Independent Review

Oracle PeopleSoft Financials V8.8 to V9.2 Upgrade Project

For the
State of Vermont Department of Finance and Management and
Department of Information & Innovation (DII)

Submitted to the
State of Vermont, Office of the CIO

By
Strategic Technology Services, Inc.

4/3/2017

Attachments:

1. Project Costing Spreadsheet (FINAL-REVIEW-SOV-FINANCE-MANAGEMENT-ERP-Oracle-Expansion-STS_Cost_Detail_FINAL.xlsx)
2. Risk Register (FINAL-REVIEW-SOV-FINANCE-MANAGEMENT-ERP-Oracle-Expansion-STS_Risk_Register_FINAL.pdf)
3. Sample Test Script Developed and Used by FM for testing PeopleSoft (TestScript-AP - 02 Enter a Standard Voucher w-Check Comment, Reject & Reset Paycycle.xls)
4. Proposed project schedule (Sierra-Cedar State of Vermont RFP Project Schedule.pdf)
5. Service Level Agreement between DII EA and ERP Teams and Dept. of FinMgt (DHR-FY17-Compare-Service Level Agreement Addendum (FAC).docx)

Table of Contents

1. Executive Summary

Provide an introduction that includes a brief overview of the technology project and selected vendor(s).

Project Summary

1. **Parties**:
    a. The contemplated contract is between State of Vermont Department of Finance and Management (FinMgt) and Sierra-Cedar, Inc. (SCI) of Alpharetta, Georgia.

2. **Term**:
    a. The term of this project is expected to be 22 months (proposed as 4/2017-1/2019) as follows:
        i. Implementation:
            - 17 months of implementation services (April 2017 – Sept. 2018);
        ii. Operations:
            - 2 months post go live support;
            - 3 months of post go live warranty.
    b. Contract terms have not yet been finalized at the time of the writing of this Independent Review.

3. **Solution and Cost**: While the contract is expected to cover a 22 month period, the cost analysis covers a 5 year period to support the minimum expected life-cycle as well as the IT ABC form submission.
    a. Implementation Costs:
        i. Implementation Vendor **$4.96M**
        ii. Internal Staff Costs, DII EA Costs, and IR Costs: **$930K**
    b. Software Licensing:
        i. Current software licensing maintenance agreement with Oracle PeopleSoft will remain in place and cover upgrade costs from V8.8 to V9.2 of PeopleSoft Financials: **$3.6M**
        ii. Foglight and JScape Software: **$75K**
        iii. True Up Software: **$530K**
    c. Hosting (internally hosted): **$1.46M**
    d. Internal staffing: **$6M**
    e. Total Costs (5 years): $17.75M
        i. Implementation: $5.89M
        ii. Operations: $11.7M

4. **Approach**:
    a. Internally hosted solution at State of VT data center.
    b. Implementation and training services from SCI related to implementing PeopleSoft Financials upgrade from V8.8 to V9.2 (application internally referred to as VISION).
    c. Data conversation from existing version to new version.
    d. Data integration with current VISION data exchange partners.
    e. Internal FinMgt staff supporting the project.

	BEFORE	**AFTER**
Application(s)	*VISION V8.8*	*VISION V9.2*
Hosting	*Internal Hosting*	*Internal Hosting*
Sys Admin	*FinMgt*	*FinMgt*
Application Management	*FinMgt*	*FinMgt*

5. **Management:** Senior Business Leadership and Subject Matter Expertise are aligned to complete solution implementation.

Vendor Profile

1. **Sierra-Cedar, Inc.**
    a. **Sierra-Cedar, Inc.** is a Delaware corporation with approximately 960 employees which is based in Alpharetta, Georgia. It has been in continuous operation since 1995, and several of the companies acquired or merged in during that time trace back to dates as early as the 1970s. Sierra-Cedar is part of The Sierra-Cedar Group, Inc., one of the largest independent North American IT services companies. Together with its Canadian affiliate, **Sierra Systems Group** Inc., it has approximately 2,000 professionals focused on the US and Canadian markets with global delivery capabilities in both countries and Hyderabad, India. Sierra-Cedar is a certified partner of Oracle, Workday, and Salesforce.com.
    b. Sierra-Cedar, Inc. was formed as the result of a July 2014 merger combining the operations of Sierra Systems US, Inc., CedarCrestone, Inc., Io Consulting, Inc., and Analytic Vision, Inc.
    c. **Sierra Systems Group Inc.** serves Canadian government, justice and public safety, health, energy and utilities, and commercial sectors. Sierra Systems Group Inc. was formerly known as Computech Consulting Corporation Ltd. The company was founded in 1966 and is based in Vancouver, Canada. **Golden Gate Capital** acquired Sierra Systems Group Inc. in 2007.
    d. No information found on Sierra Systems US, Inc. It may be part of Sierra Systems Group, Inc.
    e. CedarCrestone, Inc. was also acquired by **Golden Gate Capital** in 2011. CedarCrestone was formed in 2005 when Cedar Enterprise Solutions (founded in 1981) and Crestone International (founded in 1995) merged to create a North American service organization focused exclusively around Oracle PeopleSoft applications.
    f. Io Consulting, Inc. served clients in various industries, including higher education, government, manufacturing, supply chain management, and telecommunications. Io Consulting, Inc. was founded in 1996 and based in Saugus, California.
    g. Analytic Vision, Inc. served clients in manufacturing, financial services, aerospace insurance, health care, retail point of sale, telecommunications, travel agency, construction, consumer goods, and property management industries, as well as law firms. The company was founded in 2001 and based in Charlotte, North Carolina.
    h. See http://www.sierra-cedar.com/ for more information.

1.1 Cost Summary

IT Activity Lifecycle:	5 Years
Total Lifecycle Costs:	**$ 17.55M**
PROJECT COSTS:	***$5.89M***
Software Costs:	***$0***
Implementation Services:	***$4.96M***
Internal Staffing:	***$686K***
Hardware:	***$60K***
Other (DII EA, IR):	***$186K***
OPERATING COSTS:	***$11.7M***
Software Costs:	***$0***
Maintain Current Software:	***$4.2M***
Internal Staffing:	***$6M***
Hosting (internal):	***$1.46M***
CURRENT OPERATING COSTS:	**$ 11.7M**
Difference Between Current and New Operating Costs:	**$0 – Operating costs expected to remain as they are currently**
Funding Source(s) and Percentage Breakdown if Multiple Sources:	See table below

Funding Source(s) and Percentage Breakdown if Multiple Sources:

FUNDING SOURCE	% of TOTAL	FUNDING SOURCE DESCRIPTION	FUNDING APPLIED TO (Implementation or Operations)	FUNDING AMOUNT
STATE FUNDING: Implementation: FY16 Capital Budget Appropriation	28.49%	Fund #31100; FY16 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5M	Implementation	$5,000,000
STATE FUNDING: Operations: FY16 Capital Budget Appropriation	0%	Fund #31100; FY16 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5M	Operations	$0
STATE FUNDING: Implementation: FY17 Capital Budget Appropriation	5.08%	Fund #31100; FY17 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5,813,881	Implementation	$891,864
STATE FUNDING: Operations: FY17 Capital Budget Appropriation	0%	Fund #31100; FY17 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5,813,881	Operations	$0
STATE FUNDING: Implementation: State Internal Service Fund	0%	State Internal Service Fund (ISF) 59300; (Funding for ISF is through an annual charge back to departments based on a federally approved cost allocation methodology)	Implementation	$0
STATE FUNDING: Operations: State Internal Service Fund	66.43%	State Internal Service Fund (ISF) 59300; (Funding for ISF is through an annual charge back to departments based on a federally approved cost allocation methodology)	Operations	$11,659,326
FEDERAL FUNDING: Implementation: None	0%		Implementation	$0
FEDERAL FUNDING: Operations: None	0%		Operations	$0
TOTAL:	**100.00%**			**$17,551,189**

1.2 Disposition of Independent Review Deliverables

Deliverable	Highlights from the Review *Include explanations of any significant concerns*
Acquisition Cost Assessment	Rates for stated hourly rates and derived hourly rates are comparable. Comparisons to projects of similar scope point show comparable pricing. Comparison to other bids show comparable pricing. See *Cost Comparison* **(Section 5.2)** for details.
Technology Architecture Review	The underlying Technology Architecture is sound. See *Technology Architecture* **(Section 6)** for details.
Implementation Plan Assessment	The approach to solution implementation appears sound. See *Assessment of Implementation Plan* **(Section 7)** for details.
Cost Analysis and Model for Benefit Analysis	Cost analysis provides accurate annual cost. No monetary benefits defined. See **Cost Benefit (Section 8)** for details.
Impact Analysis on Net Operating Costs	Level funding of Operating Costs per attached Project Cost spreadsheet.

1.3 Identified High Impact &/or High Likelihood of Occurrence Risks

Risk Description	State's Planned Risk Response	Reviewer's Assessment of Planned Response
See Risk Register		

1.4 Other Key Issues

Recap any key issues or concerns identified in the body of the report.

1. No other issues identified.

1.5 Recommendation

Provide your independent review recommendation on whether or not to proceed with this technology project and vendor(s).

The following recommendations are made relative to this pending project:

1. Initiate contract drafting and then proceed with project unless contract terms and conditions not favorable.
2. Address remaining Risk Register items in parallel with drafting of contract.
3. During the presentation of the Independent Review report, Mr. Darwin Thompson referenced a security policy that is expected to be implemented soon, requiring multi-factor authentication to be used for all systems accessed outside of the State of Vermont internal network. As such, it is recommended that multi-factor authentication be implemented as a deliverable of this project.
4. Proceed with project initiation after above items completed.

1.6 Certification

I certify that this Independent Review Report is an independent and unbiased assessment of the proposed solution's acquisition costs, technical architecture, implementation plan, cost-benefit analysis, and impact on net operating costs, based on the information made available to me by the State.

e-Signed by David Gadway
on 2017-04-04 12:27:56 GMT

Signature **Date**

1.7 Report Acceptance

The electronic signatures below represent the acceptance of this document as the final completed Independent Review Report.

e-Signed by Rick Steventon
on 2017-04-04 12:29:05 GMT

DII Oversight Project Manager **Date**

e-Signed by Darwin Thompson
on 2017-04-04 13:26:54 GMT

State of Vermont Chief Information Officer **Date**

2. Scope of this Independent Review

Add or change this section as applicable.

2.1 In-Scope

The scope of this document is fulfilling the requirements of Vermont Statute, Title 3, Chapter 45, §2222(g):

The Secretary of Administration shall obtain independent expert review of any recommendation for any information technology initiated after July 1, 1996, as information technology activity is defined by subdivision (a)(10), when its total cost is $1,000,000 or greater or when required by the State Chief Information Officer.

The independent review report includes:

- An acquisition cost assessment
- A technology architecture review
- An implementation plan assessment
- A cost analysis and model for benefit analysis
- An impact analysis on net operating costs for the agency carrying out the activity
- A procurement negotiation advisory services contract (as needed)

2.2 Out-of-Scope

If applicable, describe any limits of this review and any area of the project or proposal that you did not review.

- Procurement Advisory Services.

3. Sources of Information

3.1 Independent Review Participants

List the individuals that participated in this Independent Review.

Name	Employer and Title	Participation Topic(s)
Andy Pallito	Executive Project Sponsor	IR Project kickoff, project plan, budget, staffing and desired outcomes
Brad Ferland	Project Sponsor	Project plan, budget, staffing and desired outcomes
Rob Bromley	Project Manager	Discussed project plan, budget, desired outcomes, project risks and risk mitigation
Nancy Collins	Statewide Reporting Director, Subject Matter Expert	Discussed project plan, budget, and desired outcomes
Ruthellen Doyon	Statewide Accounting Director, Subject Matter Expert	Discussed project plan, budget, and desired outcomes
Jana Riddle	Change Management Director, Subject Matter Expert	Discussed project plan, budget, and desired outcomes
Frank Costantino	ERP IT Director	Discussed project plan, technical infrastructure, and desired outcomes
Trudy Marineau	ERP IT Manager	Discussed project plan, development and testing approach, and desired outcomes
Rick Steventon	SOV; DII Oversight Project Manager	Project Management Oversight
John Hunt	SOV; DII Enterprise Architect	Discussed technology architecture
Glenn Schoonover	SOV Security Officer	Discussed application security
Darren Smith, Account Executive Roch Hoedebecke, VP – Public Sector Delivery Services	Sierra-Cedar, Inc.	Discussed roles, responsibilities, pricing model, comparable projects, ability to meet security requirements, technical architecture, PM Approach, Implementation Approach, Risk Management Approach

3.2 Independent Review Documentation

Complete the chart below to list the documentation utilized to compile this independent review.

*All document sources are the Project SharePoint site unless otherwise noted

Document Name	Description	Source*
2016_Capital_Bill_for_FY2016-2017.pdf	Capital Bill for FY16-17	
2016_Capital_Bill_for_FY2016-2017_FINAL_2.pdf	Final Capital Bill for FY16-17	
Acronyms 12-23-2016.docx	List of acronyms	
BGS posted Upgrade of Oracle PeopleSoft to v9.2.pdf	RFP for Upgrade of Oracle PeopleSoft to v9.2	
Dept of Finance and Mgmt Contact List.pdf	Contact List for Fin/Mgt	
DetailProjStatusRprt 20161230.docx	Monthly Project Status Report	
DetailProjStatusRprt 20170131.docx	Monthly Project Status Report	
DetailProjStatusRprt 20170228.docx	Monthly Project Status Report	
DII-Strategic-Plan-FY2016-2020.pdf	DII Strategic Plan	
ERP Change Request Form Editable.docx	Change Request form template	
ERP KEY DECISION LOG.docx	Key project decisions/log	
ERP Project Cost Workbook 2-23-2017.xlsx	Project Cost Budget Workbook	
ERP Project Schedule 3-9-2017.mpp	Microsoft Project Project Task List	
ERP Project Schedule 3-9-2017.pdf	PDF Microsoft Project Project Task List	
ERP Project Timeline 2-27-2017 v1.1.pdf	Graphic Summary of Project Milestones and Dates	
ERP Roles and Responsibilities Version 1.0 1-26-17.docx	PMI-type roles and responsibilities template	
ERP_Communications_Matrix_20170227_F.xlsx	PMI-type communications template	
FIN-Exp_Reporting_Manual.pdf	Reporting specs/users manual for Expenses	Fin/Mgt web site
FIN-GL_Reporting_Manual.pdf	Reporting specs/users manual for G/L	Fin/Mgt web site
FIN-GT_Reporting_Manual.pdf	Reporting specs/users manual for Grant Tracking	Fin/Mgt web site
IT ABC Costs - Final - Phase II of ERP Expansion Project - Upgrade of VISION - FINAL 3-2-2017.xlsx	IT ABC Form supporting spreadsheet	
IT ABC Costs - Final - Phase II of ERP Expansion Project - Upgrade of VISION - FINAL.pdf	IT ABC Form	
IT RFP - Upgrade of Oracle PeopleSoft to v9.2.docx	Word version of RFP for Upgrade of Oracle PeopleSoft to v9.2	
Meeting Minutes 12-21-2016.doc	Project Meeting Minutes	
Meeting Minutes 12-29-2016.doc	Project Meeting Minutes	
Meeting Minutes 12-7-2016.doc	Project Meeting Minutes	
Meeting Minutes eProcurement 1-17-2017.doc	Project Meeting Minutes - Procurement	
Meeting Minutes eProcurement 2-15-2017.doc	Project Meeting Minutes - Procurement	
Meeting Minutes ERP Upgrade 1-23-2017.doc	Project Meeting Minutes	
Meeting Minutes ERP Upgrade 2-7-2017.doc	Project Meeting Minutes	
Meeting Minutes ERP Upgrade 3-1-2017.doc	Project Meeting Minutes	
Meeting Minutes Selection Criteria 1-4-2017.doc	Project Meeting Minutes	
OPM_Meeting_Log_011016 (002).doc	Project Meeting Minutes - OPM	
PeopleSoft Upgrade to v 9.2 Risk Register.xlsx	Risk Register	
RFI - Replacement of SOV Financial System 12.15.16.pdf	RFI issued in consideration of system replacement vs. upgrade	
Sierra Pricing Analysis Response to State of VT PeopleSoft Upgrade.pdf	Original SCI pricing proposal	
Sierra-Cedar BAFO State of VT PeopleSoft Upgrade.pdf	SCI BAFO pricing proposal	

Document Name	Description	Source*
Sierra-Cedar Technical Response to State of VT PeopleSoft Upgrade.pdf	SCI Technical proposal	
SOV_FinMgt_OracleExpansion_KickoffMeeting.docx	Agenda for IR kickoff meeting	
Sponsor Approval to Proceed with Four Top Candidates.docx	Approval to proceed final review with 4 finalists	
Summary_Status_Report 1-13-2017.docx	Weekly project status report	
Summary_Status_Report 1-20-2017.docx	Weekly project status report	
Summary_Status_Report 12-02-2016.docx	Weekly project status report	
Summary_Status_Report 12-09-2016.docx	Weekly project status report	
Summary_Status_Report 12-16-2016.docx	Weekly project status report	
Summary_Status_Report 12-23-2016.docx	Weekly project status report	
Summary_Status_Report 12-30-2016.docx	Weekly project status report	
Summary_Status_Report 1-27-2017.docx	Weekly project status report	
Summary_Status_Report 1-6-2017.docx	Weekly project status report	
Summary_Status_Report 2-10-2017.docx	Weekly project status report	
Summary_Status_Report 2-17-2017.docx	Weekly project status report	
Summary_Status_Report 2-24-2017.docx	Weekly project status report	
Summary_Status_Report 2-3-2017.docx	Weekly project status report	
Summary_Status_Report 3-3-2017.docx	Weekly project status report	
UPDATED RFP Upgrade of Oracle PeopleSoft to v9.2 - Answers to Questions.docx	Q&A from RFP	
UPDATED Upgrade of Oracle PeopleSoft to v9.2 - RTM.xlsx	Functional Requirements included with RFP	
Upgrade of Oracle PeopleSoft to v9.2 PROJECT CHARTER Signed.pdf	Project Charter	
Upgrade of PeopleSoft v9.2 RACI 03012017.xls	RACI matrix	

4. Project Information

4.1 Historical Background

Provide any relevant background that has resulted in this project.

The mission of the State of Vermont Department of Finance and Management (FM) is as follows:

"*The Department of Finance and Management is dedicated to the effective and efficient execution of the State's fiscal responsibilities. We are committed to serving Vermont's citizens and our peers by:*

1. *Establishing and maintaining centralized accounting functions that incorporate appropriate internal controls and generate reliable financial information that is in accord with established accounting principles; and*
2. *Developing, maintaining, and advocating for fiscally responsible and sustainable budgets and related management recommendations for the Secretary of Administration and the Governor.*"

FM uses a State-wide financial accounting system (known as "VISION") from Oracle PeopleSoft financial software (Version 8.8) as the basis to support about 60 standalone departments.

VISION is the system of record for the State's financial data as well as maintenance of the State's vendor master file.

There are approximately 8,000 employees who are geographically located throughout the State with a large concentration in Montpelier. Of these employees, approximately 700 use VISION to perform their daily job functions and 7,000 are Travel & Expense-only users.

Although this initiative has statewide impact, "VISION" is owned by the Department of Finance and Management and managed through its Financial Operations Division. FM utilizes the PeopleSoft ERP financials application to meet its statutory responsibility to provide state government with a system of centralized accounting of income and disbursement. This enables fiscal officers of the state, at any time, to provide an evaluation and analysis of the status of state finances. This same application generates reliable financial information that is in accordance with Generally Accepted Accounting Principles (GAAP) promulgated by Governmental Accounting Standards Board (GASB). These efforts culminate in the publication of the State's Comprehensive Annual Financial Report (CAFR).

Key operating principles include:

- Facilitating State compliance with GAAP reporting requirements as well as making information readily available;
- Optimizing operational needs and standardizing practices to comply with State statutes, policies, regulations, and procedures as well as to efficiently conduct business with vendors and service providers;
- Leveraging available functionality and internal controls while minimizing customizations to the greatest extent possible;
- Eliminating administrative activities that do not add value while addressing the business requirements of agencies and departments as well as those of the Agency of Administration;
- Improving the State's ability to measure program success based on performance metrics;
- Optimizing system controls to maintain integrity of appropriations.

Oracle PeopleSoft Financials (VISION) was initially implemented as version 7.5 in 2001. The State is currently on Oracle PeopleSoft Financials v8.8 which is stable but currently unsupported by Oracle. The configuration of the system has changed little since the upgrade to v8.8 in 2007. During 2015, the State went through a lengthy requirements gathering project to fully **document all the requirements** for upgrading Oracle PeopleSoft Financials v8.8 to v9.2 for all modules listed below under **Section 4.2**.

VISION interfaces with VTHR (Oracle PeopleSoft HCM v9.1) using integration broker to exchange data regarding payroll accounting and employee data. VISION also relies on several other data exchange processes (both PeopleSoft delivered and State customized) for importing and exporting data.

As the current version of Oracle PeopleSoft financial software (Version 8.8) is no longer supported, the Department of Finance & Management (FM) took two steps with the intent to evaluate the most effective step to move to supported financial software platform:

1. Issued a **Request for Proposal (RFP)** to solicit proposals from qualified Vendors for consulting services to **upgrade** the current financial system (PeopleSoft Financials v8.8 to the most current image of PeopleSoft Financials v9.2 and PeopleTools v8.5.x release). V9.2 has Premier Support End of Life in December, 2024 and Extended Support End of Life in December, 2027.
2. Issued a **Request for Information (RFI)** to gather input and obtain information and cost estimates to fully **replace** the State financial system (Oracle PeopleSoft Financials v8.8) and possibly add additional functionality.

After careful consideration, FM decided to pursue the **Upgrade** path vs. the **Replace** path.

4.2 Project Goal

Explain why the project is being undertaken.

The goals of the project are:

1. Upgrade Oracle PeopleSoft financial software from v8.8 to v9.2 for all modules currently utilized (see list below), as well as implement any new functionality that the State currently does not utilize in v8.8 or functionality that is available in v9.2 that will meet additional requirements not currently utilized:

    a. General Ledger (including Commitment Control)
    b. Accounts Payable
    c. Purchasing
    d. Asset Management
    e. Inventory
    f. Billing
    g. Accounts Receivable
    h. Travel & Expenses
    i. Grants Tracking (Vermont customized)

4.3 Project Scope

Describe the project scope and list the major deliverables. Add or delete lines as needed.

Overall Scope: The high level scope of this project includes the following items:

- Upgrade to the latest version of PeopleSoft Financials v9.2. This upgrade project will allow the State to leverage the latest in PeopleSoft technology and consider the following functionality, including:
    - Increased efficiency with a more intuitive user interface, along with the concept of WorkCenters that focuses efforts on daily tasks of the user regardless of the module and arranges the user's work into logical groups to reduce navigation time.
    - The use of mobile functionality to access the system through mobile devices, such as iPads and smart phones.
    - The use of online forms to reduce manual processes and paper. Common areas of use include chartfield setup requests and vendor setup requests.
    - The inclusion of dashboards and pivot grids within a user's view of the system, allowing for improved reporting and sharing of key data across the user base.
    - The ability to attach documents to transactional data within the system, giving users access to relevant supporting documentation while reviewing or performing a transaction.
    - The ability to streamline workflow processes using the Automated Workflow Engine, simplifying and reducing the amount of time it takes to complete transactions in the system.
    - The ability to better manage long running queries that return large volumes of data by utilizing improved capabilities to configure PeopleSoft Query related controls.
    - The ability for the Department of Transportation to perform Federal Highway Administration Billing more efficiently; this includes Project Costing, Funds Distribution, and Billing using standard PeopleSoft functionality specifically developed for State Departments of Transportation.

- Lower total cost of ownership by removing existing customizations where possible.
    - A reduction in customizations will help the State to simplify maintenance of the system, as well as the application of updates and fixes.
    - The PeopleSoft Update Manager (PUM) will transform the way that the State manages PeopleSoft updates and fixes. By reducing customizations, the State will be able to use the PUM more effectively to select and apply updates.

4.3.1 Major Deliverables

See **Section 4.4** for a listing of Deliverables tied to Phase and Date.

Additionally, SCI provided the following detailed Proposed Services in response to the information requested in the RFP:

RFP Statement	Sierra-Cedar's Proposed Services/Statement of Work
1. On-Site Fit-Gap Sessions	Sierra-Cedar will schedule on-site fit-gap sessions with appropriate stakeholders and project team members to validate all requirements (functional and technical) that were previously gathered. Sierra-Cedar will work with the State to review current customizations and possible alternatives to meet the State's requirements. Sierra-Cedar's detailed Fit/Gap Analysis Report will provide elaborate detail of mission critical gaps (i.e., instances in which the functionality of the ERP Software does not meet or satisfy the State's requirements), as identified in Phase 1, including describing the priority, estimated effort required, and recommended strategy to fill each gap. Our Functional Resources are fully committed at the start of the project to lead the State through the Fit/Gap effort to rapidly understand how PeopleSoft is utilized currently and will be utilized with the 9.2 version. Once the Fit/Gap sessions are completed, the associated functional specifications for the approved gaps are created.
2. Module Demonstrations	Sierra-Cedar, as part of the Analyze and Design phase, will hold on-site demonstrations of the various modules, up to 3 hours per module, to show the State how the modules will look (prior to customizations and development) as applicable to State requirements. For example, the new Fluid Interface, WorkCenters, Workflow, Testing Framework and a number of other 9.2 version and tools enhancements.
3. Updated Traceability Matrix	Utilizing the Requirements Traceability Matrix (RTM) already created and provided with the RFP, Sierra-Cedar will work with the State to update the RTM, based on module demonstrations and discussions. The RTM will trace the deliverables by establishing a thread for each requirement from the project's initiation (RFP) to the final implementation. The State will provide the initial RTM during Phase 1 of the project and Sierra-Cedar will update it as it forms the basis of the project's scope and incorporates the specific requirements and deliverables that will be produced. The RTM is considered to be bi-directional. It tracks the requirement "forward" by examining the output of the deliverables and "backward" by looking at the business requirement that was specified for a particular feature of the product. The RTM is also used to verify that all requirements are met and to identify changes to the scope when they occur. The State will approve the updated and finalized requirement matrix at the conclusion of the Fit/Gap sessions and scope is confirmed. This is expected to take place in October of 2017.
4. Technical and Functional Design and Specification Documents	Utilizing the updated RTM, Sierra-Cedar will create new and or update existing technical and functional design and specification documents for all modules, customizations, and configurations. Updated Technical Specifications will describe in detail the technical requirements and design for any customizations, custom interfaces, workflow, and reports to be retrofitted. The System Design Document will outline the design of the ERP System to be

	upgraded, using the critical decisions that were made during discovery and the fit/gap sessions as to ERP Software functionality that will or will not be utilized, how the System will be configured, gaps identified and solutions to those gaps, business process changes that are required, and other key information as it relates to the State's use of the System. Included in the System Design Document are existing customizations, workflows, interfaces, and custom reports that will be updated or retrofitted to appropriately work with the upgraded version of the Software. Functional Specifications will be appropriately updated for each customization, custom report, custom interface, and workflow identified during the fit/gap sessions as to be updated or retrofitted to appropriately work with the upgraded version of the software. The State will approve all final design and specification documents, for accuracy, clarity, and compatibility with all interfacing systems. This is expected to take place through October of 2018 as the team transitions into Phase III Configure and Develop.
5. Module Development	While adhering to the currently accepted State practices of coding and documenting work and the State's migration practices regarding development work, Sierra-Cedar will work on-site, in Montpelier, or at an acceptable off-site development environment, either of which the State will facilitate. Sierra-Cedar will: • Conduct a detailed review of the project documentation with the State-appointed Technical Lead and implement technical designs based on RFP Statement #5 above, in conjunction with the State. • Conduct source code walkthroughs with the State team and deliver source code and applicable documentation and specifications to the State prior to UAT and a final version prior to implementation. • Sierra-Cedar recommends that delivered code not be modified. Sierra-Cedar recommends applying customizations as 'bolt-ons' rather than modifying delivered code. • Provide knowledge transfer sessions in Montpelier with AOA/FM and AOA/DII staff, to include programming walkthroughs and a project documentation walkthrough. In addition to the RFP requirements above, Sierra-Cedar will: • Provide and document new and/or updated application configuration for all in-scope functionality related to the upgrade and items to be implemented. • Retrofit customizations based on the approved Fit-Gap Analysis of the customizations so that delivered and custom functionality is retained during the upgrade. • Retrofit the processes, interfaces and workflow configurations based on the approved Fit-Gap Analysis.
6. Database and Infrastructure Modifications and Configurations	In conjunction with the State staff and the State ERP database and system administrators, Sierra-Cedar will tune the database, and make modifications and configuration changes, including code and object migration, and upgrade processing leveraging the PeopleSoft Update Manager (PUM). • Sierra-Cedar will provide and document new and/or updated application configuration for all in-scope functionality related to the upgrade and items to be implemented. • Based on the approved Fit-Gap Analysis of the customizations, Sierra-Cedar will retrofit customizations so that delivered and custom functionality is retained during the upgrade. • Based on the approved Fit-Gap Analysis, retrofit the processes, interfaces

	and workflow configurations. • The number of new and customized objects as defined in the RFP Question and Answer as well as the requirement list has been used as the basis for estimating the retro-fit effort. If the actual object counts exceed the estimates provide by more than 5%, the additional retro-fit objects will be subject to a Change Order. Customizations documentation is assumed to be current and accurate. • The proposal does not include time and effort associated with converting data from any the State source system into the PeopleSoft 9.2 solution or developing and/or executing custom data modification scripts outside of any documented in the requirement listing. The proposal does not include time and effort associated with developing and/or executing custom operating systems or database scripts outside of any documented in the requirement listing.
7. Report Migration & Development	With State staff, Sierra-Cedar will determine a strategy to complete the upgrade/conversion of all reports and include recommendations on using other available PeopleTools reporting and analysis functionality. Sierra-Cedar's approach to reporting follows our Propel Methodology. During the reporting fit/gap sessions each reporting requirement will be reviewed and determined to be a Fit or Gap. The reports scope will be based the current custom State reports that will be retrofitted, any requirements that are related to a report that does not have an existing report and the need to change the Crystal reports to a new reporting tool. Any additional reporting requirements will be handled through the change order process. These report requests will be categorized by business process and sent to the functional leads, for prioritization, and then to the project managers for approval. Once an approved request is received the functional and technical team will add this to the requirements traceability matrix and create a specification. That specification will then be developed and tested by the team. All reports are designed, developed and unit tested. Those reports then follow the same testing cycles explained in this section. After Unit Testing, reports as well as all other development items and configuration go through System Testing, Integration Testing Parallel Testing, and finally, User Acceptance Testing. Sierra-Cedar will provide the project team access to their SQR Genie which provides options to streamline the required updates to custom State SQRs.
8. Upgrade Execution Plan	Throughout the lifecycle of the project, Sierra-Cedar will create and maintain an Upgrade Execution Plan. Sierra-Cedar has provided a preliminary upgrade and technical upgrade lab execution plan in the Upgrade Methodology and Approach response section. This information will be used as a starting point for contract negotiations and further developed during the course of the project alongside our upgrade project plan.
9. Testing	Each stage of testing will be completed in conjunction with the State project teams and approved by the State prior to moving forward with the next stage of testing or deployment to production. Each testing phase will reference applicable requirements in each business area. Unit and System Testing – Sierra-Cedar will create unit and system test plans, and conduct full unit and system testing of the system with test result documentation. User Acceptance Testing – Sierra-Cedar will create or update existing UAT plans, provide functional and technical support throughout UAT, and provide attention to reported problems. The test scripts will cover and reference all applicable requirements. All user acceptance testing will be fully and successfully executed, in no less than 2 passes (upgrade executions) in a testing environment, prior to acceptance by the State and subsequently going live with v9.2 Performance Testing – Sierra-Cedar will create a performance test plan and conduct performance testing of the upgraded system. This will include load testing of the upgraded system to determine the new system performs as good as or better than

	current system processes. Sierra-Cedar has provided detailed descriptions of our Test Approach, Plan, Deliverables, Tools, and Processes in Performance Testing Methodology & Approach and Tuning and Measurement.
10. Final Development Completed & Deployed to Production	Sierra-Cedar will create a configuration document to be approved by the state, which will include all technical and functional configurations, and where they tie to the RFP stated requirements. The configuration documented will only include those that were considered in scope and approved via the module Fit/Gap sessions.
11. Issue Tracking	Sierra-Cedar will utilize the State's issue tracking software as the system of record for all documented issues pertaining to the project. Potential issues should be documented and reported to the SCI Project Manager as they arise. The SCI and the State Project Managers will assess each potential issue to determine if there is impact to the project, and if the issue will be logged in the State's tracking software. For each issue the SCI and the State Project Managers will assign a resource, a resolution target date and an issue priority rating. The State's Tracking System will be updated with this data. Individuals assigned to resolve an issue will be contacted and informed of their assignment including target completion dates. The initiator of the issue will receive a copy of the notification.
12. Training Manuals & UPKs	In conjunction with State staff, Sierra-Cedar will split the responsibilities of creating and update training manuals and UPKs. The State will assume 50% responsibility and Sierra-Cedar will assume 50% responsibility. Sierra-Cedar is experienced with helping clients implement and transition to new versions of PeopleSoft, leveraging new functionality, and gaining return on investment (ROI). During the course of the State's project, training is an important success factor. Helping users to learn how to use the system efficiently and support staff to learn how to support the system internally are important short term and long term. The objective of a quality training and documentation strategy is to deliver comprehensive, focused, and understandable materials. Sierra-Cedar's methodology recognizes there are varying degrees of internal resources and experience available for training. Recognizing the need for a well-trained community of users, we assist as appropriate the State's training coordinator in developing a suitable training strategy, preparing training materials and conducting training of end-users and management. Sierra-Cedar's Training Approach is highlighted in Education and Training. Sierra-Cedar offers many training delivery options, including the following: PeopleSoft Training Classes — Train the Trainer (T3) Embedded Content — On the Job Training/Knowledge Transfer User Documentation — Leverage Testing
13. Knowledge Transfer	From a functional and technical perspective, knowledge transfer is integrated throughout the project. Sierra-Cedar's approach to knowledge transfer centers on having the functional and technical consultants work directly with their State counterparts. This helps the State functional and technical team members to gain hands on exposure and simultaneously increase their knowledge of PeopleSoft. In conjunction with the State, Sierra-Cedar will provide knowledge transfer sessions in Montpelier, to include IT Programming walkthroughs, a project documentation walkthrough with all project stakeholders that will be mutually agreed upon in the knowledge transfer plan with planned topics and number of sessions. Sierra-Cedar's overall goal of knowledge transfer is to equip the core project team with the knowledge and skills to support the ERP project by the conclusion of the project including: • Functional – skills for project team members who will be expected to understand the new application components and its related system interfaces. These team members must also have the ability to understand the business processes used in each area of the application.

