Department of Administrative Services

Enterprise Goods and Services

Financial
Business Systems (FBS)

2012–2013
Business Plan

TABLE OF CONTENTS

This document presents the background and current year business plan for the Financial Business Systems (FBS) section. It is the result of staff's efforts to plan the work for the next fiscal year based on the purpose of the section and a commitment to make the best possible use of limited resources.

Background

Plan 2012-2013 Objectives and 2011 - 2012 Accomplishments, by Unit

Cost Saving Accomplishments

Performance Measures

Finale

FBS Systems and Services

FBS is the unit in the Enterprise Goods and Services Division that is responsible for the Statewide Financial Management Services (SFMS) and Application (SFMA); the Oregon Statewide Payroll Services (OSPS) and Application (OSPA); the Datamart; DAS Centralized PERS Services; and Shared Payroll Services.

SFMS is responsible for operational support, control, training, and improvements to SFMA. SFMS is comprised of SFMS Operations and SFMS Systems Management. The DAS Centralized PERS Services Team (DCPST) is incorporated into the SFMS Systems Management section. PERS Services is responsible for accurately reporting required information to PERS on behalf of the State of Oregon as a PERS employer, and acts as a liaison between state agencies and PERS.

OSPS is responsible for agency support, training, system changes, manual checks and the management of OSPA, which updates payroll data bimonthly. The Shared Payroll Services (SPS) is incorporated into OSPS and provides payroll services for DAS as well as 25 client agencies.

FBS Administration is responsible for the overall management of the above units as well as the direct management of the Datamart, Quality Assurance, SFMA Training and Administrative Support.

DOCUMENT INTENT

The intent of this document is to provide information about our work. This document is also a tool by which we can establish our vision, priorities, objectives, and expectations. In addition, we have included accomplishments for the fiscal year ended June 30, 2012.

We plan our efforts to make a positive difference to our customers. In order to do so, we:

- Value integrity, competence, and professional conduct and avoid conflicts of interest.

- Make contributions that improve our customers' ability to do their job.

- Are creative in finding solutions to problems, open to new ideas and willing to take appropriate risks.

- Are truthful in our communications even when delivering bad news.

- Are respectful of others, keep confidences, and are good listeners.

- Provide encouragement and support to others toward achieving our customers' goals and are not afraid to ask for their support of our goals.

- Recognize the interdependence necessary to achieve goals and work as a team to accomplish more than we can as individuals.

PURPOSE

To operate effective and efficient enterprise systems and processes that meet both central administration and agency needs by:
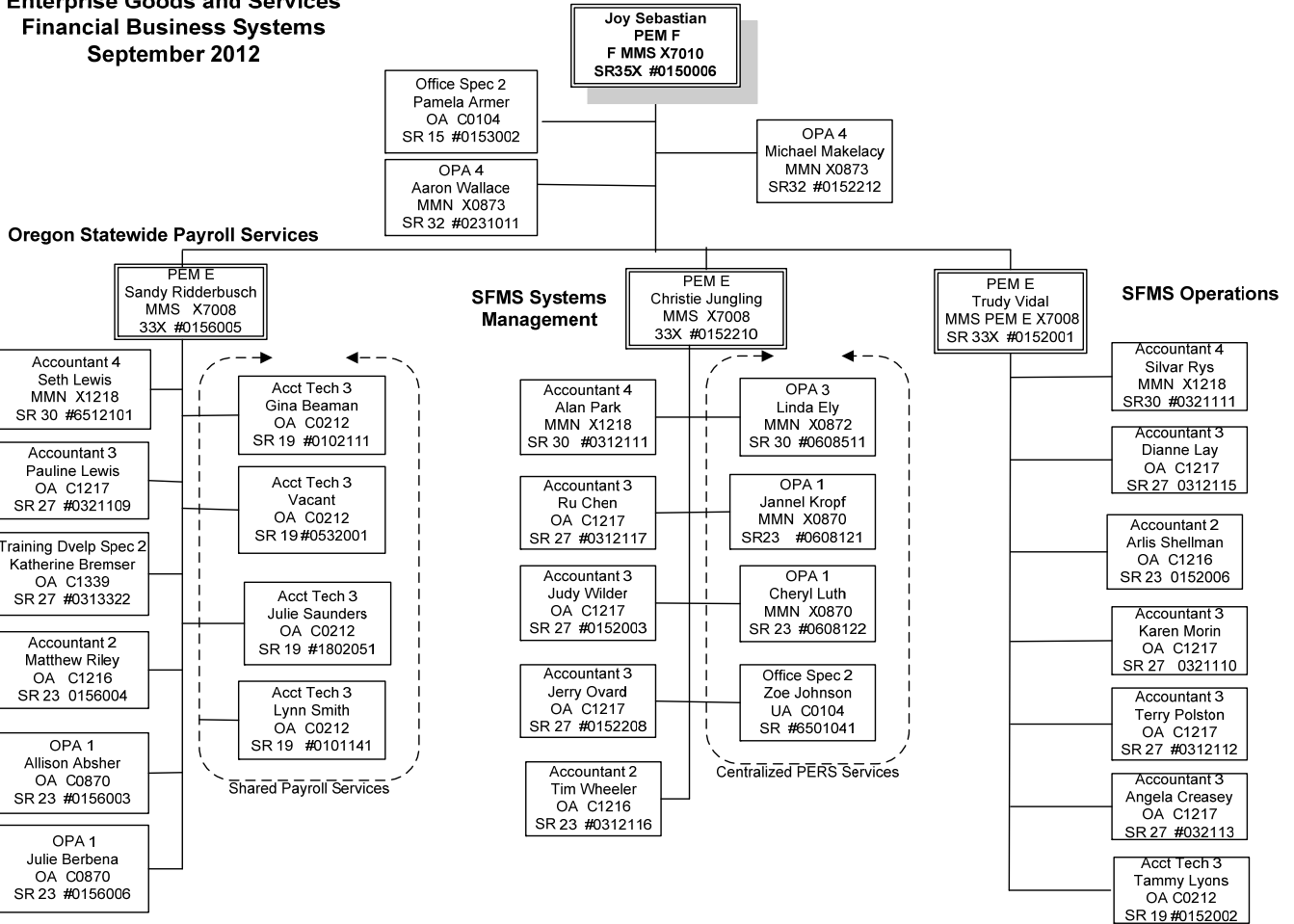
- Providing quality customer service and agency training.

- Ensuring integrity of data and providing system functionality that meets the needs of customers.

- Maintaining controls as designated by the state legislature.

