developers should:

    1. Have view only access to application designer

    2. Not be able to migrate objects from one database to another database

3. Not be able to lock or unlock objects

4. Not have access to security administrator or maintain security

5. Be locked out of most functions on the Utilities menu except for tracing

Migrating Security

In Tools 8.x, roles and permission lists can be added to a project in application designer and copied to another database instance (i.e. like other objects in previous releases such as fields, records, etc). As with any other application designer project, the source and target databases have to be on the same release of Peopletools.

To copy user profiles from one database instance to another, Peoplesoft provides datamover scripts. These are located in the /scripts directory.

USEREXPORT.DMS ----Used to copy the user profiles in directory xxx into a .dat file

USERIMPORT.DMS --- Used to copy the user profiles in the .dat file created above into another database instance

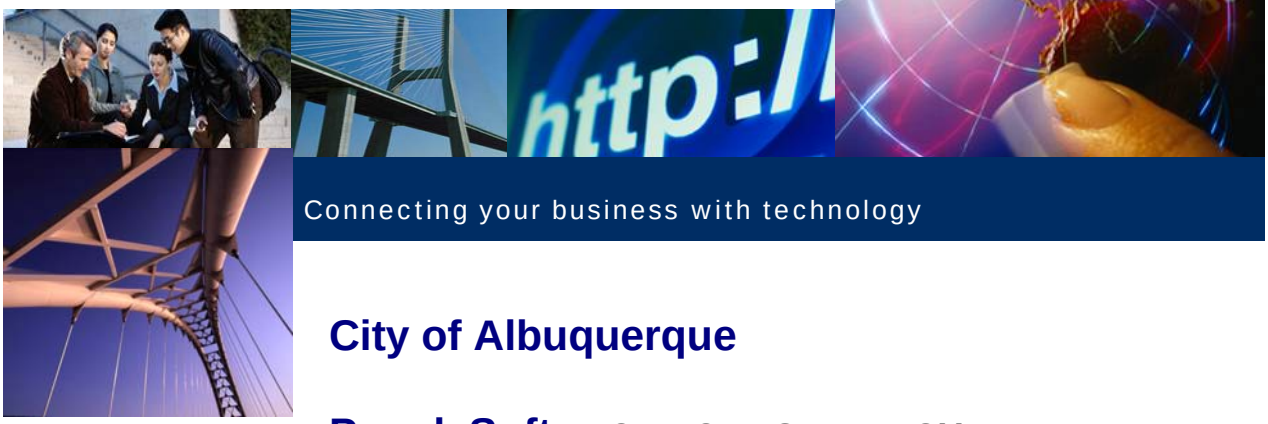
Peoplesoft provides datamover scripts which are available to export all the user profiles, roles and permission lists to another instance-

securityexport.dms -- used to copy the user profile, role and permission list objects into a .dat file

securityimport.dms -- used to copy the tables in the .dat file into another database

Peoplesoft also provides datamover scripts which are available to export all security and tables related to security to another instance (i.e. system test to production):

MVPRDEXP.DMS-- Exports PeopleTools core tables used during the move to production.
MVPRDIMP.DMS --used to copy the tables in the above file into another database.



Connecting your business with technology

City of Albuquerque

PeopleSoft TECHNICAL STRATEGY
January 18, 2007

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Change History

Date	Author	Version	Change Reference
01/09/07	Edward Bandoh	1.0	Initial Draft

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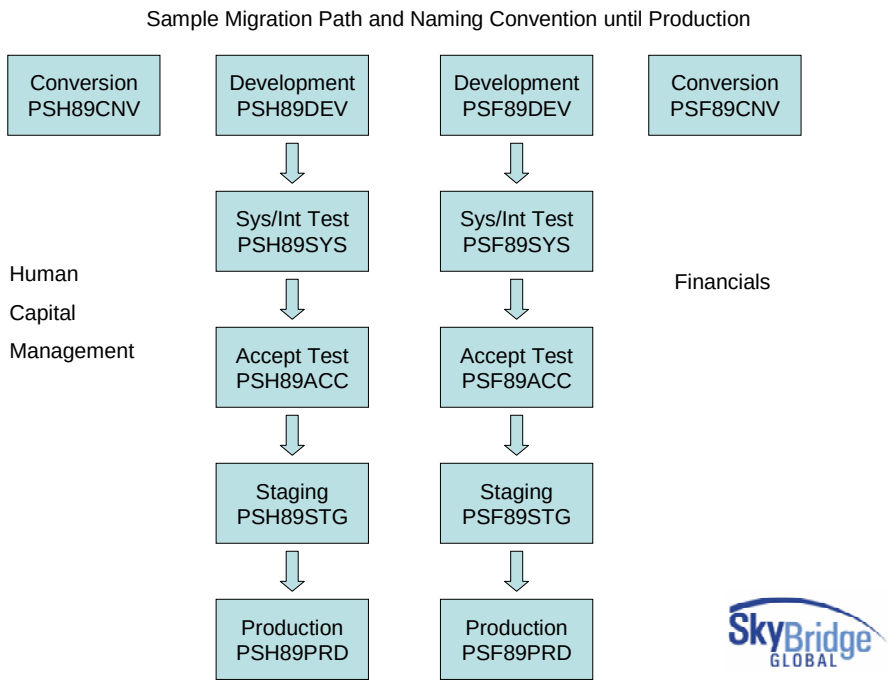
TECHNICAL STRATEGY

Overview:

This document describes the Technical Approach Strategy for the City of Albuquerque PeopleSoft project to be used as a guide or reference to the PeopleSoft technology features, third-party tools, and integration tools used in interfacing with external entities. The project has many technical aspects that will be addressed as they apply to Conversion, Interfaces, Reports, and Enhancements. Conversion will bring Legacy system data and other smaller sub system data into PeopleSoft. Interfaces will handle inbound and outbound files for (insert module(s)) depending on the decisions made in functional analysis and design. Choice of process types will primarily be made based on tools that are integrated within PeopleSoft to allow future compatibility.

Reference has been made to detailed documents for each of the sections.

Development and Test Environments:



For this discussion, PSxxx will be used to refer to the generic PeopleSoft module environment. In this case PS can either be HRM, FIN, or EPM.
All new technical work related to the CABQ PeopleSoft project will be developed and unit tested in a PeopleSoft 8.9 PeopleTools 8.48 development instance.

The initial development environment for the CABQ project will be created from Demo 8.9 and will be used as a Sandbox instance, PS89SND or PS89DMX. This environment will be used by the PeopleSoft functional team initially to setup configuration and develop conversion and interface programs. However, PS89SND is not a dedicated database to the CABQ PeopleSoft project and can be modified by users from other applications. A dedicated PS89CFG instance will be needed to host the new configuration data until the other PeopleSoft 8.9 environments are ready. This instance will be used to define configuration, test conversion programs, test interface programs, create PeopleSoft objects for the process run control, and any enhancements that are unveiled during the functional analysis and design phases. The extent of development and testing done in this instance will rely heavily on the timing and readiness of the development instance. Since the Sandbox and Configuration instances are created from Demo, the development efforts in this instance will be prioritized to develop SQR programs and related PeopleSoft objects first. Application Engine programs may also be developed while in Sandbox and Configuration databases.

When the initial PEOPLESOFT 8.9 install is ready, we will need a new PEOPLESOFT 8.9 development instance to contain the setup information from PS89CFG, object changes from PS89SND. We will need a new test instance PS89TST for user testing and UAT to contain data from a full copy of production instance PS89CNV when available, object changes from PS89DEV, and the configuration data from PS89CFG. Users can change employee data in this instance. We will need a new instance PS89QA from a full copy of production for Payroll Deductions and regression testing. User will not be changing Employee data in this environment. The final migration path will be from PS89QA to the PEOPLESOFT 8.9 production instance, PS89PRD. Figure 1-1 below shows the proposal for various instances needed for the CABQ project cycles.

The migration of setup application data from one instance to another will be performed using SQL scripts. This method will require a database link between databases **PS89SND, PS89CFG, PS89DEV, PS89TST,** and **PS89QA** as shown in Figure 1-1. If this type of access is not available, DataMover or ORACLE IMPORT/EXPORT scripts are other alternative.

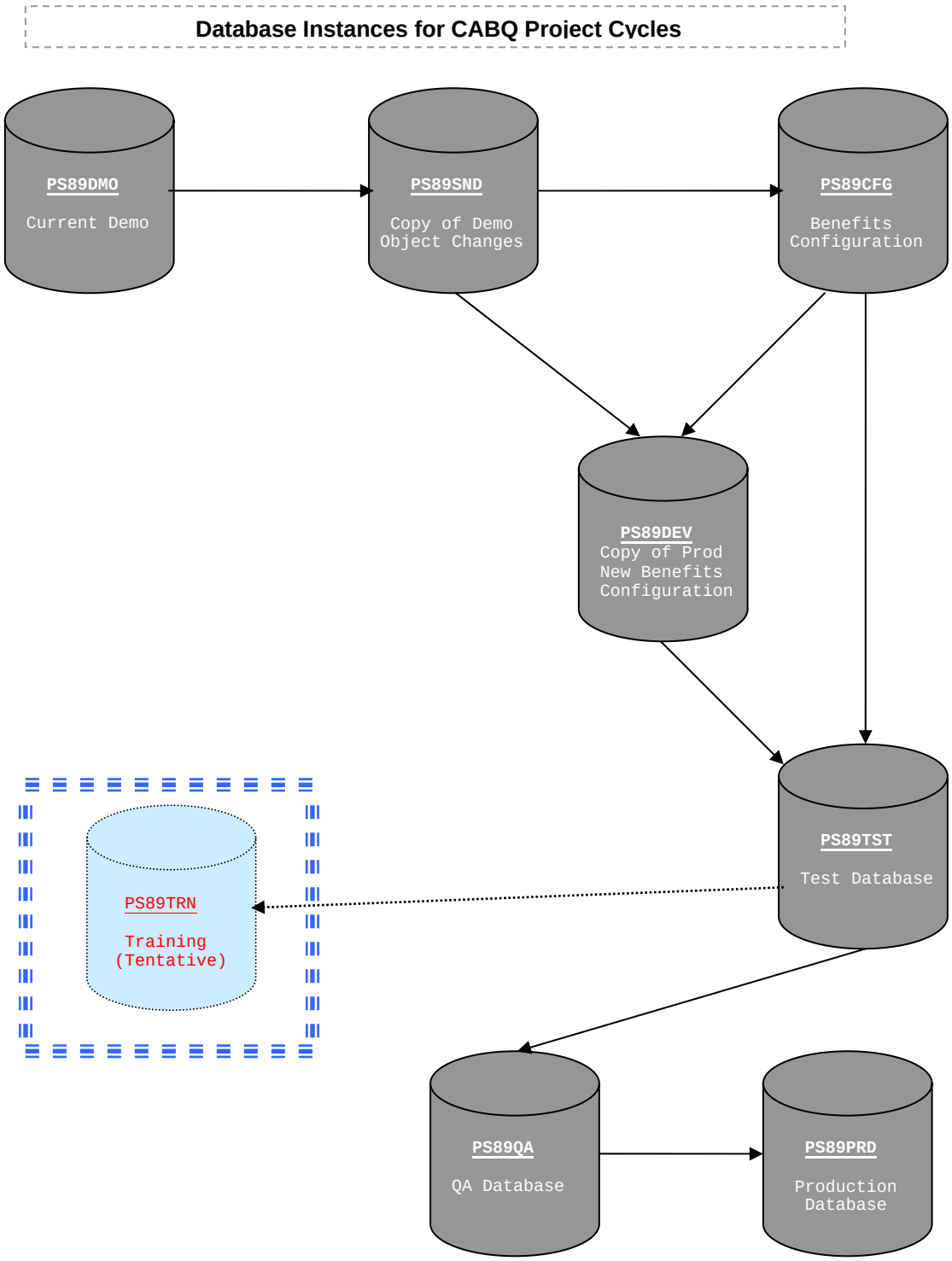

Database Instances for CABQ Project Cycles
PS89DMO
Current Demo
PS89SND
Copy of Demo
Object Changes
PS89CFG
Benefits
Configuration
PS89DEV
Copy of Prod
New Benefits
Configuration
PS89TST
Test Database
PS89TRN
Training
(Tentative)
PS89QA
QA Database
PS89PRD
Production
Database

Figure 1-1

Migration:

OBJECT MIGRATION

Process Overview

All PeopleSoft object development and customization can be typically initiated and controlled by a Change Request. Once approved, the modification can be performed. Once development is completed, the associated objects have to be migrated to the other PeopleSoft environments for adequate testing and sign off. This section describes that migration process flow.

Database Object Development or Customization

All PeopleSoft object development or customizations will be done in the development database. Within Application Designer, the developer will create a new project to contain the new or modified objects. The developer will move any object to be modified into the project and lock the project and its objects, either new or existing. The developer should note the reason for making changes in the Project Properties.

When the objects are ready to be tested, the developer will use the upgrade feature of Application Designer to designate the objects to be copied to the test database. The Developer will use the upgrade feature to copy the project objects from the development database to the appropriate test database. Upon successful completion of testing, the PeopleSoft Administrator will copy the project objects from the test database to the other instances identified. During the deployment phase, the PeopleSoft Administrator will copy the objects to the Production database following successful completion of testing.

Note: The migration of objects from the DMO instance pertain to those objects supplied by PeopleSoft via service packs (a.k.a. patches and fixes). Otherwise all CABQ objects start their migration from the development instance.

Notes:

1. All updates/fixes, and patches will be applied first to the Demo instance.
2. The UAT is optional.
3. Conversion will be unit tested in TST.
4. Final conversion will be done in CFG and then migrated to PRD using datamover scripts.
5. It has been decided that application engine programs will be used for conversion.

See document : CABQ – PS Migration Strategy.doc for detailed discussion.

Development Standards and Techniques:

Two assumptions were made in completing the following development standards. All customizations should be kept to a minimum with the overall intent to keep the PeopleSoft product as 'vanilla' as possible. By minimizing customizations, CABQ will be able to easily take advantage of the functionality and new technologies from PeopleSoft future releases.

The level of required customization documentation should provide enough information to assist with the comparison process that will need to take place when future PeopleSoft enhancements (version upgrades) are being reviewed.

The following guidelines are broken down by PeopleSoft object area i.e. field, record, page, etc.

Customizing Naming:

CABQ is implementing the PeopleSoft HRMS and Financials products as part of the City PeopleSoft project.

All customizations will be referred to with a selected code XXNNN.

XX – HR or FS – two letter code associated with the product being customized.

NNN – the three digit numeric identifier assigned sequentially when the customization is first initiated as an approved change.

For example, the first customization tracked for Time and Labor will be given a customization number of TL001. However, the project would be named CAB_TL001 within the project in the Application Designer.

Customizations involving database structural changes will make future PeopleSoft upgrades more difficult. Customizations should, therefore, be made with caution and only when the business requirements are such that there is no other alternative.

During development all new and modified objects will be added to one or more projects to be used during migration by development and technical teams. Objects and processes will be created and modified based on detail design specification created during development after functional analysis has completed. PeopleSoft objects include but are

not limited to fields, records, pages, components, menus, PeopleCode, Workflow, Portal entries, Component Interface, and Process Definitions.

All SQR, Application Engine, and PeopleSoft objects will be created and modified according to technical standards. The PeopleSoft project will be created by the developer and will be named in the following format **HSAR9999- YYYYMMDD.** The "H" in the project name represents the PeopleSoft module ('H' or 'F'), followed by "SAR" and SAR number (if available), Year, Month, and Day of the modification. There is not a SAR associated with the CABQ project yet, and we will need to create a SAR to use when documenting the creation and modification of PeopleSoft objects and programs.

Code review sessions between the developers and technical lead will be set up to go over all new and modified processes and objects. These sessions will be used to ensure accuracy, clarity, and proper accompanying documentation.

Please refer to the 'CABQ – PeopleSoft Development Standards and Procedures' document for more detail.

Development Deliverables:

Conversion:

The current strategy for conversion is to convert HR and Financials data from legacy system tables. The conversion functional requirements will be determined during the Design, and the anticipated approach will depend on the findings.

The DBA team will copy select tables from the mainframe to the PeopleSoft ORACLE database.

In the Conversion environment, conversion programs will be run in a batch mode to read a copy of the legacy tables and load the corresponding PeopleSoft HR and Financials tables. Since the conversion modules are considered to be one-time, they will be developed using SQR or Application Engine. These program(s) will be defined to the Process Scheduler. One or more conversion run control pages and components will be created to run the conversion processes.

Application Engine programs and Component Interface(s) may be used for components with multiple pages and records to take advantage of the PeopleSoft online edits during conversion (this will be determined during further analysis).

Interfaces:

The new PeopleSoft system will have Inbound and Outbound Interfaces with various entities. The Interface modules will be developed with Application Engine, SQR, and/or Component Interface modules. Application Engine is the preferred choice because it is an integrated PeopleSoft Tool. However, an SQR module is more desirable if the process produces an interface report. PeopleSoft has sample delivered SQR modules for Vendor Interfaces which can be used to clone from. Inbound Interfaces will be developed with PeopleSoft Application Engine and Integration Tools which will be determined based on requirements. Component Interface is a good option to handle inbound interfaces. The inbound and outbound interfaces will be developed or modified based on functional requirements and detail design. All SQR programs, Application Engine programs, and PeopleSoft objects will be developed or modified in an application development environment. The New SQR and Application Engine programs will be defined in the Process Scheduler, attached to new or existing components, and new components will be added to appropriate menus. The development method is described in section Development Standards and Techniques.

Please see the document 'CABQ – Interface Strategy Requirements' for a detailed discussion.

Reports: (Needs more information)

Reports will be developed or modified based on functional requirements and detail design. SQR will be used to develop reports. The development of new SQR/SQC modules and modification of existing modules will conform to development standards including internal documentation and naming conventions.

The functional team will review the PeopleSoft documentation with respect to delivered reporting, together with the existing reporting environment. This will be to determine if some of the PS delivered reports will meet CABQ's reporting needs, both present and future.

To learn CABQ reporting needs, the Skybridge Global functional leads will conduct specific related fit/gap sessions with CABQ functional users. The purpose of these sessions will be to identify the City's most important current reports, both programmed and manual, and develop plans for how these reporting needs will be addressed in the PeopleSoft applications.

As a result of these, the task associated with the design, construction, and testing of delivered, new, and customized reports is outlined below.

Reports will be identified as scheduled, run by the users, or both. Scheduled reports can be viewed and printed in Document Direct. User reports can be viewed using the PS Report Manager. Reports that are both scheduled and run by the users can be viewed In PS Report Manager.

Enhancements:

Enhancements during the PeopleSoft project for Objects and processes will be based on functional analysis and design. PeopleSoft objects include but are not limited to fields, records, pages, components, menus, PeopleCode, Workflow, Component Interface, and Process Definitions. PeopleSoft Change Control will be used to lock objects when they are in development and to also track object change history. All new and modified objects will be added to PeopleSoft project to be migrated from instance to instance. Processes will be built using Application Engine to adhere to PeopleSoft technology, unless support staff is comfortable with other process types such as SQR. All changes will adhere to the Development standards including internal documentation and naming conventions.

All customizations should be kept at a minimum with the overall intent to keep the PeopleSoft product as 'vanilla' as possible. By minimizing customizations, CABQ will be able to take advantage of the functionality and new technologies from PeopleSoft future releases.

The level of required customization documentation should provide enough information to assist with the comparison process that will need to take place when future PeopleSoft enhancements (version upgrades) are being reviewed.

The permission lists security access and portal entry update and synchronization will need to be performed in the same manner as defined in the migration section of this document.

Details of this section can be found in the document: 'Development Standards and Techniques'.

Performance and Tuning Considerations:

The City PeopleSoft project will need to be tested for performance to make sure batch and online applications execute at a reasonable speed. CABQ might have access to tools that may be used for volume testing. There are many software packages such as Mercury WinRunner and LoadRunner for web performance testing to obtain an accurate picture of end-to-end system load testing. The tools can be used to stress test the system – emulate a large number of employees accessing the system concurrently to determine system behavior before similar volume is processed in production. See the chapter on Testing for a more detailed discussion on testing tools. Performance testing for the application processes will occur on the PS89TST instance where a full employee data population will reside. Some processes are iterative in nature and can be time

consuming; when these processes run, users will fix any errors and run the processes until all errors are fixed.

Load/Stress Test Strategy:

The following performance test types will be run with varying virtual users and durations:

1. Load Tests
    a. Increasing Work Load Test (gradual increase in number of users over time – usually between 2-3 hours)
        i. Standalone Test with anticipated average number of CABQ users in production. Number of users may be scaled down to account for smaller Staging environment.
        ii. Aggregate Test with anticipated average number of CABQ Infrastructure users in production. Number of users may be scaled down to account for smaller Staging environment.

2. Stress Test (heavy load designed to define or observe upper limit application behavior)
    a. Increasing or Dynamic Work Load Test (increase and vary number of users over time – usually between 2-3 hours)
        i. Standalone Test with anticipated maximum number of CABQ users in production. Number of users may be scaled down to account for smaller Staging environment.

The number of virtual users used against this application will be per the volume requirement provided following the Analysis and Planning Phase.

Performance Tuning Strategy:

If, during the early stages of testing, it becomes apparent that performance tuning is required, a specific test plan shall be provided to the testing group outlining goals, strategy, and a set of tunable metrics (i.e. Java Heap Size, etc). Under most circumstances, only one metric change will be tested at a time. Monitoring will be of the utmost concern and will determine success of tuning criteria. The Performance Monitor will be configured to assist in this regard.
Acceptance of a performance tuning effort will be at the discretion of the project stakeholders. The Performance Tuning Test Plan shall take precedent until the tuning effort is deemed complete.

Assumptions:

- A PeopleSoft 8.9 PeopleTools 8.48 instance will be available for development and testing.
- The instance(s) will be up-to-date with tax updates, service packs, updates and fixes, and bundles.
- The Financials and HR ORACLE tables are sized and indexed appropriately for system performance.
- The technical, DBA, and system administration teams are available on an ad-hoc basis as needed by the project team.
- Stable development and testing systems are available on a regular basis for the project team.
- The development team will have full access to application data and tools in the development system. Developers will also have access to the test systems to check after migration and perform basic functional validation testing.
- The Development team will have necessary access to environments such as UNIX to be able to move programs, files, and etc.
- The Staging environment is assumed to be capable of carrying half the load of Production.

Scheduling:

All SQR and Application Engine programs that run on a schedule will be defined in Process Scheduler or any other third party tool that is for Scheduling. The process and report jobs and their dependencies will be set up in the scheduler.

PeopleSoft Process Definitions will be created for processes and reports that are run by the users. This will be determined on a case by case basis. The run control pages for the user processes and reports will be attached to new or existing components, and new components will be added to appropriate menus. Permission list security access will be given to the new run control page(s) in new components.

This discussion will briefly cover the PeopleSoft Process Scheduler. A detailed discussion will cover any other third party scheduling tool in a separate document.

The Process Scheduler Manager is a centralized tool that enables application Developers, system administrators, and application users to manage PeopleSoft batch processors. Using the PIA, you can access a list of processes through a Web browser and queue and execute process requests. Process Requests using the Internet Architecture have the added functionality of new distribution options that enable you to distribute output in different formats to other users based on their user ID or their role.

The following tasks can be performed using the Process Scheduler:

- Schedule recurring processes.
- Create jobs (groups of processes)
- Schedule a job to run several processes, and, conditionally, schedule successive processes based on the status of a previous process in the job.
- Schedule a process request to run on any date or time interval that your business requires, such as monthly, daily, hourly, or even by the minute.

You can schedule processes to run locally on a client workstation or remotely on a database server. Once a scheduled process begins, Process Monitor enables you to monitor the status of the batch process and view generated files/reports.

•

Testing:

The developer will perform unit testing in the development environment to make sure the individual programs and object changes perform successfully and with accuracy. After the unit test is completed, the developer will request the projects and programs be migrated to a user testing environment and perform basic functional tests to verify the project was moved successfully. When the migration is complete, the changes are ready for user testing.

At the present moment, a decision has not been made whether the City will be using a third-party testing tool like Mercury LoadRunner for PeopleSoft. A tool provides the following benefits:

- Emulates thousands of users with different business processes.
- Pinpoints network and server problems.
- Provides consistent, repeatable, and measurable results.

Another product, the Mercury TestDirector, can be used to organize and manage the testing process. This provides the following advantages:

- Organizes all testing activities to accelerate the testing process.
- Stores all test information in a single repository for reusability, (manual, automated, and load tests, defect tracking, and test runs)
- Is a scalable workgroup tool useable by the entire implementation team.

Typically, testing involves four phases: Preparation, Development, Execution, and Results Summary.

- Preparation – The first phase is Preparation. This includes tasks like planning, design, environment setup, and product training.
- Development – The second phase, Development, is to create the scenario and test scripts that will be run to load the system.
- Execution/Analysis – The third phase, Execution/Analysis, is to run the scenario. The data gathered during the run is used to analyze system performance, develop suggestions for system improvement, and implement those improvements. The scenario may be iteratively re-run to achieve load test goals.
- Results Summary –The last phase is Results Summary. The purpose is to report the outcome of the work performed for the load test.

City of Albuquerque ERP

TESTING STRATEGY

Project Reference: Phase 1 Planning and Analysis

Change History

Date	Author	Version	Change Reference
1/24/2007	Jeff Kehoe		Original Draft

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TESTING OBJECTIVES

Testing is a key component of any successful project. Prior to going live on a new system and a new set of processes, you need to develop a sound testing process to be sure the system is ready to support the users. How much testing depends on several factors, including how many customizations have been done to the software, the number of interfaces, conversions performed and reports that have been developed. Obviously, it is better to find any defects in the developed system up front in the testing of the system, rather than after go live.

In general, the primary objective of tests are:

- Verify the solution will meet the business needs
- Ensure that the new system and processes are reliable
- Ensure the quality of the new system and the related processes

In order to meet these objectives, one needs to ensure that the entire system has been formally tested and the functionality, operations, procedures, performance, usability and maintainability have all been reviewed. The final stage of testing and where all the objectives can be assured that they have been met is in User Acceptance Testing. Without successful User Acceptance Tests, the system may be a technology success, but not meet the users needs and therefore is a failure.

The testing process defines the different activities that will need to be completed before the software can be moved into production. This process defines the steps necessary to move the software from the development environment through testing and ultimately into production. While this document describes this process largely from an entire project implementation perspective, this same process can be followed for the more routine development processes.

The testing process should focus on the following:

- Early Error Detection: The earlier the problem is found the less costly it is to fix.

- A Stable Environment: No one would want to risk a successful project with an unstable environment.