	• Technical (Systems and Programming) – skills for the project team members who will be expected to understand the technical components of the ERP project and related systems. These team members must also have the ability to write detailed support for new technologies with the upgraded environment, prepare programming specifications, prepare testing plans, and manage site operations. • Organizational Readiness – skills for project team members who will continue to drive engagement and adoption of the new application post go-live as well as continue to update communications and end user training documentation and delivery. Sierra-Cedar makes the transfer of knowledge a priority throughout the life of the project and works to promote knowledge transfer to its clients. Every time there is interaction between the State and Sierra-Cedar there is a chance to transfer Oracle knowledge to the State employees. Sierra-Cedar will provide hands-on training, support, and updated documentation.
14. Post Go-Live Support & Implementation Report	Sierra-Cedar has provided a separate staffing plan and pricing model for the Post Go-Live Support & Implementation Report. During the First Month of Post Go-Live Support, which consists of thirty (30) calendar days of on-site support, Sierra-Cedar will work with the State to develop the Post-Implementation Report. The report will identify and summarize any mutually agreed upon functional requirements that are not functioning according to specifications. Sierra-Cedar will work with the State staff to implement those requirements and resolve any open issues. During the Second Month of Post Go-Live Support, Sierra-Cedar will resolve all remaining unresolved issues or requirements identified in the Post Implementation Report, or newly encountered issues categorized as critical and high, in conjunction with the State, within these thirty (30) calendar days with subsequent approval by the State. Any issues outside of the scope of this project will be the responsibility of the State staff. In addition: • Sierra-Cedar will define the Production Cutover Plan and activities, review the draft plan with the State project team for feedback, and submit the final plan for approval. The Production Cutover Plan and activities will outline Sierra-Cedar and the State tasks, assignments, durations, start/finish times, and dependencies. • Sierra-Cedar will develop and manage the Production Readiness Assessment process, review results with the State project team and submit the final results for approval.
15. Post Implementation Support (Warranty Period)	Sierra-Cedar has provided a separate staffing plan and pricing model for the Warranty Period, which consists of ninety (90) days of maintenance and warranty service. During the Warranty Period, Sierra-Cedar will work with the State's DII ERP team, to include daily communication with the State's Technical Lead, to monitor the production environment and daily processing and performance as it pertains to the project software installation. This includes responding to any production issues, enhancing software, during the warranty work. Sierra-Cedar's approach for Post Implementation Warranty period will be to station a key technical resource onsite with the State support team for a period of ninety (90) calendar days. These resources will continue to provide Knowledge Transfer to State staff, and assist with the upgrade and continuous improvement with the upgraded system. Our objective with this period is to make the State support organization as efficient as possible, and confident in their ability to support the upgraded PeopleSoft system.

4.4 Project Phases, Milestones and Schedule

Provide a list of the major project phases, milestones and high level schedule. You may elect to include it as an attachment to the report instead of within the body.

The **original** milestones/deliverables of the project are summarized in the table below.

The actual dates are not yet finalized at the time of the writing of this IR report.

Please see **Assessment of Implementation Plan** (Section 7) for details on what activities and approach comprise each phase of the project.

There are blackout periods noted by FM during which time the upgrade **cannot** occur:

- June 1 – July 25 (fiscal year-end);
- Dec 20 – Jan 31 (calendar year-end).

Milestone	Deliverables	Target Delive
Project Start Date		Mar, 2017
Phase I - Plan & Discover	1. Detailed Project Work Plan 2. Detailed Resource Plan 3. Draft and Final Project Management Plan: ■ Scope Management ■ Schedule Management ■ Quality Management ■ Risk Management ■ Communications Management 4. Project Kickoff 5. Knowledge Transfer Plan 6. Updated Requirements Matrix (with Notes from Discovery Sessions)	Apr – May, 2017
Phase II - Analyze and Design	7. 9.2 DMO, DEV, DEBUG, GOLD Environments 8. Completed Initial Upgrade Pass 9. Completed Fit/Gap Sessions 10. Requirements Traceability Matrix w/Detailed Requirements Definitions 11. Draft and Final Fit/Gap Analysis Report 12. Change Management Plan 13. Functional System Design Documents 14. Final Project Plan	May – Oct, 2017
Phase III - Configure and Develop	15. Updated/New Functionality Configuration and Documentation in the System Design Documents 16. Updated/New Security Configuration and Documentation 17. Updated/New Functional/Technical Specifications 18. Customizations Applied (Retro-fits/New) 19. 9.2 TST Environment 20. Test Plan 21. Test Scenarios and Scripts 22. Updated RTM 23. Completed Unit Testing 24. Training Plan/Schedule 25. Updated/New Training Materials for Instructor-led Sessions and Student Guides	Oct 2017 – Apr, 2018

	26. Communication Materials 27. Knowledge Transfer Assessment	
Phase IV - Test & Train	28. Completed Upgrade Test Move 1 29. 9.2 SIT Environment 30. Completed System/Integration Testing 31. Completed Test Move 2 32. Completed User Acceptance Testing 33. Completed Test Move 3 34. 9.2 Training Environment 35. Completed End-User Training 36. Summarized Knowledge Transfer Assessment	Mar – Aug, 2018
Phase V - Deploy and Optimize	37. Draft and Final Production Go-Live Plan/Activities 38. Readiness Assessment (Final Report of Upgrade and Production Passes) 39. Communication Materials 40. 9.2 PRD Environment	Jul – Oct 2018
First Month of Post Go-Live Support - 30 Days		Sep, 2018
Second Month of Post Go-Live Support - 30 Days	41. Final Support Report	Oct, 2018
Post Implementation Support (Warranty Period 90 - Days)		Nov 2018 – Jan 2019
Project End Date		January, 2019

A payment scheduled aligning payments to defined deliverables is recommended to be included in the contract. This is noted in the Risk Register.

5. Acquisition Cost Assessment

List all acquisition costs in the table below (i.e. the comprehensive list of the one-time costs to acquire the proposed system/service). Do not include any costs that reoccur during the system/service lifecycle. Add or delete lines as appropriate. Based on your assessment of Acquisition Costs, please answer the questions listed below in this section.

The following chart represents the Acquisition Costs for the stated project period. Detailed composition of these numbers are found in the attached project cost spreadsheet.

IT Activity Lifecycle:	5 Years
Total Lifecycle Costs:	**$ 17.55M**
PROJECT COSTS:	***$5.89M***
Software Costs:	***$0***
Implementation Services:	***$4.96M***
Internal Staffing:	***$686K***
Hardware:	***$60K***
Other (DII EA, IR):	***$186K***
OPERATING COSTS:	***$11.7M***
Software Costs:	***$0***
Maintain Current Software:	***$4.2M***
Internal Staffing:	***$6M***
Hosting (internal):	***$1.46M***
CURRENT OPERATING COSTS:	**$ 11.7M**
Difference Between Current and New Operating Costs:	**$0 – Operating costs expected to remain as they are currently**
Funding Source(s) and Percentage Breakdown if Multiple Sources:	See table below

Funding Source(s) and Percentage Breakdown if Multiple Sources:

FUNDING SOURCE	% of TOTAL	FUNDING SOURCE DESCRIPTION	FUNDING APPLIED TO (Implementation or Operations)	FUNDING AMOUNT
STATE FUNDING: Implementation: FY16 Capital Budget Appropriation	28.49%	Fund #31100; FY16 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5M	Implementation	$5,000,000
STATE FUNDING: Operations: FY16 Capital Budget Appropriation	0%	Fund #31100; FY16 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5M	Operations	$0
STATE FUNDING: Implementation: FY17 Capital Budget Appropriation	5.08%	Fund #31100; FY17 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5,813,881	Implementation	$891,864
STATE FUNDING: Operations: FY17 Capital Budget Appropriation	0%	Fund #31100; FY17 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5,813,881	Operations	$0
STATE FUNDING: Implementation: State Internal Service Fund	0%	State Internal Service Fund (ISF) 59300; (Funding for ISF is through an annual charge back to departments based on a federally approved cost allocation methodology)	Implementation	$0
STATE FUNDING: Operations: State Internal Service Fund	66.43%	State Internal Service Fund (ISF) 59300; (Funding for ISF is through an annual charge back to departments based on a federally approved cost allocation methodology)	Operations	$11,659,326
FEDERAL FUNDING: Implementation: None	0%		Implementation	$0
FEDERAL FUNDING: Operations: None	0%		Operations	$0
TOTAL:	**100.00%**			**$17,551,189**

5.1 Cost Validation

Describe how you validated the Acquisition Costs.

The Acquisition Costs were validated through the following methods:

1. Comparison of Hourly Rates of Similar Services
2. Comparison with Projects of Similar Scope
3. Comparison with Other Bidders

1. Comparison of Hourly Rates of Similar Services:

Hourly rates range from $102 for a developer to $199 for Project Manager. Evaluated against market rates, these hourly rates are **comparable**.

2. Comparison with Projects of Similar Scope:

Vendor was asked to name projects they've worked on which are similar in budget, to which they provided the following examples:

1. State of Kansas Financials Upgrade.
   a. Pricing: $2,600,000
   b. Duration: 12 months
   c. Differences: 1) State handled all training tasks 2) Used offshore developers for retrofits 3) Less emphasis on requirements evaluations and changing processes 4) Shorter duration 5) Less production support and warranty 6) Time and Materials contract.
2. City of Boston Financials Upgrade.
   a. Pricing: $7,200,000
   b. Duration: 18 months
   c. Differences: 1) Upgrade plus new Procurement modules implementation 2) Similarly large scope of Requirements, but more emphasis on de-customization 3) Assisted with Training Delivery.

In summary, at a FM Vendor Cost of **$4.959M**, this project is **comparable** to similar projects undertaken by Vendor.

3. Comparison with Other Bidders:

Eight other bids were evaluated, and as the table below shows, SCI fell in the middle of the pack, between $2.2M and $6.5M. Vendor 1 bid is not considered an apples to apples comparison. Post Go Live support and Warranty costs are not included in the comparison.

Vendor	Implementation Costs
Vendor 1	$1.0M
Vendor 2	$2.2M
Vendor 3	$3.45M
Vendor 4	$3.75M
Vendor 5	$4.4M
Sierra-Cedar	**$4.6M**
Vendor 6	$4.8M
Vendor 7	$5.1M
Vendor 8	$6.5M

In summary, the VT project costs are **within a reasonable range** with other bidders on this project.

5.2 Cost Comparison

How do the above Acquisition Costs compare with others who have purchased similar solutions (i.e., is the State paying more, less or about the same)?

Point of Comparison	Measure
Hourly Rates:	Hourly rates are **comparable** to market rates.
Similarly Scoped Projects:	Costs are **comparable** to other similarly scoped projects.
Comparison with other bidders:	Costs are **comparable** to other bids.

5.3 Cost Assessment

Are the Acquisition Costs valid and appropriate in your professional opinion? List any concerns or issues with the costs.

As outlined in the Cost Comparison **Section 5.2** above, in summary, this project costs are comparable to other project costs and appear to be reasonable costs given the expected value to be delivered.

Additional Comments on Acquisition Costs:

None.

6. Technology Architecture Review

After performing an independent technology architecture review of the proposed solution, please respond to the following.

SUMMARY:
1. Services to upgrade Oracle PeopleSoft Financials from V8.8 to V9.2.
2. Hosting environment provided by DII Primary Data Center and Disaster Recovery/Business Continuity (DR/BC) site.
3. Internal Project Management, Subject Matter, and DII ERP staff supporting the project.

See **Appendix 4** for detailed technology specifications.

1. State's IT Strategic Plan: Describe how the proposed solution aligns with each of the State's IT Strategic Principles:

i. Leverage successes of others, learning best practices from outside Vermont.
ii. Leverage shared services and cloud-based IT, taking advantage of IT economies of scale.
iii. Adapt the Vermont workforce to the evolving needs of state government.
iv. Apply enterprise architecture principles to drive digital transformation based on business needs.
v. Couple IT with business process optimization, to improve overall productivity and customer service.
vi. Optimize IT investments via sound Project Management.
vii. Manage data commensurate with risk.
viii. Incorporate metrics to measure outcomes.

b. The following describes how this project exploits these principles:

i. Leverage successes of others, learning best practices from outside Vermont.
   1. *The proposed upgrade solution is proven and in use in many (13) other State Governments including Kansas, New York, Texas, New Mexico, Wyoming, California, North Dakota, Tennessee, Wisconsin, Georgia, and Mississippi.*

ii. Leverage shared services and cloud-based IT, taking advantage of IT economies of scale.
   1. *The solution is expected to be installed on State of VT data center, so it will not be externally (to VT) cloud-based, but is considered a cloud-based application to the VISION user community as access is over a wide-area network accessing a data center.*

iii. Adapt the Vermont workforce to the evolving needs of state government.
   1. *The proposed solution is expected to leverage best practices to streamline business processes, and improve workflow/automate process to save time and improve accuracy.*

iv. Apply enterprise architecture principles to drive digital transformation based on business needs.
   1. *If Enterprise Architecture is defined as "alignment between IT and business concerns: to guide the process of planning and design the IT capabilities of an enterprise in order to meet desired organizational objectives", then this project*

does deploy such principles to drive digital transformation of business needs by utilizing current database and web-based technologies to facilitate more efficient business processes and more complete data management (more data tracked, more accurate data).

v. Couple IT with business process optimization, to improve overall productivity and customer service.
   1. *The expected outcome of more accurate and timely data, and improved functionality is expected to improve customer service levels and audit quality.*

vi. Optimize IT investments via sound Project Management.
   1. *Both the vendor and SOV are expecting to provide sound Project Management services on this initiative.*

vii. Manage data commensurate with risk.
   1. *The approach to data security has open questions. See the SECURITY section below.*

viii. Incorporate metrics to measure outcomes.
   1. *There are no specific metrics defined as of the writing of this report.*

2. **Service Level(s):** What is the desired service level for the proposed solution and is the technical architecture appropriate to meet it?

   Desired Service Levels were not defined in the RFP as this project is a software upgrade with no future support expected from the vendor, therefore, no service level metrics were defined in the RFP.

3. **Sustainability:** Comment on the sustainability of the solution's technical architecture (i.e., is it sustainable?).

   An Oracle Enterprise Linux x86-64 6.6 based platform, with Oracle Database – Enterprise Edition – 11.2.0.4.0 and PeopleSoft V9.2 and PeopleTools v8.5.x release versions is expected to be sustainable.

4. **License Model:** What is the license model (e.g., perpetual license, etc.)?

   The proposed solution is a perpetual software license model, with annual software maintenance fees.

   See the Project Cost spreadsheet for the detailed components of what comprises the proposed solution which in summary are:
   - Oracle Product Maintenance:
     - Purchasing, Inventory, Asset Management, Accounts Payable, Accounts Receivable, Billing, GL, T&E, and Grants
     - UPK Expenses
     - Database - Oracle DB Enterprise Edition
     - Database - Oracle DB Enterprise Edition
     - Database - Oracle DB Enterprise Edition
     - Internet Developer, App Server, Oracle Database
     - UPK System
   - Foglight & Jscape Maintenance
   - Finance - True Up Maintenance

5. **Security:** Does the proposed solution have the appropriate level of security for the proposed activity it will perform (including any applicable State or Federal standards)? Please describe.

   The overall Application and Data Security Model appears sound so long at State of VT is OK with data at rest in the database and data in transit not being encrypted when querying/reporting. See the assessment below. This is noted in the Risk Register.

   Security Architecture and Design: Describe the Vendor's proposed approach to support technical controls and technology solutions that must be secured to ensure the overall security of the System:

   Data Security – Application level
   The PeopleSoft application is built with a framework of application security provisions via roles and associated permissions. For example, you may create a permission list to assign access to a particular set of pages (screens) that are needed to accomplish accounts payable related functions. Roles are created so that all applicable permission lists can be combined for a particular job duty/function. For example, you could have a Manager role that would encompass multiple permission lists for the activities that are done in that work area.

   Employees have a set *user id* for the application. Roles and or Permission lists are assigned to the given *user id*.

   Though the technical staff assists with development of new roles / permission lists, the Finance staff governs the process to assign the applicable security.

   Data Security Model:
   1. Data At Rest:
      a. Production Database Data and non-database data are not encrypted.
      b. Backups of production databases are encrypted.
   2. Data in Motion:
      a. Data transferred to user screens is encrypted via browser SSL.
      b. Data transferred to users via query/reports are not encrypted.
      c. Data transferred within the State network is sent with standard FTP.
      d. Data transferred to outside the State network is sent with a secure protocol (SFTP or SCP).

   Static Code Review Findings:
   None conducted. No results from past tests provided.

   Penetration Test Findings:
   None conducted. No results from past tests provided.

6. **Hosting Environment**
   a. See the **HOSTING** section in **Appendix 4** for details.
   b. In summary, application is hosted at DII Data Center at National Life data center with Disaster Recovery/Business Continuity (DR/BC) at TechVault.

7. **Compliance with the Section 508 Amendment to the Rehabilitation Act of 1973, as amended in 1998:** Comment on the solution's compliance with accessibility standards as outlined in this amendment. Reference: http://www.section508.gov/content/learn

   Sierra-Cedar is providing professional services related to the upgrade of the State-owned PeopleSoft system. Sierra-Cedar cannot warrant the Section 508 compliance capabilities of the PeopleSoft solution that the State owns.

8. **Disaster Recovery:** What is your assessment of the proposed solution's disaster recovery plan; do you think it is adequate? How might it be improved? Are there specific actions that you would recommend to improve the plan?

   Please see Disaster Recovery/Business Continuity (DR/BC) section described in **Appendix 4**.

   In summary, the DR/BC plan appears adequate in terms of ensuring the restoration of critical data and processing within the desired timeframes.

9. **Data Retention:** Describe the relevant data retention needs and how they will be satisfied for or by the proposed solution.

   Database Backups are maintained for 14 days – for quick restoration needs, not to meet any data retention requirement. All Production database data is maintained at the Disaster Recovery site via Oracle Dataguard sync. Since all production records are never archived or purged from the VISION system, all VISION record history is maintained indefinitely, as described in **Appendix 4.**

10. **Service Level Agreement:** What is your assessment of the service level agreement provisions that the proposed vendor will provide? Are they appropriate and adequate in your judgment?

    Service Level Agreements from the Vendor are Not Applicable for this project. This project is a software upgrade with no future support expected from the Vendor, therefore, no service level metrics were defined in the RFP.

    There are Service Level agreements provided by DII to support the application and data center which are outlined below.

SUMMARY OF SLAs provided by DII:

TECH SUPPORT - SERVICE LEVEL AGREEMENT:

1. Per http://dii.vermont.gov/consulting/erp Staff Support is available Monday – Friday 7:45 a.m. to 4:30 pm.

SYSTEM RESPONSE TIME - SERVICE LEVEL AGREEMENT:

1. No SLA provided.

SYSTEM AVAILABILITY - SERVICE LEVEL AGREEMENT (3 9s, 4 9s?):

1. Per http://dii.vermont.gov/consulting/erp PeopleSoft Financials is available 6 am to 7 pm daily and also noted as 6:00am to 12:00 midnight daily in the document titled "DHR-FY17-Compare-Service Level Agreement Addendum (FAC).docx" effective 7/1/2016.

BUG FIX – SERVICE LEVEL AGREEMENT:

1. No SLA provided.

HOSTING SERVICE LEVEL AGREEMENT:

1. DII is responsible for all OS maintenance, monitoring, network security, backups, service pack installation, troubleshooting, and vendor escalation in support of the ERP servers.
2. DII is responsible for communicating any planned updates to our systems based upon mutually agreed maintenance windows.
3. DII is responsible for installing all necessary hosted application software, databases, etc. on the provisioned servers.

DR/BC DESCRIPTION AND SERVICE LEVEL AGREEMENT:

1. Primary data center is located at National Life and DR/BC at TechVault.
2. There is a 60 minute RPO (recovery point objective) for ERP production environment.
3. There is a 2 hour RTO (recovery time objective) for ERP production environment.
4. While using the DR environment as the ERP Production systems, there will not be an alternative site for the syncing of production data, nor for backups.
5. Once the DR environment is used as ERP Production, migration back to a new or repaired Production environment will need to include a 24 hour outage for all ERP systems to allow for the repopulation of the Production databases from the DR Production data.

11. System Integration: Is the data export/reporting capability of the proposed solution consumable by the State? What data is exchanged and what systems will the solution integrate/interface with? ***Please create a visual depiction*** and include as **Appendix 1A** of this report. Will the solution be able to integrate with the State's Vision and financial systems (if applicable)?

The State currently uses PeopleSoft Integration Broker and Flat File via FTP data exchange methods. This may change in the new release, but has not been committed to.

See **Appendix 1A** for details.

Additional Comments on Architecture:

None.

7. Assessment of Implementation Plan

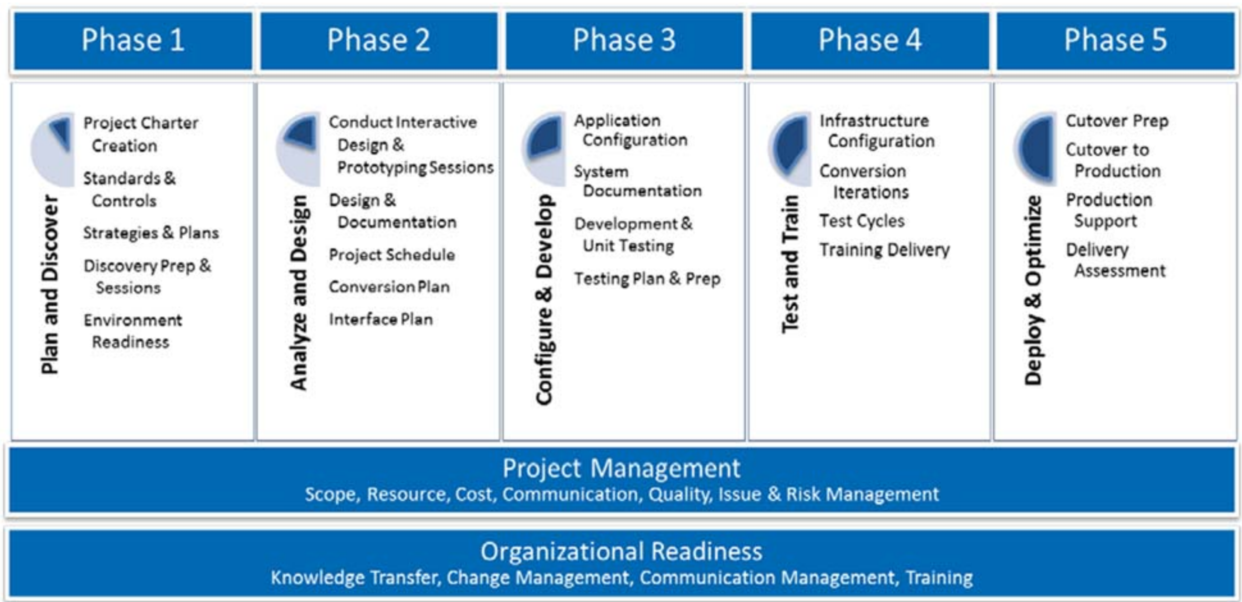
7.1 Implementation Readiness

After assessing the Implementation Plan, please comment on each of the following.

This section begins with a description of the proposed Implementation Approach submitted by Vendor. This implementation methodology has been proven to be effective with other similar implementations, as noted elsewhere in this report.

While the vendor does not strictly follow PMI methodology, SCI's **Propel Methodology** has been guided by the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK) Guide, and reflects years of project management experience.

Propel Methodology Phases:



Phase I – Plan & Discover
Unique to Sierra-Cedar, the Plan & Discover phase helps Sierra-Cedar to gather the information required to better understand the State's business, application, and technology needs. The Plan & Discover phase lays the foundation for a successful project by outlining project standards, strategies, and plans, in addition to defining and fine-tuning the project scope, timeline, and resource requirements.
Phase I of the re-implementation/upgrade focuses on three primary activities. The first activity is to focus on the establishment of the project controls necessary to support the implementation. These are:

- Project Charter: The Project Charter contains the detailed scope of work as work items, project resource roles and expectations, escalation process, change control policy and procedures, and other items used to control the project from a project management perspective.
- Project Standards: This includes developing standards for documentation templates, meeting minutes, document naming conventions, issues and risk logs, documentation storage and version controlling.
- Baseline Project Plan: The baseline work breakdown structure will be developed into the baseline project plan. The project plan will be a living document, created using Microsoft Project, which will be maintained throughout the project lifecycle.

The second activity of Propel Phase I is the "Discovery." During this phase of the project, the project teams are formed, and will begin to analyze the current environment and business processes in production. Facilitated sessions are conducted where functional consultants interview client project.

Phase II – Analyze & Design
Phase II of the project will see the commencement of the Fit-Gap, or Interactive Design & Prototyping (IDP) stage. Building upon the information gathered during Discovery, the project team begins a detailed, hands-on business process modeling with the PeopleSoft application.

Phase III – Configure & Develop
During the Configure & Develop phase, Sierra-Cedar functional and development consultants (functional leads, technical lead, technical developers) will lead the State's Project Team through developing/retrofit of functional and technical specifications, customizations, workflow, and interfaces. Included in this will be leading the update to any system configuration changes that were recommended and accepted during the Fit/Gap process. Once functional specifications have been updated, Sierra- Cedar resources will begin developing or updating the System Test Plan, Test Matrix, and Test Scripts, each a Deliverable, to support the State's testing efforts. Sierra-Cedar resources will also begin the development of a Training Plan as a Deliverable, following a Train the Trainer approach. Once the Training Plan is complete, Training Materials will be updated / developed for each of the business processes and functional components for the Upgrade. The materials will focus on "delta" training for those PeopleSoft components the State currently uses, and for any new functionality, new training content will be developed.

Phase IV – Test & Train
The execution of an extensive testing plan facilitates the re-implementation/upgrade of a fully functioning system. Delivery of a quality training program helps to prepare users to run the system after go live.