VISION

FBS will listen carefully and act responsibly to provide excellent customer service and effective automated financial systems to customers. We will demonstrate self-directed professionalism, teamwork, and accountability as we strive to balance customer needs, system functionality, required controls, and available resources.

FBS Organization Chart

Enterprise Goods and Services
Financial Business Systems
September 2012

Joy Sebastian
PEM F
F MMS X7010
SR35X #0150006

Office Spec 2
Pamela Armer
OA C0104
SR 15 #0153002

OPA 4
Michael Makelacy
MMN X0873
SR32 #0152212

OPA 4
Aaron Wallace
MMN X0873
SR 32 #0231011

Oregon Statewide Payroll Services

PEM E
Sandy Ridderbusch
MMS X7008
33X #0156005

SFMS Systems Management

PEM E
Christie Jungling
MMS X7008
33X #0152210

PEM E
Trudy Vidal
MMS PEM E X7008
SR 33X #0152001

SFMS Operations

Accountant 4
Seth Lewis
MMN X1218
SR 30 #6512101

Acct Tech 3
Gina Beaman
OA C0212
SR 19 #0102111

Accountant 4
Alan Park
MMN X1218
SR 30 #0312111

OPA 3
Linda Ely
MMN X0872
SR 30 #0608511

Accountant 4
Silvar Rys
MMN X1218
SR30 #0321111

Accountant 3
Pauline Lewis
OA C1217
SR 27 #0321109

Acct Tech 3
Vacant
OA C0212
SR 19 #0532001

Accountant 3
Ru Chen
OA C1217
SR 27 #0312117

OPA 1
Jannel Kropf
MMN X0870
SR23 #0608121

Accountant 3
Dianne Lay
OA C1217
SR 27 0312115

Training Dvelp Spec 2
Katherine Bremser
OA C1339
SR 27 #0313322

Acct Tech 3
Julie Saunders
OA C0212
SR 19 #1802051

Accountant 3
Judy Wilder
OA C1217
SR 27 #0152003

OPA 1
Cheryl Luth
MMN X0870
SR 23 #0608122

Accountant 2
Arlis Shellman
OA C1216
SR 23 0152006

Accountant 2
Matthew Riley
OA C1216
SR 23 0156004

Acct Tech 3
Lynn Smith
OA C0212
SR 19 #0101141

Accountant 3
Jerry Ovard
OA C1217
SR 27 #0152208

Office Spec 2
Zoe Johnson
UA C0104
SR #6501041

Accountant 3
Karen Morin
OA C1217
SR 27   0321110

OPA 1
Allison Absher
OA C0870
SR 23 #0156003

Shared Payroll Services

Accountant 3
Terry Polston
OA C1217
SR 27 #0312112

Accountant 2
Tim Wheeler
OA C1216
SR 23 #0312116

Centralized PERS Services

Accountant 3
Angela Creasey
OA C1217
SR 27 #032113

OPA 1
Julie Berbena
OA C0870
SR 23 #0156006

Acct Tech 3
Tammy Lyons
OA C0212
SR 19 #0152002

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INTEGRATION WITH MISSION OF DEPARTMENT

The FBS business plan supports the mission of the Department of Administrative Services, which is:

"We serve state government to benefit the people of Oregon."

CUSTOMERS AND SERVICES

Central Control Agencies
Secretary of State, Audits Division, State Treasury, DAS Office of the Chief Financial Officer Division, Legislative Fiscal Office, DAS Enterprise Technology Services, DAS Office of the Chief Information Officer, Enterprise Goods and Services Division, Shared Financial Services Section, Public Employees Retirement Services, all agency payroll and human resource offices.

Outside Entities
Citizens, state employees and retirees, vendors, federal, state, and local government

We maintain and monitor system functionality to provide the following:

- Payments for employee and services rendered that are timely, accurate, and less cumbersome by providing central contact point for correcting and collecting information, and direct mailing options.

- Statewide availability of W-2, 1099-MISC, backup withholding, and withholding regulations and processes.

- Direct Deposit functionality.

- Stop Payment functionality.

RESOURCES

Our employees are our most important resource. They are experts in their respective areas in State of Oregon enterprise system functionality as well as practices, Federal and State Laws, Executive Orders and diverse collective bargaining agreements. On average, it takes more than a year to function effectively in most sections of FBS. The skill sets many of our positions require combine area of expertise and system technical knowledge. Staff's successes typically involve sophisticated problem solving and matching system capability with requirements. Some staff find this type of deliverable unrewarding compared to a standard position, while others find it exhilarating. Our trained staff are desirable candidates for promotions to other agency positions. We expect retention to challenge our unit.
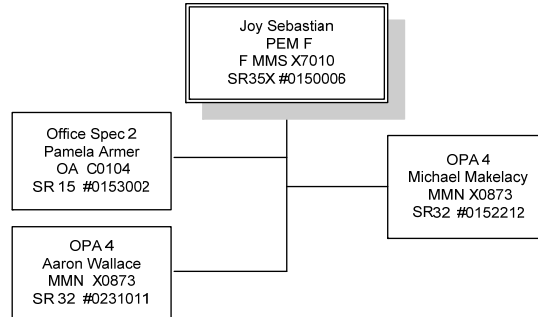
Financial
Business Systems

FBS Administration

2012–2013
Business Plan

FBS ADMINISTRATION

FBS Administration is comprised of four staff plus a portion of an Accountant 3 to perform R*Stars and ADPICS modular training.

FBS Administration ORGANIZATION CHART

Enterprise Goods and Services
Financial Business Systems

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                    ┌──────────────────────┐
                    │   Joy Sebastian       │
                    │   PEM F               │
                    │   F MMS X7010         │
                    │   SR35X #0150006      │
                    └──────────────────────┘

┌──────────────────────┐
│  Office Spec 2        │
│  Pamela Armer         │        ┌──────────────────────┐
│  OA  C0104            │        │   OPA 4               │
│  SR 15  #0153002      │        │   Michael Makelacy    │
└──────────────────────┘        │   MMN X0873           │
                                 │   SR32 #0152212       │
┌──────────────────────┐        └──────────────────────┘
│  OPA 4                │
│  Aaron Wallace        │
│  MMN  X0873           │
│  SR 32  #0231011      │
└──────────────────────┘
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Key Functions

FBS Administration is responsible for the strategic and long-term management of FBS functions as summarized in the following general categories:

- **Leadership and Direction –** Provide FBS program leadership and direction consistent with required controls as well as the desires and needs of agencies and financial reporting in addition to overall FBS management, OSPA, SFMA and Datamart management, quality assurance (QA), and system internal control direction.