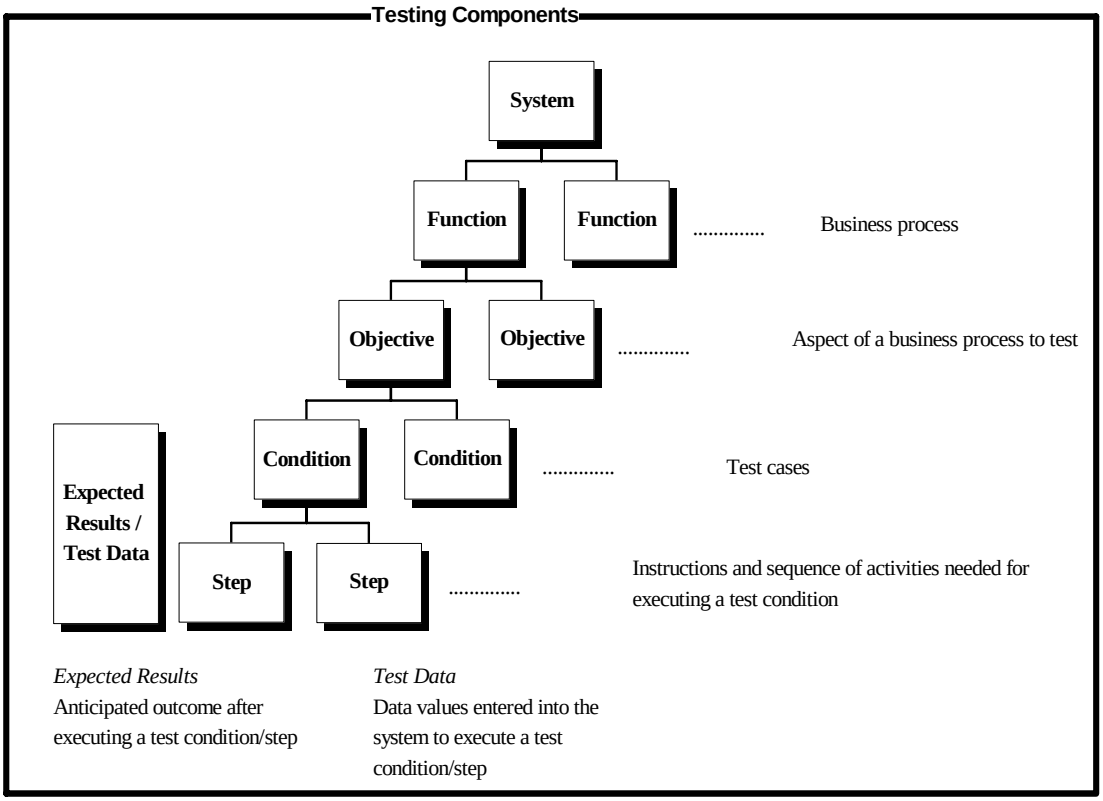
- Quick Turnaround in Error Correction: Quick turnaround is essential to maintain test cycle schedules.

- User Review and Approval: As noted above, without user buy-in that they are being delivered what is needed and desired a project can be a technical success, but be failure as it is not what the users require.

TESTING APPROACH

This document will describe the overall Test Strategy.

Testing Components



Function Functions serve as a high level outline of the major business processes for the system. Examples include new hire benefits data entry and year-end open-enrollment processing.

Objective Objectives serve to:

- Direct the focus for the development of conditions and expected results;
- Ensure all major functions and interfaces are addressed in the test plans;
- Communicate to the business partners and project management the scope of testing;
- Verify the acceptance criteria will be met by the tested system; and

- Provide the test team with a better, more detailed understanding of the system functionality.

Condition Test cases that identify critical combinations of activities that support a defined objective. Typical conditions should consider (but are not limited to) processing of valid and invalid data, access capabilities, output accuracy, etc.

Test Step The instructions and sequence of activities needed to execute a test condition. Prototyping business process diagrams may be used as an input to the test step development process.

Test Data The data elements that will be entered into the system to execute test conditions. Production-like data elements will be used whenever possible. Artificially created data will be used to test unique test conditions as necessary (i.e. invalid data conditions). Test data use will be carefully managed to assist the integrity of test results.

Expected Results The anticipated outcome of a test condition, given the test steps and data entered. Expected results are used as objective standards in test execution to conclude whether the actual result of a test condition meets expectations.

SYSTEM TESTING PROCEDURES

Producing a record of the events that occurred during system testing is important since it leaves behind an explanation of how the system works and what changes were required during system testing. This information will remain to allow for future system testing of PeopleSoft upgrades or re-testing existing functionality due to additional PeopleSoft modules being put into production at a later date.

These steps include:

⇒ Developing Test Plans (including formats and standards)
⇒ Test Plan Execution
⇒ Conducting System Testing
⇒ TPR (Test Problem Report) Procedures

EXIT CRITERIA

The test plans that each team builds set the ground for acceptance of the system. The leads should carefully review the test plans, as they will eventually constitute the acceptance criteria. The exit criteria for each test will be the successful completion and verification of each Test Cycle and Test Steps within it. As testing is done, a responsible party will verify and initial, either physically or electronically, the expected results of each Test Step. A verification of all the steps will be necessary for a particular set of testing to be deemed complete.

Approach

The testing phases listed in the table below will be executed throughout several testing cycles.

Phase	Description
Unit Test	The unit test is a stand-alone testing of program modules as they are developed. The developers and/or programmers should complete unit tests. By the time a module is successfully unit tested, there should be a high degree of technical reliability and it should demonstrate its compliance with the functional and technical specifications.
Conversion Test	• Execute “Mock” Conversions • Validate Conversion Results • Use Converted Data Later In Process Testing, Where Appropriate And Available
Functional/ System Test	Functional/System Testing is done to ensure that each requirement or function performs as documented, in the specification, and that any customization conforms to the base application. Functional/System Testing concentrates on testing the business processes and is organized into Test Cycles that match business-processing cycles. Functional tests validate that the product (both "vanilla" and customized) functions as documented. Test All Appropriate Business Functions Within Each Specific Module To: • Validate Proper Application Setup And Configuration • Use And Continue to Validate Converted Data • Verify Each Enhancement Functions Properly • Validate All Applicable Reporting • Verify All First Level Interfaces Function As Designed • Validate Correct Interaction Between Modules • Test All Appropriate Business Functions Across Modules • Use Data Created In Previous Tests, Where Appropriate, For Efficiency • Verify Proper Functioning Of Interfaces Between All Modules • Verify Necessary Business Functions Process Successfully End-To-End • Validate All Applicable Reporting
User Acceptance Testing	User Acceptance Tests allow the end user to validate that the system is performing correctly and according to previously identified requirements. It is a user-oriented test of the business functionality that the system should deliver. The test team that

	performs user acceptance testing will be composed primarily of end users.
Stress/Performance Testing	Stress/Performance Tests allow the end user to validate that the system is able to perform at a level that is sufficient to meet online and batch processing requirements. This is both for single processes and for the combined system as a whole. Often Stress and Performance are separated into separate tests, but for this project it is expected that they will be combined into one test set.

Overall Testing Schedule

Testing Phase	Persons Responsible	Start Date	End date
Unit Test	Developer	Ongoing during development	Ongoing during development
Unit Conversion Testing	Technical Analysts, Functional Analysts and SMEs	Iterative during conversion	Iterative during conversion
Conversion required for preparation of all other testing environments such as “TST” and “QA”	Technical Analysts, Functional Analysts and SMEs	(Insert Date)	(Insert Date)
Conversion Snapshot for preparation of all other testing environments such as “TST” and “QA”	Functional Analyst	(Insert Date)	(Insert Date)
Functional/System Test	Functional Analysts and SMEs	(Insert Date)	(Insert Date)
User Acceptance Testing	SMEs	(Insert Date)	(Insert Date)
Stress/Performance Testing	Technical Analysts, Functional Analysts and SMEs	(Insert Date)	(Insert Date)

Approach

Roles & Responsibilities

The roles for the members of this testing team and their responsibilities include:

Lead Analyst

- Communicate test requirements information between all team members
- Identify all business functions to be tested, including those with special test requirements (for example functions with key volume thresholds, like check print runs which must be able to process 1,000+ checks in one run.)
- Identify all business functions to be tested, including those with special test requirements (for example functions with key volume thresholds, like check print runs which must be able to process 1,000+ checks in one run.)
- Coordinate and/or perform testing at all levels for a given application suite module, including data verification and reviewing test tool reports
- Ensure that appropriate data is available in each database for that test level (including recreation of appropriate data for re-testing after defect resolution)
- Identify any other testers from the team and provide support and direction for them
- Coordinate resolution of system defects identified in testing
- Facilitate prompt resolution of Defects and Issues identified in testing
- Schedule Status Meetings and Participate in appropriate testing meetings
- Updating Test Plan and Test Schedule

Analyst (includes IT Analysts, and Functional Analysts)

- Provides support for User Acceptance Testing. Assists SMEs in writing test scripts and in the execution of User Acceptance Testing for their given area of responsibility.
- Reports testing errors to Lead Analyst and ensures testing signoff with SMEs in their assigned areas. This includes, but is not limited to, PeopleSoft functionality, customizations, conversions, interfaces and reports.
- Works with users to perform system testing in PeopleSoft functionality, customizations, conversions, interfaces and reports. Also, performs regression testing.
- Ensures end user training and support documentation signoff with SMEs.
- Setting up employees as necessary in test database.

Subject Matter Expert

- Writing test scripts and performing hands-on User Acceptance Testing for their given area of responsibility.
- Reports testing errors to Lead Analyst and is responsible for signoff of User Acceptance Testing in their assigned areas. This includes, but is not limited to, ERP functionality, customizations, conversions, interfaces and reports.
- Performs the testing of the end user documentation during User Acceptance Testing.
- Sign off on end user training and documentation.
- Sign off of test script inventory, ensuring that all test cases/scenarios have been accounted for.

Project Manager

- Ensures the quality of testing and sign off of training and support documentation.
- Manages all phases of testing through to user signoff.

Tools

It is recommended to use automated testing tools to facilitate these several testing cycles. These automated tools can be used for developing and documenting test plans, running test and defect tracking and running of automated tests.

One example of such a suite of tools is delivered by Mercury Interactive. A short description of each tool is given below:

TestDirector is an integrated enterprise application for organizing and managing the entire testing process. It enables all members of the IT organization to coordinate their testing efforts and control testing projects at every step of the quality cycle, from test planning through execution to defect management.

WinRunner is an enterprise functional testing tool that verifies applications work as expected. By capturing, verifying and replaying user interactions automatically, WinRunner identifies defects and simplifies building test scripts, which remain reliable throughout the lifecycle.

If no automated tool is available, it will be important to create test case documentation that can be used over and over with reliable sets of test data and expected results. These documents will need to be a step-by-step guide that outlines all the components that the user will be expected to execute and track results. This is an often used and acceptable test method, it simply requires more manual effort and time to complete the tests once the execution has begun.

Environment

Preliminary Setup Requirements:
A copy of the upgraded version 8.9 Production Database including employees is needed. Different instances of the database will be set-up for different phases of testing.

> **Unit Testing:** Unit testing for Reports, Interfaces, and Enhancements will be done on the development instance. Unit testing for Conversion will be done on a separate Conversion instance.
>
> **System Testing:** Functional System testing will be done on a new System-testing instance (TST).
>
> **User Acceptance Testing:** UAT testing will be done on a new System-testing instance (TST).

User-IDs:
User ID's are needed for Security. User ID's are will need to be created in each Test Environment.

Logistics:
A dedicated training room or conference room is recommended to be used for all testing and printing of test results. Several test team members can work together during the different phases of testing in this dedicated room. The room should have multiple pc's that can be used simultaneously during each testing cycle by the testers. Test scripts will be divided among users based on individual conditions.

Support:
The Analysts will review the error report each night. Development will be involved in error resolution on an as-needed basis and re-test performed when fixes are complete.

TESTING GUIDELINES

As the project moves forward, the team will work to create guiding principles, procedures, and templates to facilitate a level of consistency and standardization for the Testing Process across modules, teams, and suites. Generally these guidelines will be developed as individual articles and once finalized the information will be included in this Strategy Document. The current Guidelines cover:

TEST PLANNING

ERROR TRACKING

SIGNOFF

DEFINITION OF TERMS

Test Planning

The team will use Test Plans to facilitate test execution. Detailed steps for test execution, test data, and expected results will be defined for each test condition using either Test Steps (manual tests) or Test Scripts (automated tests). These documents, grouped appropriately, will provide instructions for the execution of Test Runs. Using these structured documents will ensure a more complete test plan and more comprehensive testing. The design of these Test Step/Scripts will be focused on areas impacted by design requirements. Test conditions related strictly to delivered package functionality, and not input to or downstream from impacted functions, will not be the focus of testing.

Templates for planning tests and developing test steps follow. Information to enable filling them out is included in the template.

Test Plan Development

Tests will be organized and executed in units called **runs**. Test Runs can be for a particular process or can span processes.

To develop test plans major **Business Functions** will be identified. For each of these functions, specific features should be identified which encompass one or more processing activities or transactions. These features will be called **Test Subjects**. These Test Subjects should address functional requirements.

Processes to validate the systems modules are created at **Test Subject** level. For each Test Subject, scenarios will be identified to verify the various possible results of performing the activity. These **Scenarios** or **Tests** should include both negative and positive results. For example, for a test subject like entering a new hire, a test should be created to enter all required fields correctly (a positive result). Tests should also be created to validate that the system will not accept inappropriate data, i.e. FSA amount over limit, overage dependent, etc.

Next, **Test Step** documents will be created. If the Mercury Interactive Win Runner tool is used, the execution steps and their expected results are identified for each defined test. The execution steps detail the navigation paths and values that need to be entered. During the test execution actual results are compared to expected results to verify the success or failure of

the Test. Where manual tests are used, the Test Steps will include execution steps and a general description of the expected data result.

Test Case Form

The blank test case form is as follows:

TEST SCRIPT

Application:
Task ID: Task Name :

Contacts	Name	Phone	E-Mail	Complete Date
Documented By				
Reviewed By				
Approved by (Client)				
Executed by				
Put in automated library by				

List Supporting Attachments/References (attached copies of automated script, screen prints, reports, other test output, spreadsheets containing additional data in pattern that matches entry)

Name	Description	Reference Number

Purpose:

Prerequisites:

STEP	DESCRIPTION	EXPECTED RESULTS	COMMENTS/ ACTUAL RESULTS

Guideline – Test Planning
The Test Script Summary Template

QA will complete a Test Script Inventory that will list all test scripts.

Test Script Name	Test Script Number	Approval
(insert script name)		

Error Tracking

1. All defects will be identified, tracked, corrected and retested whenever found during any type of testing.

2. The Lead Analyst will review all errors on a daily basis, assign an error severity and priority code (1 = Low, 2 = Medium, 3 = High) and complete a Test Problem Form.

3. The Lead Analyst will enter the error into a tracking spreadsheet or database and put the Test Problem Form into a notebook.

4. The Lead Analyst will produce the Error Summary Report.

5. The Lead Analyst will coordinate error resolution with the IT analysts and development.

6. After resolution of the error, the Analysts/SMEs will validate that the error has been fixed, give this information to the Project Manager and work with the user to ensure a re-test is completed.

7. The Lead Analyst will enter updated information for the error into the error tracking spreadsheet or database and close the error, if appropriate.

Test Problem Form

The Test Problem form is completed by the Analyst or SME and given to the Lead Analyst.

An example of the Test Problem form is as follows:

Summary - The system accepted the employee without an enrollment form	
Detected By -	**Test Set -** N/A
Detected In Version - 1.0	**Project** – The World on PeopleSoft
Detected On Date - 8/15/2006	**Subject -**
Assigned To - I. Emma Greatestor	**Severity** (1=Low, 2=Medium, 3=High) - 2
Status - Open	**Priority** (1=Low, 2=Medium, 3=High) - 2
Defect Type - software	**Script -** HRBA1000
SAR - N/A	
Description of the error- The system accepted the employee without an enrollment form.	
Attachments (screen prints) - refer to attached screen prints of this error.	

Signoff

A Sign-Off Form is completed after all of the testing is done and approved by the Users and the Lead Analyst.

A sample of the Sign-Off Form is as follows:

Sign-Off Form	
This form, once signed and dated, signifies that a program or system has been tested, reviewed and approved. The Business Analyst's signature indicates that he/she has fully tested the program/system and is confident of the results. It further indicates that he/she has gone over the test results with the End User and has answered any questions concerning the test results. The SMEs signature indicates that he/she has reviewed the program/system test results and gives his/her approval.	
SME:	**Date:**
Lead Analyst:	**Date:**
Project Manager:	**Date:**
Comments:	

Definitions

Most people who have been involved in a testing event find that it is important to have clear definitions of the terms that are typically encountered during any discussion of testing. The following list documents some of the more common terms, as they will be used in the Project test effort. **NOTE: Some of these meanings probably are different from the way you used the terms on other projects. This is a negotiated set of definitions compiled by persons from many different backgrounds.**

Acceptance Testing: Normally, the final, formal level of testing for a system. During this stage, the system owners determine whether the system operates according to its basic overall business requirements.

Business Function: A part of the system application that represents a primary business process. For example, in the Benefits Administration application of the HRMS system, one high-level business function is Benefit Election Entry. In the Human Resources application of the HR system, a high-level business process is Employee Entry.

Enterprise System: (a.k.a. ERP) A series of software modules which integrate the computer processing of multiple business functions. For example, the PeopleSoft HRMS suite handles Employee Data Maintenance processing as well as Payroll and basic Benefits in an integrated style. This integration allows sharing of data wherever possible, instead of passing information files back and forth and maintaining master files in multiple places.

Entry Criteria: Conditions that mark the initialization of a testing level. These conditions consist of those items that must be in place before a testing level can commence. Examples of entry criteria are a test environment properly prepared for specific tests or completed test cases for that test level, etc.

Exit Criteria: Required elements that mark the completion of a testing level. Exit criteria include kinds of test or levels of validated functionality that must be finalized before testing can move to the next level.

First Level Interfaces: Data, usually in a file, which is input to or output from the specific application or processing module that is being tested. The input interfaces and output interfaces are independent of each other. 'First-Level' indicates that the processes that create input files or that use output files are

not relevant to the immediate testing scenario. (used in *unit* and *process testing*)

Infrastructure Testing: Processes and procedures used to validate the hardware and software configurations after the hardware is moved or installed.

LoadRunner: A product of Mercury Interactive. It is a volume-testing tool that predicts system behavior and performance. It exercises an entire enterprise infrastructure by emulating many users working at once to identify and isolate problems. (Not a part of Mercury Interactive TestSuite and not expected to be used in the first Wave of Project Journey.)

Mercury Interactive TestSuite: A group of testing tools that will be used to support the project Journey testing process and will be used for developing and documenting test plans, running test and tracking defects.

Mock Conversion: A conversion effort that mimics the final conversion effort, using the same source files etc. as will be used in pre-production conversion. Emphasis is placed on scheduling of conversion processes, accuracy of converted data, and initial usability of the system/data combination.

Module: A part of the application systems, i.e., PeopleSoft, that handles processing for a business group, even though the pieces of the module are inextricably linked to the rest of the modules in the system. I.e., in Human Resources, the Payroll module is the portion of the system that provides data and technological support for a business' Payroll department.

Patch Test: A series of regression tests, performed to verify that the system behaves as required after a software patch from the vendor is applied to the application software.

Priority (Defect): Priority is a subjective description of the importance of a business function or process to a particular application module. In Defect Tracking it is used as part of the documentation of an unexpected result. The 3 levels of Priority are:

Level Name	Description/Criteria
1-High	Critical functionality for the application module. Must be in place and working day one of production.
2-Medium	Important functionality to the application module. Must be in

	place and working within 30 days of go-live.
3-Low	Non critical functionality. Can be implemented beyond 30 days or can workaround for 60-90 days.

Process Team: The group of people charged with implementation of business modules for the project. The group is made up of functional and technical resources and is headed by the Test Team Lead.

System Test: (a.k.a. - Functional test) A series of tests which validate that a software module and its first level or immediate interfaces perform as designed. (I.e., tests of the HR Payroll module, including the Human Resource interface (input) and the Payroll Interface feed to external Payroll Agencies (output).)

Regression Testing: The repetition of tests with known results to ensure that:

- All changes and enhancements have been correctly made
- All code unit errors have been resolved
- No new defects have been introduced into the code

Regression testing is not a stand-alone testing unit and will occur as a part of any other testing track.

RICE Testing: A strategy in which the testing focus is on validating Reports, Interfaces, Conversions, and Enhancements as opposed to focusing on verifying core, delivered functionality. This strategy will be employed in various levels of tests, particularly Unit test.

Stress Testing: (a.k.a. – Volume Test) Tests that attempt to verify that the system will not fail under extreme input loads. The system is loaded beyond client volume requirements to determine if hardware and network configurations are appropriately set. Critical business processes will be tested with production volumes where required.

Test Iteration: The amount of time allotted within each test phase to conduct a full series of tests before the instance is refreshed.

Test Phase: Each type of testing (System, Payroll Deduction, User Acceptance Testing, etc.) is a different phase of the testing process.

Test Subject: A part of a system function that will be tested, a.k.a., sub-function. For example, within the function of Employee Maintenance in the HR system, adding a New Employee is a Test Subject

Definition of Terms

Test: A process or procedure designed to validate the functionality of a specific system requirement using pre-defined conditions and expected results known as *Test Steps* and *Test Scripts.*

Test Run: A string of ordered tests and associated test data combined into groups. These tests must be tested in a logical sequence to keep the planning process simple and facilitate detection of problems.

Test Director: A product of Mercury Interactive and part of the Test Suite test tool package. It is an integrated enterprise application for organizing and managing the entire testing process. It enables all members of the testing groups to coordinate their testing efforts and control testing projects at every step of the quality cycle, from test planning through execution to defect management.

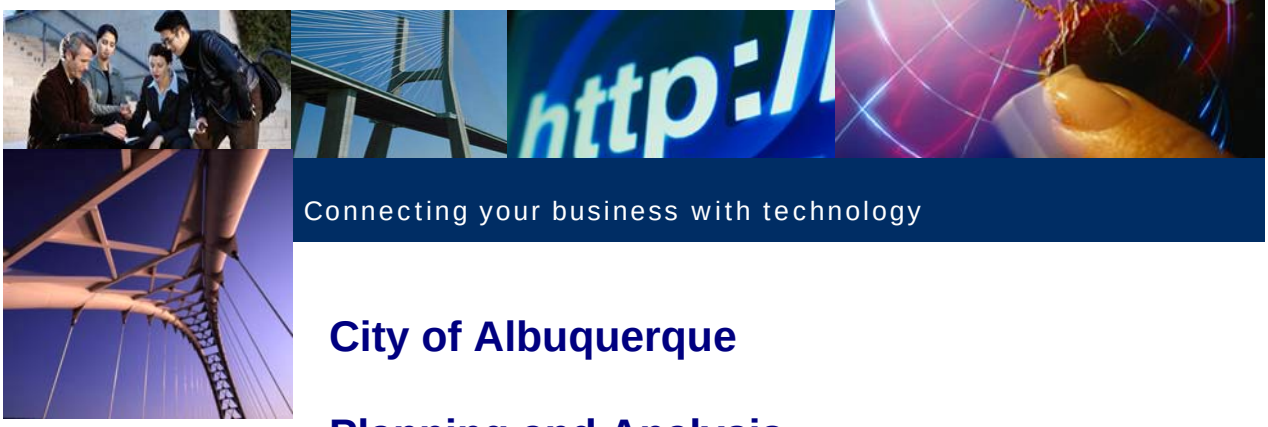
Test Plan: The formalized structure describing the *Business Processes*, *functions, Test Subjects, Test Steps,* and *Test Scripts* involved in any level of validating the system and its components.

Test Script: An automated process created by the tester using Mercury Interactives' WinRunner that emulate the physical process of performing a manually entered test.

Test Steps: A listing of activities and their expected results that define any given *test*.

Unit Test: A series of tests that are driven by development tasks during the construction phase of the project. These tests are used to verify that specific custom solutions perform as designed.

WinRunner: A product of Mercury Interactive and part of the Test Suite test tool package. It is a functional testing tool that verifies applications work as expected. By capturing, verifying and replaying user interactions automatically, WinRunner identifies defects and ensures that business processes, which span across multiple applications and databases.



Connecting your business with technology

City of Albuquerque

Planning and Analysis
Fit Gap Summary
Time and Labor
January 2007

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1 Fit Gap Approach and Overview

The goal of Fit/Gap sessions is to demonstrate delivered functionality and to identify required business capabilities not met by vanilla functionality. Vanilla functionality is clean and non-customized. The Fit/Gap sessions provide stake-holders and subject matter experts (SME's) with an opportunity to view how Time and Labor can meet their needs.

PeopleSoft Time and Labor is a timekeeping and scheduling system providing end-users with flexible online time reporting tools. The initial approach to the Fit/Gap sessions involved reviewing current business processes, the City's seven Collective Agreements, and its Rules and Regulations. Potential Gaps were identified during the initial review and were fully identified during meetings with the City's Payroll SME. Additional Gaps were realized during a meeting identifying the City's current 'Leaves' and Comp Time type leaves. Meeting attendees included: City Payroll SME, City Human Resources and Benefits SME's, City Organizational Change Management person, SkyBridge Global consultants for HR and Benefits, Payroll, and Time and Labor.

The Fit/Gap sessions were designed to demonstrate how the City's current and future business processes can be accommodated with delivered Time and Labor functionality. The sessions were presented in an open forum so that attendees could ask questions as they arose. Further more, it provided the audience with the opportunity to identify Gaps that hadn't already been identified.