Phase V – Deploy & Optimize
The final Deploy & Optimize phase is the final preparation for production cutover, the cutover to production, production support services, and delivery assessment. Once the system has successfully completed all testing stages and there are no critical issues remaining with the tested system, the tested system will be ready for Move to Production. The Cutover Plan identifies a specific point in the State's processing cycle when the Move to Production will take place. Once the approval to proceed is given by project executives, the cutover plan is executed. The project team validates the implementation, verifying that the system is ready to begin Production. From there, the system is released to the State's end-users, and the project team transitions into support mode.

Additional phases requested by State of VT:

First Month of Post Go-Live Support: Contractor will provide on-site support for the first thirty (30) days, during which those mutually agreed upon functional requirements, not functioning according to specifications, will be identified. As a result, the parties will jointly prepare a 'Post Implementation Report' summarizing such requirements and issues.

- The Contractor will work in conjunction with State staff to implement the requirements and resolve any open issues from the 'Post Implementation Report'.
- The Contractor will respond to any production problems as identified by the State Technical Lead or designated project team member within four (4) hours for critical system issues and twenty-four (24) hours if non-critical.
- The Contractor will provide documentation and specification updates, as well as walkthroughs associated with any new development or problem resolution.

Second Month of Post Go-Live Support: All remaining unresolved issues or requirements identified in the 'Post Implementation Report', or newly encountered issues, will need to be resolved in conjunction with the State, within these thirty (30) days with subsequent approval by the State.

- The Post Go-Live Support period will not be successfully completed if issues (within scope) remain.
- Any issues outside of the scope of this project will be transferred to the State staff.
- The Contractor will provide documentation and specification updates, as well as walkthroughs associated with any new development or problem resolution.

Post Implementation Support (Warranty Period)

- The Contractor shall provide a separate staffing plan and pricing model for the Warranty Period.

- The Contractor shall provide ninety (90) days of maintenance and warranty service, to occur after the Post Go-Live Support period is approved as complete. This will be reflected in the project work plan. During the warranty period, the Contractor will:
    - Work with the State's DII ERP team, to include daily communication with the State's Technical Lead, to monitor the production environment and daily processing and performance as it pertains to the project software installation.
    - Respond to any production problems as identified by the State Technical Lead or designated project team member within four (4) hours for critical system issues and twenty-four (24) hours if non-critical.
    - Enhance software, data load or other project related implementations to respond to unanticipated circumstances as identified by the State Technical Lead.
- Provide hands-on training, support and updated documentation during warranty work.

1. **The reality of the implementation timetable**
    a. Implementation: 17 months (April, 2017 – September, 2018)
    b. Post Go Live Support: 2 months
    c. Warranty Period: 3 months
    d. See **Section 4.4** for Deliverables/Milestones schedule.

    This is a reasonable schedule given the vendor experience with other similar projects.

2. **Training of users in preparation for the implementation**

    The vendor approach to training, described below, appears sound, and has worked well with vendor's other clients. This training approach appears adequate.

    The primary goal of Sierra-Cedar's end user training program is to help to prepare State employees to use the new ERP system and its underlying processes effectively after they are deployed. In support of this goal, the end user training methodology focuses on three key objectives:

    - Delivering job-oriented training—Training materials and job aids need to be developed so that they are consistent with the new responsibilities and tasks employees must perform as part of their jobs. Based on a training needs assessment and analysis of the characteristics and job tasks of each target audience, the end user training campaign will be designed to match the training topics to job roles.
    - Emphasizing skill retention between training and going live with the new system and processes—End user training must occur close to the project go-live date to prevent skill degradation associated with inactivity. Additionally, the objective of end user training, especially at the operations level, is to provide State employees with information that they need to know to perform their jobs in the new environment.
    - Creating self-sufficient users—the end user training campaign will provide a variety of opportunities to learn the new functionality and practice how to use the transactions that apply to specific job duties. It is unrealistic to expect that end users will be completely self-sufficient in using the Oracle system at the moment the system changes are deployed. However, it is reasonable to expect that end users who make the most of the available learning and practice options will have information that will help them to become competent users of the new system and processes.

Training Approach by Project Phase:

Phase I – Plan & Discover	During Phase I (Plan & Discover), Sierra-Cedar consultants start work with stakeholders through work sessions to demonstrate the software's functionality. Together they examine the business processes that are involved and look for methods of improving the flow of work. Time saving shortcuts and improvements to business processes are documented. The goal is to help the user community not only understand how the software operates, but also understand how to operate their business in the new ERP application.
Phase II – Analyze & Design	Technical work sessions are typically executed at the onset of Phase II – Analyze & Design, empowering the IT user community with a deeper understanding of the ERP toolset, Approvals Workflow Engine (AWE), and the technical methodology. This will assist those participating as a part of the project team to use their new skills in performing the implementation. Additionally, this phase is used to define the material development strategies and requirements for end-user training; specifically, the types of learning media (including e- Learning where appropriate) that will be used and how course content will be structured for delivery. End-user roles and responsibilities are reviewed in an effort that ultimately results in the overall education curriculum for all end user groups. Our approach focuses on role-based training that is intended to provide end users with knowledge to help them to perform transactions and retrieve useful information from the new system.
Phase III – Configure & Develop	The objective of Phase III (Configure & Develop) is to develop training content in preparation for conducting role-based end user training classes. Training developed for the State's implementation project is based on impacted job roles, reinforced by the underlying business processes. Training will incorporate blended learning, a leading practice that combines traditional learning methods (e.g., paper-based, instructor-led courses, computer-based courses, etc.). Specifically, the basis of Sierra-Cedar's approach considers the varied learning styles of adults to maximize the return that the user will derive from the training activity. Recognizing that adults learn most effectively when the training activity they are involved in closely represents a real situation they are likely to encounter post-training ("practice by doing"), our approach will be to deliver training using scenarios that emphasize the new ERP processes and daily activities.
Phase IV – Test & Train	Phase IV see the execution of all end user training strategies and plans. Through our end user training program, we offer an approach that supports users having the skills that are functionally relevant to their role(s) but also provide them with the awareness and knowledge of basic concepts of the business process knowledge required to perform their day-to-day activities. In this phase, multiple instructional delivery options are available including Sierra-Cedar team members will assist with delivering training to end users and support the State resources that will deliver the training classes. Training classes will provide users with an overview of any changes in the business process as well as application tasks that support the business process. Classroom-based training includes hands-on exercises to facilitate practice and learning. Auditorium-based training is delivered using a demonstration style only.
Phase V – Deploy & Optimize	The key training outcome of Phase V is that end users are successfully performing their business processes using the newly implemented system. State resources have knowledge and skills necessary to administer and maintain the system in production and consider the project successful in meeting the objectives and achieving the vision created at the outset of the project. Sierra-Cedar's Phase V approach includes supporting a post-implementation training program during the production support period. Sierra-Cedar recommends that the State provide working labs, when appropriate, as part of the post-implementation training plan. These are sessions where State personnel perform actual work in a classroom-like setting with the help of State trainers and/ or SMEs supported by Sierra-Cedar consultants. This approach has been utilized as an effective means to support user retention and reduces the time it takes a user to become proficient.

End User Training Toolbox

- Training Needs Analysis
- Training Strategy and Plan
- Training Curriculum Course Catalog Development
- Training Logistics
- End-user Training Material Development
- Content Development Workshops

Training Delivery Options / Lessons Learned

- Classroom Led Training
- Online, Computer-Based Training

3. **Do the milestones and deliverables proposed by the vendor provide enough detail to hold them accountable for meeting the Business needs in these areas:**

   A. Project Management
   B. Training
   C. Testing
   D. Design
   E. Conversion (if applicable)
   F. Implementation planning
   G. Implementation

Please see Deliverables/Milestones Section (**Section 4.4**) for detail on Milestones and Deliverables as well as the Project Schedule listed in the beginning of this section.

The short answer is yes, there is sufficient detail where the Vendor can be held accountable with the exceptions noted throughout this section.

4. **Does the State have a resource lined up to be the Project Manager on the project? If so, does this person possess the skills and experience to be successful in this role in your judgement? Please explain.**

   a. FM has allocated Robert Bromley to this effort. Mr. Bromley is expected to allocate 100% of his time to this effort.
   b. Vendor has one staff member assigned to this effort for PM services, as described below.
   c. In summary, Project Management approach, resources, time allocation and skill set, are adequate.

5. **Readiness of impacted divisions/departments to participate in this solution/project**

   a. **FM has assembled the following team for this project:**
      i. Andy Pallito, Executive Project Sponsor
      ii. Brad Ferland, Project Sponsor (replacement may be named as Brad now works in AoA)
      iii. Nancy Collins, Statewide Reporting Director
      iv. Ruthellen Doyon, Statewide Accounting Director
      v. Jana Riddle, Change Management Director
      vi. Frank Costantino, ERP IT Director
      vii. Trudy Marineau, ERP IT Manager
      viii. Karen Symonds, VISION Support SME
      ix. Diane Sholan, VISION Support SME
      x. Megan Klinefelter, VISION Support SME
      xi. Karen Jaquish, Grants Administrator
      xii. Joe Harris, Financial Reporting Analyst
      xiii. Michelle White, Statewide Accounting Assistant Director
      xiv. Jamie Sheltra, Financial Analyst
      xv. Rob Bromley, FM Project Manager
      xvi. Rick Steventon, DII Oversight Project Manager

b. The vendor team includes:

i. Roch Hoedebecke, Executive Sponsor
ii. Paul Yeager, Service Director
iii. Wayne Pinckley, Project Manager
iv. Clint Burnett, GL / KK / Assets
v. Justin Davis, Billing / AR / Grants (State custom solution)
vi. Mary Ellen Pfaller, AP / Travel & Expenses
vii. Mike Miller, Inventory / PO
viii. Jason Bruorton, Technical Lead
ix. Scott Huling, Change Management
x. Blake Monkman, Developer
xi. Raj Kumar, Developer
xii. Tom Hytry, Upgrade Lead

SCI has committed the following approach to staffing:

Sierra-Cedar Role	% Dedicated to Project	Duration on Project
Project Executive	Part-Time	Entire Duration of Project
Project Director	Part-Time	Entire Duration of Project
Project Manager	Full-Time	Entire Duration of Project
Change Management Lead	Part-Time	Entire Duration of Project
Trainers	Full-Time	Will start in early 2018, 4-5 months in duration
General Ledger / Asset Management Functional Lead	Full-Time	Entire Duration of Project
AR / Billing Functional Lead	Full-Time	Entire Duration of Project, will start in early May.
AP / Travel Expenses Functional Lead	Full-Time	Entire Duration of Project, will start in early May.
Purchasing / Inventory Functional Lead	Full-Time	Entire Duration of Project, will start in early May.
Technical Lead	Full-Time	Entire Duration of Project, will start in Month 2.
Upgrade Specialist	Part-Time	Entire Duration of Project til Go-Live
Developers	Full-Time	Will start after the Design Phase is completed. Duration will be 4 months to 12 months.
Performance Test Lead	Part-Time	Will participate for 4 weeks during Phase IV – Test and Train.

- Sierra-Cedar Project Manager, Change Management Lead, Trainers, Functional Consultants and Technical Lead will be onsite on average 75% of the assigned project weeks.
- Sierra-Cedar Developers will be onsite on average 50% of the assigned project weeks.
- Sierra-Cedar Performance Test lead will work remotely for the project.

Based on our experience conducting IRs, when comparing this project to other technology projects, both the vendor and department staff appear to be fully prepared to undertake a project of this scope.

6. Adequacy of design, development, migration/conversion, and implementation plans

This section describes vendor's approach to **design and development**.

The following describes the Vendor methodology for design and development. In summary, the **Design and Development** approach appears sound and adequate.

Design and Development spans the **Phase II (*Analyze & Design*)** and **Phase III (*Configure & Develop*)** described above.

Phase II – Analyze & Design
Phase II of the project will see the commencement of the Fit-Gap, or Interactive Design & Prototyping (IDP) stage. Building upon the information gathered during Discovery, the project team begins a detailed, hands-on business process modeling with the PeopleSoft application.

The IDP sessions are facilitated workshops, focusing on delta changes from version to version and across functional areas and focusing on the State's requirements. Sierra-Cedar functional consultants will lead IDP sessions with involvement by key the State functional leads, business process owners, subject matter experts, technical resources, and organizational change management, including departmental and other representatives. The State's knowledge of its internal business processes and limitations within the current version of PeopleSoft are coupled with Sierra-Cedar's business and PeopleSoft experience to map the State's business processes to the new version, analyze the gaps in detail, and explore resolution alternatives. Effort will be made to identify where business process changes should be made to assist in efficiency of operation. Where gaps in functionality still exist, Sierra-Cedar will recommend approaches to resolving those gaps. New business process requirements will be captured, and documented to be used in training. Change impacts will also be incorporated into the Training plan.

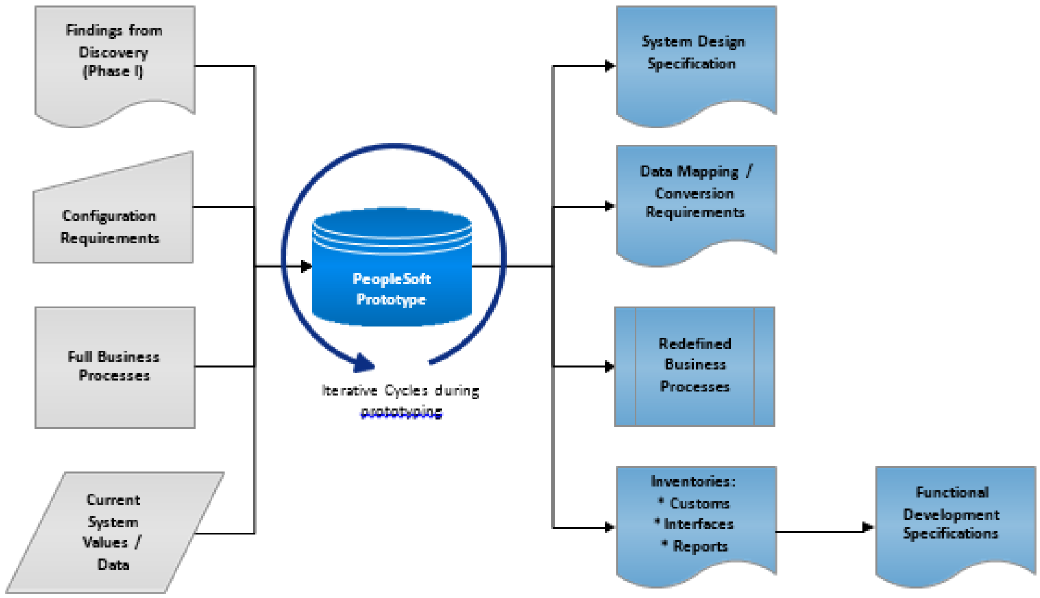
Sierra-Cedar's goal is to implement PeopleSoft as "close to a vanilla" state as possible but will focus on meeting the State's final requirement needs. To meet that goal, great care is taken when gaps are identified, to search for alternative ways of accomplishing the business requirement without modifying the new version of PeopleSoft. This will largely depend upon the State's ability to change business processes and adopt the standard system functionality. Where that is not possible, and customization to the system must be made, Sierra-Cedar's objective is to do so in a "bolt-on" configuration, rather than changing the delivered code set.

There are many outcomes of the IDP. The primary output of the IDP (Fit/Gap) process will see the creation of the System Design Documentation as a Deliverable. The System Design Documentation will address:

- New Functionality
- Major Business Processes
- Functional Configuration
- PeopleSoft Business Process Gaps and Solutions
- Interfaces
- Customizations / Adaptations
- Reports
- Post Upgrade Initiatives
- Batch Process Jobs

As part of the IDP sessions, the Project Team will review the existing customizations as part of the business processes. During this review, decisions will be made on which customizations will carry forward as part of the upgrade. Functional and technical specifications will be updated for the customizations being carried forward. Any new customizations will go through the development lifecycle. Functional specifications will be created in preparation for Phase III – Configure & Develop.

The flow chart presented in the figure below outlines the basic concepts for IDP activities:



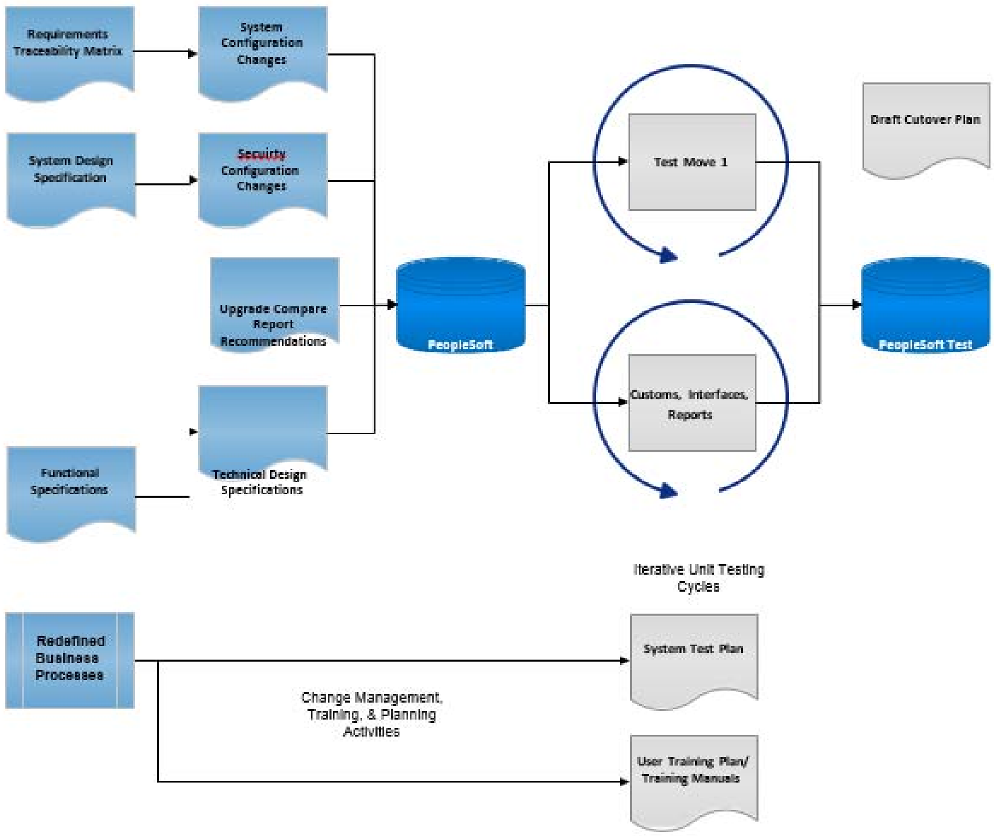
Phase III – Configure & Develop

During the Configure & Develop phase, Sierra-Cedar functional and development consultants (functional leads, technical lead, technical developers) will lead the State's Project Team through developing/retrofit of functional and technical specifications, customizations, workflow, and interfaces. Included in this will be leading the update to any system configuration changes that were recommended and accepted during the Fit/Gap process. Once functional specifications have been updated, Sierra- Cedar resources will begin developing or updating the System Test Plan, Test Matrix, and Test Scripts, each a Deliverable, to support the State's testing efforts. Sierra-Cedar resources will also begin the development of a Training Plan as a Deliverable, following a Train the Trainer approach. Once the Training Plan is complete, Training Materials will be updated / developed for each of the business processes and functional components for the Upgrade. The materials will focus on "delta" training for those PeopleSoft components the State currently uses, and for any new functionality, new training content will be developed.

Technical developers will work with the State functional staff to complete the technical design specification updates and retrofitting of customizations, interfaces, and workflow. The functional consultant resources will also support unit testing of all development items. Having the environment in place along with the final design specifications and additional documentation is essential to the timely completion of this phase.

The Sierra-Cedar Technical Upgrader will be supporting the development effort, evaluating the patch / bundles which need to be applied, tuning the upgrade scripts based on decisions from the upgrade compare reports, and prepare for the first Test Move. Near the end of this phase, when a significant amount of development retrofits is complete, Test Move 1 will be executed, creating an environment where the first aspects of System Testing can be completed.

The chart below outlines the key inputs and outputs of the Phase III of the Propel Methodology.



This section describes vendor's approach to **System Integration**.

System Integration is not part of the Vendor scope of work for this project.

This section describes vendor's approach to **Conversion/Migration**.

Sierra-Cedar will be using the delivered Oracle upgrade scripts to perform the data migration from PeopleSoft v8.8 to v9.2.

As part of the upgrade approach, Sierra-Cedar will perform the following upgrade moves for the project.

- Initial Pass
- Three (3) Test Move Upgrade Passes (aligned with test cycles)
- One (1) Final Upgrade Pass / Cutover to Production

FM will use the **SCI Upgrade Lab** *skill set* but not the SCI Upgrade Lab *infrastructure* when performing the migration to the new environment. SCI can provide their own data center as a "lab" in which upgrades are tested but FM has their own data center capacity and as such, will use their own infrastructure.

Details of the SCI Upgrade Lab are described below:

Based out of the Sierra-Cedar data center, SCI provides a pre-built and highly secure environment for the upgrade and database environments, called the Managed Services Upgrade Lab. The following services are expected to be utilized:

- Remote Upgrade (with Final Test Move and Final Cutover onsite): Perform a Remote Upgrade of Client's current PeopleSoft FSCM v8.8 application to v9.2 and upgrade the PeopleTools version to 8.56 or the most stable version at the start of the Upgrade Project. **This will utilize the State's technical infrastructure for all upgrade activities.** The upgrade would be completed via a secure site to site VPN tunnel for all activities. The last test move to production and final go-live cutover would be performed onsite at the State.

In summary, the **Conversion/Migration** approach appears sound and adequate.

This section describes vendor's approach to **Implementation**.

As this project is an upgrade/migration to a new version, the **Implementation** is really a function of the Conversion/Migration process described above.

As such, assessment of the **Implementation** approach is not applicable.

7. Adequacy of support for design, development, conversion/migration, and implementation activities

a. DESIGN/DEVELOPMENT:

i. Both Vendor and FM demonstrate adequate support in this area.

b. CONVERSION/MIGRATION:

i. Both Vendor and FM demonstrate adequate support in this area.

c. IMPLEMENTATION:

i. Not applicable.
ii. Both Vendor and FM demonstrate adequate support in this area.

8. **Adequacy of agency and partner staff resources to provide management of the project and related contracts (i.e. vendor management capabilities)**
    a. Both Vendor and FM demonstrate adequate support in this area. See section above regarding Project Management assignments from both Vendor and FM.
    b. Further, the following table demonstrates Vendor capabilities in this area, by clearly assigning responsibility to key Project Management activities:

Activity	**Responsibility**	
	State	**SCI**
Scope Management		
Define project scope	X	X
Approve project scope	X	
Manage project scope	X	X
Manage project change control requests	X	X
Resource Management		
Manage resource tasks to meet timeframes	X	X
Develop, manage, and maintain project schedule	X	X
Supervise and coordinate Sierra-Cedar personnel		X
Supervise and coordinate State personnel	X	
Cost Management		
Develop a project cost analysis and timeline for expenditures	X	
Manage project budget	X	
Manage consulting budget and minimize expenses	X	X
Communication Management		
Manage project team communication	X	X
Manage State communication	X	
Provide ongoing communication, status updates, support, and feedback	X	X
Prepare for/attend meetings and act as advisor to the steering committee	X	X
Manage the training plan	X	
Quality Management		
Review and approve project deliverables	X	X
Conduct quality reviews		X
Issue and Risk Management		
Maintain issue tracking and resolution log	X	X
Mediate all issues/concerns	X	X
Identify and mitigate project risk	X	X

c. Additionally, vendor uses the following template to track **deliverables**. Also note the **Payment Deliverable** column, noting a deliverable that has a payment attached, which is a strong indicator that Vendor understands FM's desire to associate payments to deliverables.

Deliverable Number	Payment Deliverable?	Deliverable – Description	Deliverable Status	Proposed Deliverable Acceptance Criteria Acceptance Date	Submission Date to 3PA	Deliverable Review Period	Feedback Due Date	Actual Date of Acceptance
		Phase I – Plan & Preview						
		Standards and Controls						
D001	**X**	Project Charter	**Final**	**9/4/2014**	**9/16/2014**	**5**	**9/26/2014**	**9/29/2014**
D002	**X**	Project Management Plan	**Final**	**9/4/2014**	**9/30/2014**	**5**	**10/10/2014**	**10/2/2014**
D003		Quality Management Plan	**Final**	**9/4/2014**	**10/8/2014**	**5**	**10/10/2014**	**10/8/2014**
D004	**X**	Technical Charter	**Final**	**9/4/2014**	**9/29/2014**	**5**	**10/10/2014**	**10/8/2014**
D005		Project Repository	**Final**	**9/4/2014**	**10/8/2014**	**5**	**10/10/2014**	**10/9/2014**

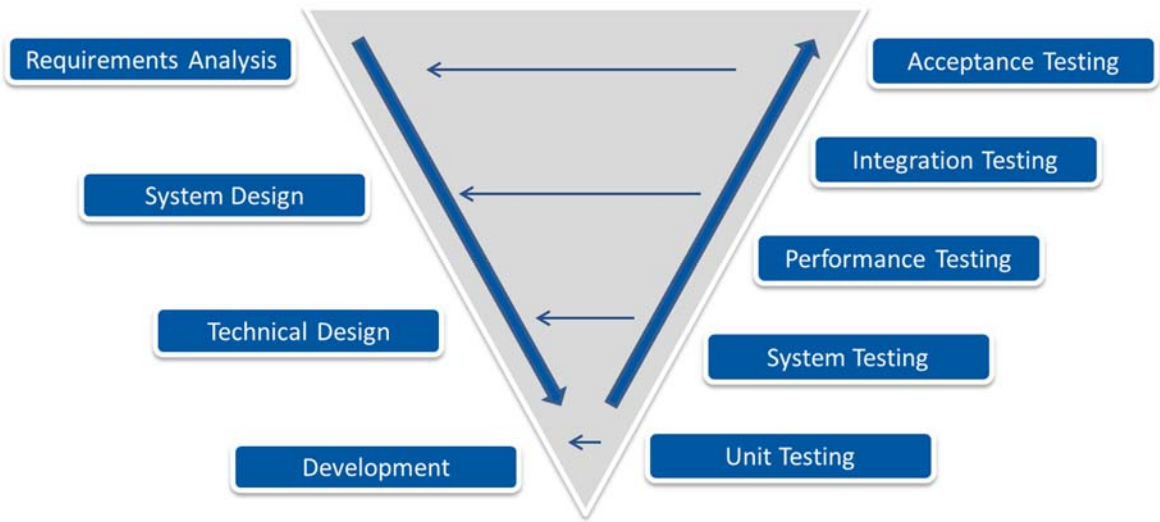
9. Adequacy of testing plan/approach

FM Testing Approach:

FM has a strong set of Testing Scenario spreadsheets developed over the years, which are expected to be utilized on this project during User Acceptance Testing. See the attached sample (TestScript-AP - 02 Enter a Standard Voucher w-Check Comment, Reject & Reset Paycycle.xls) as one example.

Vendor Testing Approach:

The Sierra-Cedar testing approach demonstrates the application of requirements traceability in a managed testing strategy. The V-Model provides a method of integrating testing throughout the project lifecycle. This approach supports early identification of problems and allows corrective actions to be taken proactively throughout the project life cycle. The "top down" approach includes defining requirements and test plans beginning with the highest level requirements, and drilling down to specific code requirements and test conditions as the project moves from design to implementation. The "bottom up" approach includes the execution of individual test scripts beginning with the lowest level of detail in order to verify that individual components of the system are performing correctly. We complete lower level testing before progressing up to test the interactions between components, or progressing up further to user acceptance testing and implementation of the completed services.



Unit testing is done by a technical resource on a modification, workflow, conversion, report, or interface that has been developed. This testing is done as soon as the development has been completed, based on guidelines provided in the functional specification.

System testing is the functional and technical testing of each major system component, while integration testing focuses on testing processes between PeopleSoft modules and between PeopleSoft and other systems. During system testing, the team verifies that the system is stable and accessible, delivered processes run without error, performance is acceptable, and all setup and transactional data has converted over successfully.

Integration testing focuses on the integration of all functions used in the business processes. Integration can be tested by sequentially executing functions that are dependent on data created in a prior step.

User Acceptance Testing concentrates on testing functionality and occurs after Unit Testing and Integration Testing have successfully completed. In User Acceptance Testing, the end-users of the system are responsible for validating the product and validating that it is working to established acceptance criteria.

Load/Performance Testing, (aka Volume and Stress Testing) consists of running a large volume of data or the execution of several high-volume processes simultaneously, including having a high volume of users perform the same business process at the same time through the fully modified system using a simulated “live” environment of designated transactions and workstations in the planned system environment (that is with all other existing and planned applications running concurrently). The Load Testing tool utilized will be the Grinder load toolset.

Test Plan – SCI will prepare a detailed test plan and in collaboration with the State will determine the types and levels of testing that are appropriate for the State based on the functionality being implemented. The plan will also identify the timing of each testing phase.

Deliverable	**Responsibility (P=Primary; S=Secondary)**	
	State	**Sierra-Cedar**
Phase III - Configure and Develop (Build)		
Test Plan	**S**	**P**
Test Scripts, Updated RTM	**S**	**P**
Test Scenarios	**P**	**S**
Completed Unit Testing, Documented Test Results	**S**	**P**
Phase IV - Test and Train (Training)		
Completed System Test, Documented Test Results	**S**	**P**
Completed Integration Test, Documented Test Results	**S**	**P**
Completed Acceptance Test, Documented Test Results	**P**	**S**
Completed Performance Test	**S**	**P**

For each test cycle, the following testing tools are utilized to determine that the system has been successfully designed.

Testing Tool	**Description**
Requirements Traceability Matrix	Requirements inventoried in the Requirements Traceability Matrix (RTM) along with details regarding how the requirement is met (i.e., configuration, development, business process change). Requirements in the RTM are associated with testing attributes in order to trace to results to each solution component and its underlying requirement. Testing attributes in the RTM include: test scenario#, test script#, test date, tester, and test results (pass/fail).
Test Scenarios	Test scenarios define the business process details of **what** needs to be tested to validate that requirements have been met. Sierra-Cedar will use all of the use-cases created by the State.
Test Scripts	Each test scenario will be supported by one or many test scripts. Test scripts provide the detail data conditions and transaction elements for testing a scenario in terms of: **who, how, when, where, and why.**
Test Schedule/ Metrics	For System, Integration, Performance, and User Acceptance tests, scripts are inventoried and ordered to support business process lifecycles. The scripts are scheduled for execution and test results are documented. The test schedule and metrics provide the project team and management with weekly metrics with progress of testing and the quality of the solution.
Test Plan	Covering all test cycles (System, Integration, and User Acceptance), a plan is defined as a communication tool for informing key stakeholders with all of the details regarding how a specific test cycle will be managed – objectives, scope, participants, roles/responsibilities, timeline, progress and issue tracking, entrance/exit criteria, critical success factors, tools to use, etc.