- **System Security and Internal Controls** – Coordinate with the DAS Security Office and Enterprise Technology Services in development of statewide security and internal control policies and procedures as they relate to SFMA, OSPA and the Datamart in accordance with the DAS Information Security Plan, Control Objectives of Information and Related Technology, the International Standards Organization 17799, the Oregon Consumer Identity Theft Protection Act and the Enterprise Information Asset Classification and Transportation policy. Perform Quality Assurance on SFMA and OSPA programming changes.

- **Datamart Management** – Manage the Datamart, a system which houses tables of data downloaded from the central financial, payroll, personnel, position control and budgeting systems. Support both ad hoc reporting and repository of standard reports that agencies may use to query the Datamart.

- **Consulting** – Provide consulting services to statewide agency customers on issues related to R*Stars, ADPICS, Payroll and the Datamart. Work with agencies for an integration of customer service criteria with authoritative internal control objectives to help achieve an optimum balance supporting FBS's dual role of providing service and control to stakeholders.

- **Training** – Develop, maintain, implement, and present R*Stars, ADPICS, and Datamart training materials and programs for various levels of statewide agency staff expertise. Trains on the use of macros.

- **Small Purchase Order Transaction System (SPOTS)** – Provide statewide coordination, management, and allocation of rebates for the State's VISA purchase card.

- **Administrative Services** – Provide support for all FBS units as well as maintenance of the documentation of about 125,000 vendor W-9s and/or Tax Identification Number IRS match documentation.

- **FBS Budget** – Develop, monitor, and provide feedback on the FBS Budget in conjunction with the DAS Business Services staff.

2012/2013 Resources by Key Function

The schedule below shows the key functions of FBS Administration, the percentage of time devoted to each key function by staff position, and the total FTEs assigned to each key function in 2012/13.

Function	Manager Joy	OPA 4 Michael	OPA 4 Aaron	Acct 3 Trainer Jerry	Office Specialist Pamela	Total FTE
Leadership and Direction	25%	5%				0.30
System Security and Internal Controls	10%	30%	15%			0.55
Datamart Management		10%	45%			0.55
Consulting	15%	35%	10%			0.60
Training	25%	20%	25%	40%		1.10
SPOTS	10%					0.10
Administrative Services					100%	1.00
EGS/FBS Budget	15%		5%			0.20
Total	100%	100%	100%	40%	100%	4.40

2012-2013 Business Plan Objectives

Each year the SFMS staff identifies the objectives that will support our philosophy and purpose. Our overall objectives are tasks we plan to achieve, recognizing that shifting priorities, shrinking resources, and increasing demands for services may preclude our ability to achieve complete success.

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
Leadership and Direction	1	Meet with FBS Managers weekly and all FBS staff semi-yearly.	Provide a forum to share the status of FBS projects. FBS Projects updated information is provided in written form to all FBS Managers weekly.	High	Ongoing	

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	2	At the agencies' requests, visit at least 10 agencies and take the opportunity to discuss challenges, concerns, and successes with FBS.	Perpetuate excellent customer service.	High	Ongoing	
	3	Continue to administer the Small Purchase Order Transaction System (SPOTS).	Interact with agencies on the most appropriate use of the SPOTS card.	High	Ongoing	
	4	Build the new FBS team.	Work with all staff to make them feel part of our new team.	High	July 2012	June 2013
	5	Work on a temporary and permanent seating plan that allows managers to be close to all of their staff.	Allow managers of new staff to be more successful and to build a more cohesive team.	High	Aug 2012	May 2013
System Security and Internal Controls	6	Quality Assurance (QA) on all SFMA and OSPA programming changes.	Assure all system changes meet objectives and have appropriate testing.	High	Ongoing	
	7	Refine mainframe user permissions.	Address emerging threats.	High	Ongoing	
	8	Optimize interface machine access.	Address emerging threats.	High	Ongoing	
	9	Research new SFMS user classes (UC) to merge current user classes when a large percentage of the users already have the same combination of multiple user classes. If appropriate put new UC in place.	To create efficiencies by eliminating the need for some users to constantly change user classes.	High	Sept 2012	Feb 2013
	10	Maintain special view access based on agency defined confidential information and user need.	To secure identified data.	High	Ongoing	
	11	Delete obsolete agencies that have no meaningful financial information in SFMA.	To create efficiencies and eliminate possible problems with obsolete agencies.	Medium	Oct 2012	Feb 2013

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	12	Research functionality of Business Intelligence Server and web access to the Oracle System 11 query tool for potential benefits.	Efficient and effective use of the Datamart.	High	Ongoing	
	13	Manage Datamart Repository and develop new reports for agency use.	Efficient and effective use of the Datamart.	High	Ongoing	
	14	Create a Datamart yearly calendar depicting load times throughout the fiscal year.	High quality customer service to meet the needs of users.	High	Oct 2012	Dec 2012
	15	Keep Datamart customers informed via the Datamart-News list, Datamart website and training courses.	High quality customer service to meet the needs of users.	High	Ongoing	
	16	Evaluate, test and implement hardware and software updates that impact the Datamart (e.g., AIX-OS, DB2, ODBC drivers).	Efficient and effective use of the Datamart.	High	Ongoing	
	17	Work with DAS, Enterprise Goods and Services, Shared Financial Services, to train and implement the version 11 Scheduler.	High quality customer service to meet the needs to users.	Medium	Ongoing	
	18	Create a new payroll only training manual and training class.	Better meet the needs for payroll staff working with the Datamart.	High	Oct 2012	Mar 2013
	19	Archive two years of data from the Datamart.	To stay in compliance with the requirement to maintain data for only six years.	High	Oct 2012	Nov 2012
	20	Develop more efficient methods to connect payroll, accounting and budget data.	Efficient and effective use of the Datamart.	High	Oct 2012	June 2013

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
Consulting	21	Work with agencies to learn, "What functionality are agencies looking for in a financial system that they do not have today?"	To continue the process of identifying agencies' objectives for a new accounting system.	High	Feb 2013	June 2013
	22	Research method to report the Data Universal Numbering System (DUNS) with R*Stars accounting event data. If appropriate put results in place.	To create efficiencies for agencies required to use DUNS.	High	Sept 2012	May 2013
	23	Manage reports for transparency requirements (HB 2500).	Generate and distribute the required reports for SPOTS transactions and SFMA data for the transparency reporting requirements.	High	Ongoing	
Training	24	Using training modules to train SFMA users via remote and training lab, on the appropriate use of the R*Stars (accounting) and ADPICS (purchasing) systems.	Provide a more effective and efficient use of SFMA. Provide training and direction to users as needed.	High	Ongoing	
	25	Revise R*Stars training modules, as needed.	Provide up-to-date training consistent with system changes.	High	Ongoing	
	26	Review the R*Stars training manuals and add indices.	Provide up-to-date training consistent with system changes and agencies' non-functionality request.	High	Ongoing	
	27	Participate in training and documentation regarding what SFMA can do.	To provide a high level overview of SFMA functionality. This additional training was requested by agencies.	High	July 2012	Nov 2012
	28	Facilitate a macro training user group to discuss and train agencies on the use of macros to populate SFMA and OSPA.	Assist agencies in the most efficient use of SFMA and OSPA.	High	Ongoing	