Four Time and Labor Fit/Gap sessions were held over a two-week span. The sessions were planned to accommodate Payroll processing deadlines, ensuring Central Payroll staff could attend. Handouts were provided at each session including a Time and Labor terminology sheet. Fit/Gap sessions covered:

- Table Setup
- Using Time and Labor
- Review of Identified Requirements
- Review of Identified Gaps

Handouts provided during Fit/Gap sessions included:

- Time & Labor and Payroll Process Flow Chart
- Time & Labor Flow Chart
- Time and Labor Terminology
- Fit/Gap Tables
- Fit/Gap Using Time and Labor

2 Session Attendees and Role

Session Attendee	Attendee #	Role	Department
Sara James	1	Time & Labor Consultant	SkyBridge
Kay Read	2	Payroll Consultant	SkyBridge
Laurice Chappell	3	Payroll Supervisor	ISD ERP
Tim Skelton	4	System Analyst II	ISD ERP
MyChelle Andrews	5	System Analyst I	ISD ERP
Barbara Portzline	6	Organizational Change Management	SkyBridge
Stan Low	7	City ERP Project Manager	ISD ERP
Jeff Kehoe	8	SkyBridge Project Manager	SkyBridge
Cheryl Puterbaugh	9	Project Change Management	ISD ERP
Sarah Williamson	10	Accounting Systems Specialist	Central Payroll
Mary Lou Harris	11	Functional Budget/Commitment Control Lead	Central Payroll
Patrick Petracca	12	Human Resources	ISD ERP
Shelly Summerour	13	Human Resources/Benefits Consultant	ISD ERP
Jannan Stewart	14	Payroll Tech	SkyBridge
Roberta Padilla	15	Payroll Tech	Central Payroll
Carol Scurlock-Garcia	16	Human Resources/Benefits	Central Payroll
Elaine Padilla	17	Functional GL Lead	ISD ERP
Stephanie Sanchez	18	Payroll Tech	Central Payroll

3 Session Dates

Session Date	Topics	Notes	Attendees
01/16/07	Time and Labor Table setup	Core HRMS Installation Table, Time and Labor Installation Table, Pay System, Time Periods, Time Reporting, Time Reporting Templates, Custom and Delivered Rules, Workgroups, Compensatory Time Off, Override Reasons, Overtime Limits, Task Tables, Value Lists, Schedules, Validations, Exceptions, Dynamic and Static Groups, Time and Labor Security, Chartfield Set Up, and Time Administration Statistics. Provided hand-outs that included Table names, navigation, basic details regarding setup, and Time and Labor terminology.	1, 2, 3, 4, 5, 6, 7, 8
01/29/07	Using Time and Labor	Enroll a person in Time and Labor (Time Reporter Data), Maintain Time Reporter Data, Dynamic Group Refresh, Enroll in Compensatory Time Off Plans, Assign to a Schedule, Manage Schedules, Timesheets, Time Entry Edits, and Prior Period Adjustments. Provided hand-outs that included navigation for using Time and Labor, examples of delivered reports, Time and Labor flow charts, and Time and Labor terminology.	1, 2, 3, 4, 6, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17
01/30/07	Using Time and Labor	Review of: Creating and Maintaining Time Reporter Data, Dynamic Group Refresh, Enrolling in Compensatory Time Off Plans, Assigning to a Schedule, Managing Schedules, and Timesheets. Mass Time Reporting, Rapid Time Reporting, Time Administration, Approvals, Exceptions, Audits, Queries, View Time, Override Rules, Accumulators, Record Only Adjustments, Prior Period Adjustments, delivered Reports, Lock/Unlock Users, and Distributed Time Entry.	1, 2, 3, 4, 7, 9, 10, 12, 13, 16, 18,
01/31/07	Review of Identified Requirements/Gaps	Reviewed all identified requirements and Gaps. Noted potential new Gaps.	2, 4

4 Data Used

A prototype was established for the purposes of demonstrating Time and Labor capabilities to the target audience during the Fit/Gap sessions. The prototype provided the target audience with a visual of how Time and Labor can meet their current business processes. Additionally, the prototype was developed to reveal how Time and Labor can meet needs not met by their current system.

Analysis of current business processes revealed that Payroll and Time and Labor share the same target audience. For the purposes of demonstrating their relationship, one prototype was developed for both modules.

Development of the prototype was limited due to stand-alone Fit/Gap sessions for each of the modules. Prototypes were developed independently, impacting the ability to show the inter-relationships between Time and Labor and HR and Finance modules. Time limitations dictated the stand-alone approach.

A table detailing prototype setup and data used during the Fit/Gap sessions is included in Appendix A.

5 Significant Gaps

Gaps detailed below were identified during Business Analysis, Fit/Gap sessions, and discussions with City SME's and SkyBridge consultants. All are significant and cannot be met by delivered functionality using the same businesses processes used by the City today.

A change in business process(es) could eliminate one or more of the identified Gaps. Please note that Gaps may move from Time and Labor to Payroll, Human Resources, or Benefits during the Design phase.

Birthday

Each year, employees accrue a paid day off in recognition of their Birthday. The City's current system, Empath, automatically grants employees a total of eight (8) hours for their Birthday on the day of their Birthday. The number of hours, to which an employee is entitled, is dependant upon the employee's schedule at the time of usage and not at the time of accrual. When an employee takes their paid day in recognition of their Birthday, the day is adjusted if they work a schedule other than an eight (8) hour day.

Employees have one year in which to use their accrued Birthday; if it is not used it is lost. The accrued hours are removed from the employee's bucket; they are not paid out. At the same time the employee's bucket is depleted of the previous year's accrual, it is re-populated with the current year's Birthday entitlement.

Employees can use their entitlement for year "XXXX" on the last day for which it is valid and then accrue and use their entitlement for year "YYYY" the next day.

Example:

- Employee's Birthday is April 2nd.
- The employee accrues eight (8) hours for their 2006 Birthday on April 2nd, 2006.
- The employee uses their Birthday on April 1st, 2007 (the day before expiration).
- Eight (8) hours are populated into their Birthday bucket April 2nd, 2007.
- The employee uses their 2007 Birthday on April 2nd, 2007.

An employee's Birthday is paid at their regular rate of pay (straight time) whether it is worked or taken as a paid day off unless the employee is a member of the Bus, Fire, or Security/Animal Control union.

The Bus, Fire, and Security/Animal Control unions recognize an employee's Birthday as a legal Holiday and therefore apply Holiday rules to the employee's Birthday. Holiday rules include overtime pay if the employee works on the Holiday.

The Gap resides in two areas: the accrual process and the number of hours accrued. Neither can be accommodated via delivered Time and Labor functionality.

Suggested Solutions

Accrual Process– Create an SQR that looks at Active employees' Date of Birth on Personal Data and awards them a day on their Birthday. The awarded (accrued) day populates in the employee's Birthday Compensatory Time Off Plan and has an Expiration Period equivalent to one year from date of accrual. Schedule the SQR to run at 12:01 AM every day, ensuring correct expiration date applied to the awarded day.

Hours Awarded (Accrued) – A. Obtain MOU's for each union and those employees covered under Rules and Regulations, stating that all entitled employees to receive eight (8) hours for their Birthday regardless of their schedule at the time of accrual or at the time the paid day is used.

Hours Awarded (Accrued) – B. Create a Birthday hours awarded adjustment Time Reporting Code that can be used to top-up awarded hours if employees continue to receive awarded Birthday hours based upon current schedule. Use of the TRC occurs only on day the employee utilizes their paid Birthday off. The adjustment TRC would have an Earned effect on the employee's Birthday Compensatory Time Off Plan and therefore, should only be entered the day the employee uses their Birthday ensuring the adjusted day doesn't remain in the Plan with an Expiration Period effective one year after date of entry.

Comp Time

Employees currently receive Compensatory Time Off in one of two ways, it is awarded to them or they earn it. Most of the unions require that employees use their accrued Comp Time within a defined period; if it is not used it is then paid out. The Collective Agreements and Rules and Regulations require that Comp Time is paid out within a specified time frame, within one or two pay periods of the retention date.

The Bus union has very specific accrual and retention parameters. Employees can only accrue Comp Time during the State Fair, Balloon Fiesta, and Luminaria Tour and are restricted to a maximum accrual of forty (40) hours. Comp Time must be used by April 1st of the following year; if it is not used it is paid out the following pay period.

Two Comp Time Gaps have been identified – the payout of Comp Time that has expired and the limitation of Comp Time accrual during specific events.

Suggested Solutions

Expired Time Payout – This can be accommodated with a change in business process and likely, an MOU for each Collective Agreement and employees that fall within Rules and Regulations. The business process change would require the weekly or bi-weekly generation of a query detailing Compensatory Time Off due to expire the following pay period. Access to the query can be provided to Timekeepers who can verify if the time is scheduled off prior to expiration; if it hasn't been scheduled, the Timekeeper can enter the time as a pay out prior to the expiration.

Example:

- Employee has 12.00 hrs Comp Time with an Expiration Date 05/05/2007
- Query generated 04/21/2007 details the time due to expire 05/05/2007
- Timekeeper verifies time hasn't been scheduled off and enters time to be paid out on 05/04/2007

Bus Comp Time Limitation – The State Fair occurs in September, the Balloon Fiesta in October, and the Luminaria Tour in December; restricting accrual to specific times during each of the noted months is difficult due to the fact the dates are variable. Possible solution is to obtain an MOU removing the time period accrual restrictions and implementing a maximum accrual per year with an Expiration Period of six months.

Workgroup

Delivered functionality provides the option of assigning a default Compensatory Time Off Plan to Workgroups. Every employee enrolled in the Workgroup is automatically enrolled in the default Compensatory Time Off Plan. To meet City business requirements, employees need to be enrolled in more than one Compensatory Time Off Plan.

The Gap exists within the limitations of the Workgroup table; only one default Comp Plan can be assigned to a Workgroup.

Suggested Solution

Enrollment – There isn't a delivered process to enroll an employee in several Compensatory Time Off Plans with one process. One potential option would be to create a custom Comp Plan enrollment process, which would enroll an employee in several Compensatory Time Off Plans with an applicable Effective Date. The Comp Plan an employee should be enrolled in would be determined by their Workgroup. The Run Control for the process might include a Workgroup and Effective Date fields.

Floated Holiday

Holiday's can be floated by an employee if they work on the Holiday and choose not to be immediately compensated. Holidays can be floated at straight time or at time-and-a-half depending on how the employee is compensated for the day and whether or not they asked to work on the Holiday. Floated Holidays must be used within the retention period specified in their Collective Agreement or in Rules and Regulations; if it is not used it is paid out to the employee within the time frame specified in their Collective Agreement or Rules and Regulations.

The Police union provides employees with the option of converting a Floated Holiday to Vacation Time.

One Floated Holiday Gap has been identified – the payout of Comp Time that has expired.

Suggested Solutions

Float Holiday – A Holiday can be floated through the creation of one of more rules accommodating the different payments options provided to employees in the Collective Agreements.

Expired Time Payout – This can be accommodated with a change in business process and likely, an MOU for each Collective Agreement and employees that fall within Rules and Regulations. The business process change would require the weekly or bi-weekly generation of a query detailing Compensatory Time Off due to expire the following pay period. Access to the query can be provided to Timekeepers who can verify if the time is scheduled off prior to expiration; if it hasn't been scheduled, the Timekeeper can enter the time as a pay out prior to the expiration.

Holiday Converted to Vacation – Time Reporting Code mapped to a Vacation Earnings Code that adds to the employee's Vacation Leave accrual. Please note: TL_COMPLEAV_TBL requires testing ensuring correct effect on balances and validations.

FMLA

Employee FMLA time, which can vary from a few hours to several weeks, is limited to 480 hours per rolling year. Vacation and Sick leave can be considered FMLA time and must be recorded as such. Eligibility requirements must be met for an employee to be entitled to FMLA.

Any employee can use Comp Time for FMLA leave, but the Police union Collective Agreement specifically addresses the usage. Management union employees can use Donated Leave for FMLA leave. Injury Time, which has a limit of 960 hours per injury, is charged to FMLA leave.

FMLA Leave was identified as a Gap during a meeting on Leaves; during the meeting it was determined that FMLA Leave likely would reside in Time and Labor. The FMLA Time and Labor Gap should be a temporary Gap – current intention is to not import historical Empath data into Time and Labor.

FMLA can be accommodated in Time and Labor via the creation and use of:

- FMLA specific TRC's.
- FMLA Accumulator.
- FMLA queries.

Holiday

Holiday pay rules and requirements vary greatly between the seven Collective Agreements and Rules and Regulations. The majority of the requirements can be met through creation of Time Reporting Codes, Rules, and Compensatory Time Off Plans.

Three Gaps have been identified, two of which have been identified for employees within the Bus Union.

The first Gap – employees within the Bus Union can to take an Alternate Holiday for Veteran's Day and President's Day. Alternate days cannot be accommodated with delivered functionality.

The second Gap – employees within the Bus Union not entitled to Holiday pay if they are tardy twelve (12) minutes or more the day before or the day after the Holiday.

The third Gap – applicable to employees within the Clerical and Management Union and those that fall within Rules and Regulations. If a Holiday falls on a Saturday or an employee's first day off of their regularly scheduled days off the Holiday is recognized on the preceding Friday or the preceding schedule work day. If a Holiday falls on a Sunday or an employee's second day off of their regularly scheduled days off the Holiday is recognized on the following Monday or the following scheduled work day.

Suggested Solutions

Alternate Holiday – A potential solution (dependant upon validation from a Technical resource) is to create three Alternate Holiday Time Reporting Codes to be used in conjunction with one or more Holiday Rules. Suggested Alternate Holiday Time Reporting Codes: ALTH (Alternate Holiday Earned), ALTT (Alternate Holiday Taken), and ALTW (Alternate Holiday Worked). The three TRC's would be tied to an Alternate Holiday Compensatory Time Off Plan. ALTH would have a Comp Time affect of Earned and ALTT and ALTW an affect of Taken.

When ALTH is reported, a Rule might identify that the employee had earned an Alternate Holiday on the day of a regularly recognized Holiday. The applicable hours would be added to the Alternate Holiday Comp Plan.

When ALTT is reported, a Rule might identify that the employee had taken an Alternate Holiday and would calculate Holiday pay accordingly.

When ALTW is reported, a Rule might identify that the employee was working on a day they chose to observe as an Alternate Holiday and calculate payment accordingly.

Tardy – No identifiable solution at this time due to the fact that a 'tardy' of twelve (12) minutes or more reported the day after a Holiday is not easily accommodated if the Holiday falls on the last day of a pay period.

Holiday on Day Off – No identifiable solution at this time because a Holiday may be observed in a different pay period.

AFD Comp Time Balances

Albuquerque Fire Department (AFD) Comp Time balances are not kept or maintained in Empath; they reside only in TeleStaff.

Suggested Solution

To accommodate Compensatory Time Off Plans and Rule processing, AFD Comp Time balances need to reside in Time and Labor. To meet scheduling needs, Comp Time Balances may need to reside in TeleStaff as well.

Leave Balances

It has been identified that Leave balances are not accurate for some employees. Inaccurate balances are corrected as they are discovered, but there is no known way to identify those employees whose balances are inaccurate. Leave balances are currently administered by Central Payroll; this may change during the Design phase and some items considered a Leave may become a Compensatory Time Off Plan. Leaves currently include:

- Administrative Leave
- Annual Military Leave
- Employee's Birthday
- Injury Time
- Sick Leave
- Vacation Leave
- Managerial Leave
- Floated Holiday

Inaccurate Leave balances must be corrected prior to implementation of Benefits, Payroll, and Time and Labor. Implementation of incorrect data affects the integrity of the new modules.

Injury Time

I maximum of 960 hours per injury is granted to employees. During a meeting discussing Leaves it was determined that Injury Time away from work would not be tracked via Action/Reason on an employee's Job record; Injury Time hours to be tracked and managed in Time and Labor.

Gap resides with limiting Injury Time to 960 hours per injury. An employee can have two separate injuries and would be entitled to 960 hours per injury. Time identified as Injury Time can be as little as an hour to several weeks. The City's desire is to have an automated process prohibiting payment once an employee reaches the maximum for an injury.

Suggested Solution

Maximum Payout Limitation – (Dependant upon validation from a Technical resource) create several Injury Time TRC's (INJ1, INJ2, INJ3, INJ4) that can be used to identify the time tracked for a specific injury, an Accumulator for each type of Injury Time (INJ1, INJ2, INJ3, INJ4), and one or more rules as required. The Rule(s) would look at the number of hours in applicable Accumulator and would convert any time exceeding 960 hours to unpaid leave.

Annual Military Leave

Applicable employees are entitled to three types of Military Leave per the Collective Agreements, Rules and Regulations, and a Council Bill. The majority of the Military Leaves are based upon Federal Fiscal Year with two exceptions: the Bus union and Clerical union provide Military Leave for one of the leave types based upon calendar year.

Gap identified during meeting discussing qualifying Leaves. It was determined Annual Military Leaves should be administered in Time and Labor and not in Job. The City's desire is to have an automated process prohibiting payment once an employee reaches the maximum, within the applicable year (Federal or Calendar) for each type of Military Leave.

Suggested Solution

Maximum Payout Limitation – (Dependant upon validation from a Technical resource) create several Military Leave TRC's (MLF1, MLF2, MLF3, MLC1) that can be used to identify the time tracked for a specific Military Leave, creation of a Federal Fiscal Calendar, and one or more rules as required. The Rule(s) would look at the number of hours taken by a specified Military Leave TRC within the applicable Military Leave Calendar period and would convert any time that exceeds the specified maximum to unpaid leave.

Leave Conversions

The City currently processes four types of Leave conversions: Sick Leave converted to Hazard Duty Leave (Police union), Sick Leave converted to Vacation Leave, Sick Leave converted to cash, and Vacation Leave converted to cash. Conversions are based upon stepped limitations and/or maximums and occur on a yearly basis.

Sick Leave conversion to Hazard Duty Leave occurs on a one-to-one basis as requested by an entitled employee. The three other conversions occur on a yearly basis.

Gap resides in the calculation and process and potential impact on the TL_COMPLEAV_TBL, which syncs Leave and Comp Time Balances for Time and Labor. Validations can either be incorrect or may not occur if the table is out of sync.

Leave Donations

The Blue union, Management union, and Rules and Regulations provide employees with the opportunity to donate Leave for use by another employee. Donated leave is first converted to a dollar amount and then it is converted to hours based upon the recipient's current compensation rate. Recipients must have exhausted all other Leaves and must not have received Donated Leave within the previous twelve (12) months.

Gap exists within the donation conversion process and potential impact on the TL_COMPLEAV_TBL, which syncs Leave and Comp Time Balances for Time and Labor.

Sick Leave Incentive

Several of the unions and the Rules and Regulations provide a Sick Leave incentive for entitled employees. The incentive grants Leave time to employees meeting criteria outlined in their Collective Agreement, or if applicable, Rules and Regulations.

The Blue union Collection Agreement states that an employee shall be awarded a day of leave if they utilized zero (0) hours of Sick Leave over six (6) months. The Collective Agreement doesn't state the type of leave granted.

Entitled employees for the other unions receive Sick Leave incentive if they utilize less than 12.5% of accrued Sick in six (6) months. They are granted Vacation Leave based upon whether they used zero (0) hours or more than zero (0) hours but less than 12.5% of their accrued Sick.

Sick Leave Incentive occurs twice a year based upon Sick Leave usage between January 1st to June 30th and July 1st to December 31st.

Suggested Solution:

Sick Leave Usage – Creation of an SQR that can be generated twice a year detailing employees entitled to Sick Leave Incentive. The SQR would detail employees meeting the criteria. Gap could be addressed by creation of a TRC indicating applicable females are on an FMLA exempt maternity leave.

Temporary Upgrades

Employees can receive Upgrade Pay when working in a higher position on a temporary basis. Remuneration varies per union and Rules and Regulations. Additionally, Rules and Regulations and the Management union specify limitations on the period of time an employee can be in a temporary Upgrade position.
Gap resides in the calculation of Upgrade pay, which varies between unions. Some unions indicate the employee to be paid a percentage above their regular rate of pay, other unions indicate the employee to be paid at a rate or grade above their current rate, and some of the unions state Upgrade pay maximums.

Payroll Services Provided to Other Organizations

The City provides payroll services to external organizations – Albuquerque Bernalillo Water Utility (ABWU), New Mexico Council of Governments (COG), and Albuquerque Metropolitan Arroyo Flood Control Authority (AMAFCA). Each of the external organizations has access to Empath. They enter their own time, which is accepted by the City as entered without any edits.

There has been mention that the City's water employees may be absorbed by the Albuquerque Bernalillo Water Utility. This hasn't been confirmed but can have downstream affects on the project as there may be contract issues to address during the Design phase.

AFD Light Duty

AFD employees on Light Duty are not subject to twenty-four (24) day FLSA calendar.

The Gap resides with the difference in the two FLSA calendars for AFT employees. Those employees on Light Duty are subject to a fourteen (14) day FLSA calendar; all other AFD employees subject to the twenty-four (24) day FLSA calendar.

Suggested Solution

FLSA Calendar – Solution dependant upon Payroll FLSA calendar requirements; if AFD FLSA calendar cannot be met within Payroll, a Complex or Repeating Time Period can be created in Time and Labor. The Time Period can be used to accommodate the rolling AFD FLSA calendar. At least two FLSA calendars would be required – one to meet FLSA needs of Light Duty AFD employees and one to meet FLSA needs of all other AFD employees.

Reports

The City has a frequently requested report, P29, which details an employee's Leave Time history and balances. Employees request this report on a regular basis, most often for the current calendar year. The report can be generated for any specified period.

The P29 provides the following details:

- Date the report was generated
- Personnel Information:
  - Employee Name
  - Employee ID
  - Job Title
  - Hourly Rate
  - Hire Date
  - Birth Date
  - Pay Unit
  - Adjusted Hire Date
  - Grade
  - Step
  - Service Years
- Leave Balances:
  - Pay Code (Leave type)
  - Hours Available
- Accrual Rates:
  - Accrual (Leave type)
  - Rate
  - Work Schedule
- Recorded Leave by Pay Period and Date:
  - Pay Date
  - Date Taken
  - Day of the Week (Sat, Sun, etc)

An example of the report is included in the Appendix B.

6 Process/Contract Change Needs

Earnings/Deductions Assignment

Currently, the City uses legacy system, Empath, for both time keeping and payroll. Timekeepers, Payroll Officers, Central Payroll, Human Resources, and the Payroll System access and update Empath.

Employees are grouped according to paygroups, which determines the Pay Codes and Deductions to which employees are entitled. Time and Labor Time Reporting Codes, which are mapped to Earnings Codes, available to an employee can be limited via TRC Programs. However, Deductions cannot be limited to the same groups of employees through Time and Labor. Deductions reside in Payroll. The process to assign deductions to employees resides within Payroll.

Collective Agreements/Rules and Regulations

Collective Agreements and Rules and Regulations are not fully nor consistently enforced; rules can be bent for some employees. Time and Labor setup and rules can restrict the ability to bend rules.

The City has tentatively determined that Hardship Leave be administered in Time and Labor. This could be accommodated with the creation of a Hardship Leave Time Reporting Code. It could also be accommodated by Human Resources in Job using Action/Reason.

Birthday

The accrual of a paid day for an employee's Birthday cannot be met with delivered functionality. The City has mentioned the possibility of seeking an MOU stating all entitled employees would receive a Birthday Accrual at the beginning of the calendar year rather than on their Birthday.

Memorandums of Understanding (MOU's)

Call Back – Laurice seeking clarification regarding calculation of Call Back pay for all of the unions that state Call Back pay is two (2) hours at straight time or the number of hours worked at overtime (1 ½ regular rate), whichever is greater.

Upgrades – The Bus union Collective Agreement states "SVCs who are temporarily upgraded to operate a motor coach will be compensated at a rate of Pay 15% above their regular rate of pay". Per Laurice, SVCs already paid at same rate as MCOs. MOU required stating if SVCs entitled to an Upgrade pay even though they are paid the same rate as MCOs.

Overtime – The Fire union Collective Agreement states Fire Chief can approve accrual of overtime Comp Time in excess of 480 hours; per Laurice this is a legal issue as the law states a maximum of 480 hours.

Shift Differential – Required for Clerical union ensuring precedent hasn't been established with current process of paying a flat dollar amount per pay period.

Trainer Differential – Per Laurice an MOU required detailing employees entitled to Trainer Differential and the amount to be paid .

Standby Time – An MOU may be required for the Security and Animal Control union clarifying rate of pay for Standby as the Collective Agreement doesn't state if Standby is paid at straight time, overtime, or if payment is dependant upon total number of hours worked during the week of occurrence.

Standby Time – The Management union Collective Agreement states Standby paid according to Rules and Regulations, yet Rules and Regulations states to pay per Collective Agreement. There is a discrepancy the online policy and the 01/25/06 policy. The 01/25/06 policy states Standby is paid according to Rules and Regulations and Rules and Regulations states to pay according to the Collective Agreement. Additionally, clarification required to define the difference between Standby and On Call pay.

7 Legislation Change Needs

None identified at this time.

8 Security Concerns

Time and Labor provides its own security functionality that can be used in conjunction with Core Row Level Security. Time and Labor row level security and group setup includes the following:

- Group Creation Security
- Static Group
- Dynamic Group
- Refresh Dynamic Group
- TL Permission List Security

Security access is not controlled by a Security Administrator. Access is determined by a person in the department (no particular role) and the job functions of the person requiring access. Access is then provided by either the ISD System Analyst II (Tim Skelton) or the Payroll Supervisor (Laurice Chappell).

Roles need to be defined for person(s) requiring access to Time and Labor.

The role of Timekeepers throughout the City varies between departments. There currently isn't a defined Timekeeper role; this provides a risk as timekeeping access can be provided to employees that haven't received Empath training. In some departments, Timekeeper duties can be the primary responsibility of one employee. In other departments, Timekeepers duties may be the secondary responsibility of an employee.

Timekeepers do not report to, nor are they answerable to, either Payroll or Accounting.

The City's water employees may be absorbed by the Albuquerque Bernalillo Water Utility within the year. This can impact the design and development of Time and Labor security.

Laurice has expressed a desire to utilize the Approval functionality delivered in Time and Labor. This would require defining Approver roles to be used by Time and Labor security ensuring only applicable employees can access and approve valid time.

The current business process to provide security access requires business review to identify gaps and risks. The following is a review of current processes and high-level identification of potential gaps and risks. A comprehensive analysis can be provided by a Security Administrator.

Current Processes

One person in each department can request the level of access an employee can have for their department. Security access level is determined by job function. When a new person begins employment their department contact person opens an Online Service Request. The Online Service Request is routed to Windows Administration and an ISD Help Desk Ticket is sent to Tim Skelton. Windows Administration creates an Active Directory account by creating a User Name for the employee. Tim grants the employee access to Empath through the creation of an Empath Database security record. Tim also creates a User Report directory for the employee, providing them with the ability to generate reports. Laurice Chappell can grant an employee access to Empath via generation of an Empath Database security record, but she cannot provide them with a User Report directory.

Empath and Report Net security access is not granular. Security access doesn't prohibit or limit prior and future-dated entries. An employee's Empath 'user class' determines their security access.

The payroll service the City provides to three external companies (ABWU, AMAFCA, and ABWU) includes granting access to Empath and Report Net. Access is granted to at least two employees, a primary and secondary, at AMAFCA and COG. A City employee enters timekeeping for ABWU, which currently only employees two people. Timekeeping access for ABWU will require evaluation if the City's water employees become part of ABWU.