Some of these responsibilities assigned to FM do not align with what FM requested in the RFP. In those cases, the areas are highlighted in yellow, and are also included in the Risk Register.

FM requested the following approach to testing in the RFP:

- Unit and System Testing (in conjunction with State project team)
  - The Contractor is responsible for creation of unit and system test plans, in conjunction with the State project teams. Minimally, the test plans should include the following:
    - Reference to applicable requirement(s);
    - Method of testing (automated, manual or combination);
    - Test conditions and expected results;
    - Test result documentation;
    - Cyclical tracking and documentation for any testing that is redone.
  - The Contractor, in conjunction with the State project teams, is responsible for fully unit and system testing the system prior to deployment to the State for User Acceptance testing.
  - Unit and System testing approval will be required from the State prior to progression into User Acceptance testing.
- User Acceptance Testing (under direction of the State project team)
  - The Contractor will work with State project team members to create (or update existing) user acceptance testing plans, including test scripts. Minimally, the test plans and test scripts should include the following:
    - Reference to applicable requirement(s);
    - Test scripts covering all requirements;
    - Method of testing (automated, manual or combination);
    - Test conditions and expected results;
    - Test result documentation;
    - Cyclical tracking and documentation for any testing that is redone.
  - The Contractor, in conjunction with the State project teams, will provide both functional and technical support throughout User Acceptance testing. The Contractor will provide attention to reported problems within two (2) business days, working with State project team members to determine resolution, conduct applicable code walkthroughs, testing and specification /documentation updates.
  - User Acceptance Testing approval will be required from the State prior to progressing to the next phase of the upgrade project or to production.
  - The State requires that all user acceptance testing will be fully and successfully executed, in no less than 2 passes (upgrade executions) in a testing environment, prior to acceptance by the State and subsequently going live with v9.2.

Vendor proposed the following in their RFP Response:

The State will be responsible for System/Integration and User Acceptance Testing. Sierra-Cedar will provide guidance and support during the testing cycles. The State must adhere to the following timelines for each test cycle as outlined in the project plan along the sequence of the testing cycles. Any delays in the testing timeline will impact the project schedule and will need to be addressed through the Change Order process.

1. System/Integration Testing – 25 days (5 weeks)
2. User Acceptance Testing – 25 days (5 weeks)
3. Performance Testing – 15 days (3 weeks)

In summary, the **Testing Plan/Approach** has questions related to scope and responsibility that should be addressed in the Risk Register and Contract.

10. General acceptance/readiness of staff

The overall Acceptance and Readiness of staff is strong. The team is comprised of qualified and interested members, who are highly interested and motivated to deploy this solution.

Additional Comments on Implementation Plan:

There is a high degree of confidence in SCI's ability to complete this project, given their experience with other similar projects.

The Vendor stated they have completed 30 upgrades to V9.2. The Independent Reviewer asked SCI, "Of the 30 upgrades completed to V9.2, which are comparable in scope to the VT project", to which they provided the following examples:

- State of Wyoming Department of Transportation – We provided some technical and functional resources for their 8.8 to 9.2 Financials upgrade.
- State of New Mexico Department of Transportation – We are currently providing upgrade support for the Department's 8.8 to 9.2 upgrade.
- State of New York – We have performed several upgrades for the New York Office of the State Comptroller including the 8.3 re-implementation, an upgrade from 8.3 to 8.9, an upgrade from 8.9 – 9.1, and we are currently upgrading them from 9.1 – 9.2.
- State of Kansas – We have performed several upgrades for the State over the years including the HCM upgrades from 8.0 to 8.9, the upgrade from 8.9 to 9.1, and we are currently upgrading them from 9.1 to 9.2. We also participated in the Financials 9.0 implementation and recently completed the 9.0 to 9.2 Financials upgrade.

7.2 Risk Assessment & Risk Register

*After performing a Risk assessment in conjunction with the Business, please create a **Risk Register** as an **Appendix 2** to this report that includes the following:*

1. ***Source of Risk**: Project, Proposed Solution, Vendor or Other*
2. ***Risk Description**: Provide a description of what the risk entails*
3. ***Risk ratings to indicate**: Likelihood and probability of risk occurrence; Impact should risk occur; and Overall risk rating (high, medium or low priority)*
4. ***State's Planned Risk Strategy**: Avoid, Mitigate, Transfer or Accept*
5. ***State's Planned Risk Response**: Describe what the State plans to do (if anything) to address the risk*
6. ***Timing of Risk Response**: Describe the planned timing for carrying out the risk response (e.g. prior to the start of the project, during the Planning Phase, prior to implementation, etc.)*
7. ***Reviewer's Assessment of State's Planned Response**: Indicate if the planned response is adequate/appropriate in your judgment and if not what would you recommend.*

See **Appendix 2.**

Additional Comments on Risks:

None.

8. Cost Benefit Analysis

This section involves four tasks:

1) *Perform an independent Cost Benefit Analysis.*

2) ***Create a Lifecycle Cost Benefit Analysis spreadsheet*** *as an* ***Appendix 3*** *to this report. A sample format is provided.*

a) The cost component of the cost/benefit analysis will include all one-time acquisition costs, on-going operational costs (licensing, maintenance, refresh, etc.) plus internal costs of staffing and "other costs". "Other costs" include the cost of personnel or Vendors required for this solution, enhancements/upgrades planned for the lifecycle, consumables, costs associated with system interfaces, and any costs of upgrading the current environment to accept the proposed solution (new facilities, etc.).

b) The benefit side of the cost/benefit will include: 1. Intangible items for which an actual cost cannot be attributed. 2. Tangible savings/benefit such as actual savings in personnel, Vendors or operating expense associated with existing methods of accomplishing the work which will be performed by the proposed solution. Tangible benefits also include additional revenue which may result from the proposed solution

c) The cost benefit analysis will be for the IT activity's lifecycle.

d) The format will be a column spreadsheet with one column for each year in the lifecycle. The rows will contain the itemized costs with totals followed by the itemized benefits with totals.

e) Identify the source of funds (federal, state, one-time vs. ongoing). For example, implementation may be covered by federal dollars but operations will be paid by State funds.

3) *Perform an analysis of the IT ABC form (Business Case/Cost Analysis) completed by the Business.*

4) *Respond to the questions/items listed below.*

1. **Analysis Description:** Provide a narrative summary of the cost benefit analysis conducted: The approach used was to gather all costs associated with project for a **5 year period**, identify revenue sources for the project, and identify tangible and intangible benefits that might also be used as revenue sources or expense reductions.

    a. COST COMPONENT: See the attached spreadsheet referenced in **Appendix 3** to gain an understanding of:
        i. Source of Funds
        ii. Use of Funds
        iii. Change in Operating Costs

    b. BENEFIT COMPONENT:
        i. See the Tangible and Intangible Benefits described below.

2. **Assumptions:** List any assumptions made in your analysis.
    a. Staff reductions are not expected or contemplated through the implementation of this solution.
    b. There is no revenue recovery anticipated.
    c. Costs are segmented into **Project Cost** and **Operational Costs**

3. **Funding:** Provide the funding source(s). If multiple sources, indicate the percentage of each source for both Acquisition Costs and on-going Operational costs over the duration of the system/service lifecycle.
    a. The primary source of funds include the following, the detailed amount from which are specified in the attached Project Cost spreadsheet referenced in **Appendix 3**:

Funding Source(s) and Percentage Breakdown if Multiple Sources:

FUNDING SOURCE	% of TOTAL	FUNDING SOURCE DESCRIPTION	FUNDING APPLIED TO (Implementation or Operations)	FUNDING AMOUNT
STATE FUNDING: Implementation: FY16 Capital Budget Appropriation	28.49%	Fund #31100; FY16 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5M	Implementation	$5,000,000
STATE FUNDING: Operations: FY16 Capital Budget Appropriation	0%	Fund #31100; FY16 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5M	Operations	$0
STATE FUNDING: Implementation: FY17 Capital Budget Appropriation	5.08%	Fund #31100; FY17 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5,813,881	Implementation	$891,864
STATE FUNDING: Operations: FY17 Capital Budget Appropriation	0%	Fund #31100; FY17 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5,813,881	Operations	$0
STATE FUNDING: Implementation: State Internal Service Fund	0%	State Internal Service Fund (ISF) 59300; (Funding for ISF is through an annual charge back to departments based on a federally approved cost allocation methodology)	Implementation	$0
STATE FUNDING: Operations: State Internal Service Fund	66.43%	State Internal Service Fund (ISF) 59300; (Funding for ISF is through an annual charge back to departments based on a federally approved cost allocation methodology)	Operations	$11,659,326
FEDERAL FUNDING: Implementation: None	0%		Implementation	$0
FEDERAL FUNDING: Operations: None	0%		Operations	$0
TOTAL:	**100.00%**			**$17,551,189**

Implementation Costs and Funding:	**$5,891,864**
Operational Costs and Funding:	**$11,659,326**

4. **Tangible Benefits:** Provide a list and description of the tangible benefits of this project. Tangible benefits include specific dollar value that can be measured (examples include a reduction in expenses or reducing inventory, with supporting details).
    a. There are no tangible benefits that can be monetized through this project.

5. **Intangible Benefits:** Provide a list and description of the intangible benefits of this project. Intangible benefits include cost avoidance, the value of benefits provided to other programs, the value of improved decision making, public benefit, and other factors that become known during the process of analysis. Intangible benefits must include a statement of the methodology or justification used to determine the value of the intangible benefit.
    a. The State will be on a supported version of the software and avoid paying otherwise higher fees Oracle Corporation charges customers which remain on unsupported versions.
    b. With the latest versions of the application, the State can leverage many of the improvements within the application that promote process efficiency. These tools include:
        i. Forms Engine. This tool allows requests and approvals that were historically paper-based to be submitted online.
        ii. Workflow Engine (AWE). AWE is a tool that allows the functional teams to configure business rules and approvals for process areas within the application. This improvement helps to remove paper, dependence on development team and streamlines the related business processes.
        iii. Upgrade Manager (PUM). This tool allows the State to apply the latest updates and patches in a more streamlined fashion. It will assist the State in staying at or near the current support version of the software.
    c. The Attachments feature is included in various areas throughout the application to reduce users' effort and paperwork.
    d. The PeopleSoft application has added the following improvements to support process improvements and ease of use. These improvements are:
        i. Work Centers. The PeopleSoft application has been organized into Work Center groupings that promote process efficiency. This improvement minimizes the use of Menus and searching through long lists.
        ii. Pivot Grids and Dashboards. Within the application and pages, Pivot Grids (Query data results) and Dashboards can be included to provide key data and abilities to drill into details.
        iii. Fluid User Interface. This feature of the application allows for the application pages to be effectively be used on Mobile devices. The tool feature helps to render the application pages onto devices like mobile phones, iPads and other mobile devices.
    e. The user community will receive training during this project which will give them the opportunity to utilize the system in a more efficient and effective way.

6. **Costs vs. Benefits:** Do the benefits of this project (consider both tangible and intangible) outweigh the costs in your opinion? Please elaborate on your response.
    a. There are no tangible dollar benefits with this project.
    b. There is no monetary value assigned to the intangible benefits.
    c. Given current operating costs of $2.3M and the new expected operating costs of $2.3M, we expect operating cost changes to be neutral, with a $5.9M implementation cost to achieve that, $4.9M of which goes to Vendor, and ~$1M of which covers internal State costs.
    d. As such, the monetary benefits do not outweigh the costs. Monetary benefits should not be the reason to pursue this project.

7. **IT ABC Form Review:** Review the IT ABC form (Business Case/Cost Analysis) created by the Business for this project. Is the information consistent with your independent review and analysis? If not, please describe.
    a. Reviewed the IT ABC Form (*IT ABC Costs - Final - Phase II of ERP Expansion Project - Upgrade of VISION - FINAL.pdf*) dated 7/28/2016 and related project cost spreadsheet.
    b. It is a comprehensive and fairly detailed cost analysis. Both the Implementation and Operational cost totals were compared to the IR Project Cost Spreadsheet, and numbers are comparable, per the chart below:

Annual Operating Cost Comparison	**IT ABC Form**	**Project Cost Spreadsheet**	**Delta: Operating Costs: IT ABC Form less Project Cost Spreadsheet**
Software/Licenses	$838,388	$838,388	$0
Hosting Provider			
Hardware	$333,910	$292,277	$41,633
Equipment or Supplies			
Vendor Annual Maintenance/Service Costs			
State Labor to Operate & Maintain the Solution	$1,171,159	$1,201,200	-$30,041
Other Costs (please describe):			
Sub-total:	**$2,343,457**	**$2,331,865**	**$11,592**
Time Period:	*5 years*	*5 years*	*5 years*
TOTALS:	**$11,717,283**	**$11,659,326**	**$57,958**

Additional Comments on the Cost Benefit Analysis:

No additional comments.

9. Impact Analysis on Net Operating Costs

1.) Perform a lifecycle cost impact analysis on net operating costs for the agency carrying out the activity, minimally including the following:
a) Estimated future-state ongoing annual operating costs, and estimated lifecycle operating costs. Consider also if the project will yield additional revenue generation that may offset any increase in operating costs.
b) Current-state annual operating costs; assess total current costs over span of new IT activity lifecycle
c) Provide a breakdown of funding sources (federal, state, one-time vs. ongoing)
2.) Create a table to illustrate the net operating cost impact.
3.) Respond to the items below.

As noted in **Section 1.1** above, the Cost Summary for this project is:

IT Activity Lifecycle:	5 Years
Total Lifecycle Costs:	**$ 17.55M**
PROJECT COSTS:	***$5.89M***
Software Costs:	***$0***
Implementation Services:	***$4.96M***
Internal Staffing:	***$686K***
Hardware:	***$60K***
Other (DII EA, IR):	***$186K***
OPERATING COSTS:	***$11.7M***
Software Costs:	***$0***
Maintain Current Software:	***$4.2M***
Internal Staffing:	***$6M***
Hosting (internal):	***$1.46M***
CURRENT OPERATING COSTS:	**$ 11.7M**
Difference Between Current and New Operating Costs:	**$0 – Operating costs expected to remain as they are currently**
Funding Source(s) and Percentage Breakdown if Multiple Sources:	See table below

Funding Source(s) and Percentage Breakdown if Multiple Sources:

FUNDING SOURCE	% of TOTAL	FUNDING SOURCE DESCRIPTION	FUNDING APPLIED TO (Implementation or Operations)	FUNDING AMOUNT
STATE FUNDING: Implementation: FY16 Capital Budget Appropriation	28.49%	Fund #31100; FY16 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5M	Implementation	$5,000,000
STATE FUNDING: Operations: FY16 Capital Budget Appropriation	0%	Fund #31100; FY16 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5M	Operations	$0
STATE FUNDING: Implementation: FY17 Capital Budget Appropriation	5.08%	Fund #31100; FY17 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5,813,881	Implementation	$891,864
STATE FUNDING: Operations: FY17 Capital Budget Appropriation	0%	Fund #31100; FY17 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5,813,881	Operations	$0
STATE FUNDING: Implementation: State Internal Service Fund	0%	State Internal Service Fund (ISF) 59300; (Funding for ISF is through an annual charge back to departments based on a federally approved cost allocation methodology)	Implementation	$0
STATE FUNDING: Operations: State Internal Service Fund	66.43%	State Internal Service Fund (ISF) 59300; (Funding for ISF is through an annual charge back to departments based on a federally approved cost allocation methodology)	Operations	$11,659,326
FEDERAL FUNDING: Implementation: None	0%		Implementation	$0
FEDERAL FUNDING: Operations: None	0%		Operations	$0
TOTAL:	**100.00%**			**$17,551,189**

1. See the spreadsheet attached in **Appendix 3** to review impact to Operating Costs.
2. Provide a narrative summary of the analysis conducted and include a list of any assumptions.
    a. The detailed spreadsheet provided with this analysis breaks out costs as follows:
        i. Implementation (Project) Costs: Costs tied specifically to the Vendor. In other words, those costs that are incurred because we are undertaking the project.
        ii. Operating Costs: Internal costs, consisting of staffing and telecommunication costs, and external costs consisting of contracted services and on-going use of the software and related hosting.
        iii. Total Costs: Project Costs plus Operating Costs.
    b. The TOTAL COSTS are broken out as **IMPLEMENTATION (Project) COSTS** and **OPERATING COSTS**.
3. Explain any net operating increases that will be covered by federal funding. Will this funding cover the entire lifecycle? If not, please provide the breakouts by year.
    a. Given current operating costs of $2.3M and the new expected operating costs of $2.3M, we expect operating cost changes to be neutral, with a $5.9M implementation cost to achieve that, $4.9M of which goes to Vendor, and ~$1M of which covers internal State costs. See the attached Project Cost Detail spreadsheet for additional details.
4. What is the break-even point for this IT Activity (considering implementation and on-going operating costs)?
    a. There is no break-even point. This project is expected to be operating cost change neutral.

Appendix 1A - System Integration

SYSTEM INTEGRATION/INTERFACES

System Integration is not part of the Vendor scope of work for this project.

The State currently uses PeopleSoft Integration Broker and Flat File via FTP data exchange methods. This may change in the new release, but has not been committed to.

PeopleSoft Integration Broker is a middleware technology that performs asynchronous and synchronous messaging among internal systems and third-party systems. PeopleSoft Integration Broker exposes PeopleSoft business logic as web services to PeopleSoft and third-party systems.

The following describes the ERP interfaces which are the responsibility of the DII ERP Development Group:

The State has approximately 4 unique interface types/transaction types that are used by multiple entities throughout the State: AP Vouchers, Direct Journal Deposits, Journal Entries, and Billing. State also provides approximately 6 extracts to multiple business units, with varying frequencies.

The tables below show the data exchanges with VISION.

Using PeopleSoft Integration Broker Method:

Direction	Initiating Department	Type of Data	Source System / Area	Receiving System / Dept
Incoming	DHR	Payroll / Accounting, Banking, Address, etc.	(DHR) VTHR	VISION
Outgoing	Finance	Chartfield related information, etc.	VISION	DHR (VTHR)

Using Flat File Method:

Direction	Initiating Department	Type of Data	Source System / Area	Receiving System / Dept
Incoming	AOT	Vouchers, Deposits, Journals	(AOT) STARS	VISION
Incoming	BGS	Voucher	(BGS) HCI Payroll - Property / Rental	VISION
Incoming	BGS	Inventory	(BGS) Mail Manifest	VISION
Incoming	BGS / DII	Billing	(BGS) and (DII)	VISION
Incoming	(DCF) Dept. for Children & Families	Vouchers	(DCF) Disability Determination Services	VISION
Incoming	(DCF) Dept. for Children & Families	Vouchers	(DCF) Foster Care Expense	VISION
Incoming	(DCF) Dept. for Children & Families	Vouchers	(DCF) Foster Care Payroll	VISION
Incoming	(DCF) Dept. for Children & Families	Vouchers	(DCF) Treatment	VISION
Incoming	(DCF) Dept. for Children & Families	Vouchers	(DCF) Childcare (BFIS - Bright Futures)	VISION
Incoming	(DCF) Dept. for Children & Families	Vouchers	(DCF) Foster Care - Holiday pymts	VISION

Direction	Initiating Department	Type of Data	Source System / Area	Receiving System / Dept
Incoming	(DET) Labor	Diversion	DET	VISION
Incoming	(DET) Labor	Vouchers	(DET) Farbills	VISION
Incoming	(DET) Labor	Vouchers	(DET) Satellite	VISION
Incoming	(DET) Labor	Unemployment Comp	DET	VTHR (*current process w/i VISION)
Incoming	(DLC) Liquor	Vouchers	DLC	VISION
Incoming	(DMV) Motor Vehicles	Vouchers	(DMV) Refunds	VISION
Incoming	Education	Vouchers	Education	VISION
Incoming	Tax	Vouchers, Deposits, Journals	(Tax) VTAX system	VISION
Incoming	Tax	Diversion	Tax	VISION
Incoming	Treasurer	Voucher	(TRE) Abandoned Property	VISION
Incoming	Treasurer	Bank Reconciliation	Treasurer	VISION
Outgoing	Finance	Vendor	VISION	AHS, AOT, Dail, DET, DLC, DPS, Health, Path, SRS(DCF)
Outgoing	Finance	Warrant (Voucher / Payment)	VISION	AOT, DET, DLC, TAX
Outgoing	Finance	Chartfield	VISION	AHS
Outgoing	Finance	AHS Expense Data	VISION	AHS
Outgoing	Finance	Diversion	VISION	DET, Tax, Treasurer
Outgoing	Finance	Diversion (payments)	VISION	Tax
Outgoing	Finance	Monthly Transactions (Posted Journals)	VISION	AOT
Outgoing	Finance	Monthly Transactions (Posted Journals)	VISION	Health
Outgoing	Finance	AOT Pd. Expenses	VISION	AOT
Outgoing	Finance	Postive Pay / ACH	VISION	Treasurer
Outgoing	Finance	Vendor Payment	VISION	Treasurer (Portal)
Outgoing	Finance	Budget (charfield / amt)	VISION	Budget & Mgmt (Vantage)
Outgoing	Finance	Budget (dept / appropriation)	VISION	Budget & Mgmt (Vantage)

Appendix 1B – Data Migration

Vendor is expected to migrate data from V8.8 database to V9.2 using their Upgrade Lab Methodology described below.

Sierra-Cedar will perform a Remote Upgrade to PeopleSoft FSCM v9.2 for the State. With this approach, SCI will complete the tasks for the FSCM upgrade utilizing the State's technical infrastructure, and will perform the following upgrade moves for the project:

1. Initial Pass
2. Three (3) Test Move Upgrade Passes (aligned with test cycles)
3. One (1) Final Upgrade Pass / Cutover to Production

For the Remote Upgrade solution, all of the technical upgrade activities and test moves to production are performed on the State's technical infrastructure. The State would be responsible for the following items in support of the upgrade project:

- Sizing, procuring, and installing the necessary hardware and software for database, application, batch and web server components on a timely basis prior to the installation of the PeopleSoft application and configuration of upgrade required environments
- Providing VPN connectivity and Terminal Server access to the upgrade environments for remote resources to perform desired upgrade activities and customization reapplication tasks

Pricing for the Remote Upgrade performed by the Sierra-Cedar Upgrade team is based on the following assumptions about the upgrade scope:

- Upgrade from PeopleSoft FSCM from v8.8 to v9.2 and from PeopleTools v8.52 to v8.56 or the most stable version at the start of the upgrade project
- Upgrade assumes the State is upgrading one production system
- General Ledger, Commitment Control, Asset Management, Purchasing, Inventory, Accounts Payable, Travel and Expense, Accounts Receivable and Billing
- Current Database platform is Oracle Enterprise Linux x86-64 6.6
- Production Database size is 1.3 Terabytes.
- Functional client and/or onsite consulting responsibilities:
    - Identify customizations to be brought forward
    - Provide upgrade defaults, decisions and parameters defined in the PeopleSoft pre-upgrade and post-upgrade functional tasks per the Upgrade Guide
    - Resolve data issues resulting from functional data audits
    - All system testing and approvals
    - Manage the overall project activities and maintenance of the project plan
    - Responsible for all customization reapplication, unless the team is contracted to perform this work
    - The State will maintain Oracle/PeopleSoft support maintenance contract through the entire upgrade
- The State will provide the necessary PeopleSoft environments and DBA/infrastructure technical support to execute the upgrade and environment must be sufficient to meet the processing and performance needs of upgrade scripts. Confirm environment sizing with our team in advance of upgrade start.
- The State will provide VPN connectivity and Terminal Server access to the upgrade environments for the remote upgrade specialist to perform desired upgrade activities
- Troubleshooting problems with the database that are not the result of the upgrade process is the responsibility of State of VT. These might include invalid setup/server issues, data issues not resulting from failed data conversion, or other non-PeopleSoft upgrade related items.

In addition to the Data Migration, it is expected that **customized code** and **reports** will also be migrated into the new environment. The list below identifies that inventory of items:

- 693 Records
- 88 Indexes
- 326 Fields
- 152 Translates
- 333 Pages
- 18 Menus
- 90 Components
- 474 Rec PeopleCode
- 8 Tree Structures
- 207 Process Definitions
- 8 Component Interfaces
- 106 App Engine Programs
- 221 App Engine PeopleCode
- 731 Permission Lists
- 11 IB Queues
- 3 Message schemas

The Department of Finance and Management's website (http://finance.vermont.gov/training-and-support/vision-manuals/reporting-manual) lists reporting manuals by module. All reports/queries that start with "VT" are customized. Those are listed below:

Accounts Payable:

Reports:

- Voucher Status Extract & Report (VTAP003)

Billing:

Queries:

- VTBI003: Bills Not Invoiced
- VT_BILLING_SALES_ANALYSIS_RPT: Lists all invoices generated by a Billing business unit within a date range
  VT_BI_INV_DATE_CUST: Lists invoices for a billing business unit and customer id within a range of invoice dates
- VT_CUSTOMERS: Lists all information in the Customer record
- VT_CUSTOMER_NOTES: Lists customers that use a standard note for a specific Set ID (business unit)
- VT_BI_CHARGE_ID_LIST: Lists all charge codes along with descriptive information for a Set ID
  VT_BI_CHARGE_ID_LIST_DST: Lists all charge codes along with descriptive information including chartfields for a Set ID

Budget Ledger:

Queries:

- VT_APPROP_JRNLS: Lists all appropriation journals for a business unit and fiscal year
- VT_ORG_BUDGET_JRNLS: Lists all org budget journals for a business unit and fiscal year.
- VT_APPROP_DEPT ID_SUM: Lists appropriation ledger balances through a fiscal year and accounting period;
- VT_APPROP_DEPT ID_SUM_NW: Reports appropriation ledger balances through a fiscal year and accounting period at the appropriation-level dept ID and fund level;

- VT_APPROP_FUND_SUM: Lists appropriation ledger balances at the fund level through a fiscal year and accounting period
- VT_APPROP_FUND_SUM_NW: Lists appropriation ledger balances at the fund level through a fiscal year and accounting period.
- VT_ORG_BUDGET_SUM_CF_DESCR: Lists org ledger balances through a fiscal year and accounting period by appropriation-level dept ID, fund and program;
- VT_ORG_DEPT ID_SUM: Lists org ledger balances through a fiscal year and accounting period at the appropriation-level dept ID and fund;
- VT_ORG_DEPT ID_SUM_NW: Reports org ledger balances through a fiscal year and accounting period at the appropriation-level dept ID and fund level;
- VT_ORG_FUND_SUM: Lists org ledger balances at the fund level through a fiscal year and accounting period
- VT_ORG_FUND_SUM_NW: Lists org ledger balances at the fund level through a fiscal year and accounting period.
- VT_ORG_PROGRAM_SUM: Lists org ledger balances at the program level through a fiscal year and accounting period
- VT_ORG_PROGRAM_SUM_NW: Lists org ledger balances at the program level through a fiscal year and accounting period.
- VT_WHAT_LEDGER_ORG_DEPT ID: This query is used in preparation for entering org budget journals. It lists the ledger group to use when entering the org budget journal for a given Deptid.