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	29	Continue lecture type training.	To provide an alternative learning methodology for R*Stars.	High	Ongoing	
	30	Create training for agencies on the ability to generate cost per transaction data.	This was part of the agencies' non-functionality request.	High	Sept 2012	March 2013
	31	Provide training for SFMS staff semi-yearly.	Develop a more trained workforce.	High	Ongoing	
	32	Develop additional Datamart training classes, for example OSPS specific training; research feasibility of using iLearn to provide training to Datamart users.	High quality customer service to meet the training needs of users.	High	Ongoing	
SPOTS	33	Provide guidance to agency SPOTS Coordinators regarding the appropriate use of the SPOTS card.	Assist agencies with the interpretation of the Oregon Accounting Manual and how it relates to the SPOTS card use.	High	Ongoing	
	34	Facilitate an annual meeting with SPOTS Coordinators.	Review the SPOTS section of the Oregon Accounting Manual and the logic behind the changes with the SPOTS Coordinators.	High	March 2013	May 2013
	35	Make generic SPOTS Cardholder training for SPOTS Coordinators and cardholders.	Provide a training option for agencies adopting the OAM as their SPOTS policy.	High	Ongoing	
Administrative Services	36	File paper W-9s and/or Tax Identification Number – (TIN) IRS match documentation.	Storing and retrieving W-9s or TINs per the IRS requirement to secure and make available these documents in the event inconsistencies arise.	Medium	Ongoing	
	37	Remove hard-copy W-9 and TIN match information for vendors purged from SFMA.	To create a more efficient filing and retrieving process.	Medium	Nov 2012	June 2013
	38	Responsible for mail and filing D23 fund data.	Efficient administrative duties.	High	Ongoing	

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	39	Work with DAS Operations to finalize the AY 15 budget for FBS.	To reflect an accurate budget for the Enterprise Goods and Services, Financial Business Systems consistent with the direction provided by DAS.	High	July 2012	June 2013
	40	In conjunction with Systems Management, Datamart and OSPA Staff, analyze monthly Enterprise Technology Services (ETS) costs.	Facilitate an understanding of the ETS costs so that FBS enterprise systems anticipate the cost of system changes.	High	Ongoing	
	41	Review all FBS invoices for appropriate documentation and accuracy prior to approving.	Assure only appropriate invoices are approved for payment.	High	Ongoing	

FY12 Accomplishments for FBS Administration

Prior to July 1, 2012, FBS Administration was equivalent to the SFMS Administration staff and the Datamart staff in the State Controller's Division.

Leadership and Direction

- Met with SFMS Managers weekly and all SFMS staff monthly. A written document was updated and shared with SFMS managers.

- Initiated customer service discussions during SCD Manager Meetings to help improve performance.

- Effected communication between SFMS and IS&S for effective and efficient use of resources.

- At agencies' request participated in 27 agency visits.

- Participated in the Statewide Financial Management Application and Datamart audits.

- Created and disseminated SFMS Quarterly Updates as appropriate.

- Continued to administer the statewide Small Purchase Order Transaction System (SPOTS).

- Worked with agencies to learn, "What functionality are agencies looking for in a financial system that they do not have today?"

- Participated in Entrepreneurial Management.

System Security and Internal Controls

- Performed quality assurance on 47 system changes and six re-occurring items to help ensure objectives were met and testing was appropriate.

- Met every other week with DAS Security Officer to address overall agency security issues.

Datamart Management

- Went live with Scheduler version 11 from version 8.
- Completed the work with TSC to implement a silent install script for IR Studio, allowing all of DAS to be updated with IR Studio without loss of employee time.
- Added the 'Treasury Fund' field to the 'Agency Code 3' table within the Datamart.
- Completed the yearly audit update for the Secretary of State Audits Division.
- Created the Datamart Processing Calendar.
- Posted the updated ODBC drivers to the website.

Consulting

- Provided final HB 2500 (transparency) checkbook information to the Enterprise Information Strategy and Policy Division (EISPD) for publishing to the state website.

Training

- Provided 506 training hours to help R*Stars and ADPICS users with more effective and efficient use of SFMA.
- Provided 1,008 Datamart beginning and intermediate class training hours.
- Updated 415 pages of training materials to help stay up-to-date with system changes.
- Revised over 100 pages of the Datamart beginning and intermediate training manuals.
- Trained interested agency staff on the use of macros to help with the efficient use of SFMA.
- Provided nine SFMS staff trainings.

SPOTS

- Facilitated an annual meeting with SPOTS Coordinators to communicate proposed changes to the SPOTS section of the OAM as well as the VISA program and training.
- Provided guidance to agency SPOTS Coordinators regarding the appropriate use of the SPOTS card.
- Created new SPOTS PowerPoint training for SPOTS Coordinators.
- Made changes to and published the SPOTS Oregon Accounting Manual Policy.

Administrative Services

- Worked with DAS Operations to discuss and assure the SCD budget to actual information was as expected.
- Worked with DAS Operations on the AY15 budget and segment costs for OSPS manual checks and SFMS return to agency warrants.
- Reviewed all SCD invoices for appropriate documentation and accuracy prior to approving.
- In conjunction with Systems Management, analyzed monthly State Data Center costs to facilitate an understanding and better anticipate the cost of requested changes.
- Removed hard copy W-9 and TIN match information for vendors purged from SFMA.
- Updated the Datamart and SFMS websites as needed.