Lockout process:

Every payroll Tuesday a scheduled lockout process runs at 11:00 PM. The occurrence of a Holiday requires intervention by Tim. Users signed into the system retain access until they log off. Lockout prohibits access to enter or adjust data for everyone except Laurice Chappell, Tim Skelton, Sarah Williamson, and Leslie Hall. End-users can continue to view data even though they cannot adjust or enter data. The lockout ensures no one can affect pay calculations.

Every payroll Wednesday another lockout process is run before the final calculation. The second lockout further restricts access (including view access) even further. Those whose access was limited or denied by Tuesday or Wednesday's process regain their access after the successful completion of the 'allow' process run every payroll Thursday at 11:00 PM.

An example of each SQL is included in Appendix C.

TL Permission List Security provides functionality to:

- Allow Prior Period Time Entry
- Determine the number of days' access for Prior Period Time Entry
- Allow Future Time Entry
- Determine the number of days' access for Future Time Entry
- Restrict Prior Year Time Entry
- Determine Prior Year Time Entry cutoff.

Question – will Service Request System remain in place?

TeleStaff

Currently, no interface exists between TeleStaff and Empath. The City was investigating implementing an interface but is no longer actively pursuing this (per Tim Skelton). Data transferred via the interface wasn't fully defined; conversations have revealed beliefs it was to be employee data and other conversations revealed it was to have been only timekeeping data.

Security access will require careful analysis if a business decision is realized to create an interface between TeleStaff and Time and Labor and/or Human Resources. An interface between Time and Labor and TeleStaff can ensure AFD schedules are in sync with Time and Labor. Currently, schedules exist within TeleStaff that do not exist with Empath.

Whether or not delivered Time and Labor Security functionality can provide end-users with view only access needs to be determined by a PeopleSoft Security Administrator. The creation of view only roles

and permission lists may be the solution to meet business requirements. The Lock/Unlock process is based upon defined group(s).

9 Open Issues/Information Needed

Fit/Gap sessions and analysis of current business processes revealed issues/items/processes requiring resolution and/or clarification. Several issues/items have been identified by Laurice as requiring clarification from Lawrence Torres of Employee Relations. Clarification can assist in ensuring accurate setup and ease the transition process

Timekeeper Role

Currently, timekeeping is administered by a variety of roles including: Timekeepers, Payroll Officers, Administrators, etc. None of these groups report to Payroll and as such Payroll cannot hold them accountable for timekeeping entries. Additionally, they may not fully understand payroll requirements; training provided has been random and not structured. This has resulted in inconsistent application of the rules and business requirements detailed in the Collective Agreements and Rules and Regulations.

The role of Timekeeper hasn't been defined. The City has mentioned this may be the time to look into centralizing timekeeping; this would result in a defined Timekeeper role and could result in an organizational and reporting structure change. Defining the roles of Timekeepers, Payroll Officers, and other persons entering time into Time and Labor would greatly assist in the development of Time and Labor security.

Kronos

The City's Public Works department has purchased Kronos time clocks and plans to install and use them. The need for an interface between Kronos and PeopleSoft has been brought to MyChelle Andrews' attention, however, requirements haven't been provided. Chris Framel has indicated there is not intention of an interface until PeopleSoft has been installed. This raises several questions:

- Upon completion of installation of PeopleSoft, what is the timeline for the creation of an interface between Kronos and PeopleSoft?
- Which PeopleSoft modules would need to interface with Kronos?
- Would the interface be included in Phase 2?
- Is there any possibility the time clocks would be implemented in other areas of the City?

TeleStaff

TeleStaff is a scheduling system used by the City of Albuquerque's Fire division. It is a system specifically designed to meet Law Enforcement and Public Safety staffing needs. The City has no plans to replace TeleStaff at this time or in the foreseeable future.

Fire Timekeepers maintain schedule in both TeleStaff and Empath. The majority of schedules in TeleStaff are mapped to identical schedules in Empath but not all. Per Laurice, Fire employees must be paid according to their schedule and not actual hours worked due to schedule swapping requirements.

To ensure accurate payment, schedules created in Time and Labor must match those in TeleStaff. A comprehensive list of TeleStaff schedules is required for the Design phase of the Time and Labor module.

Please see Appendix D for AFD supplied spreadsheet detailing mapping of TeleStaff schedules to Empath schedules.

Not all of the time codes maintained within TeleStaff have been mapped to a pay code in Empath. When required to report time for a code that isn't mapped to an Empath pay code, AFD Timekeepers select a pay code that will produce the desired calculation.

To ensure accurate payment all time codes within TeleStaff should be mapped to a corresponding Time Reporting Codes. An accurate comprehensive list detailing all time codes in TeleStaff is required for the Design phase of the Time and Labor module.

Please see Appendix E for AFD supplied spreadsheet detailing time code and pay code mapping between TeleStaff and Empath.

Fire Union

Paragraph C Section 22 Stand By Time of the Fire Collective Agreement, mentions Key members – who is a Key member? No definition of a Key member exists within the Collective Agreement. According to the paragraph:

> "Key members assigned to a forty (40) hour workweek and who are required to be on-call after hours and on weekends shall accrue 16.0 hours of Comp-time per month."

Key members need to be defined ensuring accurate identification within Time and Labor for rule and/or Compensatory Time Off processing.

Annual Military Leave

The Bus union Collective Agreement states employees entitled to up to fifteen (15) days of leave with pay per calendar year for active duty training. Military Leave for the majority of the other unions and employees that fall under Rules and Regulations provide for paid Military Leave based upon the Federal Fiscal Year.

Of the three types of Military Leave granted to entitled Clerical union employees, two are based upon Federal Fiscal Year and one is based upon Calendar year.

A change from calendar year to Federal Fiscal Year would bring this leave in line with the other Annual Military Leaves.

Maximum entitlements vary between Collective Agreements and Rules and Regulations. The majority of them indicate employees entitled to a maximum of fifteen (15) days; the Fire union provides entitlement of seventeen (17) twelve (12) hour working periods; the Clerical union provides up to 120 hours of leave. Clarification required detailing the number of entitlement hours per type of Military Leave for each of the Collective Agreements and Rules and Regulations.

Alternate Holiday

Laurice seeking clarification if selecting an Alternate Holiday is actually practiced. Bus union Collective Agreement provides employees with the option to take an Alternate Holiday for Veteran's Day and President's Day. She may request an MOU stating the mechanics of the process.

Clerical Union

The Clerical Union Collective agreement hasn't been ratified; this may inhibit the ability to obtain required clarifications and/or MOU's.

Holidays

Laurice obtaining clarification from regarding payment options detailed in the Clerical union Collective Agreement. Employees are provided several payment options if they work a Holiday because they were scheduled to work it or they chose to work it. Payment options can include Floating the Holiday.

The Info Union Rules spreadsheets states that Bus union employees can Float a Holiday at 1 ½ their regular rate. Clarification required as this isn't detailed in the Bus union Collective Agreement.

Overtime

Laurice obtaining clarification as to whether or not there is a need to track different types of overtime for members of the Police union. During the Design Phase it may be decided that police overtime can be tracked via tasks rather than Time Reporting Codes.

Shift Differential

Laurice to discuss intention of Security and Animal Control union Shift Differential payment with Lawrence as employees permanently assigned to a Swing or Graveyard shift are paid Shift Differential even if their schedule is temporarily changed.

Birthday

The Bus union Collective Agreement states an employee's Birthday is considered a Holiday. Per the rules for Holiday employees should receive overtime pay if they work on their Birthday, yet the Info Union Rules spreadsheet indicates employees aren't entitled to overtime if they work on their Birthday. Rules and Regulations doesn't state if an employee is entitled to straight time or overtime pay if they work on their Birthday.

Clarification required ensuring accurate creation of Overtime and/or Birthday Rules.

Administrative Leave

The City currently can grant Administrative Leave for Management union and Rules and Regulations employees. Administrative Leave is granted under the following circumstances:

- Loaned Executive – leave granted for up to six (6) months.
- Employees whose required services are outside of their normal job – leave granted for a maximum of eighty (80) hours.
- Employee under investigation – leave granted for a maximum of thirty (30) days.

The issue is determining the module to use to administer and track Administrative Leave. Business requirements dictate the length of time permitted for each type of Administrative Leave. It can be managed in either Job or in Time and Labor.

Clarification required for Management union employees under investigation – are they entitled to a maximum of fifteen (15) days or thirty (30) days of Administrative Leave without pay?

Managerial Leave

Managerial Leave is time that can be granted to employees in the Management union and Exempt employees in Rules and Regulations. Granted time must be used within a year or it is lost; typically it's granted and taken within the same period.

Managerial Leave can be accommodated via the creation of a Managerial Leave Compensatory Time Off Plan. The Comp Plan can include an Expiration Period ensuring the time is lost if it isn't used.

The issues resides in the terminology – identifying Managerial Leave as a Compensatory Time Off Plan has been raised as a concern as the City doesn't view it as Comp Time.

Hours Deemed as Time Worked

Hours worked and hours deemed as time worked require careful analysis during the creation of TRC's during Design phase due to the impact on FLSA calculations. Light Duty Injury Time for Bus union employees is not included in overtime calculation, yet Light Duty Injury Time for Fire employees is considered time worked.

10 Legacy System Data Requirements

The Albuquerque Fire division uses law enforcement and public safety scheduling system TeleStaff. The scheduling system is designed to meet complex and specific law enforcement and public safety organization and scheduling needs. TeleStaff is a PDSI product and isn't supported by the City's ISD. TeleStaff provides Fire with the ability to easily manage schedules and call-ins according to their Collective Agreement. It provides Fire Stations with the ability to quickly and easily locate replacements according to seniority, skill-set, and availability.

Complete analysis of TeleStaff was not a requirement during this phase; therefore it is not possible to fully and accurately determine if Time and Labor can deliver the same functionality, with the same ease, as TeleStaff.

TeleStaff is a stand-alone system currently not interfaced with the City's Empath system. Currently, Fire staff assigns employees to schedules within TeleStaff and advises Central Payroll of the Empath equivalent, or in the case of a few schedules, of an Empath substitute schedule. Not all schedules within TeleStaff reside within Empath.

11 Future Phase Documentation

Future business processes and applicable documentation will be created during the design phase once the Rules that are being created are defined and the process for Timekeepers is solidified.

12 Requirements/Fit Gap Document

Requirement Number	*Source*	*Functional Requirement*	*Response Required*	*Met w/ Prod Suite Config*	*Met with BPR*	*Met with Bolt-on*	*Met with Extension*	*Software Module*	*Narrative/Justification*
TL 1.00		**Time and Labor Installation**							
TL 1.01	Technical SME's	System provides functionality to test Production response and functionality in a test environment.		Y					
TL 1.02	Technical SME's	System provides functionality to determine if Time should be processed with Referential Integrity when Effective Dated tables changed.		Y					
TL 1.03	Technical SME's	System provides functionality to determine when and whether or not Leave Balance validations occur.		Y					
TL 1.04	Technical SME's	System provides functionality to determine when and whether or not Compensatory Balance validations occur.		Y					
TL 1.05	Technical SME's	System provides functionality to determine when validations definitions occur.		Y					
TL 1.06	Technical SME's	System provides functionality to determine Chartfield Validation.		Y					
TL 1.07	Technical SME's	System provides functionality to establish a TCD inbound file directory		Y					Required functionality for potential future use per SME's

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 1.08	Technical SME's	System provides functionality to establish a TCD outbound file directory		Y					Required functionality for potential future use per SME's
TL 1.09	Technical SME's	System provides functionality to define Time Reporting Decimal Positions.		Y					
TL 1.10	Technical SME's / Payroll SME	System provides functionality to determine the span of dates loaded into Time and Labor for daily processing.		Y					
TL 1.11	Payroll SME	System provides functionality to define a Default Punch Pattern		Y					Required functionality for potential future use per SME's
TL 1.12	Payroll SME	System provides functionality to define Schedule Options.		Y					Required functionality for potential future use per SME's
TL 1.13	Technical SME's / Payroll SME	System provides functionality to establish Manager Search Defaults when selecting employees.		Y					
TL 1.14	Technical SME's / Payroll SME	System provides functionality to establish email notification to Managers that an employee has time reported time requiring approval.		Y					Potential implementation during first phase; dependant upon loading accurate email addresses into PeopleSoft.
TL 1.15	Technical SME's / Payroll SME	System provides functionality to establish email notification to Managers that an employee has time payable time requiring approval.		Y					Potential implementation during first phase; dependant upon loading accurate email addresses into PeopleSoft.

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 1.16	Technical SME's / Payroll SME	System provides functionality to establish email notification to Managers that an employee a generated exception requiring resolution..		Y					Potential implementation during first phase; dependant upon loading accurate email addresses into PeopleSoft.
TL 1.17	Technical SME's / Payroll SME	System provides functionality to establish email notification to Managers that a schedule event has been modified.		Y					Potential implementation during first phase; dependant upon loading accurate email addresses into PeopleSoft.
TL 1.18	Technical SME's / Payroll SME	System provides functionality to establish email notification to employee that their reported time was approved.		Y					Potential implementation during first phase; dependant upon loading accurate email addresses into PeopleSoft.
TL 1.19	Technical SME's / Payroll SME	System provides functionality to establish email notification to employee that their payable time was approved.		Y					Potential implementation during first phase; dependant upon loading accurate email addresses into PeopleSoft.
TL 1.20	Technical SME's / Payroll SME	System provides functionality to establish email notification to employee that their reported time was modified		Y					Potential implementation during first phase; dependant upon loading accurate email addresses into PeopleSoft.
TL 1.21	Technical SME's / Payroll SME	System provides functionality to establish email notification to employee that their reported time was denied		Y					Potential implementation during first phase; dependant upon loading accurate email addresses into PeopleSoft.

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 2.00		**Labor Distribution and Labor Dilution**							
TL 2.01	Payroll SME	System provides functionality to allocate costs back to payable time. Cost is allocated back to the Task for which time was originally reported. or back to the TRC if you aren't using tasks.		Y					Business decision required determining if Labor Distribution is required. Frank and Guy don't feel that it will be needed by the City.
TL 2.02	Payroll SME	System provides functionality to evenly re-allocate costs for a given day. An average can be calculated for employees that are salaried or paid at different rates.		Y					Business decision required determining if Labor Distribution is required. Frank and Guy don't feel that it will be needed by the City.
TL 3.00		**Time Periods**							
TL 3.01	Technical SME's / Payroll SME	Must provide functionality to establish Daily time periods.		Y					Time periods used by several tables and can be used by Rules: SME's have a strong desire to implement Rules.
TL 3.02	Technical SME's / Payroll SME	Must provide functionality to establish Weekly time periods.		Y					Time periods used by several tables and can be used by Rules: SME's have a strong desire to implement Rules.
TL 3.03	Technical SME's / Payroll SME	Must provide functionality to establish Bi-weekly time periods.		Y					Time periods used by several tables and can be used by Rules: SME's have a strong desire to implement Rules.

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 3.04	Technical SME's / Payroll SME	Must provide functionality to establish Monthly time periods.		Y					Time periods used by several tables and can be used by Rules: SME's have a strong desire to implement Rules.
TL 3.05	Technical SME's / Payroll SME	Must provide functionality to establish Yearly time periods.		Y					Time periods used by several tables and can be used by Rules: SME's have a strong desire to implement Rules.
TL 3.06	SME's / Collective Agreements	Must provide functionality to establish Complex time periods for rule processing.		Y					Time periods used by several tables and can be used by Rules: SME's have a strong desire to implement Rules.
TL 3.07	SME's / Collective Agreements	Must provide functionality to establish Repeating time periods for rule processing.		Y					Time periods used by several tables and can be used by Rules: SME's have a strong desire to implement Rules.
TL 3.08	SME's	System must provide functionality to establish Time Period Calendars for time periods.		Y					
TL 4.00		**Time Reporting Codes**							
TL 4.01	Technical SME's / Payroll SME	System provides functionality to establish catgories of Time Reporting Codes.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 4.02	Technical SME's / Payroll SME	Established according to type: Hours or Amount		Y					
TL 4.03	Technical SME's / Payroll SME	Established with Effective Date.		Y					
TL 4.04	Technical SME's / Payroll SME	Can indicate if the Time Reporting Code is Active.		Y					
TL 4.05	Technical SME's / Payroll SME	System must provide historical Time Reporting Code set-up data.		Y					
TL 4.06	Technical SME's / Payroll SME	Can indicate if the Time Reporting Code is Inactive.		Y					
TL 4.07	Technical SME's / Payroll SME	System must provide functionality to establish Minimum value.		Y					
TL 4.08	Technical SME's / Payroll SME	System must provide functionality to establish Maximum value.		Y					
TL 4.09	Technical SME's / Payroll SME	System must provide functionality to establish if Time Reporting Code is used only by Rules.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 4.10	Technical SME's / Payroll SME	Can map Time Reporting Code to an Earnings Code.		Y					
TL 4.11	Technical SME's / Payroll SME	System must provide functionality to map several Time Reporting Codes to one Earnings Code.		Y					
TL 4.12	Payroll SME	Can establish whether a Time Reporting Code requires Approval prior to payment.		Y					
TL 4.13	Technical SME's / Payroll SME	Can establish Time Reporting Codes that affect Leave Plans and their effect on Leave Plans.		Y					
TL 4.14	Technical SME's / Payroll SME	Can establish Time Reporting Codes that affect Compensatory Time Off Plans and their effect on the Compensatory Time Off Plans.		Y					
TL 4.15	Payroll SME	Time Reporting Codes for FLSA Exempt employees.		Y					To be determined during Design Phase if this is truly a requirement.
TL 4.16	Payroll SME	FLSA Exempt employees require a Time Reporting Code for non-paid leave.		Y					
TL 4.17	Payroll SME	Time Reporting Codes for FLSA employees.		Y					To be determined during Design Phase if this is truly a requirement.

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 4.18	Technical SME's / Payroll SME	System provides functionality to create Time Reporting Codes and if required, iterations of the Time Reporting Code.		Y					
TL 4.19	Technical SME's / Payroll SME	System provides functionality to establish Time Reporting Groups (TRC Programs) with Effective Dates.		Y					
TL 5.00		**Overtime Limits/Reason Codes**							
TL 5.01	Payroll SME	System provides functionality to create overtime limits		N					No business requirement for delivered functionality at this time.
TL 5.02	Payroll SME	System provides functionality to define overtime reason codes		N					No business requirement for delivered functionality at this time.
TL 6.00		**Compensatory Time Off**							
TL 6.01	Payroll SME	System must provide functionality to create several Compensatory Time Off Plans.		Y					
TL 6.02	Payroll SME	Provide functionality to establish expiration period for Compensatory Time Off Plans.		Y					
TL 6.03	Payroll SME	Can establish expiration period based upon days, months, or years.		Y					
TL 6.04	Payroll SME	Can establish Time Reporting Codes affecting (adding to or subtracting from) a Compensatory Time Off Plan.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 6.05	Payroll SME	Can be assigned to individual employees.		Y					
TL 6.06	Payroll SME	Can assign more than one Compensatory Time Off Plan to an employee.		Y					
TL 6.07	Payroll SME	System must be able to accrue Comp Time at straight time and at time-and-a-half.		Y					
TL 6.08	Payroll SME	Compensatory Time Balances by Comp Plan must be accessible by an employee		Y					This can be met with a query that employees have access to (security) generate or via a customized report replicating current P29.
TL 6.09	Payroll SME	Compensatory Time Balances by Comp Plan must be accessible by an employee's manager/supervisor		Y					This can be met via security access for managers/supervisor's or a query that they can generate or via a customized reportil replicating current P29
TL 6.10	Payroll SME	Compensatory Time Balances by Comp Plan must be accessible by timekeepers for those employee to which they have security access		Y					
TL 6.11	Payroll SME	System must prevent Compensatory Time from being taken the same period in which it is earned.		Y					
TL 6.12	Payroll SME	Can limit positive hours for Compensatory Time Off Plans.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 6.13	Payroll SME	Provides functionality to permit negative hours for Compensatory Time Off Plans.		Y					
TL 6.14	Payroll SME	System retains employee's historical Compensatory Time Off Plan enrolment.		Y					
TL 7.00		**Task Reporting**							
TL 7.01	Payroll SME	System provides functionality to establish task fields to display on time reporting pages.		Y					Scope of this requirement to be determined during Design Phase.
TL 7.02	Payroll SME	System provides functionality to define task elements		Y					Scope of this requirement to be determined during Design Phase.
TL 7.03	Payroll SME	System provides functionality to define task entity values and their allocations (Task Profile).		Y					Scope of this requirement to be determined during Design Phase.
TL 7.04	Payroll SME	System provides functionality to establish Task groups for Time Reportings sharing the same time reporting elements.		Y					Scope of this requirement to be determined during Design Phase.
TL 8.00		**Workgroup**							
TL 8.01	Payroll SME	Create groups of Time Reporters sharing the same time reporting attributes: TimeApprovals, Time Type, Compensation Controls, Rounding Options, Defaults, and Daybreaker Details.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 8.02	Payroll SME	System provides functionality to create Workgroups with Effective Dates and retaining historical setup.		Y					
TL 8.03	Payroll SME	System provides functionality to establish a Time Reporter as an Exception Time Reporter.		Y					
TL 8.04	Payroll SME	System provides functionality to establish a Time Reporter as a Positive Time Reporter.		Y					
TL 8.05	Payroll SME	System provides functionality to establish time entry rounding options.		Y					
TL 9.00		**Dynamic/Static Groups**							
TL 9.01	Payroll SME	System provides functionality to define groups of Time Reporters used when processing specific data (Time Administration)		Y					Establishment of Dynamic and/or Static Groups dependant upon structure of Security access. Security structure should be designed ensuring ease of business process for enrolling Time Reporters into Compensatory Time Off Plans and assigning them to a Work Schedule without a dependancy upon refresing Dynamic and/or Static Groups.

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 9.02	Payroll SME	System provides functionality to automatically enroll Time Reporters in a processing group (Dynamic Group).		Y					Establishment of Dynamic and/or Static Groups dependant upon structure of Security access. Security structure should be designed ensuring ease of business process for enrolling Time Reporters into Compensatory Time Off Plans and assigning them to a Work Schedule without a dependancy upon refresing Dynamic and/or Static Groups.
TL 9.03	Payroll SME	System provides functionality to manually enroll Time Reporters in a processing group (Static Group)		Y					Establishment of Dynamic and/or Static Groups dependant upon structure of Security access. Security structure should be designed ensuring ease of business process for enrolling Time Reporters into Compensatory Time Off Plans and assigning them to a Work Schedule without a dependancy upon refresing Dynamic and/or Static Groups.

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 9.04	Payroll SME	System provides functionality to select an "As Of" date when enrolling Time Reporters in a processing group (Dynamic Group)		Y					Establishment of Dynamic and/or Static Groups dependant upon structure of Security access. Security structure should be designed ensuring ease of business process for enrolling Time Reporters into Compensatory Time Off Plans and assigning them to a Work Schedule without a dependancy upon refresing Dynamic and/or Static Groups.
TL 10.00		**Value Lists**							
TL 10.01	Technical SME's	System must provide functionality to create Value Lists of Time Reporting Codes to be used by applicable rules.		Y					
TL 10.02	Technical SME's	System must provide functionality to create Value Lists of Time Reporting Codes to be used by applicable queries		Y					
TL 10.03	Technical SME's	System must provide functionality to create Value Lists of Time Reporting Codes to be used by applicable reports		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 11.00		**Rules**							
TL 11.01	Technical SME's / Payroll SME	System provides functionality to create custom rule that cannot be met with a Template delivered rule.		Y					
TL 11.02	Technical SME's / Payroll SME	System provides delivered Template rules that can be used to create non-customized rules.		Y					
TL 11.03	Technical SME's / Payroll SME	System provides functionality to create a rule limiting the number of hours paid for a specified TRC.		Y					
TL 11.04	Technical SME's / Payroll SME	System provides functionality to create a rule guaranteeing a specific number of hours. Rule tops-up or reduces as required ensuring employee paid the specified number of hours such as the 84 hours guaranteed to a group of Fire-fighters.		Y					Design Phase may determine this rule not required as this requirement isn't detailed in the Collective Agreement for Fire.
TL 11.05	Technical SME's / Payroll SME	All Rules Effective Dated.		Y					
TL 11.06	Technical SME's / Payroll SME	Call Back Rule calculating number of hours to pay employee based upon group to which employee belongs for		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 11.07	Technical SME's / Payroll SME	Provide functionality to create Shift Differential rules based upon start time of shift. Differential amount calculated upon shift start time.		Y					
TL 11.08	Technical SME's / Payroll SME	Create groups of Rules that can be assigned to a group of employees (Workgroup).		Y					
TL 11.09	Technical SME's / Payroll SME	System provides ability to create Overtime rules based upon Time Reporting Codes and defined periods.		Y					These Rules are the most desired by City SME.
TL 12.00		**Scheduling**							
TL 12.01	Payroll SME	Schedules can be grouped.		Y					
TL 12.02	Payroll SME	A schedule group can be assigned to a Workgroup.		Y					
TL 12.03	Payroll SME	Shifts can be created with an Effective Date		Y					
TL 12.04	Payroll SME	Shift details include a description.		Y					
TL 12.05	Payroll SME	Shift includes a Shift Identifier.		Y					
TL 12.06	Payroll SME	Shift includes an Elapsed or Punch Time identifier.		Y					Required functionality for potential future use per SME's
TL 12.07	Payroll SME	Shift can be created with a defined number of hours.		Y					
TL 12.08	Payroll SME	System provides functionality to create Elapsed Time shifts.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 12.09	Payroll SME	System provides functionality to create Punch Time shifts.		Y					Required functionality for potential future use per SME's
TL 12.10	Payroll SME	System provides functionality to define/create Work Days.		Y					
TL 12.11	Payroll SME	Schedules can be created with an Effective Date		Y					
TL 12.12	Payroll SME	Schedules can be established with a defined number of days such as weekly, bi-weekly, etc.		Y					
TL 12.13	Payroll SME	System provides functionality to create Elapsed Time schedules.		Y					
TL 12.14	Payroll SME	System provides functionality to create Punch Time schedules.		Y					Required functionality for potential future use per SME's
TL 12.15	Payroll SME	Schedules can be assigned to an employee with an Effective Date.		Y					
TL 12.16	Payroll SME	Employee's can be assigned to a default Elapsed Time schedule.		Y					
TL 12.17	Payroll SME	Employee's can be assigned to a custom Elapsed Time schedule.		Y					
TL 12.18	Payroll SME	Employees can be assigned to a default Punch Time schedule.		Y					Required functionality for potential future use per SME's
TL 12.19	Payroll SME	Employee's can be assigned to a custom Punch Time schedule.		Y					Required functionality for potential future use per SME's