Expenses:

Queries:

- VT_EX_ACCRUED_EXP: Expense items accrued
- VT_EX_ALTERNATE_APPROVER: List Users-Alt Appr from Date
- VT_EX_BU_APPRVR_EMPLS: BU Approvers for Employees EX
- VT_EX_BU_CASH_ADV_DATES: Cash Adv Paid Date Range
- VT_EX_BU_CASH_ADV_OPEN_BAL: BU Cash Advance with open bal
- VT_EX_BU_MILEAGE_RPT: BU Mileage Rpt for date range
- VT_EX_EE_CF_APPRVRS: EE-EX status-CF-Approver
- VT_EX_EXP_RPT_BUD_ERR: Expense Rpt in Bud Check Error
- VT_EX_EXP_RPT_DTL: Expense Report Details
- VT_EX_EXP_RPT_DTL_CMNTS: Exp Report Details w Comments
- VT_EX_EXP_RPT_NO_BUDCK: Expense Rpt not Budget Checked
- VT_EX_EXPENSE_SHEET_DELEGATE: Exp Rpt entered by Delegate
- VT_EX_OVER_SIXTY_DAYS: Lists expense reports with expenses submitted over 60 days from transaction date
- VT_EX_PAID_EXP: Paid expenses
- VT_EX_PD_RPTS_LIAB_NOT_POSTED: Expense Sheet Paid Unposted
- VT_EX_POSTED_GL: Expenses posted to GL
- VT_EX_PROMPT_RPT_ID: One Exp Rpt Detail w Comments
- VT_EX_RPT_APPROVER_COMMENTS: Exp Rpt Apprver Ids & Comments
- VT_EX_SHEETS_NOT_APPROVED
- VT_EX_SHEETS_NOT_PAID: Lists expense reports that have not been paid
- VT_EX_SUBMIT_NOT_EE: submit not employee
- VT_EX_SUBMIT_STATUS: Exp Rpts Submit not Approved
- VT_EX_SUPERV_APPROVED_STATUS: Exp Rpts Status SuprvApproved
- VT_EX_LOCATIONS: List of Expense Locations
- VT_EX_TYPES_LIST– Valid Expense Types

- VT_YYYY_PY_EXP_RPT_DTL– PY Expense Report Details
- VT_EX_TA_DELEGATE_ENTRY: Travel Auth not entered by Emp
- VT_EX_TA_STATUS_APPROVED: TA with Approved status
- VT_EX_TRAVEL_AUTH_DETAIL: TA Detail for date range
- VT_EX_TRVL_AUTH_BUD_ERR: Travel Auth in Bud Check Error
- VT_TRVL_AUTH_NO_BUDCK: Travel Auth not Budget Chk

General Ledger:

<u>Reports:</u>

- Cash Account Summary (VTGLS001)

<u>Queries:</u>

- VT_ACCOUNT_EXP_ALLFIELDS_DTL: Accrued Expenses-All Fields Detail
- VT_ACCOUNT_EXP_ALLFIELDS_SUM: Accrued Expenses-All Fields Summary
- VT_ACCOUNT_EXP_ALLFIELDS_DTL that does not include journal, voucher, or
- VT_ACCOUNT_EXP_DEPT ID_SUM: Accrued Expenses-Dept ID Summary
- VT_ACCOUNT_EXP_FUND_SUM: Accrued Expenses-Fund Summary
- VT_ACCOUNT_EXP_PROGRAM_SUM: Accrued Expenses-Program Summary
- VT_ACCOUNT_EXP_PROJGRANT_SUM: Accrued Expenses-Project/Grant Summary
- VTAEADC: Returns the output of the VT_ACCOUNT_EXP_ALLFIELDS_DTL_C general ledger
- report.
- VT_ACCOUNT_EXP_ALLFIELDS_DTL_C: Cash Expenses-All Fields Detail
- VT_ACCOUNT_EXP_ALLFIELDS_SUM_C: Cash Expenses-All Fields Summary
- VT_ACCOUNT_EXP_ALLFIELDS_DTL_C that does not include journal, voucher, or
- VT_ACCOUNT_EXP_DEPT ID_SUM_C: Cash Expenses-Dept ID Summary
- VT_ACCOUNT_EXP_FUND_SUM_C: Cash Expenses-Fund Summary
- VT_ACCOUNT_EXP_PROGRAM_SUM_C: Cash Expenses-Program Summary
- VT_ACCOUNT_EXP_PROJGRANT_SUM_C: Cash Expenses-Project/Grant Summary
- VT_ACCOUNT_REV_SRC_DETAIL: Revenues-Journal Source Detail
- VT_AP_ACCR_REVENUE_DST: Accrual AP Revenues by BU
- VT_ACCOUNT_REV_ALLFIELDS_DTL_C: Cash Basis Revenue detail
- VT_ACCOUNT_REV_ALLFIELDS_DTL_C: Cash Basis Revenue detail
- VT_ACCOUNT_REV_EXP_SRC_DETAIL: Revenues and Accrued Expenses-Journal Source
- VT_CASH_ACCOUNT_SRC_DETAIL: Cash Source Detail
- VT_ACCOUNT_REV_EXP_SRC_DETAIL query with the addition of the cash and
- VT_ACCOUNT_REV_EXP_SRC_GL_JRNL: Revenues and Accrued Expenses-Journal Source
- VT_ACCT_REVEXP_DTL_PAY_DESCR: Revenue & Expense Account Detail w/ Payment Descr
- VT_ACCT_REV_EXP_SRC_DTL_DESCR: Rev-Exp Acct Source Descr Dtl
- VT_ACCOUNT_TYPE_SRC_DETAIL: Account Type Source Detail Query
- VT_ACCOUNT_TYPE_SRC_GL_JRNL: Account Type GL Jrnls: By Source
- VT_ACCOUNT_ALLFIELDS_DTL: Accr Activity All Field Dtl
- VT_BU_FD_CASH_BAL: ACTUALS ledger BU Fund Cash Balances
- VT_FDS_BU_CASH_BAL: Cash Balances for a BU
- VT_BU_TRANSFER: Interunit Transfer Query
- VT_FUNDING_SOURCE_PROJECT: Fund Source Applied to Projects
- VT_CASH_ACCOUNT_SRC_GL_JRNL: Cash Source GL Journals
- VT_CASH_ACCOUNT_SUMMARY: Cash Account Summary by Source
- VT_CASH_ACCOUNT_SUMMARY2: Cash Account Summary by Source 2
- VT_JOURNAL_DETAIL_ALL: GL Journal Detail

- VT_JOURNAL_DETAIL_NO_ENC: GL Journal Detail No Encumbrances
- VT_JOURNAL_DETAIL_NO_ENC_DESC: Jrnl Dtl-no encumb w/ descrip
- VT_JOURNAL_ID_DATE: Journal ID prompted
- VT_LEDGER_ACTUALS_BU_BAL: ACTUALS LEDGER BAL FOR A GL BU
- VT_SP_FUND_CURRENT_YR_CASH_BAL: SF Cash
- VT_SPECIAL_FDS_BU_CASH_BAL: SF Cash Balances for a BU
- VT_SPECIAL_FUNDS_EOY_BAL: End of FY SF Cash Balances

Inventory:

- None

Purchasing:

Reports:

- Item Categories by Buyer (VTPO017)
- VT PO Activity Report (VTPO8001)
- VT Req Activity Report (VTPO8002)

Queries:

- VTPO017: Item Categories by Buyer
- VTPOINFO: VT Cust Report of PO Spending
- VTPOR003: Recycled Items Purchased
- VT_CONTRACT_USAGE_REPORT: Lists PO information for a contract used by a specified department during a specified time range
- VT_ENC_PO: Encumbrance to be Liquidated
- VT_MASTER_CONTRACT_VCHR_PO: Contract Activity by Vendor
- VT_PO_ACCOUNT_TYPE_NOT_E: PO's Without Expense Account
- VT_PO_BUYER_ACTIVITY: Count & Amt Distrib Line
- VT_PO_DETAIL_BY_VENDOR: PO Detail by Vendor
- VT_PO_ITEM_ID_USAGE_REPORT: Lists valid (not cancelled) PO, business unit and associated contract ID for a given inventory item ID and PO date range.
- VT_PO_MATCH_REQUIRED: PO Match Required Status T
- VT_PO_RECV_REQUIRED: PO Receiving Required but Receipt Status is No
- VT_PO_STATUS_REPORT: Prompts for BU and range of dates
- VT_VENDOR_PO_XREF: PO's for a Vendor
- VT_RFQ_RESPONSE: Ranking RFQ Responses
- VT_PO8001– VT PO Budgetary Activity
- VT_REQ_ACCOUNT_TYPE_NOT_E: Req's Without Expense Account
- VT_REQ_STATUS_REPORT: Lists all requisitions for a PO business unit within a stated date range and their current statuses
- VTPO006: Quote Groups for a vendor
- VTPO006B: Quote groups listed by vendor
- VT_PO_CP1_REQ_APPROVED: BU Created Requisition with Central Purchasing Origin
- VT_PO_CP_REQ_APPROVED - Central Purchasing Approved Requisitions
- VT_VENDOR_RFQ: Vendor RFQ Report
- VT_PO8002– VT Req Budgetary Activity

Contracts:

Reports:

- Contracts Due to Expire (VTPO004B)

- Quote Groups by Vendor Report (VTPO006)
- Unapproved Contract Beyond Start Date (VTPO004A)
- Vendor Bid Return Labels (VTPO003A)
- Vendor Mail Labels (VTPO003)

Queries:

- VT_ORIGN_CNTRCT_LN_BAL_ADDRESS: ORIGN Cntrct LineBal Vndr Add
- VT_ORIGN_CONTRACT_BALANCE: ORIGN Contract Remain Bal
- VT_ORIGN_CONTRACT_LN_DESCR_BAL– ORIGN Contract LineDescr & Bal
- VT_ORIGN_MSTR_CNTRCT_INFO: MSTR CNTRCT INFO BEGIN DT FROM
- VT_ORIGN_MSTR_CNTRCT_PO_DTL: Master Contracts with PO DTL
- VT_ORIGN_MSTR_CNTRCT_POACCDATE: Mstr Cntrct PO Dtl Acctg Dates
- VT_PERF_CONTRACTS: Perf Cntrcts by Origin & Date
- VT_PERF_CONTRACTS_EXCL_GRNTS: Perf Contracts List w/o Grants
- VTPO004A: Expired Contracts
- VTPO004B: Expired Contracts Before Prompt Date
- VT_CONTRACT_VCHR_DETAILS: Review Vouchers for a Contract

Grant Tracking:

Queries:

- VT_ALL_GRANTS_BY_BU: All Grants-Prompt BU
- VT_ALL_GRANTS_BY_VNDR: All Grants-Prompt Vndr#
- VT_PERF_GRANTS: Performance Grants Rpt
- VT_BULLETIN5_ELIGIBILITY– Pre Award Eligibility Query
- VT_FED_GRANT_AWARD_VENDOR: Subrecipient Grant Awards
- VT_FED_GRANTS_FOR_BU: Subrecipient Grants Awarded by BU
- VT_FED_GRANTS_FOR_BU_ENTERED_DT: Fed Grants Entered in Dt Range
- VT_FED_PROCURE_GRANTS_FOR_BU: Procurement grants for a GL BU
- VT_FFATA_GRANTS - Grants for GL BU
- VT_CURRENT_FED_AWRD: Federal grants for a vendor #
- VT_AUDIT_REVIEW_NOT_FINISHED: Single Aud Review Not Complete
- VT_AUDITS_NOT_RECEIVED: Single Audit Reports Not Rec'd
- VT_DELINQUENT_SUBRECIPIENTS: Delinquent Subr Ann'l Reports
- VT_FED_GRANTEE_EXP: Subrecip Exp Reported to F&M
- VT_FED_GRANTEE_SUM– Fed Grantee Summary-Vendor#
- VT_FED_GRANTEE_SUM_BU: Fed Grantee Summary Report for BU
- VT_FED_GRANTEE_SUM_CFDA: Fed Grantee Sum Rpt–BU & CFDA
- VT_FED_GRNT_AWRD_VND_BU– Fed grants for a vendor & BU
- VT_PRIMARY_PASSTHRU: Primary Pass-Thru Rpt for BU
- VT_PRIMARY_SINGLE_AUD_REQD: Primary w/ Single Audit
- VT_SINGLE_AUDIT_REQD_BU: Grantees w/ Single Audit Req'd
- VT_SINGLE_AUDIT_REVIEW_STATUS: Single Audit Rev Status-Vendor

Appendix 2 - Risk Register

See attached document: FINAL-REVIEW-SOV-FINANCE-MANAGEMENT-ERP-Oracle-Expansion-STS_Risk_Register_FINAL.pdf

Appendix 3 – Lifecycle Costs and Change in Operating Costs

See attached document: FINAL-REVIEW-SOV-FINANCE-MANAGEMENT-ERP-Oracle-Expansion-STS_Cost_Detail_FINAL.xlsx

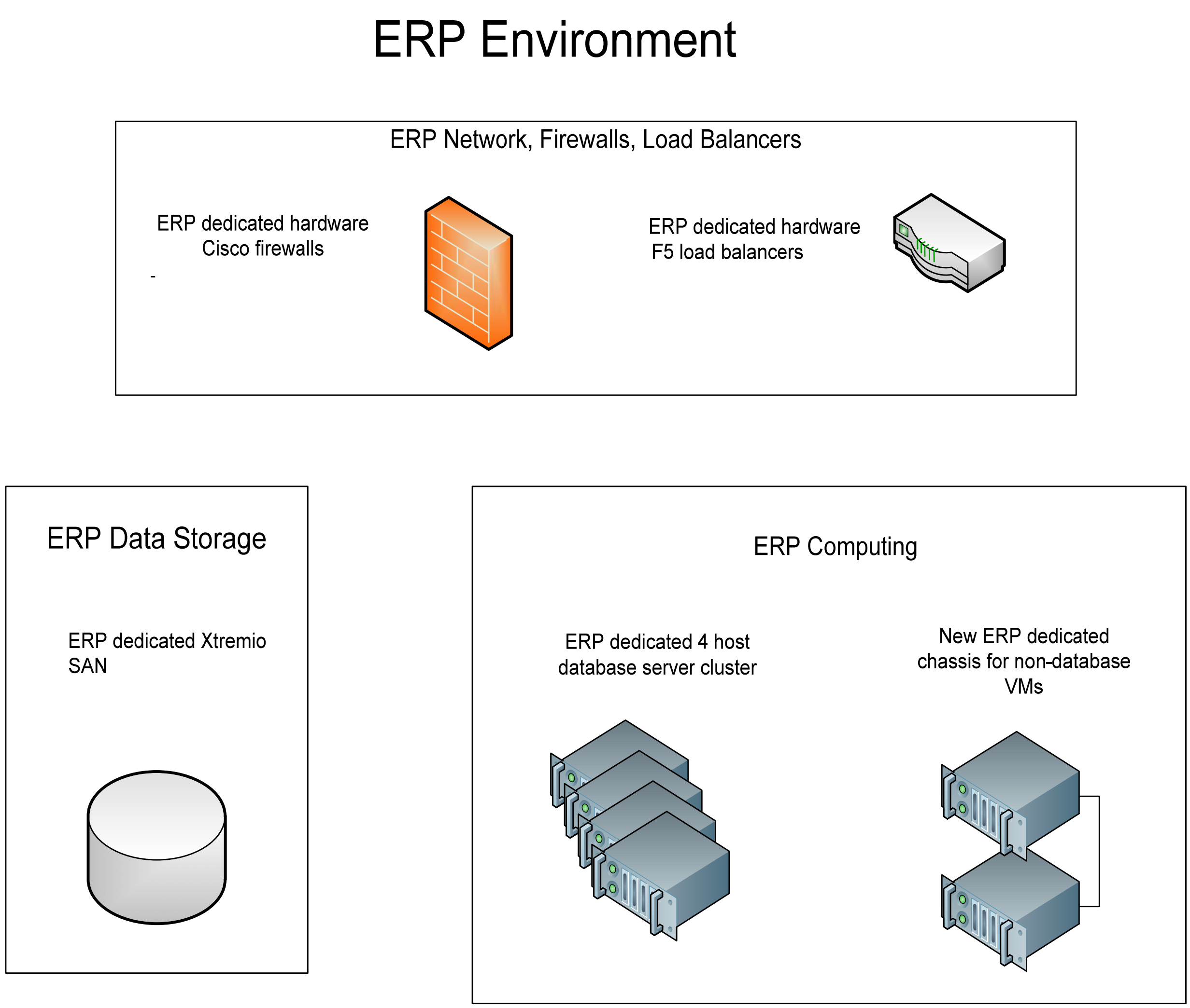
Appendix 4 – Technology Infrastructure

As Sierra-Cedar is not providing the infrastructure services for this project, responses provided for this section do not apply to Sierra-Cedar, unless otherwise noted. Information provided in this section is primarily related to DII EA Support, DII ERP Development, or FM Service Desk.

CURRENT APPLICATION ENVIRONMENT TO BE UPGRADED:

1. PeopleSoft Version currently at 8.80 SP1 Bundle #36 upgrading to V9.2
2. Associated PeopleTools Version currently at 8.52.24 upgrading as needed to support V9.2
3. Modules to be upgraded under V9.2:
    a. General Ledger (incl. Commitment Control)
    b. Accounts Payable
    c. Accounts Receivable
    d. Travel and Expense (no bundles applied)
    e. Purchasing
    f. Asset Management
    g. Billing
    h. Inventory
    i. VT Grant Tracking (custom)

GRAPHIC OF CURRENT INFRASTRUCTURE ENVIRONMENT:



SERVER ARCHITECTURE

Summary:

- VMWare Version 5.5.0
- Mix of Oracle Linux and Windows Servers
- 55 virtual servers allocated to Finance
- 33 virtual servers allocated to Finance and HR
- All Environments: ~10 Terabytes
- Production Database: 1.3 Terabytes

Database Server Standard Configuration:

- Database Version: Oracle Database – Enterprise Edition – 11.2.0.4.0
- Database Platform Version (OS): Oracle Enterprise Linux x86-64 6.6

PRODUCTION ENVIRONMENT

- 2 database server virtual machines
- 2 application server virtual machines
- 1 Crystal report virtual machine
- 1 reporting virtual machine
- 3 web server virtual machines

Server ID	Purpose
ERP-dbfmprdrac01	Database
ERP-dbfmprdrac02	Database
FMPRDAPP01	Application
FMPRDAPP02	Application
FMPRDCRY01	Crystal Reports
FMPRDREP01	Reporting/Query
FMPRDWEB01	Web
FMPRDWEB02	Web
FMPRDWEB03	Web

NON-PRODUCTION ENVIRONMENTS

- User Acceptance Testing (UAT)
- Sandboxes 1, 2, 3 (Training), 4
- Disaster Recovery (alternative data center)
- Development and Test
- Demo

CLIENT

- Client workstation running any of the following browsers:
  - Internet Explorer, 11.0 and above
  - Firefox, current production release
  - Safari, current production release
  - Google Chrome, current production release

SOFTWARE DEVELOPMENT

- The current development environment/toolset is as follows:
  - Development Framework: PeopleTools Development Environment
  - Core languages / development tools for PeopleSoft include items such as:
    - SQL, SQR, Crystal (current), XML / HTML, PeopleCode, Application Engine, Component Interface, overall PeopleSoft Development/ Tools.

- Software development methodology:
  - SDLC: System Development Life Cycle (Plan, Analyze, Design, Develop, Test, Implement, Maintain)
  - Promotion to Production: Development → Test → User Acceptance Testing (UAT) → Production → Sandboxes
    - Development and Test are only accessible to the technical staff.
    - Initial development and unit testing are conducted in these areas.
    - Items passing initial review and testing are moved into UAT for user testing, review and approval. (Tech staff do not have access to code in UAT)
    - Final migration is to Production as well as the sandboxes (to keep sandbox areas up to date)
    - *** On occasion a sandbox may be used prior to Production, generally for data refresh purposes.

CHANGE MANAGEMENT

Specific to the implementation, the FM implementation team has a Change Management leader role, responsible for business process change, improvement, and training.

DII ERP Team follows these Change Management practices and procedures:

There are multiple aspects and objectives to our Change Management activities.

From a customer support perspective, we are interested in a process that ensures clarity of understanding the request, needs and objectives; as well as understanding priority and timing requirements; and offering effective communications thru the process.

In addition, from a technical perspective, we work to ensure adequate and effective resourcing of tasks, scheduling, system integrity, maintainability and auditability. Or process, in conjunction with the Finance staff, builds off a premise of adequate separation of duties to ensure we are safeguarding the State as well as the staff involved.

Documentation, tracking and routing / approval processes are supported via use of the Footprints ticketing system. Note – The Finance dept., as well, has a VISION Service Request process that is key to ensuring the right work is being requested from a functional perspective.

Footprints provides an automated link to email that provides messages based on submission and updates to a ticket.
Example flow of a request to the technical team, thru implementation: (High-level)

- Footprints ticket is entered by applicable Finance Department member
- Technical staff assignment
- Ticket is worked (communications / activities to discuss request, determine solution, build solution, test (technical staff as well as functional))
- Upon successful completion of development and test, functional director approval is required within the ticket as well as technical approval (director or staff other than initial developer)

- Any migration requests for changes to go to production are submitted to technical administrative staff. (Developers do no migrate changes into production)
- The original requester closes the ticket once a full successful completion is in place.

** Staffing inclusion and Approvals expand if there are other system integrations impacted by the request. Though open communications occur throughout individual requests, group meetings are also scheduled every other week with Finance functional representatives as well as technical staff. The meetings can include discussion of individual tickets as well as upcoming initiatives, challenges and improvement areas. Overall ERP (Budget, DHR, Finance and DII) representative meetings are also scheduled on a monthly basis. During active project or other critical timings, ERP and Agency of Administration leadership meetings are also held.

Vendor utilizes the following approach to business process change, improvement, and training:
The Sierra-Cedar Organizational Readiness methodology verifies that all aspects of the "human element" are incorporated into the project lifecycle. Although the following sections will comprehensively explain each discipline, a brief contextual overview is as follows:

- The Cultural Change Management approach identifies both the future state process changes and the cultural response to these changes. Sierra-Cedar OR Consultants take a deep dive into understanding how both past and present experiences may create resistance to change and utilize tools specifically developed for the unique challenges State resources may face.
- The Communication methodology is focused on identifying all groups impacted by the project, assessing the most effective way of communicating with them and verifying that both internal and external stakeholders are receiving the appropriate level of messaging throughout the project lifecycle.
- The End User Training approach systematically verifies that all State resources have been provided with the skill development instruction needed to be highly effective in the new application. In accordance with Adult Learning Theory's leading practices, training is delivered in a variety of ways including instructor-led classes, online simulators, and document-based courses intended to meet the needs of all different learning styles.
- The Knowledge Transfer methodology is a role-based, coaching platform intended for project team members that will serve as SMEs and support the application post go-live. Instructional guidance will target the specific support tasks of each participant and metric-driven assessments are used to verify the State resource is absorbing the new information effectively.

Additionally, Vendor utilizes the following Change Management methodology to manage changes in project scope. This Change Management process is designed to:

- Provide a mechanism for accepting changes that improve the project while rejecting those that degrade it
- Facilitate changes to scope, resources, schedule, or software during initial development while avoiding unnecessary overhead or formality
- Provide revision control and backup safety for the software during development
- Allow for formal acceptance (approval) of changes after development has been completed
- Allow all parties materially affected by proposed changes to accept the change request and assess the resource, schedule, and/or product impact of the change request
- Allow changes to the project to be proposed and evaluated, scheduled and quality impact assessed, and approved or rejected as change orders in a controlled manner
- Notify interested parties on the periphery of development regarding change requests, their assessed impact, and whether the changes are approved or rejected
- Provide a history of all proposed changes

HOSTING

The application is expected to be hosted at the DII data center located in the National Life building with DR/BC site at TechVault in South Burlington, VT.

SYSTEM MONITORING

All systems are monitored on a 24/7/365 basis. There is no expectation that a monitoring finding will result in an action outside of the SLA hours described above.

DISASTER RECOVERY/BUSINESS CONTINUITY

1. Primary data center is located at National Life and secondary at TechVault.
2. There is a 60 minute RPO (recovery point objective) for ERP production environment.
3. There is a 2 hour RTO (recovery time objective) for ERP production environment.
4. While using the DR environment as the ERP Production systems, there will not be an alternative site for the syncing of production data; nor for backups.
5. Once the DR environment is used as ERP Production, migration back to a new or repaired Production environment will need to include a 24hour outage for all ERP systems to allow for the repopulation of the Production databases from the DR Production data.

DATA BACKUP/RESTORE

Backup Plan:

1. Backups:
    a. **System Backups:** Nightly “VM Snapshots” are taken of every non-database ERP server. The ERP system is entirely virtualized, which means that every system is contained in a series of files residing in shared storage running within a “hypervisor”. This allows system backups to be made very efficiently by taking a “snapshot” or copy of the entire system and saving these copies to a disk based backup location or to the cloud.
    b. **Database Backups:** Nightly encrypted database backups are stored on local mount points named for each environment using Oracle’s Recovery Manager (RMAN) (Recovery Manager resides on a standalone system with access to each ERP environment). The production database backups are copied to an offsite DR location on a daily basis.
2. Retention:
    a. **System Backups:** The standard retention policy for ERP as well as all other State of Vermont computer backups is **2 weeks**. Any longer term storage of backup data is classified as Archived data and handled on a case by case basis according to business need. System Backups older than two weeks are purged and overwritten.
    b. **Database Backups:** Database Backups for Finance Production are kept for **2 weeks**. Database Backups for other environments such as UAT, DEV, TST and Sandboxes vary from 1-2 weeks or are not kept at all depending on the business needs of the specific environment. Database backups older than 2 weeks are purged from the system.
3. Database Backups are maintained for 14 days – for quick restoration needs, not to meet any data retention requirement. All Production database data is maintained at the Disaster Recovery site via Oracle Dataguard sync. Since all production records are never archived or purged from the VISION system, all VISION record history is maintained indefinitely, as described in Appendix 4.
4. Recovery Point Objective (RPO): There is a 60 minute RPO (recovery point objective) for ERP production environment.
5. Recovery Time Objective (RTO): There is a 2 hour RTO (recovery time objective) for ERP production environment.

Restore Plan:

1. Depends on what needs to be restored. The backup plan supports both:
    a. The ability to be able to restore any individual file(s) or folder(s) within any system to a previous state within the retention period in the event of accidental or intentional change, deletion or corruption, or for comparison purposes.
    b. To be able to restore any entire system(s) to a previous state in the event of the loss or corruption of the whole operating system.

FINANCE and MANAGEMENT: Oracle PeopleSoft Financials V8.8 to V9.2 Upgrade Project

RISK REGISTER DESCRIPTION:

1. Risk Description: Provide a description of what the risk entails
2. Source of Risk: Project, Proposed Solution, Vendor or Other
3. Risk Rating: Risk ratings to indicate: Likelihood and probability of risk occurrence; Impact should risk occur; and Overall risk rating (high, medium or low priority)
4. Risk Strategy: State's Planned Risk Strategy: **Avoid, Mitigate, Transfer or Accept**
    a. Avoid: Avoid the activity; activities with a high likelihood of loss and large impact.
    b. Mitigate: Develop a plan to reduce risk to reduce the risk of potential loss; activities with a high likelihood of occurring, but impact is small.
    c. Transfer: Outsource risk (or a portion of the risk - Share risk) to third party or parties that can manage the outcome; activities with low probability of occurring, but with a large impact. Often times this is transferred back to vendor.
    d. Accept: Take the chance of negative impact, eventually budget the cost (i.e. a contingency budget line); activities where cost-benefit analysis determines the cost to mitigate risk is higher than cost to bear the risk, then the best response is to accept and continually monitor the risk.
5. Timing of Risk Response: Describes the suggested timing for carrying out the risk response (e.g. prior to the start of the project, during the Planning Phase, prior to implementation, etc.)
6. State's Planned Risk Response: Describe what the State plans to do (if anything) to address the risk (See Risk Response table)
7. Reviewer's Assessment of State's Planned Response: Indicate if the planned response is adequate/appropriate in your judgment and if not what would you recommend.

Department Action Step: Respond to the sections highlighted in yellow (Risk Strategy, State's Planned Risk Response) and send copy back to David Gadway for review

NOTE: Hyperlinks are used on the Risk ID. From the Risk Register, CTL-CLICK on a link to see the Risk Response, or from the Risk Response, CTL-CLICK on a link to go back to the Risk Register.

RISK REGISTER:

Risk #:	Risk Description	Source of Risk	Risk Rating: Impact	Risk Rating: Probability	Risk Rating: Overall Risk	**State Risk Strategy Summary** (Avoid, Mitigate, Transfer, Accept)	Timing of Response	Reviewer Assessment of Response
1a	Budget/Funding: Vendor proposed services (scope) and cost (budget) based on a Functional Requirements RTM spreadsheet submitted with RFP. Those requirements also had a Fit/Gap designation included, which Vendor based their proposed scope/budget on. However, Phase I of project is to conduct Fit/Gap analysis, which could expand budget of project if results of that Phase I expand scope. Further, the summary of Fit vs. Gap is: 142 said by SOV to be Fit, but which SCI indicates are Gap, shows the following breakout by priority: 5 critical, 7 high, 126 medium, 3 low, 1 without a priority assigned. Conversely, there are 140 Gaps indicated by SOV, where SCI indicated a Fit, with the following breakout by priority: 6 critical, 3 high, 118 medium, 13 low. This impacts project budget. **Also see related Risk #8a below.**	Project	Medium	Medium	Medium	Mitigate	Prior to contract execution and during Phase 1	Risk adequately addressed so long as a Phase Gate decision point occurs at the conclusion of the Fit/Gap analysis to ensure this Risk is mitigated as described in the Risk Response.
1b	Budget/Funding: Vendor stated the following in their proposal which indicates that a lapse in schedule could impact budget: "*Fixed Price Project fees are based on a contiguous uninterrupted project timeline of Fixed Duration. Work performed beyond the original duration will be invoiced separately.*" This impacts project budget.	Project	Medium	Medium	Medium	Mitigate	Prior to contract execution	So long as the contract language and the steps described in the risk response is practiced, this risk is mitigated.

1c	Budget/Funding: Vendor proposed that their testing services meet the timelines described below, but FM is not able to control the quality of items delivered, should those items need many iterations of testing/redevelopment to be addressed, and therefore may not fall within the stated timelines. As such, the extra time that may be needed for testing could impact budget: "*Any delays in the testing timeline will impact the project schedule and will need to be addressed through the Change Order process.*" 1. System/Integration Testing – 25 days (5 weeks) 2. User Acceptance Testing – 25 days (5 weeks) 3. Performance Testing – 15 days (3 weeks) This impacts project budget.	Project	Medium	Medium	Medium	Mitigate	Prior to contract execution	So long as the contract language and the steps described in the risk response is practiced, this risk is mitigated.
2a	Contract Item: There are a few contract-related items that warrant noting. 1. Define Deliverables Acceptance criteria and tie payments to those deliverables. 2. Ensure testing requirements stated in RFP are met by Vendor. 3. Vendor indicates the following in their upgrade conversion process, which exposes FM: "*Troubleshooting problems with the database that are not the result of the upgrade process is the responsibility of State of VT. These might include invalid setup/server issues, data issues not resulting from failed data conversion, or other non-PeopleSoft upgrade related items.*"	Project	Medium	Medium	Medium	1. Mitigate 2. Mitigate 3. Accept	Prior to contract execution	Risk is mitigated if FinMgt can define contract language tying payments to deliverables, and get Sierra-Cedar to agree in the contract that the deliverables acceptance criteria will not be defined until the conclusion of Phase I, that is the best possible outcome for protecting FinMgt. Recommend a Phase Gate decision point at the conclusion of the Fit/Gap analysis to ensure this Risk is mitigated as described in the Risk Response.

3a	Vendor Risk: Vendor does not follow PMI Project Management methodology, instead, using their own PM Methodology called Propel. Is this acceptable to FM? This risk impacts State of VT standards.	Project	Medium	Medium	Medium	Mitigate	Prior to contract execution	Risk strategy is accepted.
4a	SOV Service Level/Staffing: Vendor suggests the following related to development work. Is State confident they can meet this level of commitment? "Sierra-Cedar will conduct 60% of the customization retrofit effort. The State will conduct 40% of the customization retrofit effort." "Sierra-Cedar will conduct up to 2,000 hours of customization development effort for new customizations for the outlined gaps. The State will handle any customizations that are required beyond this development effort." This impacts scope.	Project	Medium	Medium	Medium	Accept	Prior to contract execution	Risk strategy is accepted.
5a	Project Management Staffing: No risk noted. Adequate Project Management staffing identified for project from both FM and SCI.							
5b	Project Sponsorship Staffing: Brad Ferland, Project Sponsor and Subject Matter Expert, a long time FM employee and most recently Deputy Commissioner of FM, has recently taken a job in the Agency of Administration, creating a gap in project leadership and subject matter expertise. Even with the planned hire of an FM Deputy Commissioner who will also play the role of Project Sponsor, it is not expected that that person will have the subject matter expertise or experience with VISION that Mr. Ferland has. This could impact project scope, cost, and budget.	Project	Medium	Medium	Medium	Accept	Prior to contract execution	Risk strategy is accepted.