Financial Business Systems

SFMS Operations

2012–2013
Business Plan

SFMS OPERATIONS

Purpose

The SFMS Operations is responsible for the daily management of SFMA (Statewide Financial Management Application).   The section supports the success of state government by providing advanced systems procedures and technical assistance to state agencies, administering and maintaining the statewide accounting (R*STARS) and purchasing (ADPICS) systems and providing financial reporting and management assistance.
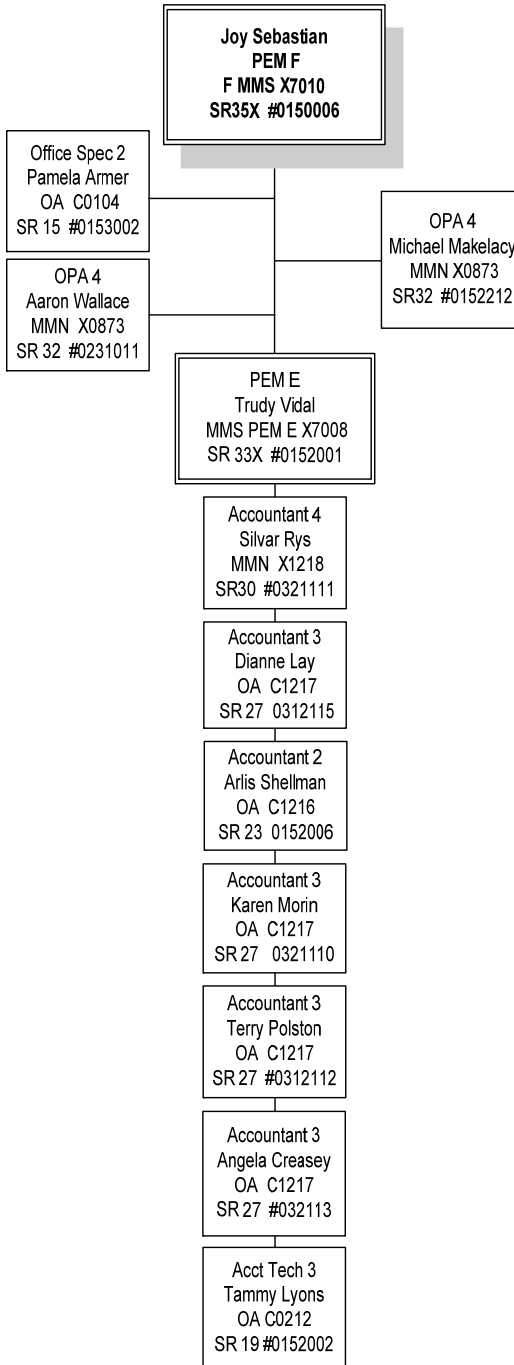
Legal Authority

Our legal authority comes from Chapter 291 and 293 in the Oregon Revised Statutes (ORS). We clarify and provide specifics in the Oregon Accounting Manual (OAM). The following ORS sections provide authority:

291.015   Establishes authority to set fiscal direction for the State.

291.100   Sets responsibility for financial management.

291.405   Assessment of state agencies for mass transit purposes, rates.

291.407   Mass Transit Assistance Account, source, distribution, Oregon Department of Transportation (ODOT) assistance, etc.

293.346   Authorizes drawing warrants against Treasury.

293.348   Authorizes charging agencies for warrants produced.

293.590   Sets responsibility to supervise state accounting.

293.595   Sets responsibility for supervising acquisition, installation, and use of computers for accounting processes.

SFMS Operations Organization Chart

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SFMS Operations

Joy Sebastian
PEM F
F MMS X7010
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Pamela Armer
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Resources
Our employees are our most important resource. They are experts in their respective areas in State of Oregon enterprise system functionality as well as practices and Federal and State Laws. On average, it takes more than a year to function effectively in the SFMS Operations section. The skill sets many of our positions require combine area of expertise and system technical knowledge. Staff's successes typically involve sophisticated problem solving and matching system capability with requirements. Some staff find this type of deliverable unrewarding compared to a standard position, others find it exhilarating. Our trained staff are desirable candidates for promotions to other agency positions. Retention can be a challenge in our unit.

Key Functions
The principal responsibilities of SFMS Operations are summarized in the following general categories:

- System Management – Ensure the integrity of R*Stars and ADPICS used by 82 state agencies and approximately 1,600 users. Coordinate production scheduling, including weekly, month-end, year-end, and subsystem processes. Maintain statewide profiles and tables. Perform system reconciliation using the generated control reports for the SFMA production region. Perform error resolution and research/resolution of accounting and system functionality issues.

- System Policy – Develop and distribute system policies, procedures, and documentation for R*Stars and ADPICS users.

- Cash Reconciliation – Responsible for monthly statewide reconciliation of joint payroll fund.

- Payment Processing – Provide statewide vendor maintenance for over 125,000 vendors, Automated Clearing House (ACH) processing and vendor training for agency staff. Administer payment processing and related profiles. Perform warrant cancellation, stop payment and requests forgery reimbursement.

- Agency Support – Assign agency assistance to provide wide range of system guidance on-site and via e-mail and telephone. Resolve problems and questions involving requestable and control reports and report distribution.

- Federal Compliance – Administer backup withholding, withholding tax, and 1099-MISC processing and training. Our responsibilities include all correspondence and transmission of payments as well as required forms to IRS and Department of Revenue.

- R*Stars General Fund – Perform all accounting services for Agency 999.

- Other Special Projects – Perform system modifications to profiles to meet required accounting pronouncements and federal regulations. Provide system requirements for requested system changes.

2012/2013 Resources by Key Function

SFMS Operations is comprised of eight full time staff. The schedule below shows the key functions, the percentage of time devoted to each key function by staff position and the total FTEs assigned to each key function in 2012/13.

Function	Manager Trudy	Acct 4 Silvar	Acct 3 Dianne	Acct 3 Angela	Acct 3 Karen	Acct 3 Terry	Acct 2 Arlis	Acct Tech 3 Tammy	Total FTE
System Management	15%	25%	20%	20%	20%	45%		5%	1.50
System Policy	20%	10%				5%			0.35
Cash Reconciliations	5%						50%		0.55
Payment Processing	5%		10%	10%	10%	5%	45%	95%	1.80
Agency Support	20%	45%	65%	65%	65%				2.60
Federal Compliance	15%	5%				30%			0.50
R*Stars General Fund	5%					10%			0.15
Other Special Projects	15%	15%	5%	5%	5%	5%	5%		0.55
Total	100%	100%	100%	100%	100%	100%	100%	100%	8.00

SFMS Operations plans to accomplish the following objectives during the fiscal year ending June 30, 2013.