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 12.20	Payroll SME	System provides functionality to adjust an employee's scheduled Elapsed Time for a day.		Y					
TL 12.21	Payroll SME	System provides functionality to adjust an employee's scheduled Punch Time for a day.		Y					Required functionality for potential future use per SME's
TL 12.22	Payroll SME	System provides functionality to swap scheduled Elapsed Time days between two employees.		Y					Use of this functionality to be determined during Design Phase.
TL 12.23	Payroll SME	System provides functionality to swap schedule Punch Time days between two employees.		Y					Required functionality for potential future use per SME's. Use of this functionality to be determined during Design Phase.
TL 12.24	Payroll SME	System provides functionality to replace an employee for a schedule day.		Y					
TL 12.25	Payroll SME	An Elapsed Time schedule can be assigned as a default schedule to a group of Elapsed Time employees.		Y					
TL 12.26	Payroll SME	A Punch Time schedule can be assigned as a default schedule to group of Punch Time employees.		Y					Required functionality for potential future use per SME's
TL 12.27	Payroll SME	System provides functionality to create schedules attached to defined dates.		Y					
TL 12.28	Payroll SME	System provides functionality to review an employee's schedule for specified dates.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 12.29	Payroll SME	System provides functionality to copy one employee's schedule to another employee		Y					
TL 13.00		**Security**							
TL 13.01	Technical SME's / Payroll SME	System must limit access to pages according to security level.		Y					
TL 13.02	Technical SME's / Payroll SME	View only access granted according to security level.		Y					
TL 13.03	Technical SME's / Payroll SME	System provides functionality to create permission lists.		Y					
TL 13.04	Technical SME's / Payroll SME	System provides functionality to define row security permission lists.		Y					
TL 13.05	Technical SME's / Payroll SME	Security setup can limit end-user access to enter prior period time.		Y					
TL 13.06	Technical SME's / Payroll SME	Security setup can define prior period time entry parameters.		Y					
TL 13.07	Technical SME's / Payroll SME	Security setup can limit end-user access to enter future time.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 13.08	Technical SME's / Payroll SME	Security setup can define future time entry parameters.		Y					
TL 13.09	Technical SME's / Payroll SME	Security setup can restrict prior year time entry.		Y					
TL 13.10	Technical SME's / Payroll SME	Security setup can define prior year time entry parameters.		Y					
TL 13.11	Technical SME's / Payroll SME	System provides functionality to select System Date for testing purposes of prior period adjustments.		Y					
TL 13.12	Technical SME's / Payroll SME	Security provides functionality to lock/unlock users from the system		Y					
TL 14.00		**Chartfields**							
TL 14.01	Payroll SME	System must provide integration with Finance Chartfields.		Y					
TL 14.02	Payroll SME	System must provide ability to review/verify Chartfield values.		Y					
TL 14.03	Payroll SME	System must provide ability to review GL Combo Codes		Y					
TL 14.04	Payroll SME	System must provide the following Chartfield fields:		Y					
TL 14.05	Payroll SME	Account		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 14.06	Payroll SME	Department		Y					
TL 14.07	Payroll SME	Project/Grant		Y					
TL 14.08	Payroll SME	Fund Code		Y					
TL 14.09	Payroll SME	Program Code		Y					
TL 14.10	Payroll SME	Affiliate		Y					
TL 14.11	Payroll SME	GL Activity		Y					
TL 14.12	Payroll SME	Fund Affiliate		Y					
TL 15.00		**Time Processing Statistics/Option**							
TL 15.01	Technical SME's	System provides functionality to retain processing statistics (Time Admin Options).		Y					Technical SME's to determine the scope of retention during Testing Phase.
TL 15.02	Technical SME's	System provides functionality to store processing batches		Y					
TL 15.03	Technical SME's	System provides functionality to store rule batches.		Y					
TL 15.04	Technical SME's	System provides access to stored baches.		Y					
TL 15.05	Technical SME's	System provides access to stored statistics.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 16.00		**Exception/Validation Definitions**							
TL 16.01	Technical SME's / Payroll SME	System must provide detailed exceptions for an employee within a defined period.		Y					
TL 16.02	Technical SME's / Payroll SME	Exceptions generated must detail employee number, employee name, date, and exception.		Y					
TL 16.03	Technical SME's / Payroll SME	System must provide functionality to report on exceptions by individual employee.		Y					
TL 16.04	Technical SME's / Payroll SME	System must provide functionality to report on exceptions by a group of employees.		Y					
TL 16.05	Technical SME's / Payroll SME	System provides historical exception data.		Y					
TL 16.06	Technical SME's / Payroll SME	System provides functionality to establish validations sets used by Time Reporting, Time Administration, and Submit Time processes.		Y					
TL 17.00		**Elapsed Time Reporting**							

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 17.01	Payroll SME	Employees not required to 'punch in' or 'punch out'; time reporting based upon scheduled and reported hours.		Y					
TL 18.00		**Punch Time Reporting**							
TL 18.01	Payroll SME	Shift start and shift end times for each shift; detailing length of shift and shift begin and shift end anomalies.		Y					Required functionality for potential future use per SME's
TL 18.02	Payroll SME	Shift meal for each time; detailing length of meal and meal length anomalies.		Y					Required functionality for potential future use per SME's
TL 18.03	Payroll SME	Shift break for each shift detailing length of break and break length anomalies.		Y					Required functionality for potential future use per SME's
TL 18.04	Payroll SME	System must provide functionality to establish rounding parameters.		Y					Required functionality for potential future use per SME's
TL 19.00		**Time Reporter Data**							
TL 19.01	Payroll SME	System must provide Effective Dated rows for each employee.		Y					
TL 19.02	Payroll SME	System must provide functionality that an employee can be designated as an Active Time Reporter.		Y					
TL 19.03	Payroll SME	System must provide functionality that an employee can be designated as an Inactive Time Reporter		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 19.04	Payroll SME	System must provide functionality to indicate whether an employee's time is sent to payroll.		Y					
TL 19.05	Payroll SME	Employee's can be designated as either an Elapsed or Punch Time Reporter.		Y					
TL 19.06	Payroll SME	System provides functionality that an employee's time can be designated to a group of cost-centers.		Y					
TL 19.07	Payroll SME	System provides functionality that an employee's time can be designated to a specific cost-centers.		Y					
TL 19.08	Payroll SME	System provides functionality to assign an employee to a group of time reporters sharing the same Time Reporting Codes and Time Calculation Rules		Y					
TL 19.09	Payroll SME	System retains historical data for employees		Y					
TL 20.00		**Timesheet**							
TL 20.01	Payroll SME	System provides functionality to establish time reporting elements to display on time reporting pages.		Y					
TL 20.03	Payroll SME	Electronic timesheets for Elapsed Time employees must provide the following:		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 20.04	Payroll SME	Employee name		Y					
TL 20.05	Payroll SME	Employee number		Y					
TL 20.06	Payroll SME	Job Title		Y					
TL 20.07	Payroll SME	Date		Y					
TL 20.08	Payroll SME	Day		Y					
TL 20.09	Payroll SME	Time Reporting Code field		Y					
TL 20.10	Payroll SME	Hours field		Y					
TL 20.11	Payroll SME	Override Reason		N					Delivered functionality not required per SME.
TL 20.12	Payroll SME	Reported Hours		Y					
TL 20.13	Payroll SME	Scheduled Hours		Y					
TL 20.14	Payroll SME	Cost-center fields		Y					
TL 20.15	Payroll SME	Display employee's Compensatory Plan balances		Y					
TL 20.16	Payroll SME	Display employee's Leave Plan balances		Y					
TL 20.17	Payroll SME	System must provide functionality to review Reported and Scheduled time for an employee.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 20.18	Payroll SME	System must provide functionality to enter more than one type of Time Reporting Code per day.		Y					
TL 20.19	Payroll SME	System must provide functionality to search by employee number when locating a Timesheet.		Y					
TL 20.20	Payroll SME	System must provide functionality to search by Business Unit when locating Timesheet(s).		Y					
TL 20.21	Payroll SME	System must provide functionality to search by Employee Name when locating a Timesheet.		Y					
TL 20.22	Payroll SME	System must provide functionality to search by Department when locating Timesheet(s).		Y					
TL 20.23	Payroll SME	Timesheet provides functionality to replace an employee's Scheduled Time		Y					System replaces Scheduled hours with time entered on Timesheet
TL 20.24	Payroll SME	Timesheet provides functionality to add to an employee's Scheduled Time		Y					This can be accomodated through the creation of a Rule
TL 20.25	Payroll SME	Timesheet provides functionality to select a week for reporting positive or exception time reporting.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 20.26	Payroll SME	Timesheet provides functionality to select a pay period for reporting positive or exception time reporting.		Y					
TL 20.27	Payroll SME	Timesheet provides functionality to select a day for reporting positive or exception time reporting.		Y					
TL 20.28	Payroll SME	Timesheet provides functionality to easily access the next employee in list.		Y					
TL 20.29	Payroll SME	Timesheet provides functionality to Save time entries for later review.		Y					Use of this functionality to be determined during Design Phase per SME.
TL 20.30	Payroll SME	Timesheet provides functionality to Submit time entries.		Y					
TL 20.31	Payroll SME	Timesheet provides funcionality to preview the results of applying rules		Y					Use of this functionality to be determined during Design Phase per SME.
TL 20.32	Payroll SME	Timesheet provides the employee's Leave balances by Leave Plan		Y					
TL 20.33	Payroll SME	Timesheet provides the employee's Comp Balances by Plan		Y					
TL 20.34	Payroll SME	Timesheet provides funcionality to Approve Reported time		Y					
TL 21.00		**Rapid and Mass Time Reporting**							
TL 21.01	Payroll SME	System provides ability to report time for one or more employees at one time for a specified date.		Y					Use of this functionality to be determined during Design Phase per SME.

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 21.02	Payroll SME	System provides ability to report time for one or more employees at one time for a range of dates.		Y					Use of this functionality to be determined during Design Phase per SME.
TL 21.03	Payroll SME	System provides ability to report a specific Time Reporting Code for one or more employees on a specified day(s)		Y					Use of this functionality to be determined during Design Phase per SME.
TL 21.04	Payroll SME	System provides ability to report a specific Time Reporting Code and number of hours, for one or more employees, for distribution according to their schedule.		Y					Use of this functionality to be determined during Design Phase per SME.
TL 21.05	Payroll SME	System provides ability to report several Time Reporting Codes and number of hours, for one or more employees, for distribution according to their schedule.		Y					Use of this functionality to be determined during Design Phase per SME.
TL 21.06	Payroll SME	System provides ability to report time for one or more employees by date and Time Reporting Code.		Y					Use of this functionality to be determined during Design Phase per SME.
TL 22.00		**Time Administration**							
TL 22.01	Technical SME's / Payroll SME	System provides ability to process time (rules, schedule and reported time) for a single employee		Y					
TL 22.02	Technical SME's / Payroll SME	System provides ability to process time (rules, schedule and reported time) for a group of employees		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 22.03	Technical SME's / Payroll SME	System provides ability to process time (rules, schedule and reported time) for several groups of employees.		Y					
TL 22.04	Technical SME's / Payroll SME	System provides ability to exclude an employee from having their time processed (rules, schedule and reported time).		Y					
TL 22.05	Technical SME's / Payroll SME	System provides ability to schedule the processing of time (rules, schedule and reported time).		Y					
TL 23.00		**View Time**							
TL 23.01	Payroll SME	Time calculated for an employee displayed by date and Time Reporting Code.		Y					
TL 23.02	Payroll SME	Displayed calculated time includes the following:		Y					
TL 23.03	Payroll SME	Employee ID		Y					
TL 23.04	Payroll SME	Employee Name		Y					
TL 23.05	Payroll SME	Date		Y					
TL 23.06	Payroll SME	Time Reporting Code		Y					
TL 23.07	Payroll SME	Type of Time Reporting Code (Hours/Dollars)		Y					
TL 23.08	Payroll SME	Amount		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 23.09	Payroll SME	Calculated Status		Y					
TL 23.10	Payroll SME	Approver		Y					
TL 23.11	Payroll SME	System provides functionality to display calculated time within defined date parameters.		Y					
TL 23.12	Payroll SME	Calculated Payable Time can be viewed by month, week, and day.		Y					
TL 24.00		**Approvals**							
TL 24.01	Payroll SME	System must provide capability to establish Time Reporting Codes requiring Approval prior to payment.		Y					Use of functionality to be determined prior to Design Phase. SME desires implementation of this functionality.
TL 24.02	Payroll SME	System must provide capability of requiring Approval for all time for a specific group of Time Reporters.		Y					Use of functionality to be determined prior to Design Phase. SME desires implementation of this functionality.
TL 24.03	Payroll SME	Provide managers/supervisors with functionality to Approve individual time reporting codes for their employees.		Y					Use of functionality to be determined prior to Design Phase. SME desires implementation of this functionality.
TL 24.04	Payroll SME	Provide Timekeepers with functionality to Approve individual time reporting codes for employees to which they have security access.		Y					Use of functionality to be determined prior to Design Phase. SME desires implementation of this functionality.

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 24.05	Payroll SME	System must provide capability to establish workgroups with Time Approval required for all Reported Time.		Y					Use of functionality to be determined prior to Design Phase. SME desires implementation of this functionality.
TL 24.06	Payroll SME	System must provide capability to establish workgroups with Time Approval required for all Payable Time		Y					Use of functionality to be determined prior to Design Phase. SME desires implementation of this functionality.
TL 24.07	Payroll SME	System must provide capability to establish workgroups without Time Approval requirements.		Y					Use of functionality to be determined prior to Design Phase. SME desires implementation of this functionality.
TL 25.00		**Time Entry Edits**							
TL 25.01	Technical SME's / Payroll SME	Time Reporting Code validation; ensuring Time Reporting Code is valid and is available for the employee's use.		Y					
TL 25.02	Technical SME's / Payroll SME	System must provide Leave validation ensuring employee has enough time in the applicable Leave balance; Leave balances cannot go into the negative.		Y					
TL 25.03	Technical SME's / Payroll SME	System must provide a warning if leave entered exceeds available leave balance.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 25.04	Technical SME's / Payroll SME	System must provide notification if time is reported on a recognized Holiday.		Y					
TL 25.05	Technical SME's / Payroll SME	System provides cost-center edits ensuring valid values.		Y					
TL 25.06	Technical SME's / Payroll SME	System validates the total hours/dollars entered per day per Time Reporting Code as defined on the Time Reporting Code table.		Y					
TL 25.07	Technical SME's / Payroll SME	Chartfield validation with HR combo-codes.		Y					
TL 25.08	Technical SME's / Payroll SME	System must provide an edit ensuring employees can only take the amount of Comp Time to which they are entitled.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 25.09	Payroll SME	System must provide functionality to allow an employee to take Managerial Leave hours awarded within the same pay period.		Y				Benefits/Payroll	Business decision required determining if Managerial Leave should reside in Time and Labor, Benefits, or Payroll. Decision likely to evolve during Design Phase. If the business decision determines Managerial Leave should reside in Time and Labor, it can be accomodated with a Compensatory Time Off Plan
TL 26.00		**Cost-center**							
TL 26.01	Payroll SME	Override cost-center for a specific numbers of hours on a specified day for an employee		Y					Functionality capabilities dependant upon decision to implement Commitment Accounting and Position Management
TL 26.02	Payroll SME	Override cost-center for a specific numbers of hours for a specific task on a specified day for an employee.		Y					Functionality capabilities dependant upon decision to implement Commitment Accounting and Position Management
TL 26.03	Payroll SME	Override cost-center for a specific task on specified days for an employee.		Y					Functionality capabilities dependant upon decision to implement Commitment Accounting and Position Management

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 26.04	Payroll SME	Charge an employee's time to a specific cost-center.		Y					Functionality capabilities dependant upon decision to implement Commitment Accounting and Position Management
TL 26.05	Payroll SME	Charge an employee's time to more than one cost-center.		Y					Functionality capabilities dependant upon decision to implement Commitment Accounting and Position Management
TL 26.06	Payroll SME	System must provide functionality to establish several cost-centers for defined groups of employees.		Y					Functionality capabilities dependant upon decision to implement Commitment Accounting and Position Management
TL 26.07	Payroll SME	System must provide functionality to establish a default cost-center and provide several secondary cost-centers for defined groups of employees.		Y					Functionality capabilities dependant upon decision to implement Commitment Accounting and Position Management
TL 27.00		**Project Costing**							
TL 27.01	Payroll SME	System must provide functionality to charge Exempt employees time to a specific project.		Y					
TL 27.02	Payroll SME	System must provide functionality to charge Exempt employees time to a specific day for a specific project.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 27.03	Payroll SME	System must provide functionality to charge non-Exempt employees time to a specific project.		Y					
TL 27.04	Payroll SME	System must provide functionality to charge non-Exempt employees time to a specific day for a specific project.		Y					
TL 27.05	Payroll SME	System must provide the following Project Costing Task Elements:		Y					
TL 27.06	Payroll SME	PC Business Unit		Y					
TL 27.07	Payroll SME	PC Project		Y					
TL 27.08	Payroll SME	PC Activity ID		Y					
TL 27.09	Payroll SME	Resource Type		Y					
TL 28.00		**Record Only Adjustments**							
TL 28.01	Payroll SME	Adjust prior pay period entries, which have been paid.		Y					
TL 28.02	Payroll SME	Adjust cost-center without re-processing the time.		Y					
TL 28.03	Payroll SME	Process a record only adjustment for time already paid via Payroll or Accounting; adjusted time would not be sent to Payroll.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 29.00		**Prior Pay Period Adjustment**							
TL 29.01	Payroll SME	Provide ability to process prior pay period adjustments (hours, TRC, Date, cost-center, project cost, etc) for Exempt employees.		Y					
TL 29.02	Payroll SME	Provide ability to process prior pay period adjustments (hours, TRC, Date, cost-center, project cost, etc) for non-Exempt employees.		Y					
TL 29.03	Payroll SME	System must re-calculate Compensatory Time Off Balances affected by a prior pay period adjustment.		Y					
TL 29.04	Payroll SME	System must re-calculate all subsequent time affected by a prior pay period adjustment.		Y					
TL 29.05	Payroll SME	System must generate applicable exceptions for all time affected by a prior pay period adjustment.		Y					
TL 30.00		**Holiday**							
TL 30.01	Payroll SME	System must provide functionality to code a taken day as a recognized Holiday.		Y					
TL 30.02	Payroll SME	Must track Holiday remuneration.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 30.03	Payroll SME	Maintain a 'bucket' of Holiday time 'in lieu' not taken.		Y					Delivered Compensatory Time Off Plans can accommodate tracking 'lieu' type time including time earned/awarded and taken on the same day.
TL 30.04	Payroll SME	Must provide ability to recognize employee's Birthday as a recognized Holiday for specific groups of employees.		N					This might be accomodated via a Rule.
TL 30.05	Payroll SME	Holidays can be defined within the system including the day the Holiday is recognized.		N					A Holiday is not always recognized on one standard day for a group of employees per Collective Agreements. A Holiday can be recognized the day before or the day after if it falls on an employee's regularly scheduled day off. Technical resource can evaluate if a customized rule can accomodate this requirement.
TL 30.06	Payroll SME	System must provide functionality to assign an alternate day as a Holiday.		N					One of the Collective Agreements provides employees the ability to take two official Holiday's on a day other than the recognized day.

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 31.00		**Birthday**							
TL 31.01	Payroll SME	Must track Birthday remuneration.		Y					
TL 31.02	Payroll SME	Maintain a 'bucket' of Birthday time 'in lieu' not taken.		Y					Delivered Compensatory Time Off Plans can accommodate tracking 'lieu' type time including time earned/awarded and taken on the same day.
TL 31.03	Payroll SME	System must provide functionality so that employees can take their Birthday on the actual day of accrual.		Y					Delivered Compensatory Time Off Plans can accommodate tracking 'lieu' type time including time earned/awarded and taken on the same day.
TL 31.04	Payroll SME	System must provide expiration date functionality; accrued Birthday's expire year after accrual.		Y					Delivered Compensatory Time Off Plans provide Expiration capability that can accommodate Collective Agreements and Rules and Regulations requirements.
TL 32.00		**Audits**							
TL 32.01	Technical SME's / Payroll SME	System must retain Historical data.		Y					
TL 32.02	Technical SME's / Payroll SME	System must retain Historical data changes.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 32.03	Technical SME's / Payroll SME	System must provide audit of all Reported Time. Audit must display the following:		Y					
TL 32.04	Technical SME's / Payroll SME	Date		Y					
TL 32.05	Technical SME's / Payroll SME	Time Reporting Code		Y					
TL 32.06	Technical SME's / Payroll SME	Quantity		Y					
TL 32.07	Technical SME's / Payroll SME	Reported Status		Y					
TL 32.08	Technical SME's / Payroll SME	Taskgroup		Y					
TL 32.09	Technical SME's / Payroll SME	User		Y					
TL 32.10	Technical SME's / Payroll SME	Audit Date Stamp		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 32.11	Technical SME's / Payroll SME	Audit Time Stamp		Y					
TL 32.12	Technical SME's / Payroll SME	Audit Action (Add, Change, Delete)		Y					
TL 33.00		**Reports**							
TL 33.01	Payroll SME	System must provide reports detailing employees' payable status within a given period.		Y					
TL 33.02	Payroll SME	Provide report detailing scheduled time for an employee.		Y					
TL 33.03	Payroll SME	Provide report detailing scheduled time for several employees.		Y					
TL 33.04	Payroll SME	Provide a report detailing an employee's leave time activity and leave balances for the current year.		N					The City frequently produces a report called P29, which details an employee's Leave activity and Leave balancesp the report can be generated for the current year, a previous year, or a specific period.

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 33.05	Payroll SME	Provide a report detailing an employee's leave time activity and leave balances for a specified year.		N					The City frequently produces a report called P29, which details an employee's Leave activity and Leave balancesp the report can be generated for the current year, a previous year, or a specific period.
TL 33.06	Payroll SME	Provide a report detailing an employee's leave time activity and leave balances for a specified period.		N					The City frequently produces a report called P29, which details an employee's Leave activity and Leave balancesp the report can be generated for the current year, a previous year, or a specific period.
TL 33.07	Payroll SME	System must provide a Timecard Report detailing date, Time Reporting Code, hours, amount per employee for all Active employees within a specific group of employees.		Y					
TL 34.00		**Queries**							
TL 34.01	Technical SME's / Payroll SME	System must provide extensive query functionality.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 34.02	Technical SME's / Payroll SME	System provides ability to create and save Private queries.		Y					
TL 34.03	Technical SME's / Payroll SME	System provides ability to create and save Public queries.		Y					
TL 34.04	Technical SME's / Payroll SME	System provides ability to create and generate a query without saving it.		Y					
TL 34.05	Technical SME's / Payroll SME	System provides ability to schedule the generation of a query.		Y					
TL 35.00		**Override Rules**							
TL 35.01	Technical SME's / Payroll SME	System must provide functionality to override rules for a Time Reporter		Y					
TL 35.02	Technical SME's / Payroll SME	Rules can be overridden for one or more days.		Y					

Requirement Number	Source	Functional Requirement	Response Required	Met w/ Prod Suite Config	Met with BPR	Met with Bolt-on	Met with Extension	Software Module	Narrative/Justification
TL 36.00		**Accumulators**							
TL 36.01	Technical SME's / Payroll SME	System provides ability to create Accumulator Time Reporting Codes.		Y					These are not the same as Special Accumulators in Payroll
TL 36.02	Technical SME's / Payroll SME	System provides ability to review Accumulator Totals for an employee for a specified period.		Y					
TL 37.00		**Distributed Time Entry**							
TL 37.01	Payroll SME	Employees can report their own positive time entries.		Y					Functionality required for potential future use.
TL 37.02	Payroll SME	Employees can report their own exception time entries.		Y					Functionality required for potential future use.
TL 37.03	Payroll SME	Timekeepers/managers can report positive time entries for applicable employees.		Y					Functionality required for potential future use.
TL 37.04	Payroll SME	Timekeepers/managers can report exception time entries for applicable employees.		Y					Functionality required for potential future use.
TL 37.05	Payroll SME	System must provide functionality to 'lock' end-users out of Distributed Time Entry for a specific period of time.		Y					Functionality required for potential future use.
TL 37.06	Payroll SME	Timekeepers/managers can approve time entries for applicable employees.		Y					Functionality required for potential future use.