6a	Project Schedule: No risk noted. Adequate time and resource to complete project.							
7a	Infrastructure: Backup/Restore Platform: FM needs to indicate whether backup/restore infrastructure adequately supports their needs: 1. 14 days of data retention: *State of VT requires 3 year minimum, per "Attachment C, 13. Records Available for Audit", unless case can be made by FM to the contrary.* This risk impacts service delivery.	Project	Medium	Medium	Medium	Mitigate	Prior to Go Live.	Risk strategy is accepted.
7b	Infrastructure: Hardware Platform: No risk noted.							
7c	Infrastructure: Business Continuity/Disaster Recovery: No risk noted.							
8a	Scope/Functional Requirements: Vendor proposed services (scope) and cost (budget) based on a Functional Requirements RTM spreadsheet submitted with RFP. Those requirements also had a Fit/Gap designation included, which Vendor based their proposed scope/budget on. However, Phase I of project is to conduct Fit/Gap analysis, which could expand scope. **Related to Risk #1a above.**	Project	Medium	Medium	Medium	Mitigate	Prior to contract execution and during Phase 1	Risk adequately addressed so long as a Phase Gate decision point occurs at the conclusion of the Fit/Gap analysis to ensure this Risk is mitigated as described in the Risk Response.
8b	Scope/Non-Functional Requirements: There is an expected change in reporting/query tools used, as defined in the RFP ("*The Contractor, with State staff, will determine a strategy and process to complete the upgrade/conversion of all reports (SQR, Crystal, Query, and nVision), and include recommendations on using other available PeopleTools reporting and analysis functionality*"). In order to internally maintain and support custom reports and queries, staff will need to acquire new skills. This risk impacts service delivery.	Project	Medium	Medium	Medium	Accept	Prior to Go Live.	Risk strategy is accepted.

9a	Interoperability: No risk noted.							
10a	Compliance/Regulatory: No risk noted.							
11a	Security: Data in transit within State of VT network is not encrypted in the following scenarios. 1. Data transferred to users via query/reports are not encrypted. 2. Data transferred within the State network is sent with standard FTP. Is this acceptable to FM and DII CSO? This risk impacts service delivery.	Project	Medium	Medium	Medium	Mitigate	As soon as possible	Risk strategy is accepted.
12a	Other: No Risk Noted.							

RISK RESPONSE:

Risk #:	State's Planned Risk Response and Reviewer's Assessment of State's Risk Response
1a	**STATE'S RISK RESPONSE:** Mitigate - During the fit/gap sessions in Phase I, Sierra-Cedar will gain a better understanding of what each requirement means and we feel that at the end of these sessions, the fit/gaps that they assign will be more in line with the fit/gaps included in the RFP which were assigned by our consultant who performed the requirements gathering in 2015. During the fit/gap sessions, we also plan to reassess the priorities assigned to each requirement and expect that most if not all of the low/gaps will drop off. Sierra-Cedar indicated multiple times in the in-person presentation that there was an opportunity for us to lower the cost of the contract if we did drop any requirements during that Phase. We plan on addressing this option in the contract. **REVIEWER'S ASSESSMENT:** So long as the initial Fit/Gap activity results in the same or lower cost, with at least the same level of functionality delivered as requested in the RFP and as proposed by the vendor, this risk is considered mitigated. Recommend a Phase Gate decision point at the conclusion of the Fit/Gap analysis to ensure this Risk is mitigated as described in the Risk Response.
1b	**STATE'S RISK RESPONSE:** Mitigate – While the State acknowledges that there is always a risk to the triple constraint (scope, schedule, and cost) when working with a large-scale implementation vendor, the State plans on mitigating this risk through contract negotiations and defining what would constitute a change order due to scope, schedule or cost changes. The full change order process will be outlined, in detail, in the contract to include the approval process. **REVIEWER'S ASSESSMENT:** So long as the contract language and the steps described in the risk response is practiced, this risk is mitigated.
1c	**STATE'S RISK RESPONSE:** Mitigate – The State plans to propose during contract negotiations that testing durations be extended if necessary. In addition, the State will not be penalized for delays or errors incurred by the selected vendor. **REVIEWER'S ASSESSMENT:** So long as the contract language and the steps described in the risk response is practiced, this risk is mitigated.
2a	**STATE'S RISK RESPONSE:** 1. Mitigate - We will define deliverables and a payment schedule based on those deliverables in the Contract. The State will define the Acceptance criteria of each deliverable in Phase I. 2. Mitigate - Testing requirements will be addressed in the Contract. A testing plan with schedule and responsibilities will be developed and agreed upon by both the State and Sierra-Cedar during Phase I. 3. Accept - DII staff fully expects to cover all non-upgrade related issues as outlined in the SLA between DII and Finance. **REVIEWER'S ASSESSMENT:** Risk is mitigated if FinMgt can define contract language tying payments to deliverables, and get Sierra-Cedar to agree in the contract that the deliverables acceptance criteria will not be defined until the conclusion of Phase I, that is the best possible outcome for protecting FinMgt. Recommend a Phase Gate decision point at the conclusion of the Fit/Gap analysis to ensure this Risk is mitigated as described in the Risk Response.
3a	**STATE'S RISK RESPONSE:** Mitigate – State of VT standards will not be impacted by the vendor's use of their Propel methodology. The vendor has provided us with a diagram that shows how Propel and PMI's PM methodology are completely aligned. In addition, the RFP distinctly requires the vendor to use our templates which are based upon the PMBOK. During the vendor's presentation, they confirmed that using our templates would not be an issue. It should also be noted that their project manager, delivery director and director of organizational readiness all possess their PMP.

	REVIEWER'S ASSESSMENT: Risk strategy is accepted.
4a	**STATE'S RISK RESPONSE:** Accept - Sierra Cedar was able to clarify their proposed level of development resources, their expectation of a 60/40 split of development effort with the State's resources and their stated 2000-hour cap on developer resources for customizations. Their development resource estimates are based on retrofitting existing customizations as well as allowing for developer resources required for new customizations. The retrofit estimate is based on an assumed reduction in existing customizations similar to what they have seen with other 9.2 upgrades. They do intend to work with us to resource bringing all required customizations forward. Their developer estimate allows for up to 2000 hours of effort for new customizations. Sierra Cedar also indicated that they can be flexible in working with us according to the volume of new versus existing work that is identified via the fit gap process. They will have a tech lead as well as up to 6 development resources involved as necessary to meet the demand. As done at the initial demo, we reiterated that our anticipated development staffing is up to 3 staff. We also have access to additional SOV ERP Developers, though who normally focus on PeopleSoft for VTHR, are capable staff to assist in development. We feel that this developer resource pool will be sufficient to meet the expected demand. **REVIEWER'S ASSESSMENT:** Risk strategy is accepted.
5a	**STATE'S RISK RESPONSE:** N/A. No risk noted.
5b	**STATE'S RISK RESPONSE:** Accept - Five of the 9 functional SME's assigned to this project each have 16 years of experience working in VISION and the remaining 4 each have 5+ years of experience. Finance does not consider that subject matter expertise is at risk for this project. Nancy Collins and Ruthellen Doyon have assumed both leadership and decision making responsibilities for this project. They have a combined 30+ years in management roles with the Department of Finance and Management and in VISION. Both served as functional leads in the last upgrade from 7.5-8.8 project completed in 2007 and Nancy also served as a functional lead in the implementation of the Travel and Expense Module project completed in 2013, and on the initial VISION implementation team. Frank Costantino and Trudy Marineau have a combined 10+ years of experience in managing VISION on the technical side. Both were technical leads in the HR upgrade, implementation of Time and Labor and implementation of Travel and Expense projects completed in 2013. While Brad Ferland will not have daily involvement in this project, as project sponsor he will remain an important resource and advocate for this project and his involvement has the support of the Secretary of Administration and the Commissioner of Finance and Management. **STATE RISK RESPONSE #2:** *From: Young, Susanne [mailto:Susanne.Young@vermont.gov]* *Sent: Thursday, March 30, 2017 5:45 PM* *To: Ferland, Brad <Brad.Ferland@vermont.gov>* *Cc: David Gadway <dgadway@techstrategy.biz>* *Subject: RE: Confirmation Requested* *Confirmed.* *Thank you Brad,* *Susanne* *Susanne R. Young, Secretary*

	Agency of Administration *109 State Street* *Montpelier, VT 05609* *(802) 828-3322* *From: Ferland, Brad* *Sent: Thursday, March 30, 2017 10:37 AM* *To: Young, Susanne <Susanne.Young@vermont.gov>* *Cc: David Gadway <dgadway@techstrategy.biz>* *Subject: FW: Confirmation Requested* *Susanne,* *An independent review is being conducted, per statute, for our VISION upgrade project. I had been tagged as Project Sponsor when I was Deputy Commissioner and have carried that role forward into my current position. I think it is in the best interest of the project if I do remain as project sponsor. David Gadway, the independent reviewer, would like confirmation from you that the intent is for me to continue in this role. You will see below that he noted my possible absence from the project as a risk and the project team's response to that risk. Dave then followed up with a request for confirmation.* *Can you confirm via this email that I will remain as Project Sponsor even in my new role, thanks.* *Brad* **REVIEWER'S ASSESSMENT:** Please confirm that Mr. Ferland will have the Project Sponsor role on this project. **REVIEWER'S ASSESSMENT #2:** Risk strategy is accepted.
6a	**STATE'S RISK RESPONSE:** N/A. No risk noted.
7a	**STATE'S RISK RESPONSE:** Mitigate - Database Backups are maintained for 14 days – for quick restoration needs, not to meet any data retention requirement. All Production database data is maintained at the Disaster Recovery site via Oracle Dataguard sync. Since all production records are never archived or purged from the VISION system, all VISION record history is maintained indefinitely. **REVIEWER'S ASSESSMENT:** Risk strategy is accepted.
7b	**STATE'S RISK RESPONSE:** N/A. No risk noted.

7c	**STATE'S RISK RESPONSE:** N/A. No risk noted.
8a	**STATE'S RISK RESPONSE:** Mitigate - During the fit/gap sessions in Phase I, Sierra-Cedar will gain a better understanding of what each requirement means and we feel that at the end of these sessions, the fit/gaps that they assign will be more in line with the fit/gaps included in the RFP which were assigned by our consultant who performed the requirements gathering in 2015. We also plan to reassess the priorities assigned to each requirement and expect that most if not all of the low/gaps will drop off. Sierra-Cedar indicated multiple times in the in-person presentation that there was an opportunity for us to lower the cost of the contract if we did drop any requirements during that Phase. We plan on addressing this option in the contract. **REVIEWER'S ASSESSMENT:** So long as the initial Fit/Gap activity results in the same or lower cost, with at least the same level of functionality delivered as requested in the RFP and as proposed by the vendor, this risk is considered mitigated. Recommend a Phase Gate decision point at the conclusion of the Fit/Gap analysis to ensure this Risk is mitigated as described in the Risk Response.
8b	**STATE'S RISK RESPONSE:** Mitigate - Some of the State's DII-ERP developers and Finance & Management reporting staff received training in XML Publisher for PeopleSoft during the HCM Upgrade project. XML Publisher is now named BI Publisher for PeopleSoft. It is the expectation that State staff will learn how to use the BI Publisher for PeopleSoft tool through self-study, knowledge transfer and using the tool. **STATE'S RISK RESPONSE #2:** Accept - Though some members of the State's DII ERP Developer team and Finance & Management Reporting staff have received XML Publisher training, it was in conjunction with an earlier project and has yet to be used for a production solution in the Finance Application. It is the State's expectation that the State staff will learn to use BI Publisher through self-study, vendor knowledge transfer and by working with the tool. **REVIEWER'S ASSESSMENT:** Response does not mitigate the risk. The risk is that it is a new tool that people will need to learn. The response is that people will learn it. Can you provide additional detail on experiences State has had in using the BI Publisher tool, specifically, what team members use this tool and a summary of work done to date using this tool? **REVIEWER'S ASSESSMENT #2:** Risk strategy is accepted.
9a	**STATE'S RISK RESPONSE:** N/A. No risk noted.
10a	**STATE'S RISK RESPONSE:** N/A. No risk noted.
11a	**STATE'S RISK RESPONSE:** Accept – The Agency of Administration accepts that data in transit within the State of Vermont network is not encrypted. **STATE'S RISK RESPONSE #2:** Mitigate - Data transferred to users via query/reports is in fact encrypted via HTTPS. Some interface files sent from VISION to other State systems are not encrypted due to limitations of the receiving system. All other interface files are transferred using a secure FTP protocol. This is the preferred transfer method and leveraged by all new interfaces. As the interfaces are redeveloped through the upgrade project, secure transfer mechanisms will be employed where possible.

	REVIEWER'S ASSESSMENT: Can you ask Glenn Schoonover to weigh in on this and confirm his acceptance of this risk? **REVIEWER'S ASSESSMENT #2:** Independent Reviewer asked Glenn Schoonover if Response #2 was acceptable, to which, Mr. Schoonover replied: "*Yes. Not ideal, but they have articulated the risk, and identified a path forward to improve the overall security going forward as systems are upgraded".* Risk strategy is accepted.
12a	**STATE'S RISK RESPONSE:** N/A. No risk noted.

FINANCE and MANAGEMENT: Oracle PeopleSoft Financials V8.8 to V9.2 Upgrade Project

STATEMENT OF: Use of Funds (Expenses), Source of Funds (Revenue), Cash Flow, and Net Change in Operating Cost

Click on the links to the left to go to that data

CASH FLOW ANALYSIS: Click Here

SUMMARY:	
Total Cost:	$17,551,189
Total Funding:	$17,551,189
State Funding:	$17,551,189
Federal Funding:	$0
Potential Revenue Recovery:	$0
Funding Excess/(Shortage):	$0

IMPLEMENTATION and OPERATING COSTS:		
Implementation Costs:	$5,891,864	
New Operating Costs:	$11,659,326	
Current Operating Costs:	$11,717,283	
		$
NET CHANGE IN OPERATING COSTS-Decr./(Incr.):		$57,958
	State Decrease/(Increase):	$0
	Federal Decrease/(Increase):	$57,958

USE OF FUNDS - START

						Prior Costs	IMP	IMP	IMP	M&O	M&O	M&O	M&O	M&O	M&O	M&O	Software Total	Source
Description	Note	Unit Price	Impl/Ops	Total			Year 1 (FY18)	Year 2 (FY19)	Year 3 (FY20)	Year 4 (FY21)	Year 5 (FY22)	Year 6 (FY23)	Year 7 (FY24)	Year 8 (FY25)	Year 9 (FY26)	Year 10 (FY27)		
EXTERNAL-RELATED COSTS																		
VENDOR COSTS																		
SOFTWARE AND SERVICES																		
SOFTWARE 1																		
Software Being Licensed:																		
Implementation: No NEW software expected to be licensed, rather, considered upgrade/operational costs and noted below			I				$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	IT ABC Form
Operations: No NEW software expected to be licensed, rather, considered upgrade/operational costs and noted below			O				$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	IT ABC Form
																	$0	
SOFTWARE TOTAL							$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
Description	Note	Unit Price	Impl/Ops	Total			Year 1 (FY18)	Year 2 (FY19)	Year 3 (FY20)	Year 4 (FY21)	Year 5 (FY22)	Year 6 (FY23)	Year 7 (FY24)	Year 8 (FY25)	Year 9 (FY26)	Year 10 (FY27)		
SERVICES																		
			Impl/Ops			Prior Costs												
Upgrade/Implementation Phases	**17 months**																	
Project Manager	$199@3094 hours		I				$430,994	$184,712	$0	$0	$0	$0	$0	$0	$0	$0	$615,706	Vendor BAFO
Functional Team:																		
GL/KK/Assets Functional Lead	$177@2980 hours		I				$369,222	$158,238	$0	$0	$0	$0	$0	$0	$0	$0	$527,460	Vendor BAFO
AP/Travel Expenses Func. Lead	$172@2870 hours		I				$345,548	$148,092	$0	$0	$0	$0	$0	$0	$0	$0	$493,640	Vendor BAFO
PO/Inventory Functional Lead	$172@2870 hours		I				$345,548	$148,092	$0	$0	$0	$0	$0	$0	$0	$0	$493,640	Vendor BAFO
	$172@2870 hours																	
AR/Billling/Custom Grants Func. Lead			I				$345,548	$148,092	$0	$0	$0	$0	$0	$0	$0	$0	$493,640	Vendor BAFO
Change Management/Training Team:																		
Change Management/Training Lead	$177@660 hours																	
			I				$81,774	$35,046	$0	$0	$0	$0	$0	$0	$0	$0	$116,820	Vendor BAFO
Trainer	$169@740 hours		I				$87,542	$37,518	$0	$0	$0	$0	$0	$0	$0	$0	$125,060	Vendor BAFO
Trainer	$169@740 hours		I				$87,542	$37,518	$0	$0	$0	$0	$0	$0	$0	$0	$125,060	Vendor BAFO
Technical Team:																		
Technical Lead	$177@2762 hours		I				$342,212	$146,662	$0	$0	$0	$0	$0	$0	$0	$0	$488,874	Vendor BAFO
Developer - Retrofits	$164@1220 hours		I				$140,056	$60,024	$0	$0	$0	$0	$0	$0	$0	$0	$200,080	Vendor BAFO
Developer - Retrofits	$164@872 hours		I				$100,106	$42,902	$0	$0	$0	$0	$0	$0	$0	$0	$143,008	Vendor BAFO
Developer - Retrofits	$102@872 hours		I				$62,261	$26,683	$0	$0	$0	$0	$0	$0	$0	$0	$88,944	Vendor BAFO
Developer - New Customizations	$102@2080 hours		I				$148,512	$63,648	$0	$0	$0	$0	$0	$0	$0	$0	$212,160	Vendor BAFO
Developer - New Customizations	$102@872 hours		I				$62,261	$26,683	$0	$0	$0	$0	$0	$0	$0	$0	$88,944	Vendor BAFO
Developer - New Customizations	$102@872 hours		I				$62,261	$26,683	$0	$0	$0	$0	$0	$0	$0	$0	$88,944	Vendor BAFO
Upgrade Lab	$154@1391 hours		I				$149,950	$64,264	$0	$0	$0	$0	$0	$0	$0	$0	$214,214	Vendor BAFO
Performance Test	$179@345 hours		I				$43,229	$18,527	$0	$0	$0	$0	$0	$0	$0	$0	$61,755	Vendor BAFO
Post Go Live Support	**2 months**																	
Project Manager	$199@260 hours		I				$36,218	$15,522	$0	$0	$0	$0	$0	$0	$0	$0	$51,740	Vendor BAFO
Functional Team:																		
GL/KK/Assets Functional Lead	$177@360 hours		I				$44,604	$19,116	$0	$0	$0	$0	$0	$0	$0	$0	$63,720	Vendor BAFO
AP/Travel Expenses Func. Lead	$172@90 hours		I				$10,836	$4,644	$0	$0	$0	$0	$0	$0	$0	$0	$15,480	Vendor BAFO
PO/Inventory Functional Lead	$172@180 hours		I				$21,672	$9,288	$0	$0	$0	$0	$0	$0	$0	$0	$30,960	Vendor BAFO
	$172@360 hours																	
AR/Billling/Custom Grants Func. Lead			I				$43,344	$18,576	$0	$0	$0	$0	$0	$0	$0	$0	$61,920	Vendor BAFO
Technical Team:																		
Technical Lead	$177@180 hours		I				$22,302	$9,558	$0	$0	$0	$0	$0	$0	$0	$0	$31,860	Vendor BAFO
Developer - Retrofits	$102@360 hours		I				$25,704	$11,016	$0	$0	$0	$0	$0	$0	$0	$0	$36,720	Vendor BAFO
Warranty	**3 months**		I															
Technical Team:																		
Developer (Warranty)	$102@305 hours		I				$21,777	$9,333	$0	$0	$0	$0	$0	$0	$0	$0	$31,110	Vendor BAFO
Developer (Warranty)	$102@567 hours		I				$40,484	$17,350	$0	$0	$0	$0	$0	$0	$0	$0	$57,834	Vendor BAFO
Other																		
Contingency	Nothing allocated at present		I				$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
TOTAL: IMPLEMENTATION SERVICES						$0	$3,471,505	$1,487,788	$0	$0	$0	$0	$0	$0	$0	$0	$4,959,293	
Other Services:																		

							$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
Other Services Total:							$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
SERVICES TOTAL						$0	$3,471,505	$1,487,788	$0	$0	$0	$0	$0	$0	$0	$0	$4,959,293	
SOFTWARE AND SERVICES TOTAL						$0	$3,471,505	$1,487,788	$0	$0	$0	$0	$0	$0	$0	$0	$4,959,293	
MAINTENANCE AND OPERATIONS SUPPORT																		
Maintenance fees included in Internal Costs below							$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
																	$0	
MAINTENANCE AND OPERATIONS SUPPORT TOTAL				$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
HARDWARE (Not External Vendor, internal DII)																		
Additional Hosting capacity during implementation	Estimated virtual server costs to support additionally required server capacity during implementation	See 'DII EA Costs' sheet, FINANCE COSTS section for detail; Filter on ENVIRON TYPE = PROD, which comes to $41K, and expect ~75% of that being required throughout implementation	I	$0			$30,000	$30,000	$0	$0	$0	$0	$0	$0	$0	$0	$60,000	IT ABC Form
Finance-Specific Costs	Hosting costs and are included in the annual SLA agreement that FinMgt has with DII and include servers, storage, etc.	See 'DII EA Costs' sheet, FINANCE COSTS section for detail	O	$0			$201,603	$201,603	$201,603	$201,603	$201,603	$0	$0	$0	$0	$0	$1,008,013	IT ABC Form
Joint Costs (with HR - split 50/50)	Virtual & physical servers, storage, licensing for OS, monitoring, antivirus, back up and recovery, etc virtual & physical servers, storage, licensing for OS, monitoring, antivirus, back up and recovery, etc	See 'DII EA Costs' sheet, JOINT COSTS section for detail	O	$0			$90,674	$90,674	$90,674	$90,674	$90,674	$0	$0	$0	$0	$0	$453,370	IT ABC Form
HARDWARE TOTAL							$322,277	$322,277	$292,277	$292,277	$292,277	$0	$0	$0	$0	$0	$1,521,384	
				$0			$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
HOSTING FEES			Impl/Ops															
None			I				$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
None			O				$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
HOSTING TOTAL							$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
OTHER FEES																		
			I				$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
																	$0	
OTHER TOTAL				$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
TOTAL VENDOR COSTS				$0		$0	$3,793,782	$1,810,065	$292,277	$292,277	$292,277	$0	$0	$0	$0	$0	$6,480,677	
TOTAL EXTERNAL-RELATED COSTS			TotlO			$0	$3,793,782	$1,810,065	$292,277	$292,277	$292,277	$0	$0	$0	$0	$0	$6,480,677	
INTERNAL COSTS																		
DEPARTMENTAL INTERNAL COSTS			Impl/Ops															
Oracle Product Maintenance:																		
Purchasing, Inventory, Asset Management, Accounts Payable, Accounts Receivable, Billing, GL, T&E, and Grants	Support Contract Number: p-99-669-00-000-19	See 'DII EA Costs' sheet, LICENSE COSTS section for details for this section	O				$553,120	$553,120	$553,120	$553,120	$553,120	$0	$0	$0	$0	$0	$2,765,600	IT ABC Form
UPK Expenses	Support Contract Number: 2841420		O				$95,790	$95,790	$95,790	$95,790	$95,790	$0	$0	$0	$0	$0	$478,950	IT ABC Form
Database - Oracle DB Enterprise Edition	Support Contract Number: 148808		O				$31,335	$31,335	$31,335	$31,335	$31,335	$0	$0	$0	$0	$0	$156,675	IT ABC Form
Database - Oracle DB Enterprise Edition	Support Contract Number: 1838463		O				$12,080	$12,080	$12,080	$12,080	$12,080	$0	$0	$0	$0	$0	$60,398	IT ABC Form
Database - Oracle DB Enterprise Edition	Support Contract Number: 4098560		O				$4,298	$4,298	$4,298	$4,298	$4,298	$0	$0	$0	$0	$0	$21,490	IT ABC Form
Internet Developer, App Server, Oracle Database	Support Contract Number: 2182513		O				$12,694	$12,694	$12,694	$12,694	$12,694	$0	$0	$0	$0	$0	$63,472	IT ABC Form
UPK System	Support Contract Number: 5916377		O				$8,406	$8,406	$8,406	$8,406	$8,406	$0	$0	$0	$0	$0	$42,030	IT ABC Form
Foglight & Jscape Maintenance	Support Contract Number: Other		O				$15,000	$15,000	$15,000	$15,000	$15,000	$0	$0	$0	$0	$0	$75,000	IT ABC Form
Finance - True Up Maintenance	Support Contract Number: J6360717		O				$105,666	$105,666	$105,666	$105,666	$105,666	$0	$0	$0	$0	$0	$528,328	IT ABC Form
WAN Costs			O				$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
Other 3rd Party Software			I				$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
Staffing Costs: ❷																		
Project Management	1 person@$55@2080 hours for 2 years		I				$114,400	$114,400	$0	$0	$0	$0	$0	$0	$0	$0	$228,800	IT ABC Form
Business Staff (VISION, VTHR, Vantage, etc. / 2 FTEs - backfill)	2 people@$55@2080 hours		I				$228,800	$228,800	$0	$0	$0	$0	$0	$0	$0	$0	$457,600	IT ABC Form
DII Technical Staff (DII ERP developer and DBA staff cost of supporting VISION)	7.5 people@$55@2080 hours for 5 years	This was calculated in IT ABC Form as $1,666,347 - $838,388.42 --> DII resource costs included license costs) or by total cost minus cost to support Tax and then divided by 2 to split between VISION and VTHR.; Used instead 7.5FTE	O				$858,000	$858,000	$858,000	$858,000	$858,000	$0	$0	$0	$0	$0	$4,290,000	IT ABC Form
VISION Staff (admins): 3 x 2080 x $55	3 people@$55@2080 hours		O				$343,200	$343,200	$343,200	$343,200	$343,200	$0	$0	$0	$0	$0	$1,716,000	IT ABC Form
DEPARTMENTAL INTERNAL COSTS TOTAL							$2,382,788	$2,382,788	$2,039,588	$2,039,588	$2,039,588	$0	$0	$0	$0	$0	$10,884,342	
TOTAL INTERNAL COSTS			TotlO				$2,382,788	$2,382,788	$2,039,588	$2,039,588	$2,039,588	$0	$0	$0	$0	$0	$10,884,342	

DII FEES														
Project Implementation Costs Summary:			$3,844,705	$1,860,988	$0	$0	$0	$0	$0	$0	$0	$0	$5,705,693	
3% Charge for DII PMO/EA Services Project Implementation Costs:	I		$115,341	$55,830	$0	$0	$0	$0	$0	$0	$0	$0	$171,171	
Independent Review	I		$15,000	$0	$0	$0	$0	$0	$0	$0	$0	$0	$15,000	
DII FEES TOTAL	TotIO		$130,341	$55,830	$0	$0	$0	$0	$0	$0	$0	$0	$186,171	
TOTAL COSTS (IMPLEMENTATION and OPERATIONS)		$0	$6,306,911	$4,248,683	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0	$17,551,189	

COST BREAKOUT (IMPLEMENTATION and OPERATIONS)

Implementation	$0	$3,975,046	$1,916,818	$0	$0	$0	$0	$0	$0	$0	$0	$5,891,864	
Operations	$0	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0	$11,659,326	
COST BREAKOUT TOTALS (IMPLEMENTATION and OPERATIONS)	$0	$6,306,911	$4,248,683	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0	$17,551,189	$0

USE OF FUNDS - END

SOURCE OF FUNDS - START

Revenue Source:				Prior	Year 1 (FY18)	Year 2 (FY19)	Year 3 (FY20)	Year 4 (FY21)	Year 5 (FY22)	Year 6 (FY23)	Year 7 (FY24)	Year 8 (FY25)	Year 9 (FY26)	Year 10 (FY27)	TOTAL
															$0
Assume Year 1 and 2 are Implementation related, Years 3-x are Operations related															
❸															
STATE FUNDING: Implementation: FY16 Capital Budget Appropriation	28.49%	Fund #31100; FY16 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5M	I	$0	$3,900,000	$1,100,000	$0	$0	$0	$0	$0	$0	$0	$0	$5,000,000
STATE FUNDING: Operations: FY16 Capital Budget Appropriation	0.00%	Fund #31100; FY16 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5M	O	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
STATE FUNDING: Implementation: FY17 Capital Budget Appropriation	5.08%	Fund #31100; FY17 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5,813,881	I	$0	$75,046	$816,818	$0	$0	$0	$0	$0	$0	$0	$0	$891,864
STATE FUNDING: Operations: FY17 Capital Budget Appropriation	0.00%	Fund #31100; FY17 State Capital Bill Act 26 Section #: 3(b)(1), 3(b)(2), split over Impl and Ops: $5,813,881	O	$0		$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
STATE FUNDING: Implementation: State Internal Service Fund	0.00%	State Internal Service Fund (ISF) 59300; (Funding for ISF is through an annual charge back to departments based on a federally approved cost allocation methodology)	I	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
STATE FUNDING: Operations: State Internal Service Fund	66.43%	State Internal Service Fund (ISF) 59300; (Funding for ISF is through an annual charge back to departments based on a federally approved cost allocation methodology)	O	$0	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0	$11,659,326
FEDERAL FUNDING: Implementation: None	0.00%		I	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
FEDERAL FUNDING: Operations: None	0.00%		O	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
TOTAL:	100.00%			$0	$6,306,911	$4,248,683	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0	$17,551,189

Summary by State and Federal:

State Funding:	**$17,551,189**	0	$6,306,911	$4,248,683	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0
Federal Funding:	**$0**	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0

Implementation Funds:	**$5,891,864**	**Funding Overage/(Shortage):**
Implementation Costs:	**$5,891,864**	**$0**
Operational Funds:	**$11,659,326**	
Operational Costs:	**$11,659,326**	**$0**

SOURCE OF FUNDS - END

PROJECT CASH FLOW - START

IMPLEMENTATION	Prior	Year 1 (FY18)	Year 2 (FY19)	Year 3 (FY20)	Year 4 (FY21)	Year 5 (FY22)	Year 6 (FY23)	Year 7 (FY24)	Year 8 (FY25)	Year 9 (FY26)	Year 10 (FY27)	TOTAL
Use	$0	$3,975,046	$1,916,818	$0	$0	$0	$0	$0	$0	$0	$0	$5,891,864
Source	$0	$3,975,046	$1,916,818	$0	$0	$0	$0	$0	$0	$0	$0	$5,891,864
Net Cash by Fiscal Year:	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Cash Flow:	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

OPERATIONS	Prior	Year 1 (FY18)	Year 2 (FY19)	Year 3 (FY20)	Year 4 (FY21)	Year 5 (FY22)	Year 6 (FY23)	Year 7 (FY24)	Year 8 (FY25)	Year 9 (FY26)	Year 10 (FY27)	TOTAL
Use	$0	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0	$11,659,326
Source	$0	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0	$11,659,326
Net Cash by Fiscal Year:	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Cash Flow:	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**

CASH FLOW - END

NET CHANGE IN OPERATING COSTS - START

		Year 1 (FY18)	Year 2 (FY19)	Year 3 (FY20)	Year 4 (FY21)	Year 5 (FY22)	Year 6 (FY23)	Year 7 (FY24)	Year 8 (FY25)	Year 9 (FY26)	Year 10 (FY27)	TOTAL	
Proposed Operating Costs:													
Total Operating Costs	*Per Row 160*	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0	$11,659,326	
Total: Proposed Operating Costs:		**$2,331,865**	**$2,331,865**	**$2,331,865**	**$2,331,865**	**$2,331,865**	**$0**	**$0**	**$0**	**$0**	**$0**	**$11,659,326**	
Current Operating Costs:													
No change expected in Operating Costs, so just refer to totals above													
From IT vs. ABC Form Cost Spreadsheet													
		$2,343,457	$2,343,457	$2,343,457	$2,343,457	$2,343,457	$0	$0	$0	$0	$0	$11,717,283	ABC #5
		$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	
Total: Current Operating Costs:		***$2,343,457***	***$2,343,457***	***$2,343,457***	***$2,343,457***	***$2,343,457***	***$0***	***$0***	***$0***	***$0***	***$0***	***$11,717,283***	
Net Operating Cost Decrease/(Increase)		**$11,592**	**$11,592**	**$11,592**	**$11,592**	**$11,592**	**$0**	**$0**	**$0**	**$0**	**$0**	**$57,958**	#
New Operating Costs funded by SOV Sources	N/A	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0	$11,659,326	
Current Operating Costs funded by SOV Sources	N/A	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$2,331,865	$0	$0	$0	$0	$0	$11,659,326	
4 Net SOV Operating Cost Decrease/(Increase)		**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	

NET CHANGE IN OPERATING COSTS - END

NOTES / ASSUMPTIONS:

1. Relicense of existing software expected
2. Staffing levels anticipated through this project
3. Funding Sources
4. Net Operating Costs ARE expected to remain neutral

#

Service Level Agreement Addendum
For Department of Finance & Management
FY2017
SLA ID No: SLA00013-17

Contents

1 Demand Services Provided: (some descriptions included in Master SLA)

1.1 SOV Cloud Management Services

All costs are defined in the Enterprise Architect Cost model and included in the Bill for Services. Service is defined in the Master SLA.