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
System Management	1	Review daily control reports for proper batch cycle processing and balancing system.	Ensure the integrity of R*Stars and ADPICS used by 82 state agencies and 1,600 users.	High	Ongoing	
	2	Daily maintenance of statewide profiles.	Ensure compliance with budget, accounting and federal requirements.	High	Ongoing	
	3	Expire stale dated warrants.	Comply with state law.	High	July 2012	Nov 2012

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	4	Produce the yearly processing calendars for scheduling daily, weekly, monthly and yearly processes and programs.	Facilitate efficient coordination of jobs, closings and processes with other enterprise systems in an effort to meet all interested parties objectives.	High	Sept 2012	Nov 2012
	5	Research and resolve accounting and system related functionality issues.	Ensure the integrity of R*Stars and ADPICS used by 82 state agencies and 1,600 users.	High	Ongoing	
	6	Add statewide totals to the DAFR8450 reports for INAE and financial archive.	Eliminate the need to run tapes to obtain totals from these reports.	High	Oct 2012	March 2013
System Policy	7	Develop and distribute policies, procedures, and system documentation.	Provide up-to-date system information and internal procedures.	Medium	Ongoing	
Cash Reconciliation	8	Perform monthly statewide payroll reconciliation.	Ensure the integrity of transactions on SFMA and cash balances reconcile with Treasury and the payroll system.	High	Ongoing	
Payment Processing	9	Provide vendor maintenance for about 125,000 vendors, as well as ACH processing and training to agency staff.	Ensure accuracy in vendor setups for federal reporting requirements. Ensure secured environment for electronic payments.	High	Ongoing	
	10	Cancel and stop pay warrants and request forgery reimbursements.	Ensure appropriate processing of warrants that do not follow normal processing through the bank.	Medium	Ongoing	
	11	Research automating the ACH website for self help with USER ID's and Passwords.	Allow vendors to update their own USER ID's and change their passwords.	Medium	Jan 2013	June 2013
	12	Increase ACH website remittance information retention to 180 days.	Allow vendors access to longer period of data for research purposes.	High	July 2012	Sept 2012

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	13	Research removing "Pop Up" screen functionality on ACH website.	Eliminate need for vendors to disable pop up blocker on their internet connection which causes problems with website access.	High	Oct 2012	Dec 2012
Agency Support	14	Provide system guidance through specified agency assignments.	Ensure proper use of SFMA and provide guidance on system error correction.	High	Ongoing	
	15	Resolve problems and provide guidance with report requests.	Provide information for use of SFMA reports.	Medium	Ongoing	
	16	Participate in five agency visits per quarter.	Provide central staff with the opportunity to learn and understand more about each agency's environment.	Medium	Ongoing	
	17	Provide one formal training per quarter for agencies.	Continue to train agencies on the use of SFMA.	Medium	Ongoing	
	18	Provide SM with a list of topics for indexes on reference manuals or list of search words depending on SharePoint functionality.	Assist users with searching for reference material by topic.	High	Oct 2012	Dec 2012
	19	Create overview training of SFMA functionality from inquiry perspective.	Provide agencies with more documentation regarding what SFMA can do.	High	Sept 2012	Dec 2012
Federal Compliance	20	Administer backup withholding tax and 1099-MISC processing and training.	Comply with federal withholding and reporting requirements to avoid penalties.	High	Ongoing	
	21	Administer foreign vendor tax withholding and reporting.	Comply with federal withholding and reporting requirements to avoid penalties.	High	Ongoing	
R*Stars General Fund	22	Perform all accounting services for Agency 999 including CAFR disclosures.	Properly record centralized general fund activity and comply with GAAP.	Medium	Ongoing	

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
Other Special Projects	23	Provide one training per quarter for SFMS staff.	Ensure SFMS staff understands unit processes.	Medium	Ongoing	
	24	Clean up SFMS Operations folder on LAN.	Reduce duplicate copies of files and reduce storage costs.	Medium	Ongoing	
	25	Modify RTI split program to allow coding changes to Parent transaction that will update the Children transactions.	Reduce agency workloads. Currently, agencies must delete the Parent transaction if the coding is incorrect and re-enter.	High	Jan 2013	June 2013
	26	Update web links on various documents and forms with new web locations.	Ensure proper links to our ACH form and other documents advertised on the warrants and W-9's.	High	July 2012	Dec 2012
	27	Provide SFMS Administration with information to generate cost per transaction data.	Provide agencies with cost data for financial purposes.	High	Sept 2012	Dec 2012
	28	Review and update 90 Help Profile descriptions.	Provide accurate and detailed descriptions on the SFMA help screens.	Medium	July 2012	June 2013 (multi-year project)
	29	Research inserting a coding change when Mass Transit transactions are created.	Simplify the Mass Transit calculation/cleanup process resulting when employees are paid from a complex mix of fund types.	Medium	Oct 2012	March 2013
	30	Participate in ORPIN Steering Committee meetings regarding ORPIN 2.0.	Provide accounting guidance from the R*Stars perspective to OSC.	Medium	Oct 2012	June 2013
	31	TIN Match inactive SSN vendors for possible change to algorithm vendor number.	Allow remaining true SSN vendors to be removed with next vendor purge to meet confidentiality requirements.	Medium	Oct 2012	June 2013

FY12 Accomplishments for SFMS Operations

System Management

- Reviewed daily control reports for proper batch cycle processing and balancing system.
- Maintained statewide profiles.
- Ran and verified annual program to expire stale dated warrants.
- Produced the yearly production and testing calendar for scheduling daily, weekly, monthly and yearly processes and programs.
- Researched and resolved accounting and system functionality issues.
- Moved large control reports to electronic reporting saving 75% of report printing charges.
- Added Banner Pages to DAFR740-1, DAFR737-3, DAFR314-0 to facilitate distribution of monthly treasury reports directly to agencies by Publishing and Distribution.

System Policy

- Developed and distributed policies, procedures and system documentation.
- Updated report explanations on Report Guide.
- Analyzed transaction codes which lack budgetary and cash controls and created document to present to agencies.

Cash Reconciliations

- Performed monthly statewide payroll reconciliation.
- Combined columns on proof of cash and linked supporting spreadsheets to eliminate keying information twice.

Payment Processing

- Provided vendor maintenance for about 125,000 vendors, and ACH processing and training to agency staff.
- Administered payment processing.
- Canceled and placed stop payment on warrants and performed fraud and forgery control.
- Analyzed and modified vendor coding for HB2500 transparency.
- TIN matched all appropriate vendors to ensure accurate SSN/FEIN designation for the algorithm project.
- Modified vendor maintenance screen to include TIN field to facilitate daily vendor review process once algorithm number was implemented.
- Re-sorted warrants in agency order and added agency sheet to facilitate distribution of return to agency warrants directly by Publishing and Distribution.
- Researched appropriate edits on type "R" batches and modified program to ignore inactive profiles and effective end dates.
- Tested ACH Incident Response Plan.
- Modified ACH email notification to facilitate vendors contacting the paying agency for payment questions.
- Increased the number of days that ACH information is retained on the website from 90 to 120.