13 Sign off and Approval

_____ **Date:** _____

COA Subject Matter Expert

_____ **Date:** _____

COA CIP Planning

_____ **Date:** _____

COA CIP Fiscal

_____ **Date:** _____

COA Project Manager

_____ **Date:** _____

COA Project Sponsor

14 Appendix A

The following tables and data were setup, with the noted data, for use during Fit/Gap sessions:

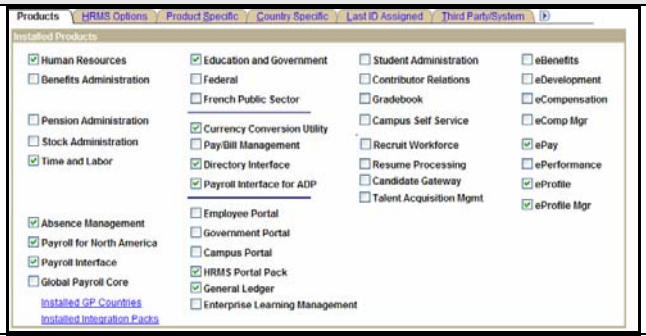
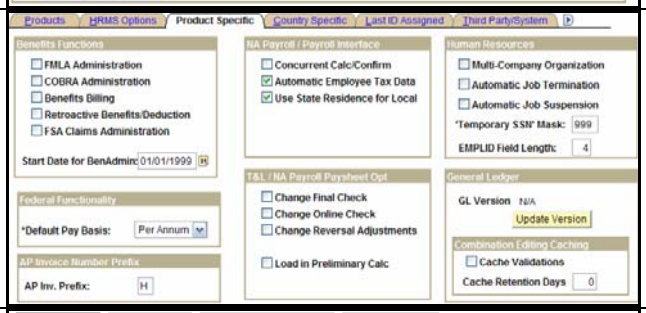
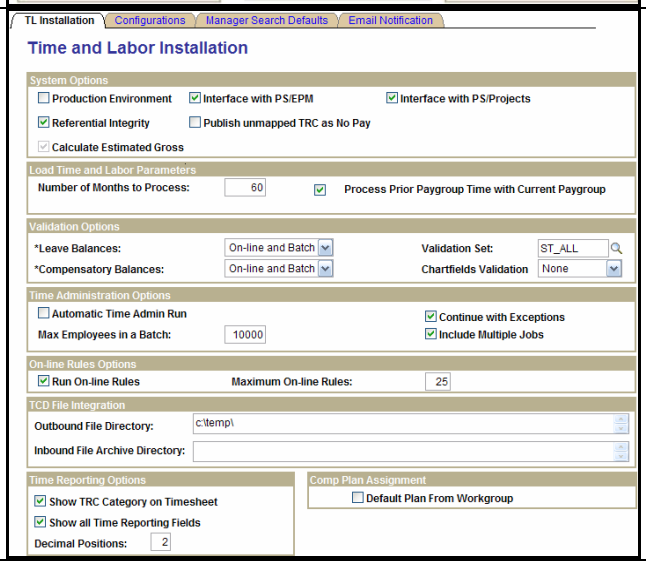
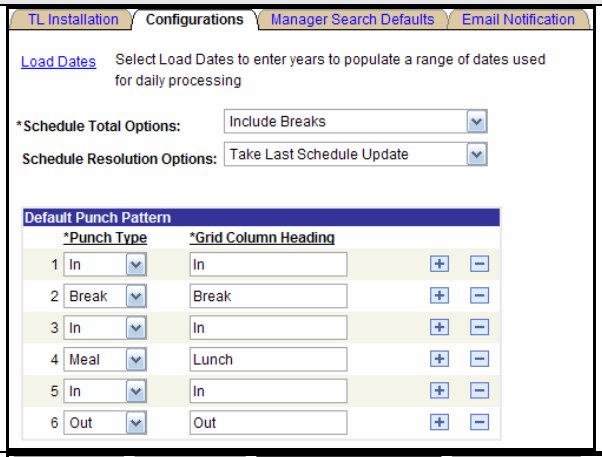
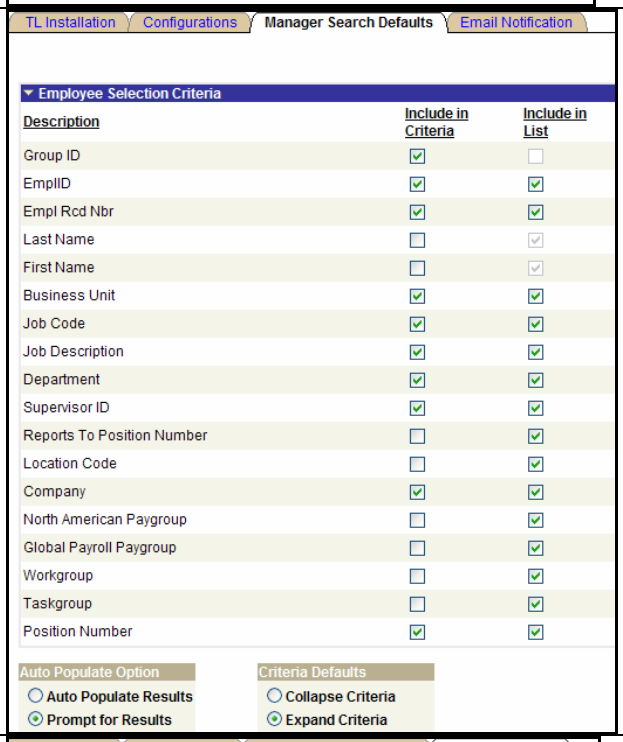
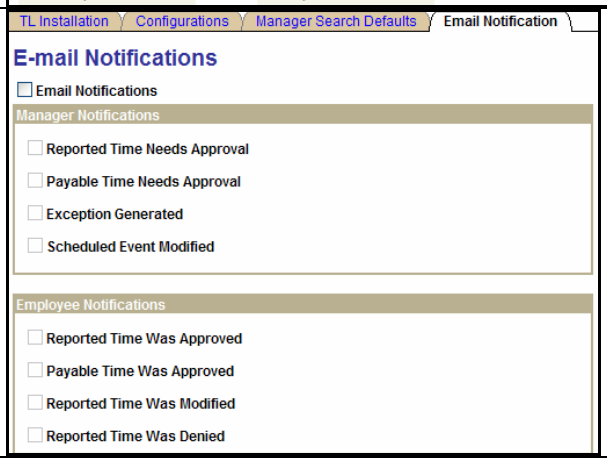
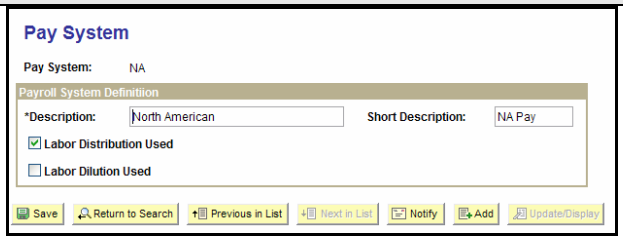
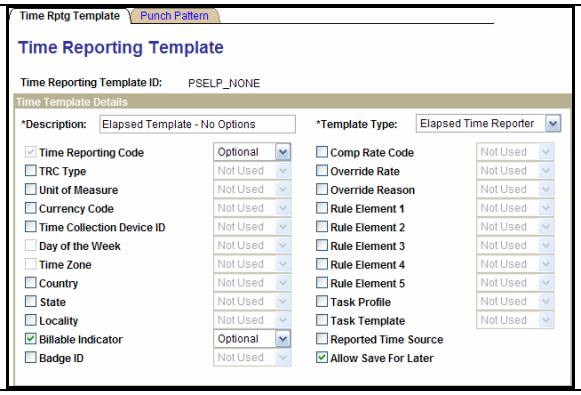
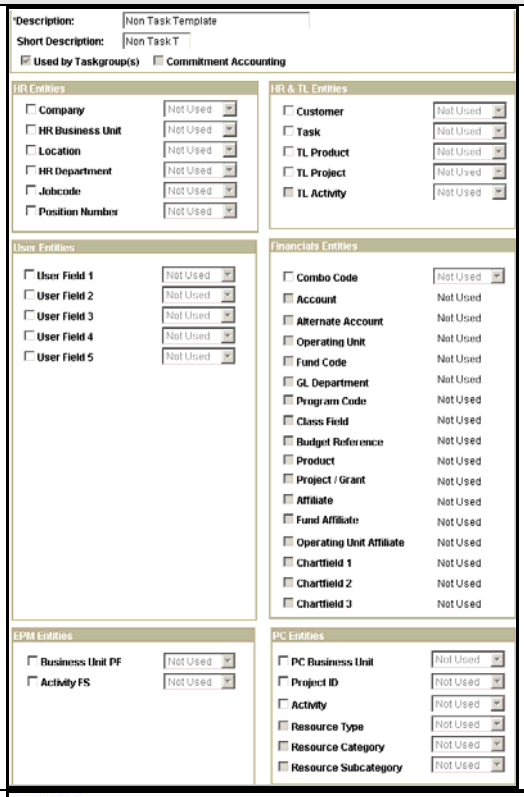
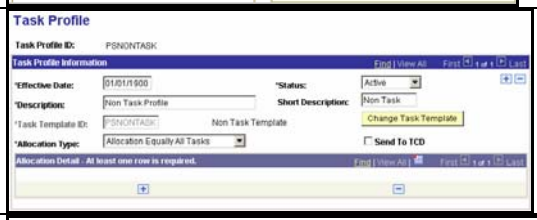
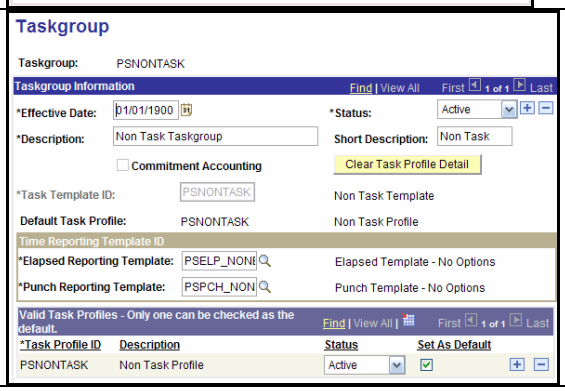
Table	Data / Selected Fields	Additional Information
HRMS Core Installation (Products Tab)		Used to establish use of Time and Labor module.
HRMS Core Installation (Product Specific Tab)		Used to establish base Time and Labor functionality with Payroll.
Time and Labor Installation (TL Installation Tab)		Used to establish Time and Labor processing parameters and interface modules.

Table	Data / Selected Fields	Additional Information
Time and Labor Installation (Configuration Tab)		Used to load Time and Labor dates required for processing and to establish punch pattern defaults.
Time and Labor Installation (Manager Search Defaults Tab)		Used to establish search defaults.
Time and Labor Installation (E-Mail Notifications Tab)		Used to establish manager and employee e-mail notifications.

<table>
<tr><th>Table</th><th>Data / Selected Fields</th><th>Additional Information</th></tr>
<tr><td>Pay System</td><td> 
</td><td>Used to establish the pay system Time and Labor interfaces with and whether or not you're using Labor Distribution and Dilution.</td></tr>
<tr><td>Time Periods</td><td>Established Daily, Weekly, Bi-Weekly, Monthly, and Year time periods.</td><td>Used for Time Reporting and Rule Processing.</td></tr>
<tr><td>Time Period Calendars</td><td>Created Time Period Calendars for each Time Period Created.</td><td>Used for Time Reporting and Rule Processing.</td></tr>
<tr><td>TRC Category</td><td>KNTWRK – Hours Not Worked
KOVT – Overtime
KSCK – Sick Time
KVAC – Vacation
KWORK – Hours Worked</td><td>Used to establish categories of TRC's for reporting purposes.</td></tr>
<tr><td>Time Reporting Codes</td><td>
<table>
<tr><th>TRC</th><th>TRC Type</th><th>Mult Factr</th><th>Earn Code</th></tr>
<tr><td>AWOL</td><td>H</td><td>1.0</td><td></td></tr>
<tr><td>BDAYE</td><td>H</td><td>1.0</td><td></td></tr>
<tr><td>BDAYT</td><td>H</td><td>1.0</td><td>RG1</td></tr>
<tr><td>CTEOT</td><td>H</td><td>1.0</td><td></td></tr>
<tr><td>CTEST</td><td>H</td><td>1.0</td><td></td></tr>
<tr><td>CTTOT</td><td>H</td><td>1.5</td><td>OVT</td></tr>
<tr><td>CTTST</td><td>H</td><td>1.0</td><td>RG1</td></tr>
<tr><td>HAZ</td><td>H</td><td>1.0</td><td>HAZ</td></tr>
<tr><td>HLL</td><td>H</td><td>1.0</td><td>HLL</td></tr>
<tr><td>HOE</td><td>H</td><td>1.0</td><td>HOE</td></tr>
<tr><td>OVTWN</td><td>H</td><td>1.5</td><td>OVT</td></tr>
<tr><td>REG1</td><td>H</td><td>1.0</td><td>RG1</td></tr>
<tr><td>REGAC</td><td>H</td><td>1.0</td><td></td></tr>
<tr><td>SCHED</td><td>H</td><td>1.0</td><td>RG1</td></tr>
<tr><td>SCK</td><td>H</td><td>1.0</td><td>SIC</td></tr>
<tr><td>SKK</td><td>H</td><td>1.0</td><td>SKK</td></tr>
<tr><td>VACN</td><td>H</td><td>1.0</td><td>VAC</td></tr>
<tr><td>VCE</td><td>H</td><td>1.0</td><td>VCE</td></tr>
</table>
</td><td>Established to demonstrate Time Reporting and mapping to Payroll Earnings Codes.</td></tr>
</table>

<table>
<tr><th>Table</th><th>Data / Selected Fields</th><th>Additional Information</th></tr>
<tr><td>TRC Programs</td><td>
<table>
<tr><th>EXEMP</th><th>NON</th></tr>
<tr><td>BDAYE</td><td>AWOL</td></tr>
<tr><td>BDAYT</td><td>BDAYE</td></tr>
<tr><td>HOE</td><td>BDAYT</td></tr>
<tr><td>REG1</td><td>CTEOT</td></tr>
<tr><td>REGAC</td><td>CTEST</td></tr>
<tr><td>SCHED</td><td>CTTOT</td></tr>
<tr><td>SKK</td><td>CTTST</td></tr>
<tr><td>VCE</td><td>HAZ</td></tr>
<tr><td></td><td>HLL</td></tr>
<tr><td></td><td>OVTWN</td></tr>
<tr><td></td><td>REG1</td></tr>
<tr><td></td><td>REGAC</td></tr>
<tr><td></td><td>SCHED</td></tr>
<tr><td></td><td>VACN</td></tr>
</table>
</td><td>Established groups of TRC’s to demonstrate that access to TRC’s can be limited and how rules can be applied to groups of TRC’s.</td></tr>
<tr><td>Compensatory Time Off Plans</td><td>BIRTHDAY
COMP OT
COMP STR</td><td>Created to demonstrate functionality of Comp Time Off Plans</td></tr>
<tr><td>Time Reporting Templates</td><td>


</td><td>Used to establish time reporting elements to display on time reporting pages.</td></tr>
</table>

Table	Data / Selected Fields	Additional Information
Task Template		Used to establish task fields to display on time reporting pages.
Task Profiles		Used to select task entities values and their allocations.
Taskgroups		Use to define valid default time reporting template, task template, and task profile for Time Reporters with identical time reporting requirements.
Workgroups	ABQ FIRE ABQ POLICE ABQ HR	Used to define a group of time reporters that share the same time reporting attributes.

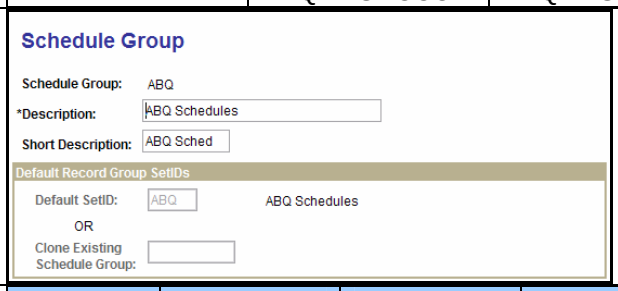
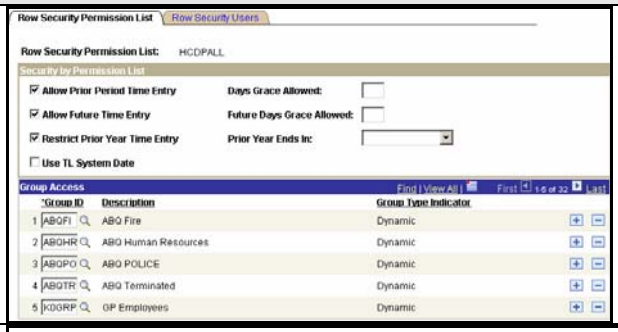
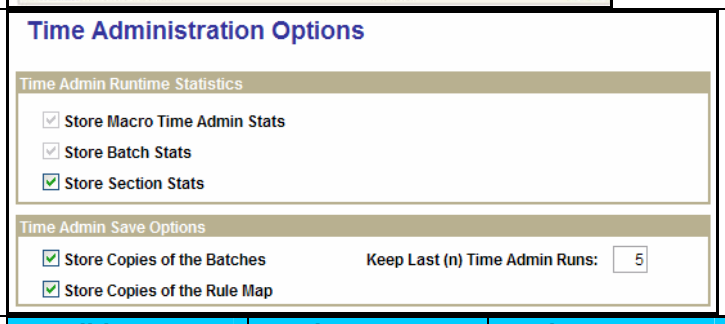
<table>
<tr><th>Table</th><th>Data / Selected Fields</th><th>Additional Information</th></tr>
<tr><td>Dynamic Groups</td><td>ABQFI
ABQHR
ABQPO
ABQTR</td><td>Used to create batches of time reporters, used when processing Time Administration and for establishing security.</td></tr>
<tr><td>Value Lists</td><td>ABQWKOT
APPROVAL</td><td>Lists of TRC’s used by Rules or queries.</td></tr>
<tr><td>Rules (Template Built)</td><td>ABQAPPROVAL
FIRE OT
POLICE OT
ABQDEFAULT</td><td>Used to demonstrate rule processing.</td></tr>
<tr><td>Rule Programs</td><td><table><tr><th>ABQ EXEMPT</th><th>ABQ NON-EXEM</th><th>ABQ POLICE</th></tr><tr><td>ABQDEFAULT</td><td>ABQDEFAULT</td><td>ABQDEFAULT</td></tr><tr><td>ABQREGACCUM</td><td>FIRE OT</td><td>POLICE OT</td></tr><tr><td></td><td>ABQAPPROVAL</td><td>ABQAPPROVAL</td></tr><tr><td></td><td>ABQREGACCUM</td><td>ABQREGACCUM</td></tr></table></td><td>Used to create groups of rules.</td></tr>
<tr><td>Schedule Groups</td><td> 
</td><td>Used to create groups of schedules.</td></tr>
<tr><td>Shifts</td><td><table><tr><th>SHIFT</th><th>SHIFT</th><th>SHIFT</th><th>SHIFT</th></tr><tr><td>10 HR</td><td>12 HR</td><td>14 HRS</td><td>24 HR</td></tr><tr><td>4 HR</td><td>5 HR</td><td>5.5 HR</td><td>6.25 HR</td></tr><tr><td>7 HR</td><td>7.5 HOURS</td><td>8 HR</td><td>8.5 HR</td></tr><tr><td>9 HR</td><td></td><td></td><td></td></tr></table></td><td>Used to create shifts, which are then attached to a scheduled definition.</td></tr>
<tr><td>Workdays</td><td><table><tr><th>WORKDAY</th><th>WORKDAY</th><th>WORKDAY</th></tr><tr><td>MONDAY</td><td>SUNDAY</td><td>8 HOURS</td></tr><tr><td>TUESDAY</td><td>4 HOURS</td><td>9 HOURS</td></tr><tr><td>WEDNESDAY</td><td>5 HOURS</td><td>10 HOURS</td></tr><tr><td>THURSDAY</td><td>5.5 HOURS</td><td>12 HR</td></tr><tr><td>FRIDAY</td><td>6.25 HOURS</td><td>14 HOURS</td></tr><tr><td>SATURDAY</td><td>7 HOURS</td><td></td></tr></table></td><td>Use to define workdays, which are used when creating schedule definitions.</td></tr>
<tr><td>Schedule Definition</td><td><table><tr><th>DEFINITION</th><th>DEFINITION</th></tr><tr><td>12 & 4 BI-WEEK</td><td>36 HRWK</td></tr><tr><td>40HRT-FWT</td><td>40HRWK</td></tr><tr><td>7.5/4</td><td>7 HR M-F WK</td></tr><tr><td>80HRBWK</td><td>84 HRS BI-WEEK</td></tr><tr><td>9MTWTH8T5F</td><td>FLEX11</td></tr></table></td><td>Use to establish a schedule of shifts.</td></tr>
</table>

Table	Data / Selected Fields	Additional Information
TL Permission List Security		Use to establish Time and Labor row security Permission Lists.
Time Administration Options		Used establish Time Administration statistics and the data to store.
Time Reporter Data		Prototype employees enrolled in Time and Labor

Emplid	Workgroup	Taskgroup
0100	ABQ HR	PSNONTASK
0102	ABQ FIRE	PSNONTASK
0103	ABQ FIRE	PSNONTASK
0104	ABQ FIRE	PSNONTASK
0105	ABQ POLICE	PSNONTASK
0106	ABQ HR	PSNONTASK
0107	ABQ HR	PSNONTASK
0108	ABQ HR	PSNONTASK
0109	ABQ POLICE	PSNONTASK
0110	ABQ POLICE	PSNONTASK
0111	ABQ POLICE	PSNONTASK
0112	ABQ HR	PSNONTASK
0145	ABQ HR	PSNONTASK
0146	ABQ HR	PSNONTASK
0147	ABQ HR	PSNONTASK
0148	ABQ FIRE	PSNONTASK
0149	ABQ POLICE	PSNONTASK
0150	ABQ POLICE	PSNONTASK
0154	ABQ POLICE	PSNONTASK
0155	ABQ POLICE	PSNONTASK

Queries	TL_PAYROLL_BALANCE TL_PAYROLL_BAL_BY_EARN_CD	Queries used to balance Time and Labor with Payroll

15 Appendix B

P29 Report

P29 Leave Report

Thursday, January 18, 2007
Page 1

Personnel Information

EMPLOYEE ID	JOB TITLE	HOURLY	HIRE DATE	BIRTH DATE	PAY UNIT	ADJ HIRE DATE	GRADE	STEP	SERVICE YRS
CHAPPELL, LAURICE A.									
000021011	ACCOUNTING SYSTEMS COORD	$30.33	4/2/2005	9/3/1950	0FAAC0000		E17	8	1.75

Leave Balances

PAY CODE	HOURS AVAILABLE
BIRTHDAY OFF	8.00
VACATION BALANCE	121.10
SICK LEAVE BALANCE	146.20

Accrual Rates

ACCRUAL	RATE
SICK	3.70
VACATION	3.85

Work Schedule

WORK SCHEDULE
8 HOURS MON - FRI

Recorded Leave by Pay Period and Date

PAY DATE	DATE TAKEN	SAT		SUN		MON		TUE		WED		THU		FRI	
01/13/2006	12/26/2005		0		0	HO	8.00		0		0		0		0
	01/02/2006		0		0	HO	8.00		0		0		0		0
01/27/2006	01/16/2006		0		0	FHS	8.00		0		0		0		0
03/10/2006	02/20/2006		0		0	HO	8.00		0		0		0		0
	03/03/2006		0		0		0		0		0		0	FH	8.00
05/05/2006	04/27/2006		0		0		0		0		0	VC	8.00		0
	04/28/2006		0		0		0		0		0		0	VC	8.00
06/02/2006	05/19/2006		0		0		0		0		0		0	VC	8.00
06/16/2006	05/29/2006		0		0	HO	8.00		0		0		0		0
07/14/2006	07/04/2006		0		0		0	HO	8.00		0		0		0
07/28/2006	07/21/2006		0		0		0		0		0		0	VC	8.00
	07/21/2006		0		0		0		0		0		0	VCADJ	8.00
08/11/2006	08/03/2006		0		0		0		0		0	VC	8.00		0
09/22/2006	09/04/2006		0		0	HO	8.00		0		0		0		0
10/06/2006	09/29/2006		0		0		0		0		0		0	VC	8.00
11/17/2006	11/09/2006		0		0		0		0		0	VC	8.00		0
	11/10/2006		0		0		0		0		0		0	HO	8.00
12/01/2006	11/23/2006		0		0		0		0		0	HO	8.00		0
	11/24/2006		0		0		0		0		0		0	HO	8.00

16 Appendix C

Tuesday Night Lockout SQL

Tuesday night @ 11:00 PM

```
/** allows time keeper access but only inquiry **/
update ROSSPYHR.SUSR
set USER_CLASS = 'TIMEKEEPER INQUIRY ONLY' where user_class like 'TIMEKEEPER%';

/** removes all access for all users except those listed **/
update ROSSPYHR.SUSR
set ALLOW_ACCESS = 'N' where USER_CLASS not in ('ADMINISTRATOR','PAYRUN','TIMEKEEPER
INQUIRY ONLY');

/** allows inquiry only access for those classes listed **/
update ROSSPYHR.SUSR
   set ALLOW_ACCESS = 'Y'
 where USER_CLASS in ('FISCAL MANAGER','PAY MASTER','PAYROLL TECH','HR
INQUIRY','PAYROLL INQUIRY',
                    'TRAINING COORDINATOR','INTERNAL AUDIT','HEALTH CENTER','BUDGET OFFICE');

/** allows specific inquiry accounts for Payroll and HR **/
update ROSSPYHR.SUSR
set ALLOW_ACCESS = 'Y' where LOGIN_STRING in ('PERPER', 'PAYPAY');
```

Wednesday Night Lockout SQL

```
/** Wednesday before final payroll calc **/

/** disallows access for all user classes but those listed **/
update ROSSPYHR.SUSR
set ALLOW_ACCESS = 'N' where USER_CLASS not in ('ADMINISTRATOR','PAYRUN','PAY
MASTER','HR INQUIRY','PAYROLL TECH')
/

/** re-allows access for payroll and HR inquiry accounts **/
update ROSSPYHR.SUSR
set ALLOW_ACCESS = 'Y' where LOGIN_STRING in ('PERPER', 'PAYPAY')
/
```

Thursday Night Unlock SQL

It is an automatic process @ 11:00 PM Thursday night (payroll weeks)…

```
/** sets time keeper access back to update allowed **/

update ROSSPYHR.SUSR

set USER_CLASS = 'TIMEKEEPER' where user_class like 'TIMEKEEPER%'

/
```

```
/** re-allows access for all user classes

update ROSSPYHR.SUSR
set ALLOW_ACCESS = 'Y' where user_class <> 'EMPLOYEE'
```

17 Appendix D

TELESTAFF	EMPATH SCHEDULES			
A Shift	BATLN A			
Academy	10/4 MTWT	10/4 TWTF	F10/4 MTWT	F10/4 TWTF
Academy Admin Staff	8/5			
Admin M-F, 7-4	8/5			
Admin M-F, 8-5	8/5			
Administration	10/4 MTWT	10/4 TWTF	F10/4 MTWT	F10/4 TWTF
Administration M-Th, 8-6	10/4 MTWT	F10/4 MTWT		
Alarm A	PLATOON A			
Alarm B	PLATOON B			
Alarm C	PLATOON C			
Alarm D	PLATOON D			
Alarm Training	F10/4 MTWT			
Alarm QA	F10/4 TWTF			
Arson Office Assistant	FLEX03			
B Shift	BATLN B			
C Shift	BATLN C			
Cadet Class	8/5			
CIP	10/4 MTWT	10/4 TWTF	F10/4 MTWT	F10/4 TWTF
CIP Accountant	8/5			
FP	F10/4 MTWT	F10/4 TWTF		
ISOTOPES	Only used a group for overtime			
Logisitcs Mechanic III	8/5			
Operations Assistant	8/5			
Paramedica School	F10/4 MTWT			
Plans Checking Captain	8/5			
Plans Checking Office Assistant	8/5			
Supply	10/4 MTWT	10/4 TWTF		
Tech A	F10/4 MTWT	F10/4 TWTF		
Tech B	F10/4 MTWT	F10/4 TWTF		
Tech C	F10/4 MTWT	F10/4 TWTF		
Tech Captain	F10/4 MTWT	F10/4 TWTF		
Tech D	F10/4 MTWT	F10/4 TWTF		