1.2 Desktop Services

All costs are defined in the in the Bill for Services. Service is defined in the Master SLA.

1.3 Telecommunication Services

Telecommunication Services are defined in the Master SLA. Invoices are billed separately, and are not a part of the annual SLA bill for services provided.

1.3.1 Enterprise Automated Call Distribution (ACD) Services

Service Description:
Automatic Call Distribution (ACD) is a system that can recognize, answer and distribute incoming telephone calls. When the ACD system receives an incoming call it will look for specific instructions as to how the call is to be handled. The ACD system that the State of Vermont has deployed is highly customizable and able to fit nicely in virtually any situation small or large.

What is Included:
The ACD can route the call to an agent or operator, a recorded message (or Interactive Voice Response – IVR – system), or place it on hold until a live person can answer it. ACD can be set up to route calls based on many factors, including recognizing the number dialed, agent availability and expertise and time of day, just to name a few possibilities. There are many other features that can be utilized and would be discussed when initiating a new project.

Key Standard Features:

- Call Prioritization
- Detailed Call Reports
- Call Recording
- Music on Hold
- Allows Agent to answer Multiple Lines
- Off Site Capabilities – allows routing to multiple sites and remote or home workers
- Call Monitoring by Supervisor
- Custom Hold Messages
- Advanced Call Routing Options
- Business continuity with calls able to be diverted at will as the emergency need arises

Non-Standard Features:
- Dialer service – application can auto dial a group of numbers for things such appointment reminders
- Faxing Distribution

User Request Process for Service Features:
If you have questions or would like more information, please contact DII Telecommunications at the number below. The DII Project Management Office and the vendor partner Interactive Intelligence will design a solution based on the department/agency requirements.

- Self Service Portal – **Log into LANDesk**
  - Go to https://itsupport.vermont.gov (AHS, VSMS, TAX)
  - For explicit logon: Go to https://itsupport.vermont.gov/logon if your domain is different from above (example AOT, DFR). You will need to use this explicit login.
- Call 802-828-6620 or toll free 855-828-6620, option 2

Service Maintenance Schedule:

If needed, the maintenance window of opportunity is Saturday 12:01 a.m. through Sunday 7:00 a.m.

Availability Goal:

Service/Application Availability:
- ACD Application: 99%. System is available 24 x 7 (except during standard defined maintenance windows)

Service Costing
Below are costs per license/agent, and maintenance. These would be discussed with you when requesting new service and determining what is needed for your project. The list below is not all inclusive, but is a good representation of what may be required.

Description/Service Component, one-time setup costs:

- CC1 License - $810 per agent
- CC2 License - $1,185.00 per agent
- CC3 License - $1,535.00 per agent
- Business User - $1,535.00 per agent
- Unified Messaging - $35.00 per agent
- Faxing - $10.00 per agent
- Supervisor - $625.00 per agent
- Feedback - $380.00 per agent
- Recording - $380.00 per agent
- VoIP Implementation - To be determined
- Hardware - (VoIP phones – to be determined)

Description/Service Component yearly costs:

- Basic Session - $150.00 per channel
- Advance Session - $375.00 per channel
- Primary Rate Interface (PRI) Circuit Costs -- to be determined based on usage (to be billed monthly)

There are annual maintenance and support fees for the ACD platform that are shared by all ACD users proportionally based on licensing and features used.
*PRI = Primary Rate Interface (the connection from the ACD phones to the network that enables communication.
**Excludes toll free charges. **

More Information:

For more information, please see our full service description on DII's website:
http://dii.vermont.gov/infrastructure/hosted/acd

2 Enterprise Resource Planning (ERP) Services Provided

2.1 Service Description

The Department of Information and Innovation (DII) Enterprise Resource Planning (ERP) Technical Services team is responsible for the technical development, maintenance and management of the State's PeopleSoft Financial and Human Capital Management systems. Functional development, maintenance and management for the systems is provided by the Department of Finance and Management (DFM) and the Department of Human Resources (DHR).

Department of Finance & Management System Overview Description:

The Department of Finance and Management through its ***Financial Operations Division*** utilizes the PeopleSoft ERP application to meets its statutory responsibility to provide state government with a system of central accounting of income and disbursement so as to enable fiscal officers of the state at any time to provide an evaluation and analysis of the status of state finances. Additionally, they utilize the PeopleSoft ERP application to generate reliable financial information that is in accord with Generally Accepted Accounting Principles (GAAP). These efforts culminate in the publication of the State's Comprehensive Annual Financial Report (CAFR). The Financial Operations Division is also responsible for the oversight and management of the state payroll process.

The financial system is an Oracle/PeopleSoft Enterprise system, referred to as VISION. The Financial system includes a broad spectrum of application modules and services, such as Accounts Payable, Accounts Receivable, Asset Management, Billing, General Ledger, Inventory and Purchasing. For a complete list of modules, please refer to the link on page 5.

Department of Human Resources System Overview Description is defined in a separate agreement with Department of Human Resources.

The ERP Technical Services team provides the following services to DFM:

- Technical support for major upgrades and implementation of new PeopleSoft application modules, with an emphasis on making best use of the vendor-supplied product and minimizing customizations
- Routine technical maintenance, including tax updates, labor agreement changes and evaluation, technical testing and implementation of vendor-supplied enhancements
- Creation and maintenance of interfaces to and from PeopleSoft for external contacts, such as Benefit Providers, Financial Institutions and various entities within State Government
- Project Support, including State of Vermont customization requests
- Oracle Database Management and Maintenance including, but not limited to, the following:
    - Database replication
    - Database maintenance
    - Database patching
    - Database backup and recovery
    - Database SQL tuning
    - Database troubleshooting

The ERP Architecture / Infrastructure is handled by the DII Enterprise Architect Team. – Please see Master SLA:
http://dii.vermont.gov/consulting/erp

- Additional functional system reference – https://finance.vermont.gov/ State Systems section.

- At times there may be a need to augment staff with vendors to ensure services are maintained. A list of pre-qualified vendors are located here: http://dii.vermont.gov/consulting/procurement/retainer

Price Model

The DII Enterprise Architect team has developed cost assessments for the infrastructure costs associated with these services.

The annual operating costs of the State's PeopleSoft Financial and Human Capital Management systems are funded by what is currently referred to as the 'VISION Fund'. Annual costs are estimated to include expenses for the DII ERP Technical Services team assigned to support the ERP platform. Actual FTE Expenses are tracked through Time Reporting.

Any work done by the ERP Technical Services team for another department/agency will be charged directly to the department/agency that the work is performed for. It will not be billed to Dept. of Finance and/or Dept. of Human Resources.

2.2. ERP Environment Description – High Level

An elaborate design structure is in place to ensure system availability, functionality and continuity. At the highest level, the environment structure in place ensures a mechanism for supporting production activities as well as non-production development and research efforts.

Please see the Enterprise Architecture assessments for environment descriptions. (Available upon request).

*Note – environment availability and structure may vary from original design during a project lifecycle. Any changes of this nature should be discussed and documented through the Change Advisory Board (CAB). The CAB members will be the Directors of DFM, DHR and DII.

2.3 System Availability / Up-Time and Outages

2.3.1 System Availability

Vision (PeopleSoft Financials): 6:00am to 12:00 midnight daily

Maintenance Windows are to be agreed upon.

2.3.2 Up-Time / Outages

Though it is DII's goal to provide continuous up-time during the posted system availability hours, interruptions in service due occur (both planned and unplanned). It is the expectation of DII that any planned outages (such as maintenance windows) will be communicated in advance to all impacted system users. It is also DII's expectation that any unplanned outages will be communicated as soon as known and assessed as quickly as possible. Specific Service Level Agreements regarding ERP systems are to be based on a collaborative effort with ERP stakeholders, and do not fall under the standard DII SLA response and due date times.

Any outages during maintenance windows will be coordinated in advance with technical and business staff.

2.3.3 Disaster Recovery/Continuity of Operations

A Disaster Recovery capability for the ERP systems (Vision and VTHR) is maintained at an alternative (non-production) datacenter (TechVault). The DR environment is configured to provide recovery for the ERP production environments:

- Servers and storage capacity are pre-configured to support ERP production
- Production data and configurations are synced to the DR environment in a "near real-time" manner. This provides a 60 minute RPO (recovery point objective) for ERP production.
- Non-production environments (Dev, Test, Sandboxes, user VM's) are backed up to the DR site. Capacity to restore these environments does not exist at the DR site.
- The process used to ready the DR environments to act as Production will be scripted to the extent possible in order to minimize the recovery time. The RTO (Recovery Time Objective) for the restoration of the ERP production environments at the DR location is 2 hours from the point of the decision to do so. The 2 hour RTO assumes the availability of technical staff.
- The access to the DR "production" environments will be to pre-existing DR URLs rather than by the normal production URLs. This facilitates the immediate access of the systems by users both internally (within the State network) and externally. This will require modifications to point web page links to the DR URLs and to realign interfaces with external systems.
- Formal testing of the ERP DR capabilities will be conducted on an annual basis, in coordination with the business areas.

Limitations and considerations to going to the DR Environment

- While using the DR environment as the ERP Production systems, there will not be an alternative site for the syncing of production data; nor for backups.
- Once the DR environment is used as ERP Production, migration back to a new or repaired Production environment will need to include a 24hour outage for all ERP systems to allow for the repopulation of the Production databases from the DR Production data.

Although the DR environment has the capacity to support the ERP Production systems, it will not have the same performance as the Production environment.

2.3.4 Technical Support Availability

DII ERP Technical Services support hours are Monday thru Friday from 7:45 a.m. to 4:30 p.m. (EST)

- Note – Though you may receive tech support response from DII ERP Technical Services staff members after hours, which is best effort and is not intended as a commitment to off-hours support.

- When there are critical functions after hours such as payroll cycles, Time and Labor, W-2 processing, 1099 processing, etc., Finance and HR can request essential personnel placed on standby per the rules of the contract.

- Technical support for the ERP platforms will be provided primarily by in-house system administrators and system developers. In the event that sufficient resources to provide the ongoing support of the platform are not available, staff augmentation with a pre-qualified vendor will be leveraged. Should the availability of needed resources be an ongoing concern, a specific plan to address the resource requirements will need to be developed and implemented.

2.3.5 Functional Support Availability

VTHR Tier 1 support calls: (getting access to the system)
All Tier 1 support calls are sent to Contact Communication via 828-6700. They will assist users to access Employee Self Service – most likely resetting passwords. This service is available 24 x 7.

Contact information available at the below links:

Finance (VISION) -- http://finance.vermont.gov/state_systems/vision

2.4 System Accessibility

Given the sensitive and critical nature of the data stored and accessible via the PeopleSoft systems, security and accessibility are addressed on multiple levels. Within the applications themselves, security is managed both by individual user and role level security settings and permissions. From a system perspective, firewall restrictions and accessibility safeguards are strictly managed to ensure safety of the systems.

System accessibility options, for both functional and technical personnel, outside of an employee's normal workstation / location are available for review and determination based on employee needs and any physical site accessibility restrictions. In addition to the DII ERP Technical Services team, appropriate solution determination involves a partnership between DFM, DHR and DII to ensure support for short and long term State technical goals.

Example: Off-site accessibility options for consideration:
Citrix: http://dii.vermont.gov/application/user-accounts/remote/citrix
VPN http://dii.vermont.gov/application/user-accounts/remote/vpn

2.5 Change Management

With a service of this magnitude, managing change takes on many forms. It is our goal to not only manage change effectively internally but also in a collaborative and effective manner with the clients that we serve. The leadership of the Departments of Information & Innovation ERP Technical Services, Finance and Management and Human Resources are responsible for instituting and following standard change management processes.

3 Additional Responsibilities Defined

3.1 DII Responsibilities

- DII is responsible for all OS maintenance, monitoring, network security, backups, service pack installation, troubleshooting and vendor escalation in support of the ERP servers.
- DII is responsible for communicating any planned updates to our systems based upon mutually agreed maintenance windows.
- DII is responsible for installing all necessary hosted application software, databases, etc. on the provisioned servers

3.2 Customer/Client Responsibilities

- Customers are responsible for timely notifications of issues experienced with their application.
- Customers are responsible for providing clear communication with DII regarding service needs.
- Customers are responsible to work with DII in assuring effective change management communications, and training, if applicable, are provided to extended customer base.
- Customers are responsible for participation in request prioritization and scheduling to ensure resource availability.

3.3 Service Level Agreement Responsibilities

- Overall DII Service Level Agreement for customer support can be referenced in the Master ERP SLA, section 2.1 (Service Support – Ticket Resolution)
- Specific Service Level Agreement measurements for ERP support to be determined based on collaborative effort with the Department Stakeholders.
- Set up a process for business (DFM and DHR) to evaluate service received by technical (DII). This could be accomplished by some effective tool, such as some type of scorecard. A meeting to discuss service would be held annually, or a schedule to be determined.

4 Enterprise Resource Planning (ERP) Contact Information

The ERP Technical Services area is best reachable via shared phone lines and email distribution groups to provide ease of reaching an available resource.

ERP Technical Services:

Database and PeopleSoft Administrators: 802-828-2677
Email: DII – ERP Administration
Application Development staff: 802-828-2785
Email: DII – ERP Development Staff

4 Additional Services Provided

4.1 File Services

Service Description:

File services are managed as part of the Active Directory Services. Specifically, http://dii.vermont.gov/application/active_directory .

- (Files stored on Home and Shared network drives)
  - Central storage provided for individuals and departments
  - Ability to maintain permissions and access to departmental files and folders
  - Server storage space for user documents

Customer Responsibilities:

- Disclosures of any/all security requirements
- Individual agencies are responsible to work with DII to assign correct permissions to department folders

Service Costing:

Cost for File server storage = $2.25 per GB per year for file space allocated.

4.2 Citrix (Remote Access)

What is this Service?

Citrix services provide secure remote access capabilities to connect to the State of Vermont's internal network and resources from non-state locations:

- The ability to access your workstation, files, and commonly used applications from anywhere in the world through a browser, regardless of what kind of computer or mobile device a user has at their disposal.

What is Included?

Key Standard Features:

- Restricted access to State of Vermont resources (Windows-based applications) based on profile and permissions of user
    - Permissions are from existing VSMS domain (or trusted external domain)
- The ability to access your workstation, files, and commonly used applications from anywhere in the world through a browser.
- Available published applications:
    - Microsoft Office 2010 Suite: including Outlook, Word, Excel, PowerPoint
    - Internet Explorer
    - Remote Desktop (ability to login to your desktop at work – provided it is turned on)
- Technical support and fulfillment of service requests

How Do I Obtain This Service?
User Request Process for Service Features:

- Citrix (Remote Access) can be requested as part of the employee user account request process, or requesting a change in access to an existing user account; approvals are necessary from the employee's supervisor. (Approvals will also be necessary for requests for third party or contractor access).
- You may submit your request through the following:
    - Self Service Portal – Log into LANDesk
        - • Go to https://itsupport.vermont.gov (AHS, VSMS, TAX)
        - • For explicit logon: Go to https://itsupport.vermont.gov/logon if your domain is different from above (example AOT, DFR). You will need to use this explicit login.

If you are the person filing the LANDesk ticket on behalf of a user, please make sure you choose:
Submit User Account Request -- fill in appropriate employee information
Then Choose **Active Directory** and fill in appropriate information for Citrix Access needed.
***See Price Model below. DII will assume approval is already given when new Citrix users are requested, as only authorized User Account Requestors are able to submit LANDesk user account requests. Customer is responsible for obtaining approval prior, as we will be adding the user to the SLA, and charge annually for it.

- Call the Service Desk 802-828-6620 or toll free 855-828-6620, option 1

Service Exclusions

- Customers are responsible for setting up the Citrix client on their home computers. For information on how to do so, we have created the following guides to help:
    - See the How To page on the DII Website under Citrix section: http://dii.vermont.gov/support/how_to

Service Maintenance Schedule
Maintenance window is slated for every Saturday from 12:00 a.m. – 6:00 a.m. (Citrix).
Service may be interrupted during the Maintenance Window

Service Performance:

Availability Goal:

Service/Application Availability:

- Citrix Application: 99%

Service Costing:

1. Service is: Citrix XenApp published standard applications (standard apps, such as the Office Suite, Adobe Reader, Internet Explorer) cost $185.00 per person/annual

For more information, please see our full service description:
http://dii.vermont.gov/application/desktop/remote_access/Citrix_Services
Non-Standard Response Time (after hours support)

Not applicable. Standard response times in section 2.1 of the Master SLA are acceptable.

5 Signatures of Approval

Department of Information & Innovation

Name	Title	Signature	Date
Darwin Thompson	DII -- Deputy Commissioner		
Angela Leclerc	DII – Service Management Director		

Department of Finance & Management:

Name	Title	Signature	Date
Brad Ferland	FIN - Deputy Commissioner		

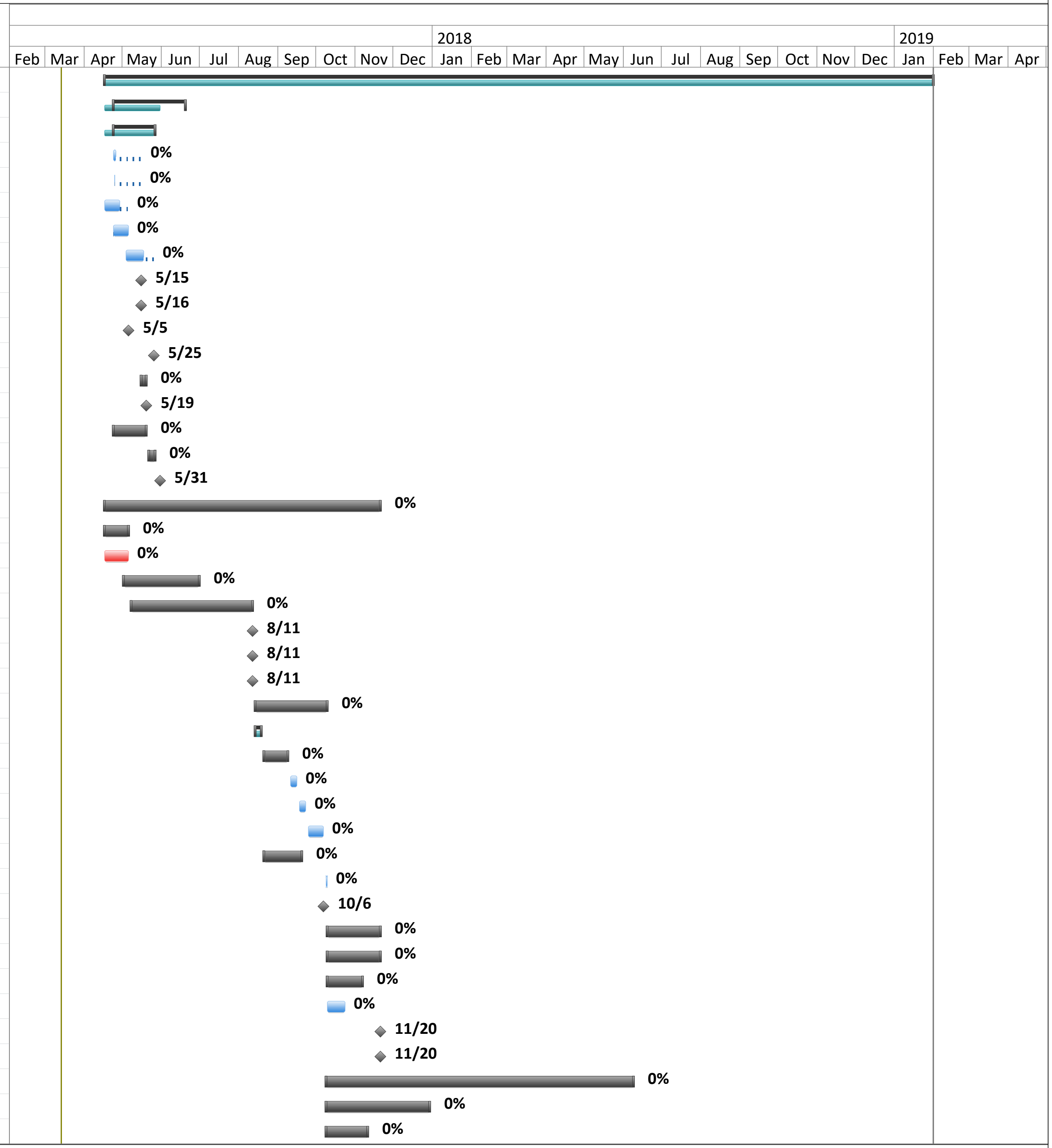
6 Effective Agreement Date

This Agreement is valid from the effective date below and remains in effect, unless otherwise documented.

Effective date of Service Level Agreement: July 1, 2016.

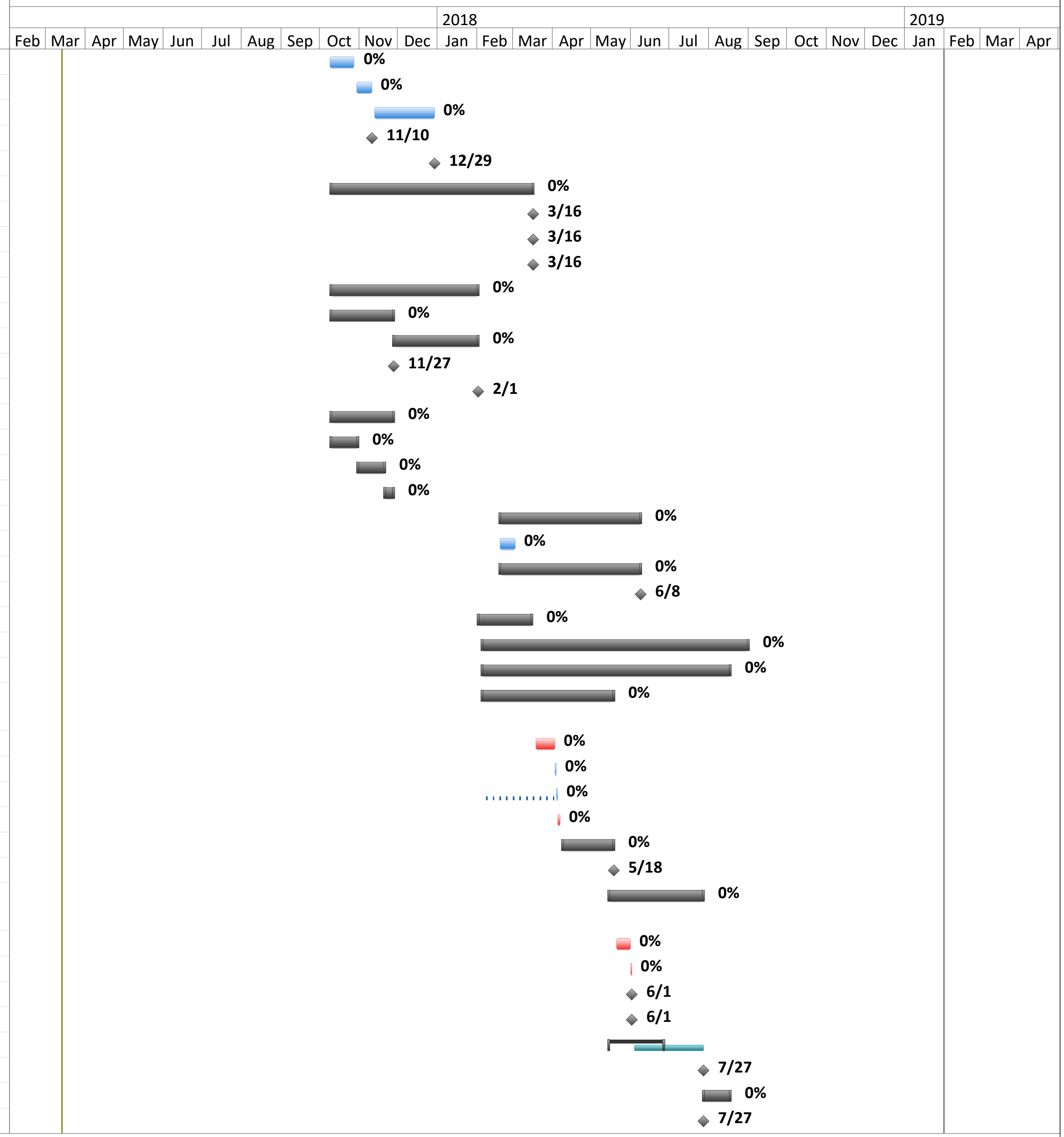
State of Vermont Project Schedule

ID	ID	Task Name	Start
1	**1**	**State of Vermont Financials Upgrade Project**	**Mon 4/17/17**
2	**2**	**Phase I - Plan and Discover**	**Mon 4/24/17**
3	**3**	**Plan**	**Mon 4/24/17**
4	4	Project Orientation	Mon 4/24/17
5	5	Develop Detailed Project Work Plan	Tue 4/25/17
6	6	Develop Detailed Resource Plan	Mon 4/17/17
7	7	Develop Project Management Plan	Thu 4/20/17
8	8	Establish Knowledge Transfer Plan	Thu 5/4/17
9	9	Detailed Project Work Plan	Mon 5/15/17
10	10	Detailed Resource Plan	Tue 5/16/17
11	11	Draft and Final Project Management Plan	Fri 5/5/17
12	12	Knowledge Transfer Plan	Thu 5/25/17
13	**13**	**Project Kickoff**	**Tue 5/16/17**
15	15	Project Kickoff	Fri 5/19/17
16	**16**	**Discovery**	**Mon 4/24/17**
27	**27**	**Fit-Gap Preparation**	**Mon 5/22/17**
30	30	Updated Requirements Matrix (After Discovery)	Wed 5/31/17
31	**31**	**Phase II - Analyze and Design**	**Mon 4/17/17**
32	**32**	**Infrastructure and Environment Installs**	**Mon 4/17/17**
33	33	Compete Environment Build	Mon 4/17/17
34	34	Initial Pass Tech Upgrade	Tue 5/2/17
54	**54**	**Fit / Gap Sessions**	**Mon 5/8/17**
87	87	Completed Fit/Gap Sessions	Fri 8/11/17
88	88	Requirement Traceability Matrix w/ Detailed Requir	Fri 8/11/17
89	89	Draft and Final Fit/Gap Analysis Report	Fri 8/11/17
90	**90**	**System Design**	**Mon 8/14/17**
91	**91**	**Prepare for Design Sessions**	**Mon 8/14/17**
101	**101**	**Conduct Design Sessions**	**Mon 8/21/17**
111	111	Update System Designs for existing Customizatio	Mon 9/11/17
112	112	Update System Designs for New Customizations	Mon 9/18/17
113	113	Create System Design Documentation	Mon 9/25/17
114	**114**	**Security Design**	**Mon 8/21/17**
120	120	Finalize New Functionality for Go-Live	Mon 10/9/17
121	121	Functional System Design Document	Fri 10/6/17
122	**122**	**End User Training and Communication Plan**	**Tue 10/10/17**
123	123	Document the End User Training Plan	Tue 10/10/17
127	127	Document the Communication Plan	Tue 10/10/17
131	131	Update Project Plan and Knowledge Transfer Plan	Tue 10/10/17
132	132	Change Management Plan	Mon 11/20/17
133	133	Final Project Plan	Mon 11/20/17
134	**134**	**Phase III - Configure and Develop**	**Mon 10/9/17**
135	**135**	**Complete Database Changes and Configuration Up**	**Mon 10/9/17**
136	136	Configure Functionality (Updates/New)	Mon 10/9/17