- Modified warrant cancel/stop pay process to include reference document information for TC389.
- Analyzed and modified garnishment procedure to streamline and handle only appropriate to SFMS garnishments.

Agency Support

- Provided system guidance through specified agency assignments.
- Resolved problems and provided guidance with report requests.
- Participated in 19 agency visits.
- Provided five formal trainings for agencies including developing a new training on transaction codes.
- Provided agencies with document on existing functionality in SFMA including creating two new Hyperion queries available for agency staff on the Datamart repository.
- Created training on multipurpose code field and presented to agencies.

Federal Compliance

- Administered backup withholding tax and 1099-MISC processing and training.
- Administered foreign vendor tax withholding and reporting.
- Co-chaired the national committee for the Federally mandated 3% withholding requirement until the requirement was repealed in November 2011.
- TIN matched all 1099-MISC reportable vendors to avoid IRS penalties.
- Modified IRS 1099-MISC file to facilitate electronic reporting for Oregon.
- Identified system requirements to add the vendor number in the account number field on the printed 1099-MISC.
- Modified the DAFR7940/DAFR7920 1099-MISC worksheets to appropriately use the TIN and vendor number for research.

R*Stars General Fund

- Performed all accounting services for Agency 999 including CAFR disclosures.

Other Special Projects

- Provided four SFMS staff trainings.
- Created, tested and implemented 10 new agency requested transaction codes.
- Included General Ledger (g/l) account names on over 600 28B Transaction Code Description Profiles.
- Improved the instructions on the 64 Document screen for the financial archive.

Beyond 2013

- Print issuing agency address on warrants and use double window envelopes. This will allow the Post Office to return undeliverable warrants directly to issuing agency.
- Research and resolve the duplicate "F91 Document Level Error" notification on balanced transfer batches.
- Research and resolve the BT17 mismatch when an agency changes a transaction on an interfaced batch that has the warning "Change Not Allowed to Approved Document".
- Add GL 3503 to all appropriate DAFR reports.

Financial Business Systems

SFMS Systems Management

2012–2013
Business Plan
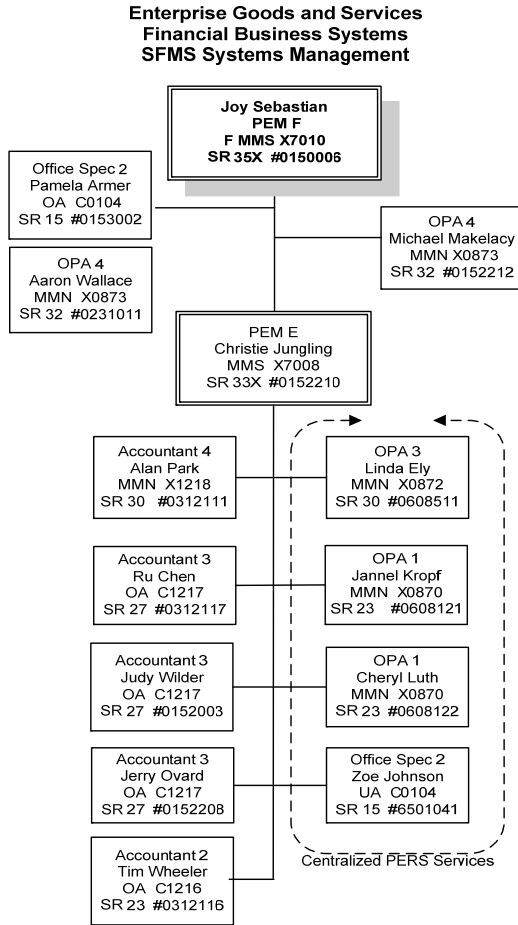
SFMS Systems Management

Purpose

Systems Management is the unit within SFMS that is responsible for supporting the statewide financial system by managing interfaces, data, and technical user documentation; analyzing and testing hardware and software upgrades, functionality enhancements, and system problems; and reconciling the state's General and Lottery Funds.

Legal Authority

Our legal authority comes from Chapter 291 and 293 in the Oregon Revised Statutes (ORS). We clarify and provide specifics in the Oregon Accounting Manual (OAM). The following ORS sections provide authority:

291.015   Establishes authority to set fiscal direction for the State.

291.100   Sets responsibility for financial management.

291.405   Assessment of state agencies for mass transit purposes, rates.

291.407   Mass Transit Assistance Account, source, distribution, Oregon Department of Transportation (ODOT) assistance, etc.

293.346   Authorizes drawing warrants against Treasury.

293.348   Authorizes charging agencies for warrants produced.

293.590   Sets responsibility to supervise state accounting.

293.595   Sets responsibility for supervising acquisition, installation, and use of computers for accounting processes.

SFMS Systems Management Organization Chart

Enterprise Goods and Services
Financial Business Systems
SFMS Systems Management

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                                    ┌──────────────────────┐
                                    │   Joy Sebastian      │
                                    │   PEM F              │
                                    │   F MMS X7010        │
                                    │   SR 35X #0150006    │
                                    └──────────────────────┘

┌──────────────────────┐
│  Office Spec 2       │
│  Pamela Armer        │
│  OA  C0104           │                          ┌──────────────────────┐
│  SR 15 #0153002      │                          │  OPA 4               │
└──────────────────────┘                          │  Michael Makelacy    │
                                                   │  MMN X0873           │
┌──────────────────────┐                          │  SR 32 #0152212      │
│  OPA 4               │                          └──────────────────────┘
│  Aaron Wallace       │
│  MMN  X0873          │
│  SR 32 #0231011      │              ┌──────────────────────┐
└──────────────────────┘              │  PEM E               │
                                       │  Christie Jungling   │
                                       │  MMS  X7008          │
                                       │  SR 33X #0152210     │
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Accountant 4	OPA 3
Alan Park	Linda Ely
MMN X1218	MMN X0872
SR 30 #0312111	SR 30 #0608511

Accountant 3	OPA 1
Ru Chen	Jannel Kropf
OA C1217	MMN X0870
SR 27 #0312117	SR 23 #0608121

Accountant 3	OPA 1
Judy Wilder	Cheryl Luth
OA C1217	MMN X0870
SR 27 #0152003	SR 23 #0608122

Accountant 3	Office Spec 2
Jerry Ovard	Zoe Johnson
OA C1217	UA C0104
SR 27 #0152208	SR 15 #6501041

Accountant 2	
Tim Wheeler	Centralized PERS Services
OA C1216	
SR 23 #0312116	

Resources

Our employees are our most important resource. They are experts in their respective areas in State of Oregon enterprise system functionality as well as practices and Federal and State Laws. On average, it takes more than a year to function effectively in the SFMS Systems Management section. The skill sets many of our positions require combine specific areas of expertise with system technical knowledge. Staff's successes typically involve sophisticated problem solving and matching system capability with requirements. Some staff find this type of deliverable unrewarding compared to a standard position, while others find it exhilarating. Our trained staff are desirable candidates for promotions to other agency positions. We expect retention to be a challenge in our unit.