18 Appendix E

Telestaff work code to EmPath Pay Code Crossmap

Telestaff Work Code	***Description***	***EmPath Pay Code***	***Description***
ALM	ADMINISTRATION LEAVE / MANAGEMENT	ALM	
AW	ABSENT WITHOUT LEAVE	AW	Telestaff Code not directly used in Empath as distinct code
BF	BALLOON FIESTA	BF	Telestaff Code not directly used in Empath as distinct code
BRF	BIRTHDAY FLOAT FIRE	BRF	
BROF	BIRTHDAY LEAVE (FIRE)	BROF	
CTA	COMP TIME ACCRUE	CTA	Telestaff Code not directly used in Empath as distinct code
CTB	COMPTIME BANK	CTB	Telestaff Code not directly used in Empath as distinct code
CTO	COMP TIME OFF	CTO	
CTST	COMP TIME STRAIGHT TIME	CTST	Telestaff Code not directly used in Empath as distinct code
CTSTA	COMP TIME STRAIGHT TIME ACCRUE	CTSTA	Telestaff Code not directly used in Empath as distinct code
EV	EMERGENCY VACATION	VC	Telestaff Code not directly used in Empath as distinct code-cross map ok
FH	FLOATING HOLIDAY	FH	
FHS	FLOATING HOLIDAY STRAIGHT TIME	FHS	
FLWO	FMLA LEAVE WITHOUT PAY	FLWO	
HO	HOLIDAY LEAVE	HO	
HSFM	HARDSHIP FAMILY LEAVE	HSFM	
HSL	HARDSHIP LEAVE	HSL	
ID	INJURY PAY	ID	
IDFL	FMLA INJURY PAY	IDFL	Telestaff Code not directly used in Empath as distinct code
IDLD	INJURY PAY LIGHT DUTY	NOT USED	Telestaff Code not directly used in Empath as distinct code
ISO	ISOTOPES	ISO	Telestaff Code not directly used in Empath as distinct code
JD	JURY / WITNESS DUTY	JD	
LATE	LATE PAY	NOT USED	Telestaff Code not directly used in Empath as distinct code
ML	MANAGERIAL LEAVE	ML	Telestaff Code not directly used in Empath as distinct code
MLP	MILITARY PAID LEAVE	MLP	
MLWP	MILITARY LEAVE WITHOUT PAY	MLWP	

MT	MEETINGS	NOT USED	Telestaff Code not directly used in Empath as distinct code
Telestaff Work Code	***Description***	***EmPath Pay Code***	***Description***
NA	NOT AVAILABLE	NA	Telestaff Code not directly used in Empath as distinct code
NA,N	NOTAVALIABLE(night)	NA,N	Telestaff Code not directly used in Empath as distinct code
OPA	OTHER PAID ABSENT	OPA	
OTA	OVERTIME ADMINISTRATIVE	OTA	
OTE	OVERTIME EVENT	OTE	
OTHF	OVERTIME HOLIDAY (FIRE)	OTHF	
OTHU	OVERTIME HOLIDAY AT UP-GRADE RATE	OTHU	
OTHUF	OVERTIME HOLIDAY AT UP-GRADE RATE (FIRE)	OTHUF	
OTOF	OVERTIME OTHER FIRE	OTOF	
OTP	Signup for Overtime	OTP	
OTPFIRE	OVERTIME REGULAR (FIRE)	OTPFIRE	
OTPUFR	OVERTIME REGULAR AT UP-GRADE (FIRE)	OTPUFR	
OTT	OVERTIME FOR TIME	OTT	
OV	OVERTIME ALARM	OTPFIRE	Telestaff Code not directly used in Empath as distinct code-cross map ok
PLWP	PERSONAL LEAVE WITHOUT PAY	PLWP	
PTO	Personal Time Off	VC	Telestaff Code not directly used in Empath as distinct code-cross map ok
REG	REGULAR PAY	REG	
REGF	REGULAR PAY (FIRE)	REGF	
SIRE	Sick\Injury Related Exception	SIRE	Telestaff Code not directly used in Empath as distinct code
SKE	SICK LEAVE EMERGENCY	SKE	
SKFM	SICK LEAVE FMLA	SKFM	
SKH	SICK LEAVE HOSPITALIZATION	SKH	
SKI	SICK LEAVE INJURY	SKI	
SKP	SICK LEAVE PERSONAL	SKP	
SKSI	SICK LEAVE SERIOUS ILLNESS	SKSI	
SKU	SICK LEAVE UNPAID	SKU	Telestaff Code not directly used in Empath as distinct code
ST	STANDBY TIME	ST	
STFAIR	STATE FAIR	STFAIR	Telestaff Code not directly used in Empath as distinct code
SUP	SUSPENSION PAY	SUP	Telestaff Code not directly used in Empath as distinct code
SUU	SUSPENSION UNPAID	SUU	
TPO	Trade Pool Off	TPO	Telestaff Code not directly used in Empath as distinct code

TPW	Trade Pool Work	TPW	Telestaff Code not directly used in Empath as distinct code
Telestaff Work Code	***Description***	***EmPath Pay Code***	***Description***
TTNW	TRADE TIME NOT WORKED	TTNW	Telestaff Code not directly used in Empath as distinct code
TTNWP	TRADE TIME NOT WORKED PAYBACK	TTNWP	Telestaff Code not directly used in Empath as distinct code
TTO	TRADE TIME OFF	TTO	Telestaff Code not directly used in Empath as distinct code
TTW	TRADE TIME WORK	TTW	Telestaff Code not directly used in Empath as distinct code
TUF	TEMPORARY UPGRADE (FIRE)	TUF	
UT	UNION TIME	VC	Telestaff Code not directly used in Empath as distinct code-cross map ok
UV	UNSCHEDULED VACATION	VC	Telestaff Code not directly used in Empath as distinct code-cross map ok
VCFM	VACATION FMLA	VCFM	
VCFR	VACATION (FIREMEN)	VC	Telestaff Code not directly used in Empath as distinct code-cross map ok
WLdep	Wildland Deployment	WLdep	Telestaff Code not directly used in Empath as distinct code
WOS	WORK OFF SITE	WOS	
WOSALM	WORK OFF SITE ALARM	WOS	Telestaff Code not directly used in Empath as distinct code-cross map ok
WOSHM	WORK OFF SITE FOR HAZMAT	WOS	Telestaff Code not directly used in Empath as distinct code-cross map ok
WOSHTR	WORK OFF SITE HEAV TECH RES	WOS	Telestaff Code not directly used in Empath as distinct code-cross map ok
WOSWLD	WORK OFF SITE WILDLAND	WOS	Telestaff Code not directly used in Empath as distinct code-cross map ok

19 Appendix F

Union and Rules and Regulations Requirements.

Legend: Black font – obtained from Collective Agreements and Rules & Regulations
Red font – obtained from INFO Union Rules 2006 to 2008

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Administrative Leave						Up to 6 months leave with pay for a loaned executive Leave with pay can be granted to other employees for up to 80 hours Administrative Leave without pay can be used for ee under investigation up to a maximum of 30 days. Administrative leave can be used for an employee under investigation up to 15 days.		Up to 6 months leave with pay for a loaned executive Leave with pay can be granted to other employees for up to 80 hours May be used for an employee under investigation for up to 30 days.

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Annual Military Leave	Up to 15 calendar days of leave with pay. Maximum 104 working hours per Federal Fiscal year.	Up to 17 12-hr working periods in a Federal Fiscal year Up to 17 12-hr working period in a Federal Fiscal year for training	Up to 15 days paid per Federal Fiscal year Up to 15 days paid per Federal Fiscal year for training. Up to 15 days paid during a state of emergency May not take vacation 5 days preceding or following military leave	Leave with pay for up to 120 hours each calendar year for specific ee's Up to 120 hours leave with pay during a state of emergency. Up to 120 hours leave with pay for specific ee's called to active duty training each Federal Fiscal Year.	Up to 15 days paid per Federal Fiscal year Up to 15 days paid during a state of emergency	Up to 15 days paid each Federal Fiscal year Leave without pay granted up to a maximum cumulative amount of 5 years during employment Total of 120 hours per federal fiscal year for training. No deployment hrs in contract.	Up to 15 paid days each Federal Fiscal year for active duty training. 10-hr shift Officers granted up to 150 hrs. 8-hr shift Officers granted up to 120 hrs. Police Officers can convert Sick Leave to Hazard Leave for active duty greater than 80 hrs. 150 training and 150 deployment. Federal fiscal year	Up to 15 days paid each Federal Fiscal year Leave without pay granted up to a maximum cumulative amount of 5 years during employment Part-time employees receive prorated leave
Bereavement Leave						Maximum of 3 days for death of immediate family member Additional day may be granted for every 500 miles one-way travel to attend funeral Charged to sick emergency		Charged to sick leave Maximum 3 days for death of family member Additional day may be granted for every 500 miles one-way travel to attend funeral

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Birthday	Considered Holiday -- follows same rules as Holiday. No overtime if worked	Recognized as a Holiday	Can be taken on day of occurrence or alternate day following birthday Must be taken within one year or hours lost	Paid at straight time EE's working on their birthday receive an alternate day off Must be taken within one year or hours lost Can only be used on or after actual birthday	Recognized as a legal Holiday Paid at straight time if not worked. If worked ee can choose: Pay 1 ½ regular rate for worked hrs & straight time for Birthday -or- Pay at straight time and time off at 1 ½ regular hrs -or- Pay at straight time and 1 ½ regular for Holiday	Granted for employees in a paid status Hours based upon employees schedule Alternate day can be taken if birthday falls on ee's day off or if ee requests an alternate day off. Not paid for seasonal, temporary, student, or part-time employee's	Considered a Personal Leave Day Paid at straight time. 8 hr shift EE's -- working Holiday paid straight time for Holiday and 1 ½ regular rate for hours worked 10 hr shift EE's – working Holiday paid straight time for Holiday and 1 ½ regular rate for first 8 hrs and 2 hrs straight Comp Time. EE's can float a Holiday and convert it to vacation EE's can float a Holiday as a paid day off.	EE must be in a pay status. Hours paid based upon current schedule If birthday falls on a day off it can be taken on an alternate day Must be taken within 1 year of occurrence Temporary, seasonal, students, and part-time employees not eligible Overtime not paid if Birthday worked
Blood Donation						Up to 2 hrs leave with pay		Up to 1 hr leave with pay
Call Back *(calculated on a 'whichever is greater basis')*	Minimum 2 hrs straight time or 1 ½ regular rate, whichever is greater	Minimum of 4 hrs at 1 ½ regular rate	Minimum 2 hrs at 1 ½ regular rate If on a Holiday minimum of 3 hrs or 1 ½ regular rate	Minimum 2 hrs straight time or 1 ½ regular rate, whichever is greater If on a Holiday minimum of 3 hrs or 1 ½ regular rate	Minimum of 2 hrs of pay at overtime rate		Guaranteed 2 hrs of pay at overtime rate	
Called In/No Work	Guaranteed 1 hour straight time							

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Comp Time	1 ½ regular rate for overtime worked during State Fair, Balloon Fiesta, & Luminaria Tour Comp Time only accrued during these events 40 hrs Maximum Accrual Expiration of April 1st for comp earned during special events.	Earned at rate of 1.5 for each hr worked Maximum of 480 hrs Arson week Investigator receives 2.6 hrs comp time for every 24 hrs period on-call Key members working 40hr/wk on-call after hours and weekends to receive 16.0 hrs Comp Time per month Specific Fire Prevention ee's receive 2.285 hrs comp time for every 24 hrs on-call	40 hrs Maximum Accrual Must be used within 180 days of accrual – if not used paid out within 2 pay periods. Paid to terminating employees OT can be accrued as Comp Time at 1 ½ regular rate 1 hr granted to ee's voting on own time	OT can be accrued as Comp Time at 1 ½ regular rate 84 hrs Maximum Accrual Not considered time worked when computing overtime Must be used within 1 year; if not used paid at ee's regular rate. If not used within 1 year paid at OTP	Overtime hrs can be accrued as Comp Time at rate of 1 ½ hours worked 120 hrs Maximum Accrual Must be used with 1 year; if not used paid at ee's regular rate. Comp paid out at termination	Accrued for overtime worked in place of immediate payment. 60 hrs Maximum Accrual Must be used within 180 days; time not used paid to ee the following pay period.	PT ee's not eligible Can be designated as FMLA leave When On-call: 8 hrs straight Comp Time for every 7 days 2 hrs straight Comp Time per 24 hrs; not to exceed 8 hrs in a week. OT not pd as time worked accrued at 1 ½ reg rate for actual hrs worked 200 hrs Max Accr Term EE limited to cash-out of 40 hrs. Comp Accrual >40 hrs must be used 6 mos prior to term Captains shall receive 8 hrs straight Comp Time per pay period. Exempt Captains receive 8 hrs of straight comp time each pay period. For nonexempt, comp time will be at 1.5 hrs worked.	Payment in lieu of overtime Maximum 60 hrs accrual Must be used within 180 days If not used, paid out on following pay check

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Court/Jury	Regular wage for scheduled time missed	Regular wage for scheduled time missed	Regular wage for scheduled time missed	Regular wage for scheduled time missed	Rules and Regulations	Regular wage for scheduled time missed	Minimum 2 hours at 1 ½ regular rate unless appearing within 1 hour of duty start/end time. If within 1 hour of start/end time, employee paid 1 hours Officers assigned to graveyard shift who have worked the previous shift will be paid a minimum of two (2) hours at time-and-one-half beginning thirty (30) minutes after shift ends plus actual time spent in court following two-and-one-half (2-1/2) hours after close of shift.	Regular rate for scheduled time missed. EE's called as a witness for a non-City related judicial case must submit a request for Leave of Absence
Donated Leave			Contract mentions donations under injury time. They follow RR			EE must have exhausted all other leave. Must not have received Donated Leave, Injury Time or Hardship Leave in previous 12 months. Must be charged to FMLA if FMLA hasn't been exhausted.		EE must have exhausted all other leave. Donated leave converted to dollars and then hours based upon recipient's compensation rate. Can only be requested once a year

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Education Leave		Bargaining unit members can be granted leave to attend non-city required courses. Bargaining unit members required by the City to attend courses shall be paid for time spent attending course.	Follow Rules & Regulations	Follow Rules & Regulations	Follow Rules & Regulations	Up to 4 hrs per week for full-time employee		Up to 3 hrs/wk for full-time employees
Emergency Leave	Can be charged to vacation or sick	Up to 4 days can be charged to sick leave Up to two 24-hour shifts for death of family member 24-hour shift per 500 miles traveled one-way to attend funeral Additional may be granted on case-by case basis	FMLA eligible ee's granted up to 3 days for birth or adoption of child in addition to FMLA leave Up to 5 days granted for death of a family member		Up to 3 days charged to sick leave in event of serious illness or injury to immediate family member City can grant up to 5 days emergency leave. Death of immediate family member Additional day per 500 miles one-way to attend funeral		Charged as sick leave. EE can choose to charge to vacation leave. Up to 3 days Up to 3 days for death of immediate family member Additional day per 500 miles one-way to attend funeral.	

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Floated Holiday				Must be taken within 180 days of accrual EE's requesting to work a Holiday paid at straight time and can 'float' Holiday at straight time Floated Holidays must be used within 180 days of accrual EE's required to work Holiday can float Holiday or receive pay for hours worked and the Holiday Floated Holiday is at 1 ½ time hours worked Floated Holiday not taken within 180 days paid 1 ½ regular rate. Cannot be converted to cash at termination		Employee can float Holiday Floated Holiday must be used within 1 year of accrual	Floated Holiday converted to vacation time	

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Grievance Pay			Regular rate for time as a witness during regular scheduled hours or during time off Officer or Steward paid for time to represent an employee				Leave with Pay granted to Association President and Vice-President Limitation of 20 hrs/wk Leave without Pay can be granted to Union Vice-President for grievance	Paid regular rate for scheduled time missed.
Guaranteed Hours	Extra Board Operators guaranteed 40 hrs/wk							
Hardship Leave						Granted for up to 1 year Only if all other leave exhausted Must be reported as FMLA unless FMLA has been exhausted.		For eligible employees based upon service Seasonal, temporary, students, and part-time employees working < 20 hrs/wk not eligible Part-time employees working ≥ 20 hrs/wk eligible for prorated amount.

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Hazardous Duty Leave							Sick Leave in excess of 2000 hrs converted at rate of 2 sick days = 1 day Officer with 360 sick hrs can convert 3 sick days into 1 Hazard Duty Leave day. Officer with 720 sick hrs can convert 1 sick day into 1 Hazard Duty Leave day	

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Holiday	Paid at straight time 1 ½ regular hrs when worked in addition to Holiday Can take alternate day for Veteran's Day & President's Day Can float the Holiday at 1 ½ regular rate. Holiday not paid if they have 12+ tardy minutes the day before or after the Holiday.	Includes Birthday Complex rules	Paid at straight time EE's working Holiday can: Work at straight time and receive 1 ½ regular time off (float Holiday) -or- Work at straight time and receive 1 ½ regular pay for Holiday. Holiday pay included in Overtime calculation. EE's requesting to work a Holiday paid at straight time and can 'float' Holiday at straight time.	Paid at straight time 1½ reg hrs worked plus HOL HOL pay included in OT calculation EE's requesting to work HOL pd straight time; can 'float' it at straight time EE's required to work HOL can float it or receive pay for hrs worked plus HOL Floated HOL at 1 ½ time hrs worked Can't be cashed at termination If HOL falls on Saturday or ee's 1st day off it is observed on previous Friday or workday. If Holiday falls on Sunday or ee's 2nd day off it is observed on following Monday or workday.	Paid at straight time Birthday recognized as a legal holiday If worked ee can choose: Pay 1 ½ regular rate for worked hrs & straight time for Birthday -or- Pay at straight time and time off at 1 ½ regular hrs -or- Pay at straight time and 1 ½ regular for Holiday	EE must be paid the full work day immediately before and immediately after the Holiday Employee can float Holiday If Holiday falls on Saturday or an employee's first day off it will be observed on previous Friday or previous workday. If Holiday falls on Sunday or an employee's second day off it will be observed on following Monday or following workday. If a Holiday occurs during scheduled vacation, it shall be paid as a Holiday Non-exempt ee required to work on a Holiday pd 2 ½ regular rate.	Paid at straight time 8 hr shift EE's -- working Holiday paid straight time for Holiday and 1 ½ regular rate for hours worked 10 hr shift EE's – working Holiday paid straight time for Holiday and 1 ½ regular rate for first 8 hrs and 2 hrs straight Comp Time. EE's can float a Holiday and convert it to vacation (their option). EE's can float a Holiday as paid day off. EE's working but not required to work paid at straight time and can float the Holiday	EE must be paid for full day immediately preceding and immediately following Holiday Hrs pd based upon ee schedule If Holiday falls on Saturday or ee's 1st day off it will be observed on previous Friday or workday. If Holiday falls on Sunday or ee's 2nd day off it will be observed on following Monday or workday. If required to work on Holiday ee can take an alternate day within 1 year of the accrual. Unclassified ee's not entitled. Part-time, temporary, seasonal, and students working ≥ 20 hrs/wk entitled to prorated Holiday. Part-time, temporary, seasonal, and students working ≤ 20 hrs/wk not entitled to prorated Holiday.

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Humanitarian Leave							Comp Time donated at members current rate of pay at rate of 1 ½ hrs Comp Time = 1 hr Leave Pool Maximum of 1000 hrs in Leave Pool	
Injury Time	Not included in overtime calculation Total of 960 hours. Paid per Rules and Regulations Light Duty included in 960 hours	60 working days in addition to Rules and Regs 960 hrs. Light Duty is worked time and part of 960 hrs	Paid per Rules and Regulations Light Duty included in 960 hours.	Paid per Rules and Regulations	Can receive donated vacation or sick leave if injury time exhausted ID time does not go to OT for the week. Follows the RR rules 960 hours. IDLD is worked time but counts as part of the 960 hours	Not applicable to part-time, student, temporary, and seasonal employees. Maximum of 960 hrs per body part or injury. Charged to FMLA. Light Duty not charged to FMLA.	Paid if an Officer is exposed to a contagion resulting in loss of work. Can be granted 12 months in addition 960 hrs. Light Duty is considered time worked and is included in 960 hrs	Applies only to on-the-job injuries Maximum 960 hrs per body part or injury Charged to FMLA Light Duty time included in hours Part-time, temporary, seasonal, and students working ≤ 20 hrs/wk not entitled
Leave with Pay			To conduct City business EE's not entitled to FMLA can be paid up to 3 for birth or adoption of child	To conduct City business		Granted to employees on union negotiating team during negotiations Granted to Union Steward for specific tasks Union President granted up to 16 hrs/wk; can designate an alternate employee		Can be granted for: Birthday Holidays Vacation Illness Bereavement Jury duty Voting Annual military leave Education Work offsite can be permitted for a maximum of 8 hrs per month

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Leave Without Pay			Given for union election voting		Granted for up to 1 year Can be granted to Union officials to attend seminars, conventions, etc	Granted for up to 12 months. Must have exhausted sick and vacation leave Absent without Leave		Granted for up to 30 days Absence without Leave
Managerial Leave						Paid leave can be granted to Exempt employees Must be used within 1 year of accrual, if not, the balance is dropped.		Granted to Exempt employees
Maternity/Paternity Leave/FMLA				Not counted as sick leave			Chief of Police may grant up to 720 hours of Leave without Pay. Up to 360 hours related to medical condition related to childbirth. Up to 360 hours for care of newborn.	
No Show/Miss-out	Need a TRC to indicate for use by Holiday Rule							

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Overtime	Paid at 1 ½ regular rate Extra Board Operators guaranteed one day off each week. 4 hrs unpaid Union Business Leave counted as worked time for computing overtime. Vacation and Sick leave not included in overtime calculation. Review union rules spreadsheet and CA		Paid at 1 ½ regular rate Paid leave considered time worked EE's working Holiday paid at 1 ½ regular rate Can be accrued as Comp Time at 1 ½ regular rate Holiday pay included in overtime calculation	Paid at 1 ½ regular rate Paid leave considered time worked Paid time considered time worked Can be accrued as Comp Time at 1 ½ regular rate Comp time not considered time worked in overtime calculation Standby not considered time worked in overtime calculation Holiday pay included in overtime calculation	Paid leave considered time worked in calculation of overtime Overtime hrs can be accrued as Comp Time at rate of 1 ½ hours worked	Paid time considered hours worked for overtime calculation Paid as worked -or- Accrued as Comp Time Not paid for time spent on Union-Employer Committee	Paid at 1 ½ regular rate Overtime for all hours in excess of 40 hrs in a week Paid leave considered when calculating overtime Part-time employees cannot work overtime Not applicable to Captains Paid time considered when calculating overtime	Payment in form of cash or comp time Maximum 60 hours comp time accrual Paid time is considered time worked
Physical Exam/Doctor's Appointment	Paid for any scheduled time missed if required to take a physical	Doctor's appointment considered personal illness and therefore a sick day		Per Rules and Regulations for 2008. For 2007 they can use ½ day of OPA	Employee may use vacation time for physician appointments	Each employee may utilize one-half (1/2) day paid leave during the FY '07 for the purpose of undergoing a physical examination.	½ day granted between July 1, 2006 and June 30, 2007 for physical exam	

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Possible Workgroups	MCO SVC Extra Board Operators	40-hour work week 42-hour work week 56-hour work week	8 hrs/day 10 hrs/day	8hrs/day 10hrs/day		8 hrs/day FLSA 10 hrs/day FLSA Exempt 40 hrs/wk Flex schedule employees	Patrolmen Sergeants Lieutenants Captains -- FLSA Exempt Pilots Bomb Squad Aerial Observer Motorcycle Officers SWAR Team CNT members CIT Mounted Unit	Classified Unclassified Temporary Seasonal Part-time < 20 hrs/wk Part-time ≥ 20 hrs/wk Students Elected Officials Board/Commission Members
Safety/Security Committee							Committee members attending meetings shall not lose pay.	
Shift Differential			Swing shift 0.30 per hour Graveyard shift 0.45 per hour Swing shift 11:59am and 6:59pm Graveyard shift 7:00pm and 3:59am	Paid to ee's working between 11:30am and 7:29pm Paid to ee's working between 7:30pm and 3:29am Not stopped iif ee temporarily assigned to another shift	Swing shift 0.15 per hour Graveyard shift 0.20 per hour Swing and graveyard shifts determined by each department		Differential of 23.08 per pay period for Watch I (any shift beginning between 1700 and 0329 hours) Differential of 11.54 per pay period for Watch III (any shift beginning between 1000 and 1659 hours) Watch II doesn't receive differential pay.	
Shift Exchange							EE's exchanging shifts and then not working can be docked at 1 ½ regular rate if overtime was required to fulfill the shift.	

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Sick Leave		Personal illness Injuries Legal quarantine Doctor's appointments	Sick Time over 56 hours in a year are tracked	Personal illness Illness of spouse, domestic partner, son, daughter, or parent. Doctor's appointments Up to 3 days in case of family member's death Additional day for every 500 miles of one-way travel to attend funeral Does not include Maternity and Paternity Leave		Personal illness Illness of spouse, domestic partner, son, daughter, or parent Doctor's appointments Cannot be taken prior to accrual Sick Leave converted to either vacation or cash payment when ee reaches Maximum of 1200 hours Sick Leave may be donated to Donated Leave	Emergency leave time charged as sick leave Can be designated as FMLA leave Officer with 360 sick hrs can convert 3 sick days into 1 Hazard Duty Leave day. Officer with 720 sick hrs can convert 1 sick day into 1 Hazard Duty Leave day Sick Leave in excess of 2000 hrs converted at rate of 2 sick days = 1 day	Cannot be taken prior to accrual Personal illness Illness of spouse, domestic partner, son, daughter, or parent Includes doctor's appointments Temporary, seasonal, students, and part-time employees not eligible Sick Leave conversion

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Sick Leave Incentive	Per Rules and Regulations	Per Rules and Regulations	Employees who utilize 0 hrs of sick leave over 6 consecutive months will be awarded one day of leave in accordance with Council Resolution	Could be a coding problem as contract allows for females who complete probation to take maternity leave. These individuals would not qualify for FMLA, so the hours may be coded as SK* and that would eliminate them from the RR sick leave incentive data pull. However, the contract states that this leave will not eliminate them from any department sick leave incentive (?) The above is not mentioned in the Collective Agreement		8 hrs for ee w/ 0 sick hrs in 6 months 4 hrs for ee w/ < 12.5 % accrued sick in 6 months PT ee's that become FT within 6 mos period treated as though FT Sick Leave Usage twice/yr Jan 1 – Jun 30 & July 1 – Dec 31 EE's on Injury Time not eligible Incentive Prorated for PT ee's working ≥ 20 hrs/wk EE's working < 20 hrs/wk not eligible		Vacation Leave granted per: 8 hrs for ee w/ 0 sick hrs in 6 months 4 hrs for ee w/ < 12.5 % accrued sick in 6 months PT ee's that become FT within 6 mos period treated as though FT Sick Leave Usage twice/yr Jan 1 – Jun 30 & July 1 – Dec 31 EE's on Injury Time not eligible Incentive Prorated for PT ee's working ≥ 20 hrs/wk EE's working < 20 hrs/wk not eligible
Split Run	0.25 per hour worked for runs < 13 hours. 0.30 per hour worked for runs ≥ 13 hours. 0.35 per hour worked for runs > 13.5 hours.							