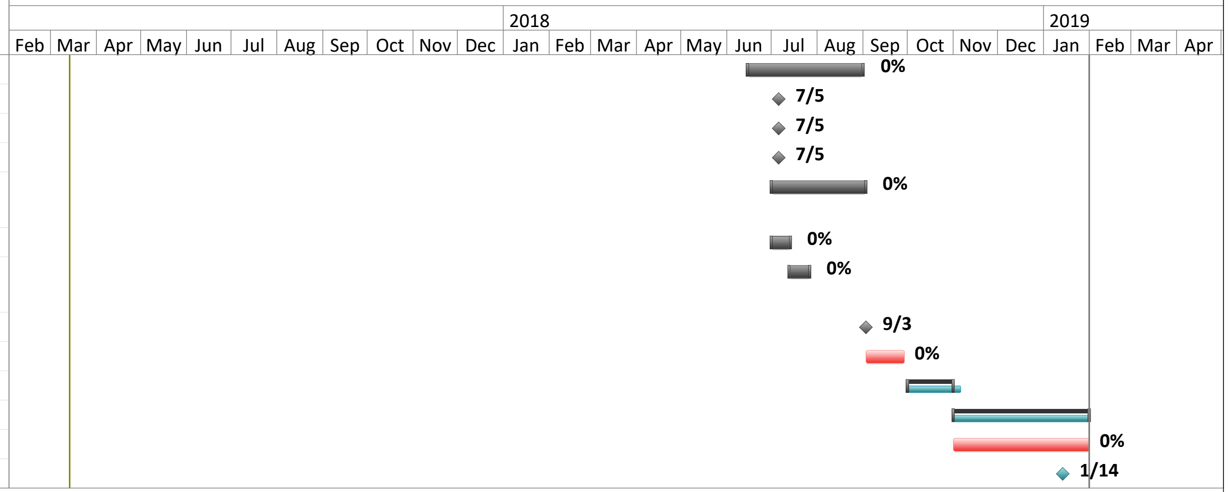


Sierra-Cedar

ID	ID	Task Name	Start
137	137	Configure Updates to Existing Functionality	Mon 10/9/17
138	138	Configure Updates to New Functionality	Mon 10/30/17
139	139	Configure Security (Updates/New)	Mon 11/13/17
140	140	Update New Functionality and Config in System [	Fri 11/10/17
141	141	Update Security Documentation	Fri 12/29/17
142	**142**	**Development (Retro-fits / New)**	**Tue 10/10/17**
162	162	Customizations Applied (Retro-Fits/New)	Fri 3/16/18
163	163	Completed Unit Testing	Fri 3/16/18
164	164	Updated RTM	Fri 3/16/18
165	**165**	**Prepare for Test Cycles**	**Tue 10/10/17**
166	166	Define Test Plan	Tue 10/10/17
170	**170**	**Develop Test Scenarios and Test Scripts**	**Tue 11/28/17**
175	175	Test Plan Deliverable	Mon 11/27/17
176	176	Test scripts and Test Cases Deliverable	Thu 2/1/18
177	**177**	**Knowledge Transfer & Change Management**	**Tue 10/10/17**
178	**178**	**Assess Business Process Change Impact**	**Tue 10/10/17**
188	188	Define and Execute Communication Campaigns	Tue 10/31/17
198	**198**	**Assess Knowledge Transfer Effectiveness**	**Tue 11/21/17**
202	**202**	**Training Preparation**	**Mon 2/19/18**
203	203	Define Training Material Update Schedule	Mon 2/19/18
204	**204**	**Prepare Training Materials for v9.2 (Updates/Ne**	**Mon 2/19/18**
209	209	Training Materials	Fri 6/8/18
210	**210**	**Initial Cutover Plan**	**Fri 2/2/18**
217	**217**	**Phase IV - Test and Train**	**Mon 2/5/18**
218	**218**	**Testing**	**Mon 2/5/18**
219	**219**	**Test Move 1: System/Integration Test (deliverec functionality, modifications, customizations,**	**Mon 2/5/18**
220	220	Test Move 1 - Tech Upgrade	Mon 3/19/18
221	221	Test Move 1 - Migrate Development/Configura	Tue 4/3/18
222	222	Completed Upgrade Test Move 1	Mon 2/5/18
223	223	9.2 SIT Environment	Thu 4/5/18
224	**224**	**Execute System/Integration Test (SIT)& Resol**	**Mon 4/9/18**
231	231	Completed System/Integration Testing	Fri 5/18/18
232	**232**	**Test Move 2: User Acceptance Testing (delivered functionality, modifications,**	**Tue 5/15/18**
233	233	Test Move 2 - Tech Upgrade	Mon 5/21/18
234	234	Test Move 2 - Migrate Development/Configura	Fri 6/1/18
235	235	Completed Test Move 2	Fri 6/1/18
236	236	9.2 UAT Environment	Fri 6/1/18
237	**237**	**User Acceptance Test (UAT) & Resolve Issues**	**Tue 5/15/18**
240	240	Completed User Acceptance Testing	Fri 7/27/18
241	**241**	**Test Move 3: Final Cutover Testing**	**Fri 7/27/18**
249	249	Performance Test Complete	Fri 7/27/18



ID	ID	Task Name	Start
250	**250**	**Training**	**Fri 6/15/18**
253	**253**	**End User Training**	**Thu 7/5/18**
254	254	Completed End User Training	Thu 7/5/18
255	255	Summarized Knowledge Transfer Assessment	Thu 7/5/18
256	**256**	**Phase V - Deploy and Optimize**	**Sun 7/1/18**
257	**257**	**Cutover Plan**	**Sun 7/1/18**
260	**260**	**Final Preparation**	**Fri 7/13/18**
269	**269**	**GO-LIVE!!**	**Mon 9/3/18**
270	**270**	**First 30 days of Production Support**	**Mon 9/3/18**
271	**271**	**Second 30 days of Production Support**	**Mon 10/1/18**
288	**288**	**Warranty Period Support**	**Thu 11/1/18**
289	289	Plan and prepare	Thu 11/1/18
290	290	Final Support Report	Mon 1/14/19



VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ____________
Department: ____________
Date of Test: ____________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
1	**Navigation...** Main Menu > Accounts Payable > Vouchers > Add/Update > Regular Entry		Voucher page displays. Your default BU will appear in the Business Unit field. Voucher ID will be 'NEXT', and Voucher Style will default in as 'Regular Voucher'.			
2	Enter Business Unit if not using your default BU.	**01110**				
3	Enter Vendor ID; <tab>	**0000001234**	Vendor Short Name, Vendor Location and Address Sequence Number default in.			
4	Enter Invoice Number; <tab>	**Current Date+COMMENT**				
5	Enter Invoice Date; <tab>	**60 days prior to current date**				
6	Enter Gross Invoice Amount; <tab>	**$600.00**				
7	Click Add button or hit Enter; <tab>		Invoice Information page displays. Invoice and vendor information default from previous page.			
8	Under Distribution Lines; Enter Account <tab>	**520500**				
9	Under Distribution Lines; Enter Fund <tab>	**10000**				
10	Under Distribution Lines; Enter Department <tab>	**1110003000**				
11	Click Payments page		Payments Page displays. New Defaults under Payment Method; Bank = HOWRD, Account = 0005, Method = CHK, Handling = RE, Netting = N			
12	Enter Message under Payment Method	**Test for comment on check - Current Date**				

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: __________
Department: __________
Date of Test: __________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
13	Click Save button		Transaction saves and voucher ID is assigned. ENTER VOUCHER ID ___________________________________			
14	Click Voucher Attributes page		Voucher Attributes Page displays. The following new information defaults; "Voucher Processing" section - Post Voucher and Revalue Voucher are selected / "Accounting Instructions" section - Accounting Template = Standard and Account At = Gross / "Match Action" section - Status = No Match and Pay Unmatched Voucher is not selected / "Transaction Currency" section - Source = Tables, Currency = USD, Rate Type = CRRNT, Exchange Rate = 1.0000000 / "Voucher Approval" section - Approval = Specify at This Level, Business Process = Process Vouchers, Approval Rule Set = Payment Approval Rule Set 1 / "Self Billing Invoice" section - SBI Num Option = Group Vouchers / "Prepayment" section - Automatically Apply Prepayment is selected / "Letter of Credit" section is blank / "Tax Group" section is blank			
15	Click Error Summary page		Error Summary page displays. Message should be ; "This Voucher does not have any errors."			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ______
Department: ______
Date of Test: ______

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
16	**Navigation...** Main Menu > Accounts Payable > Vouchers > Approve > Approve Voucher		Voucher Approval page displays. Your default BU will appear in the Business Unit field OR the "Approval" page will display for the voucher in step above. Skip to approval step below if Voucher Approval page displays for above voucher.			
17	Enter Business Unit	**01110**				
18	Enter Voucher ID	**Voucher from above**				
19	Click Search button		Approval page displays. Approval Information will be Pending. All other voucher information will default in.			
20	Choose "Approved" for the Approval Information	**Approved**				
21	Click Save		Voucher has been approved.			
22	**Navigation...** Main Menu > Accounts Payable > Batch Processes > Vouchers > Budget Check		Budget Check page displays			
23	Enter Budget Check Run Control ID (ADD the first time, Find EXISTING value thereafter)	**Budget_CK**				
24	Click Search (or ADD if this is the first time running this process)		Budget Check page displays			
25	Choose Process Frequency	**Always Process**				
26	Enter Description	**BCM**				
27	Enter Transaction Type	**AP_VOUCHER**				
28	Under Selection Parameters Choose Field Name	**Business Unit**				
29	Value Type defaults in	**Value**	Accept Default			
30	Enter From/To	**01110**				

VISION Upgrade Test Scripts

Module:	Accounts Payable
Scenario:	Voucher Entry with Comment for Check
Test #:	AP-02
Test Description:	Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File

Tester Name: ______
Department: ______
Date of Test: ______

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
31	Click "**+**" to add a new line (under Selection Parameters)		A new line appears			
32	Choose Field Name	**Voucher ID**				
	Enter Voucher ID	**From above**				
33	Value Type defaults in	**Value**	Accept Default			
34	Enter From/To	**From above**				
35	Click Run		Process Scheduler Request page displays			
36	Comm Cntrl Budget Processor Process Name = FSPKBDP3 is selected		Accept Default			
37	Click OK		Budget Check page displays			
38	Click Process Monitor link		Process List/Server List page displays			
39	Verify Run Status = Success (Click Refresh)					
40	Verify Distribution Status = Posted (Click Refresh)					
41	**Navigation...** Main Menu > Accounts Payable > Batch Processes > Vouchers > Voucher Posting		Voucher Posting Request page displays			
42	Choose Voucher Posting Control ID (ADD the first time, Find EXISTING value thereafter)	**Voucher_Posting_Request**				
43	Click Search (or ADD if this is the first time running this process)		Voucher Posting Request page displays			
44	Enter Request ID	**1**				
45	Enter Description	**Voucher Posting Request**				
46	Choose Process Frequency	**Always Process**				
47	Choose Post Voucher Option	**Post Voucher**	Post Voucher List fields will open up			
48	Choose Prepayment Application Method	**Remit Vendor**				
49	Enter Business Unit	**01110**				

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ____________
Department: ____________
Date of Test: ____________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
50	Enter Voucher ID	**Voucher from above**				
51	Click Run		Process Scheduler Request page displays			
52	Select PS/AP Voucher Posting Process Name = AP_PSTVCHR					
53	Click OK		Voucher Posting Request page displays			
54	Click Process Monitor link		Process List/Server List page displays			
55	Verify Run Status = Success (Click Refresh)					
56	Verify Distribution Status = Posted (Click Refresh)					
57	**Navigation...** Main Menu > Accounts Payable >Payments> Pay Cycle Processing > Payment Selection Criteria		Payment Selection Criteria page displays			
58	Click Magnifying Glass to choose paycycle	**VENDR2**				
59	Click Search		Dates page displays			
60	Pay From Date defaults in	**1/1/1900**	Accept Default			
61	Enter Pay Through Date <tab>	**Current Date**				
62	Enter Payment Date	**Current Date**				
63	Enter Next Pay Through Date	**Current Date**				
64	Enter Next Payment Date	**Current Date**				
65	Click Source/BU		Source/BU page displays			
66	Verify ONLY the BU being used in this script is checked.		Process = Checked for BU in this script			
67	Click Dates		Dates page displays. Verify that Use Holiday Calendar is checked. Also verify that PA is entered in the field to the right of Use Holiday Calendar.			
68	Click Save					
69	Accounting Date defaults to Payment Date entered above					

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ______
Department: ______
Date of Test: ______

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
70	Withholding Date defaults to Payment Date entered above					
71	Click Go To Pay Cycle Manager link		Pay Cycle Manager page displays			
72	Payment Selection Server is selected	**PSUNX**	Verify correct Server is selected			
73	Click Process button to the left of Payment Selection		Status will show as Running			
74	Click Refresh button until Status = Selected					
75	Click Details link		Pay Cycle Detail Data page displays			
76	Click Search button		Results display. Verify that the BU/Voucher ID from above is listed. Choose Action = Exclude for any vouchers not associated with this script. Click Save. Only the voucher from this script will be listed.			
77	Click Pay Cycle Manager link		Pay Cycle Manager page displays			
78	Payment Creation Server is selected	**PSUNX**	Verify correct Server is selected			
79	Click Process button to the left of Payment Creation		Status will show as Running			
80	Click Refresh button until Status = Created					
81	Click Trial Register link		Trial Register page displays			
82	Click Add a New Value Tab if this is the first time running this run control. If there is already a run control set up for this process, choose the current one.					
83	Enter Run Control ID	**Trial_Register**				
84	Click Add & Choose Paycycle	**VENDR2**	Regisiter page displays. Language = English			
85	Click Run		Process Scheduler Request page displays			
86	Click OK		Register page displays			
87	Click Report Manager link		List page displays			
88	Click Administration page		Administration page displays			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ____________
Department: ____________
Date of Test: ____________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
89	Click Refresh button until Trial Register link under "Description" is available					
90	Click Trial Register link		Trial Register report opens on screen			
91	Click Printer icon & Click OK		Trial Register report prints - Save as backup to attach to this Test Script. Note Payment Ref for the above voucher ____________			
92	**Navigation...** Main Menu > Accounts Payable > Vouchers > Add/Update > Regular Entry		Voucher page displays. Your default BU will appear in the Business Unit field. Voucher ID will be 'NEXT', and Voucher Style will default in as 'Regular Voucher'.			
93	Click Find an Existing Value		Your default BU will appear in the Business Unit field.			
94	Enter Business Unit	**01110**				
95	Enter Voucher ID	**Voucher from above**				
96	Click Search		Summary page displays			
97	Click Payments page		Payments page displays. Under Schedule payment, verify that the payment date is the current date and the Reference matches the Payment Ref Number from above.			
98	**Navigation...** Main Menu > Accounts Payable >Payments> Pay Cycle Processing > Pay Cycle Manager		Pay Cycle Manager page displays			
99	Click Magnifying Glass to choose paycycle	**VENDR2**				
100	Click Search		Pay Cycle Manager page displays			
101	Click Approve link		Paycycle Approval page displays			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ____________

Department: ____________

Date of Test: ____________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
102	Click Approve button		Processing will flash in the upper right hand corner of the page until Status = Approved			
103	Click Reject button		Processing will flash in the upper right hand corner of the page until Status = Rejected			
104	Click Pay Cycle Manager link		Pay Cycle Manager page displays			
105	Server Name defaults in to the left of Reset & Click Reset button	**PSUNX**	Verify Server is selected. Message will appear: Reset Pay Cycle VENDR2? (7250.8) If you reset a Pay Cycle, all the scheduled payments selected and/or created for payment in the Pay Cycle will be unselected. Click OK.			
106	Click Refresh button until Status = Reset		Paycycle is now reset and ready for use again. This process takes quite a while.			
107	**Navigation...** Main Menu > Accounts Payable > Vouchers > Add/Update > Regular Entry		Voucher page displays. Your default BU will appear in the Business Unit field. Voucher ID will be 'NEXT', and Voucher Style will default in as 'Regular Voucher'.			
108	Click Find an Existing Value		Your default BU will appear in the Business Unit field.			
109	Enter Business Unit	**01110**				
110	Enter Voucher ID	**Voucher from above**				
111	Click Search		Summary page displays			
112	Click Payments page		Payments page displays. Under Schedule payment, verify that the payment date and Reference are blank.			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ______________

Department: ______________

Date of Test: ______________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
113	**Navigation...** Main Menu > Accounts Payable >Payments> Pay Cycle Processing > Payment Selection Criteria		Payment Selection Criteria page displays			
114	Click Magnifying Glass to choose paycycle	**VENDR2**				
115	Click Search		Pay cycle page displays			
116	Pay From Date defaults in	**1/1/1900**	Accept Default			
117	Enter Pay Through Date <tab>	**Current Date**				
118	Enter Payment Date	**Current Date**				
119	Enter Next Pay Through Date	**Current Date**				
120	Enter Next Payment Date	**Current Date**				
121	Click Source/BU		Source/BU page displays			
122	Verify ONLY the BU being used in this script is checked.		Process = Checked for BU in this script			
123	Click Dates		Dates page displays. Verify that Use Holiday Calendar is checked. Also verify that PA is entered in the field to the right of Use Holiday Calendar.			
124	Click Save					
125	Accounting Date defaults to Payment Date entered above					
126	Withholding Date defaults to Payment Date entered above					
127	Click Go To Pay Cycle Manager link		Pay Cycle Manager page displays			
128	Payment Selection Server is selected	**PSUNX**	Verify correct Server is selected			
129	Click Process button to the left of Payment Selection		Status will show as Running			
130	Click Refresh button until Status = Selected					
131	Click Details link		Pay Cycle Detail Data page displays			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ____________
Department: ____________
Date of Test: ____________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
132	Click Search button		Results display. Click View All (if available) to show all payments. Verify that only the vouchers from above are listed. If there are any other vouchers listed, choose action = Exclude and then click save. Only the voucher from this script will be listed.			
133	Click Pay Cycle Manager link		Pay Cycle Manager page displays			
134	Payment Creation Server is selected	**PSUNX**	Verify correct Server is selected			
135	Click Process button to the left of Payment Creation		Status will show as Running			
136	Click Refresh button until Status = Created					
137	Click Trial Register link		Trial Register page displays			
138	Click Add a New Value Tab if this is the first time running this run control. If there is already a run control set up for this process, choose the current one.					
139	Enter Run Control ID	**Trial_Register**				
140	Click Add or Search & Choose Paycycle	**VENDR2**	Regisiter page displays. Language = English			
141	Click Run		Process Scheduler Request page displays			
142	Click OK		Register page displays			
143	Click Report Manager link		List page displays			
144	Click Administration page		Administration page displays			
145	Click Refresh button until Trial Register link under "Description" is available					
146	Click Trial Register link		Trial Register report opens on screen			
147	Click Printer icon & Click OK		Trial Register report prints - Save as backup to attach to this Test Script. Note Payment Ref for the above voucher ____________________			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ______________
Department: ______________
Date of Test: ______________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
148	**Navigation...** Main Menu > Accounts Payable >Payments> Pay Cycle Processing > Pay Cycle Manager		Pay Cycle Manager page displays			
149	Click Magnifying Glass to choose paycycle	**VENDR2**				
150	Click Search		Pay Cycle Manager page displays			
151	Click Approve link		Paycycle Approval page displays			
152	Click Approve button		Processing will flash in the upper right hand corner of the page until Status = Approved			
153	**Navigation...** Main Menu > Accounts Payable > Reports > Payments > VT Payment Warrant Report		VT Payment Warrant Report page displays			
154	Enter Run Control ID (ADD the first time, Find EXISTING value thereafter)	**VT_Payment_Warrant_Report**				
155	Click Search (or Add if this is the first time entering this run control)		Run Control page displays			
156	Enter Pay Cycle	**VENDR2**				
157	Click Magnifying Glass to choose Pay Cycle Sequence Number		Choose the most recent number that has a Run Status of "Approved". Pay Cycle Sequence Number populates on Run Control page.			
158	Click Save					
159	Click Run		Process Scheduler Request page displays			
160	Click OK		Run Control page displays			
161	Click Report Manager link		List page displays			
162	Click Administration page		Administration page displays			
163	Click Refresh button until Payment Warrant Report link under "Description" is available					
164	Click Payment Warrant Report link		Payment Warrant Report displays			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: __________
Department: __________
Date of Test: __________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
165	Click Printer icon & Click OK		Payment Warrant Report prints - (Save as backup to attach to this Test Script)			
166	Compare Payment Warrant Report to a Payment Warrant Report that is from prior to this upgrade. (This tests the Crystal Check Warrant Modification)		Verify that all information prints and is correct compared to the Payment Warrant Report from prior to this upgrade.			
167	**Treasurer's Office side**					
168	**Navigation...** Main Menu > Accounts Payable > Payments > Pay Cycle Processing > Pay Cycle Manager		Pay Cycle Manager page displays			
169	Click Magnifying Glass to choose paycycle	**VENDR2**				
170	Click Search		Pay Cycle Manager page displays			
171	Server Name under Paycycle Results defaults in	**PSNT**	Accept Default			
172	Choose Output Type	**Web**	Output Type = File defaults in			
173	Click Process to the left of "Print Checks"		Processing will flash in the upper right hand corner of the page until Status = Confirmed			
174	Click Process Monitor link		List page displays			
175	Click Refresh		Process APY2021 - Run Status = Success & Distribution Status = Posted			
176	Click Details link beside Process that was just run		Process Detail page displays			
177	Click View Log/Trace link		View Log/Trace page displays			
178	Click RPT file under File List		File Download Box will appear. Click OPEN. Message appears: Some links could not be updated because their sources are presently unavailable. Click OK. Copy of check opens to print			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ______

Department: ______

Date of Test: ______

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
179	Click Print & Click OK		Check(s) will print. Verify that the comment entered on the voucher has printed on the check.			
180	Compare printed check to a Printed Check from prior to this upgrade. (This tests the AP Check & Check Stub Modification)		Check print should mimic that of a check printed prior to this upgrade. Contact the Treasurer's Office for verification that the check print is correct. Save this check copy and notification from the Treasurer's office that all is fine with the check print as backup to this test script.			
181	**Navigation...** Main Menu > Accounts Payable >Payments> Pay Cycle Processing > Pay Cycle Manager		Pay Cycle Manager page displays			
182	Click Magnifying Glass to choose paycycle	**VENDR2**				
183	Click Search		Pay Cycle Manager page displays			
184	Select Server PSUNX under Paycycle Results	**PSUNX**				
185	Click Process to the left of "Format Postive Pay"		Process button grays out, Status = Confirmed under Pay Cycle Results. Status = Running under Pay Cycle Status			
186	Click Process Monitor link		List page displays			
187	Click Refresh		Process Name = AP_APY2050 - Run Status = Success and Distribution status = Posted			
188	Scroll to bottom of screen and click on Go Back to Paycycle Manager link		Pay Cycle Manager page displays			
189	Click Magnifying Glass to choose paycycle	**VENDR2**				
190	Click Search		Pay Cycle Manager page displays			
191	Server Name under Paycycle Results defaults in	**PSUNX**	Accept Default			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ____________

Department: ____________

Date of Test: ____________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
192	Choose Output Type	**File**				
193	Enter Output Destination		Check with Trudy/John for the correct path name before running this step			
194	Click Process to the left of "Produce Positive Payment File"		Process field grays out			
195	Click Refresh until Run Status = Success, Distribution Status = Posted for Process Name PPFILE					
196	Verify PPFILE is correct. (This tests the Positive Pay Modification)		Trudy Marinuea/John Hackney in addition to Ram Verma in the Treasurer's office should be invovled and sign off (email notification is ok and must be attached to this test script as back up) that the PPFILE looks correct and that the file can successfully be accepted by the bank.			
197	Click Go Back to Paycycle Manager link					
198	Click Magnifying Glass to choose paycycle	**VENDR2**				
199	Click Search		Pay Cycle Manager page displays			
200	Paycycle Status = Completed					
201	**Navigation...** Main Menu > Accounts Payable > Batch Processes > Payment > Payment Posting		Payment Posting Request page displays			
202	Enter Run Control ID (ADD the first time, Find EXISTING value thereafter)	**Post_Payment**				
203	Click Search		Payment Posting Request page displays			
204	Enter Request ID	**1**				
205	Enter Description	**Post Payments**				
206	Choose Process Frequency	**Always Process**				
207	Choose Post Payment Option	**Post Payment**	Transaction type subpanel appears			
208	Enter SetID	**STATE**				

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ____________

Department: ____________

Date of Test: ____________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
209	Enter Bank Code	**HOWRD**				
210	Enter Bank Acct	**0005**				
211	Enter Payment Method	**CHK**				
212	Enter Payment Reference	**from above**				
213	Click Save					
214	Click Run		Process Scheduler Request page displays			
215	Select Process Name AP_PSTPYMNT					
216	Click OK		Payment Posting Request page displays			
217	Click Process Monitor link		Process List/Server List displays			
218	Verify Run Status = Success (Click Refresh)					
219	Verify Distribution Status = Posted (Click Refresh)					
220	Click Details link		Server = PSUNX			
221	**Navigation...** Main Menu > General Ledger > Journals > Subsystem Journals > Generate Journals		Generate Journals page displays			
222	Choose Run Control ID (ADD the first time, Find EXISTING value thereafter)	**Generate_Journals**				
223	Click Search (or ADD if this is the first time running this process)		Generate Journals Request page displays			
224	Under "Journal Processing Options" Select all options		Edit, Budget Check and Post options are selected			
225	Choose Process Frequency	**Always**				
226	Choose Set ID	**STATE**				
227	Choose Accounting Definition Name	**APDEFN**				
228	Choose Application Business Unit	**01110**				
229	Choose Ledger Group	**ACTUALS**				
230	Leave Template Blank					
231	From Date Option	**Specify Date = Current Date**				

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: __________

Department: __________

Date of Test: __________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
232	To Date Option	**Specify Date = Current Date**				
233	Click Run		Process Scheduler Request page displays			
234	Select FS_JGEN					
235	Click OK		Generate Journals Request page displays			
236	Click Process Monitor link		Process List/Server List displays			
237	Verify Run Status = Success (Click Refresh)					
238	Verify Distribution Status = Posted (Click Refresh)					
239	**Navigation...** Main Menu > Accounts Payable > Review Accounts Payable Info > Vouchers > Accounting Entries		Voucher Accounting Entries page displays. Your default BU will populate the Business Unit field.			
240	Enter Business Unit if not using your default BU.	**01110**				
241	Enter Voucher ID <tab>	**from above**				
242	Click Search		Accounting Information will load at the bottom of the page. All voucher information that was entered will default in (Invoice #, Invoice Date, Vendor ID, Vendor Name).			
243	Click View All link		Accounting Information will show for both the AP Accrual (Voucher) and the Payments (Payment).			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ______________
Department: ______________
Date of Test: ______________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
244	In the AP Accrual section - Click the Show All columns icon to the right of the three tabs		All accounting information now shows. Verify that the GL Dist Status = Distributed. Verify that there is a debit to Expense Distrbution using the account used in the above voucher and a credit to Accounts Payable 200001. Verify that all chartfield information used in the above voucher has carried forward for each accounting line. The Journal ID will be listed along with the journal date. The Budget Status should be V. Note the Journal ID (begins with AP) ______________________			
245	In the Payments section - Click the Show All columns icon to the right of the three tabs		All accounting information now shows. Verify that the GL Dist Status = Distributed. Verify that there is a credit to 101004 and a debit to 101010 for GL BU 00005. Verify that there is a debit to 200001 and a credit to 101010 for GL BU 01110. Verify that all chartfield information used in the above voucher has carried forward for each accounting line. The Journal ID will be listed along with the journal date. The Budget Status should be V. Note the Journal ID (begins with PA) for each GL BU ______________________			

VISION Upgrade Test Scripts

Module:	**Accounts Payable**
Scenario:	**Voucher Entry with Comment for Check**
Test #:	**AP-02**
Test Description:	**Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File**

Tester Name: ____________
Department: ____________
Date of Test: ____________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
246	**Navigation...** Main Menu > General Ledger > Journals > Journal Entry > Create Journal Entries		Create Journal Entry page displays. Your default BU will appear in the Business Unit field. Journal ID = NEXT. Journal Date = Current Date.			
247	Click Find an Existing Value and Click the Clear button		All data is removed from the fields			
248	Enter Business Unit	**01110**				
249	Enter Journal ID	**AP Journal from above**				
250	Click Search		Search Results display			
251	Click Lines page		Lines page will display. There should be a debit to an expense account and a credit to Accounts Payable. (There may be multiple lines depending on how many vouchers have been posted prior to journal generator being run). The Journal Status will be equal to P for Posted. The Budget Status will be equal to V for Valid.			
252	**Navigation...** Main Menu > General Ledger > Journals > Journal Entry > Create Journal Entries		Create Journal Entry page displays			
253	Click Find an Existing Value and Click the Clear button		All data is removed from the fields			
254	Enter Business Unit	**01110**				
255	Enter Journal ID	**PA Journal from above**				
256	Click Search		Search Results display			

Module:	Accounts Payable
Scenario:	Voucher Entry with Comment for Check
Test #:	AP-02
Test Description:	Enter a standard voucher with a comment to print on the check, reject the paycyle and re-run. Check Mods for Check Print, Warrant Report & Postive Pay File

Tester Name: ________
Department: ________
Date of Test: ________

Step No.	Navigation / Procedure	Test Data	Expected Results	"P"ass or "F"ail	If Fail, then Error Description	Error Resolution
257	Click Lines page		Lines page will display. There should be two lines. There should be a debit to 200001 and a credit to 101010. The Journal Status will be equal to P for Posted. The Budget Status will be equal to V for Valid.			
258	**Navigation...** Main Menu > General Ledger > Journals > Journal Entry > Create Journal Entries		Create Journal Entry page displays			
259	Click Find an Existing Value and Click the Clear button		All data is removed from the fields			
260	Enter Business Unit	**00005**				
261	Enter Journal ID	**PA Journal from above**				
262	Click Search		Search Results display			
263	Click Lines page		Lines page will display. There should be two lines. There should be a debit to 101010 and a credit to 101004. The Journal Status will be equal to P for Posted. The Budget Status will be equal to V for Valid.			