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Standby/On-Call	Paid at straight time	Arson week Investigator receives 2.6 hrs comp time for every 24 hrs period on-call Key members working 40hr/wk on-call after hours and weekends to receive 16.0 hrs Comp Time per month Specific Fire Prevention ee's receive 2.285 hrs comp time for every 24 hrs on-call	4 hrs per every 24-hour period. Pro-rated if 24-hour shift not completed	4 hrs per every 24-hour period. Pro-rated if 24-hour shift not completed or shared by another ee	On-call Pd for time worked plus 1 hr travel time Standby – pd 1 hr Comp Time or ½ time on stand-by, whichever is greater	Per Rules and Regulations Standby Time is paid as per Rules and Regs but there is a conflict between the on line policy and the 1/25/06 policy. If the 1/25/06 policy is real, we have no idea how to pay Standby for M series because the contract tells you to pay by R&R and the R&R says to pay per contract. Tort Claim Adjusters have a stand by payment, which is calculated as an amount for each 24 hours on call (1/24 X (168 – hours worked times base rate).	8 hrs straight Comp Time for every 7 days On-Call 2 hrs straight Comp Time per 24 hours; not to exceed 8 hrs in a week. Part-time employees cannot participate in On-Call	Standby per Collective Agreements On-call not included in calculation of overtime Paid at 1 ½ regular rate for actual hours worked
Strike/Walk-out								
Suspension						Up to 5 days of paid suspension. Not to exceed 90 calendar days.	Up to 5 days of paid suspension	
Trainer	< 4 hrs = 30 mins of pay ≥ 4 hrs = 60 mins of pay		15% above base rate	Differential paid to certified trainers 15% above base rate				

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Upgrade Pay	SVC's paid 15% above regular pay	8% increase in pay; cannot be above step of current pay	Qualified ee's paid rate of higher graded position Non-qualified ee's paid of higher graded position less one pay grade	2% per grade increase EE's temporarily upgraded to Management position paid according to Rules and Regulations TP is used and rate is 15% above base. However, the contract says an MOU is needed and currently none is in place.	EE's upgraded to Management receive 8% above their regular rate or entry pay for position, whichever is greater	Cannot be upgraded to a position more than 2 grades higher Should not exceed 90 days	Compensated at entrance rate of the class or one step above present rate, whichever is higher	Not for less than 8 hrs/day May not exceed 2 grades higher than ee's current classification Maximum of 90 days for upgrades for M series employees. Maximum 6 months for upgrades for E and I series employees. Employees in B, C, Q and J series may upgrade no higher than M13, E13, or I6. Upgrade rate shall not exceed maximum rate for which the employee is being upgraded.

Requirement	Bus BS	Fire FD	Blue BL	Clerical CL White	Security/ Animal Control J	Management M	Police PD	Rules & Reg RR
Vacation Leave			Can take vacation pay prior to actual vacation			If a Holiday occurs during scheduled vacation, it shall be paid as a Holiday Can be donated to Donated Leave Cannot take prior to accrual	Up to 40 hrs in advance Can be designated as FMLA leave Excess accumulated vacation up to 80 hrs pd at end of year on one-to-one basis.	Cannot take prior to accrual Holiday occurring during vacation charged as Holiday Temporary, seasonal, students, and part-time employee's working < 20 hrs/wk not entitled to vacation leave.
Vote Pay		Granted 2 hrs paid time If work day begins less than 2 hrs after polls open and ends less than 3 hrs before polls close	Granted 2 hrs paid time on all election days If work day begins less than 2 hrs after polls open and ends less than 3 hrs before polls close EE's voting on own time granted 1 hour of Comp Time	Granted 2 hrs paid time If work day begins less than 2 hrs after polls open and ends less than 3 hrs before polls close	Granted 2 hrs paid time during hours of poll operation	Granted 2 hrs paid time If work day begins less than 2 hrs after polls open and ends less than 3 hrs before polls close		Granted 2 hrs paid time If work day begins less than 2 hrs after polls open and ends less than 3 hrs before polls close

Requirement Number	Functional Requirement	Response Required/Comments	Met w/ Prod Suite Config	Met w/ BPR	Met w/ Bolt-on	Met w/ Extension	Software Module	Narrative/Justification
POSITION MANAGEMENT PC_1	**Project Setup and Maintenance (Support and Security)**							
PC_1.1	System must capture and maintain detail associated with appropriated dollars, authorized FTEs, and internally set budgets by position.	Need to look at with the budget folks. Position Management to be done by Class & Comp; Position Budget to be done by Budget office.	**M**					
PC_1.2	System must provide for establishing and maintaining a unique position number for every funded position in the City.	Executive Sponsor desires a unique position number for every position in the City. What does this mean for cost center overrides? How does this impact e-recruit?	**M**					
PC_1.3	System must provide a position table to maintain pertinent information about every position in the City in accordance with the data classification structure established in the General Accounting module. The table must include, but not be limited to, the following:	Additional requirements: Safety Sensitive, Drug Pool class and other pre-employment requirements Under consideration is the position pool field on the 2nd tab "Specific Information" of the position table	**M**					
	Position Number		**M**					
	Position Status		**M**					
	Job Code		**M**					
	Shift (if applicable)	Need to explore the functionality further; cost/benefitanalysis	**M**					
	Union Code		**M**					

Code Legend:
M - Meets your requirements
D - Do not need
X - Does not meet you city requirements

Requirement Number	Functional Requirement	Response Required/Comments	Met w/ Prod Suite Config	Met w/ BPR	Met w/ Bolt-on	Met w/ Extension	Software Module	Narrative/Justification
	Department		M					
	Location		M					
	Reports To	Reports to position number	M					
	Dotted Line Reports To (if applicable)		D					
	Supervisor Level (if applicable)	Rather than level (1,2,3), can we instead show Y or N?	D					
	Salary Admin Plan/Grade/Step	Plan and Grade, Y; Step, No	M					
	Standard Hours	What does this field drive? Fire?	M					
	Work Period	What does this field drive? Fire?	M					
	FLSA Status		M					
	Bargaining Unit (if applicable)	Do we need both Union and BU?	D					

Code Legend:
M - Meets your requirements
D - Do not need
X - Does not meet you city requirements

Requirement Number	Functional Requirement	Response Required/Comments	Met w/ Prod Suite Config	Met w/ BPR	Met w/ Bolt-on	Met w/ Extension	Software Module	Narrative/Justification
	Maximum Headcount	1:1 if unique positions is chosen	**M**					
PC_1.4	System must maintain position history for all positions in the City going forward but will not populate historical position numbers for each employee.		**M**					
PC_1.5	System must provide flexibility for a position to be shared by more than one employee based on percentage of time worked. System should also allow two employees to fill one position through authorized override capability (incumbent employee on leave of absence and position being filled by another employee in the interim or employee on temporary duplicate).	Consider this functionality for job sharing? Also, how do we want to handle temporary duplicates?	**D**					
PC_1.6	System must allow for multiple funding sources for one position with proper split of salary.	This can either be handled through the job earnings distribution panel or through an automatic JV.	**M**					
PC_1.7	System must allow for positions to retain all associated history if reclassified.		**M**					
PC_1.8	System must provide an edit to prevent an employee from being successfully processed as a new hire without a valid position number.		**M**					
PC_1.9	System should track vacant positions by date vacated or other user-defined criteria.		**M**					
PC_1.10	System must provide ability to store and edit against FTE ceilings for certain levels of the organization by level (employee, supervisor, manager) and by budget or program.	More for multiple employees in one position.	**M**					

Code Legend:
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Requirement Number	Functional Requirement	Response Required/Comments	Met w/ Prod Suite Config	Met w/ BPR	Met w/ Bolt-on	Met w/ Extension	Software Module	Narrative/Justification
PC_1.11	System must maintain supervisor/employee relationships and allow for updates from the position table to the job data.		**M**					
PC_1.12	System should provide standard production reports that allow the City personnel to monitor all aspects of the position control function, including but not limited to the following:	Do we have other reporting needs not listed here? Carol is running samples of current position mgmt reports	**M**					
	Budget and position utilization reports		**M**					
	Position occupant history reports		**M**					
	Proposed budget and position summary reports		**M**					
	Proposed staffing summary reports		**M**					
	Staffing audit reports		**M**					
	Staffing position detail reports		**M**					
	Staffing summary reports		**M**					
	Staffing to proposed budget comparison reports		**M**					
	Vacancy report		**M**					
	EEO reporting by position		**M**					
	FLSA reporting by position		**M**					
PC_1.13	By Position, budgeting should be able to see and receive Activity, Fund, Program, Department annual rate and Fringe Benefits.		**M**					

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PERSONNEL MANAGEMENT PM_1								
PM_1.1	System must provide a compensation table that captures the following data elements at a minimum:							
	Salary Admin Plan		**M**					
	Salary Grades		**M**					
	Salary Ranges		**D**					
	Salary Step		**M**					
	Effective date		**M**					
PM_1.2	System must allow for processing mass changes to the employee compensation table of a change percentage or fixed dollar increase for COLA or various other increases.		**M**					
PM_1.3	System must maintain the following employee information, at a minimum:							
	Emplid		**M**					
	Employee name		**M**					
	Effective Date		**M**					
	Gender		**M**					
	Highest Education Level		**D**					
	Maritial Status and effective date		**M**					

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	Language Code		M					
	Alternate ID		D					
	Social Security Number		M					
	County of residence		M					
	Home Address		M					
	Mailing Address		M					
	Home phone number		M					
	Business address		M					
	Business phone number		M					
	Pager	If City pager	M					
	Cellular phone	If City phone	M					
	Facsimile	If City Fax	M					
	Email address		M					
	Ethnic group		M					

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Requirement Number	Functional Requirement	Response Required/Comments	Met w/ Prod Suite Config	Met w/ BPR	Met w/ Bolt-on	Met w/ Extension	Software Module	Narrative/Justification
	Citizenship information (I-9 information, visa status, visa end date, work permit)		**M**					
	Smoker Yes/No Indicator		**M**					
	Disability		**D**					
	Special accommodations		**D**					
	Company		**M**					
	Department Code		**M**					
	Location		**M**					
	Job Code		**M**					
	Employee type (REG/TEMP, FT/PT, Exempt/Non-Exempt)		**M**					
	Supervisor		**M**					
	Union Code		**M**					
	Pay Group		**M**					
	Work Location		**M**					
	FICA Status		**M**					
	Salary Plan, Grade, Step		**M**					
	Compensation information		**M**					
	Hourly rate		**M**					
	Annual, Monthly, Daily Rates		**M**					
	Pay period (monthly or bi - weekly)		**M**					

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Requirement Number	Functional Requirement	Response Required/Comments	Met w/ Prod Suite Config	Met w/ BPR	Met w/ Bolt-on	Met w/ Extension	Software Module	Narrative/Justification
	Employment history – hire date, rehire date, termination date, seniority date and service date		**M**					
	Benefits information		**M**					
	Leave information (hours earned/authorized, used, paid, and current balance for authorized leave types where appropriate)							
PM_1.4	System must allow for the tracking of probationary periods for new hires or rehires. System should provide ability to move to next salary step, extend a probationary period or terminate the employee within six (6) months of his/her initial start date with the City. System must track by action/reason when an employee has completed the probation period.	Query to track these types?	**M**					
PM_1.5	System must provide ability to process the following personnel actions with required edits:							
	New hire and new hire		**M**					
	Rehire		**M**					
	Transfers		**M**					
	Promotion		**M**					
	Demotion		**M**					
	Salary Changes		**M**					
	Leave without pay		**M**					
	Leave with pay		**M**					

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Requirement Number	Functional Requirement	Response Required/Comments	Met w/ Prod Suite Config	Met w/ BPR	Met w/ Bolt-on	Met w/ Extension	Software Module	Narrative/Justification
	Terminations		**M**					
	Retirements		**M**					
PM_1.6	System must provide reason codes for documenting intent of personnel actions (transfers, demotions, salary grade changes, and separation).		**M**					
PM_1.7	System must allow for the correcting or changing of personnel actions.	Controlled thru security	**M**					
PM_1.8	System must provide ability to maintain appropriate data to support all applicable federal reporting [and State] requirements: (EEO, etc.)	Carol and Patrick to add other regulatory reporting requirements	**M**					
PM_1.9	System should provide ability to process multiple personnel actions effective on the same day.		**M**					
PM_1.10	System should provide ability to generate mailing labels.		**M**					
PM_1.11	System should provide for the establishment and maintenance of emergency contact information for employees.		**M**					
PM_1.12	System should provide interface capability to outside systems that rely on HR Data							

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BASE BENEFITS								
BB_1.1	System should provide functionality for enrolling employees and maintaining all data elements and processes required for administering the City's Group Insurance program for employees:							
	Health Insurance		**M**					
	Dental Insurance		**M**					
	Vision Insurance		**M**					
	Basic Life and AD&D Insurance – er paid	not a current requirement but would be desirable with Ben Admin	**D**	**M**				Delivered PS can not handle the rates/premiums the City currently has
	Retiree Basic Life	not a current requirement but would be desirable with Ben Admin	**M**					
	Supplemental Life Insurance - ee, child, spouse			**M**				On the City's age graded rules, there are 6 rates that go out to 4 digits. Delivered PS is 3 digits.
	Disability Insurance		**M**					
	457 Retirement Plan (Deferred Comps)		**M**					
	Retirement Catch up plan (Deferred Comp)		**M**					
	Health Care Flexible Spending Account		**M**					
	Dependent Care Flexible Spending Account		**M**					
	Parking Flexible Spending Account		**M**					
	PERA Retirement Plan		**M**					
	PERA Retirement Health		**M**					
BB_1.2	System should provide functionality for maintaining all data elements and processes required for administering the City's Leave programs for all employees including part time employee's who are ½ time and ¾ time.		**M**					
BB_1.3	System should provide functionality so that leave accrual amounts do not go negative.	This will be handled on the Time and Labor side.	**M**					

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BB_1.4	System should provide insurance calculations based on provider, coverage codes, annual salary or age changes.		**M**					
BB_1.5	System should provide an interface to accounts payable for benefits liability to benefit providers		**M**					
BB_1.6	System should be able to audit for employees enrolled into the incorrect PERA plan prior to the pay confirmation for new hires and rehires.	Set up Audit Query	**M**					
BB_1.7	System should send an electronic transmission of eligibility information to the PERA 3rd Party RIO System from PS for PERA Retirement and RETHC. After every payroll, information is sent to PERA w/in 5 working days that includes the following information at a minimum:	Current Interface to Pera will possibly need to be modified to run from PeopleSoft	**M**					
	ER Contribution for PERA Retirement		**M**					
	EE Contribution for PERA Retirement		**M**					
	ER Contribution for RetHc		**M**					
	EE Contribution for RetHc		**M**					
BB_1.8	System should maintain the following for deferred compensation plans:		**M**					
	Edit for maximum annual deferral for individual 457 and catch up plans							
	Edit for ee's eligible for catch up plan	query/ben admin						
BB_1.9	System should maintain complete benefits transaction history by employee going forward, no historical conversion necessary.		**M**					
BB_1.10	System should allow for the establishment and maintenance of multiple plan providers.		**M**					
BB_1.11	System should provide ability to effective date all changes to benefit rates and enrollment information.		**M**					

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Requirement Number	Functional Requirement	Response Required/Comments	Met w/ Prod Suite Config	Met w/ BPR	Met w/ Bolt-on	Met w/ Extension	Software Module	Narrative/Justification
BB_1.12	System should provide ability to maintain information on multiple dependents and life insurance and retirement beneficiaries for all employees, including relationship (child, spouse or domestic partner), date of birth, and address. Data will be necessary for benefits enrollments but is not tracked in current system. Dep/Benef information will need to be provided from carriers.		**M**					
BB_1.13	System should provide a fiscal year-end for benefits coverage effective 7/1 of the current year and with new premium deductions effective the first day of the first pay period of the new fiscal year.		**M**					
BB_1.14	System should provide for an annual calendar year-end rollover of 457 and catch up deferred compensation plans.		**M**					
BB_1.15	System should provide for a fiscal calendar plan enrollment and start over for Health, Dependent and Parking Flexible Spending Accounts		**M**					
BB_1.16	System should take Flexible Spending Account deduction for only 25 of the 26 pay period per year.	Can this be changed to 26 pay periods	**M**					
BB_1.17	System should provide for arrears processing of Benefit Deductions.	With rules	**M**					
BB_1.18	System should generate mailing labels for Health fair notices; flu shot notices and Open Enrollment.		**M**					

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BB_1.19	System will need to provide report for all terminated and retired employees who are still enrolled in Benefit Plans and Leave Plans. COA would like to include in a terminated employee checklist.	Set up Audit Query	**M**					
BB_1.20	System should provide report of those ee's going on COBRA within 10 business days to the 3rd party vendor.	The current interface will need to be modifed to run from PS						
BB_1.21	System should provide report of all employees on a leave without pay and who are enrolled in Benefits for so that they can be billed for the ee portion of premium. When payment is made data will need to be entered into PS.	When payment is made, we should record the receivable and it should flow to the employee level file.						

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Navigation
Organizational Development>Position Management>Review Position/Budget Info>Budget Status
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
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Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab

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Navigation
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab
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Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Description Tab

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Navigation
Organizational Development>Position Management>Maintain Positions/Budgets>Add/Update Position Info>Specific Information Tab
Organizational Development>Position Management>Review Position/Budget Info>Position History
Organizational Development>Position Management>Review Position/Budget Info>Position History
Workforce Administration>Job Information>Job Data>Earnings Distribution Link
Organizational Development>Position Management>Maintain Positions/Budgets
Workforce Administration>Job Information>Job Data>Work Location Tab
Organizational Development>Position Management>Position Reports>Vacant Position
Organizational Development>Position Management>Maintain Positions/Budgets>Add Update Positions>Specific Information and also Budget and Incumbents

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Navigation
Organizational Development>Position Management>Maintain Positions/Budgets>Add Update Positions>Description
Organizational Development>Position Management>Position Reports
Organizational Development>Position Management>Position Reports
Organizational Development>Position Management>Position Reports
Organizational Development>Position Management>Position Reports
Organizational Development>Position Management>Position Reports
Organizational Development>Position Management>Position Reports
Organizational Development>Position Management>Position Reports
Organizational Development>Position Management>Position Reports
Organizational Development>Position Management>Position Reports
Organizational Development>Position Management>Position Reports
Reporting Tools>Query Workforce Monitoring>Meet Regulatory Requirements>
Reporting Tools>Query
Workforce Administration>Job Data>Select Payoll Tab>Select Edit ChartFields Link

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Navigation
Compensation>Base Compensation>Maintain Plans>Define Salary Plan>Define Salary Grades
Compensation>Base Compensation>Maintain Plans>Define Salary Plan>Define Salary Grades
Compensation>Base Compensation>Maintain Plans>Define Salary Plan>Define Salary Grades
Compensation>Base Compensation>Maintain Plans>Define Salary Plan>Define Salary Grades
Compensation>Base Compensation>Maintain Plans>Define Salary Plan>Define Salary Grades
Compensation>Base Compensation>Load Group Increases
See below:
Workforce Administration/>Personal Information>Add or Modify a Person>Biographical Details Tab
Workforce Administration>Personal Information>Add or Modify a Person>Biographical Details Tab
Workforce Administration>Personal Information>Add or Modify a Person>Biographical Details Tab
Workforce Administration>Personal Information>Add or Modify a Person>Biographical Details Tab
Workforce Administration>Personal Information>Add or Modify a Person>Biographical Details Tab
Workforce Administration>Personal Information>Add or Modify a Person>Biographical Details Tab

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Navigation
Workforce Administration>Personal Information>Add or Modify a Person>Biographical Details Tab
Workforce Administration>Personal Information>Add or Modify a Person>Biographical Details Tab
Workforce Administration>Personal Information>Add or Modify a Person>Biographical Details Tab
Workforce Administration>Personal Information>Add or Modify a Person>Contact Information Tab>Address Link
Workforce Administration>Personal Information>Add or Modify a Person>Contact Information Tab
Workforce Administration>Personal Information>Add or Modify a Person>Contact Information Tab
Workforce Administration>Personal Information>Add or Modify a Person>Contact Information Tab
Workforce Administration>Personal Information>Add or Modify a Person>Contact Information Tab
Workforce Administration>Personal Information>Add or Modify a Person>Contact Information Tab
Workforce Administration>Personal Information>Add or Modify a Person>Contact Information Tab
Workforce Administration>Personal Information>Add or Modify a Person>Contact Information Tab
Workforce Administration>Personal Information>Add or Modify a Person>Contact Information Tab
Workforce Administration>Personal Information>Add or Modify a Person>Regional Tab

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Navigation
Workforce Administration>Personal Information>Add or Modify a Person>Regional Tab
Workforce Administration>Personal Information>Add or Modify a Person>Regional Tab
Workforce Administration>Personal Information>Disabilities>Disability Tab
Workforce Administration>Personal Information>Disabilities>Accomm Request Tab
Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Job Information Tab
Workforce Administration>Job Information>Job Data>Job Information Tab
Workforce Administration>Job Information>Job Data>Job Information Tab
Workforce Administration>Job Information>Job Data>Job Labor Tab
Workforce Administration>Job Information>Job Data>Payroll Tab
Workforce Administration>Job Information>Job Data>Payroll Tab
Workforce Administration>Job Information>Job Data>Payroll Tab
Workforce Administration>Job Information>Job Data>Salary Plan Tab
Workforce Administration>Job Information>Job Data>Compensation Tab
Workforce Administration>Job Information>Job Data>Compensation Tab
Workforce Administration>Job Information>Job Data>Compensation Tab
Workforce Administration>Job Information>Job Data>Compensation Tab

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Navigation
Workforce Administration>Job Information>Job Data>Employment Data
Benefits>Review Employee Benefits>Benefits Summary
Benefits>Manage Leave Accruals>Review Accrual Balances
Workforce Administration>Job Information>Employment Data
Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Work Location Tab
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Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Work Location Tab

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Navigation
Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Work Location Tab
Workforce Administration>Job Information>Job Data>Work Location Tab>Action Reason Fields Set up HRMS>Product Related>Workforce Administration>Action Reason
Workforce Administration>Job Information>Job Data>Work Location Tab>Effective Date and Effective Sequence fields
Workforce Administration>Personal Information>Biographical>Mailing Labels Report
Workforce Administration>Personal Information>Personal Relationships>Emercengy Contact

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Navigation
Benefits>Enroll in Benefits>Health Benefits
Benefits>Enroll in Benefits>Health Benefits
Benefits>Enroll in Benefits>Health Benefits
Benefits>Enroll in Benefits>Life/ADD Elections
Benefits>Enroll in Benefits>Life/ADD Elections
Benefits>Enroll in Benefits>Life/ADD Elections
Benefits>Enroll in Benefits>Savings Plans
Benefits>Enroll in Benefits>Savings Plans
Benefits>Enroll in Benefits>USA-FSA Benefits
Benefits>Enroll in Benefits>USA-FSA Benefits
Benefits>Enroll in Benefits>USA-FSA Benefits
Benefits>Enroll in Benefits>Retirement Plans
Benefits>Enroll in Benefits>Retirement Plans
Setup HRMS>Product Related>Base Benefits>Leave Plan Table
Setup HRMS>Product Related>Base Benefits>Leave Plan Table

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Navigation
Setup HRMS>Product Related>Base Benefits>Rates and Rules
Reporting Tools>Query>Query Manager
Benefits>Interface with Providers>
Set up HRMS>Product Related>Base Benefits>Plan Attributes
Reporting Tools>Query>Query Manager
Benefits>Enroll in Benefits> select appropirate benefit plan
Set up HRMS>Product Related>Base Benefits> Plans and Providers Plan Attributes
Set up HRMS>Product Related>Base Benefits> Rates and Rules

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Navigation
Benefits>Employee Dependent Information>Update Dependent/Beneficiary
Set up HRMS>Product Related>Base Benefits>Rates and Rules
Set up HRMS>Product Related>Base Benefits>Savings Plan Table
Set up HRMS>Product Related>Base Benefits>FSA Benefits Table
Benefits>Enroll in Benefits>USA-FSA Benefits> at the employee put in Empl Contribution Override
Set up HRMS>Product Related>Payroll for North America>Deductions>Deduction Table> on the Process Tab of the Deduction Table for arrears allowed and be selected for the applicable deductions
Workforce Administration>Personal Information>Biographical>Mailing Labels Report

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Navigation
Reporting Tools>Query>Query Manager

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1.04 OTHER REQUIREMENTS										
OT1			Manage Employee Reviews	**D**						
OT2		System should track the use of company cars.	Administer Company Cars	**D**						
OT3		Applicant Tracking	eRecruit	**D ?**						
		Job Postings	eRecruit	**D ?**						
OT5		Tuition Assistance		**D ?**						
OT6		Administer Training	Administer Training	**D ?**						
OT7		Tracking of ee's on FMLA	Manage FMLA	**D ?**						
OT8		Tracking employee competencies and accomplishments	Manage Competencies	**D**						
OT9		Tracking employee grievances, disciplinary incidents etc.	Manage Labor Administration	**D**						
OT10		Variable Compensation	Manage Variable Compensation	**D**						
		Personnel Action Checklists								
BB_1.23		System should provide for Retro Benefits Processing	Phase 2	**D**						
BB_1.24		System should provide for Benefits Billing.	Phase 2	**D**						
BB_1.25		System should provide for benefits Eligibility and event maintenance	Phase 2 - Ben Admin	**D**						
BB_1.26		System should provide Benefit Statements to serve also as an enrollment form	Phase 2 – Ben Admin	**D**						
BB_1.27		System should provide interface report to carrier of all additions, changes and terminations.	Phase 2 – Can we do this in Phase I	**D**						

Follow up:

What will replace P1 to create form for Hires/Terms/Pay Rate Changes, etc
What will replace B3 to create/release a position?
Tracking early retirement ee's pay and close out early retirement
Assigned Work Week/Schedule
Interfaces - all
Updates of ee information to outside systems
Reconcile Carrier Bills
Mass movement changes to change budgeting and funding – move dept but now position falls under a different dept (gl# may change as well)
Leave w/out pay Benefits Billing