Systems Management is comprised of four full-time positions, one half-time position, and one shared (60%) position with SFMS Administration.

Key Functions

The principal responsibilities of the Systems Management (SM) unit are summarized in the following general categories:

- <u>System Maintenance</u> - Provide analysis and maintenance functions to ensure that data integrity, program functionality, and system efficiencies are maintained in the Statewide Financial Management Application (SFMA). Manage and test mainframe DB2 version and application upgrades for the SFMA and related tools. Manage and update the technical user documentation for SFMA. Control SFMS costs through implementing efficiency measures. Coordinate user security, subsystem processes, testing and job scheduling for training, test, and production regions.

- <u>System Functionality and Development</u> - Develop and implement system changes in response to state, federal, and other accounting and reporting requirements. Develop and implement additional system functionality based on agency requests. Analyze, document, and resolve reported system functionality problems. Ensure continued integrity of data, system functionality, interfaces, and technical user documentation throughout these processes.

- <u>Data Management</u> - Perform system error resolution for identified accounting data issues. Analyze, document, and resolve reported data discrepancies to ensure data integrity is maintained. Coordinate data refreshes. Enhance SFMA functionality and efficiency by controlling costs and reducing system processing time through scheduled production data purges and archives. Analyze and test the process for each archive to ensure consistent programming logic. Ensure compliance with the Secretary of State's data archive schedule and appropriate handling of accounting activities related to long-term capital construction projects during the archive processes.

- <u>Reconciliations</u> - Reconcile the General fund and the Lottery fund to their corresponding records at the Oregon State Treasury. Assist agencies with other fund reconciliations and complex three-way reconciliations between subsystems, SFMA, and Treasury. Perform system reconciliation using the generated control reports for the SFMA training and test regions. Review and monitor statewide use of the Small Purchase Order Transaction System (SPOTS) card for over 3,400 cardholders with approximately 14,000 monthly transactions.

- <u>Interface Coordination and Security</u> - Coordinate testing, validation, and migration to Production for new and existing incoming SFMA interfaces and outgoing data extracts. Analyze and implement process and programming changes necessary for the secure transfer of accounting data to and from SFMA. Assist agencies in resolution of production interface data transmission issues to prevent and/or correct erroneous interface information from being added to the financial information in SFMA. Prepare and provide data extracts at the request of agencies.

- <u>Central and Agency Support</u> - Provide customer service and professional assistance on system programs and services to state agencies and central SFMA users. Work with agencies to resolve data transmission and access issues and provide technical guidance on accounting subsystem interfaces to or from SFMA.

- <u>Performance Management / Other</u> - Collect and maintain performance statistics to provide to state management along with recommended action for improved efficiencies. Perform special projects as assigned.

2012/2013 Resources by Key Function

The schedule below shows the key functions of SFMS Systems Management, the percentage of time devoted to each key function by staff position, and the total FTEs assigned to each key function.

Function	Manager Christie	Acct 4 Alan	Acct 3 Judy	Acct 3 Ru-Hwa	Acct 3 Jerry	Acct 2 Tim	Total FTE
System Maintenance *	10%	10%	5%	5%	5%	5%	.40
System Functionality/Development *	15%	45%	35%	35%	30%	70%	2.30
Data Management *	5%	20%	10%	10%	15%	10%	.70
Reconciliations *	5%		40%	5%			.50
Interface Coordination and Security		10%	5%	40%		5%	.60
Central / Agency Support	5%	10%			5%	5%	.25
Performance Management / Other	10%	5%	5%	5%	5%	5%	.35
Total	50%	100%	100%	100%	60%	100%	5.10

* Duties related to ACH/Warrant processing are included in these categories.

We plan to accomplish the following objectives during the fiscal year ending June 30, 2013.

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
System Maintenance	1	Test and validate mainframe hardware and application upgrades and changes.	Maintain an effective and efficient accounting system.	High	Ongoing	
	2	Research, test, and resolve identified system functionality issues.	Ensure functional integrity for R*Stars and ADPICS.	High	Ongoing	
	3	Maintain and update Technical Manual job specifications to reflect current processing.	Provide accurate documentation for testing and analysis.	High	Ongoing	

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
System Functionality / Development	4	Expand the description field on accounting transactions – carried forward from FY 2012.	Increase room available to agencies for specific description field use. This accommodates one of the agency functionality requests.	High	Apr 2012	Mar 2013
	5	R*STARS ability to move back consistent with the internet back key functionality during initial data entry.	Decrease agency user workload by eliminating steps required to return to prior transactions. This fulfills the second part of a FY2012 agency functionality request.	High	May 2012	Nov 2012
	6	Create the ability to hotlink from the D42 Project Number to the 27 Project Control screen and back.	Enhance accuracy and speed of profile setup by decreasing data entry required of users. This accommodates one of the agency functionality requests.	High	Aug 2012	Dec 2012
	7	Create the ability to hotlink from the D47 Grant Number to the 29 Grant Control screen and back.	Enhance accuracy and speed of profile setup by decreasing data entry required of users. This accommodates one of the agency functionality requests.	High	Aug 2012	Dec 2012
	8	Change 3A screen hotlink to 85 screen and 51 screen from a link to an interrupt function.	New agency functionality request to modify previously requested functionality from a link to an interrupt.	High	Oct 2012	Jan 2013
	9	Drill Down to the Accounting Event from the 89 Summary General ledger screen	Allow agencies to research the detail behind balances shown on the 89 screen. This accommodates one of the agency functionality requests.	High	Jan 2013	Jun 2013
Data Management	10	Test, run and verify the year end rollover program.	Prepare SFMA for the next fiscal year.	High	Jun 2012	Jul 2012

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	11	Test, run and verify the Document Header and Tracking tables archive.	Improve processing efficiency and manage system costs.	Medium	Jun 2012	Jul 2012
	12	Refresh and verify the data in the test environment with current production agency data.	Maintain a viable test region with current and applicable agency data and processes.	High	Jul 2012	Aug 2012
	13	Test, run and verify the year end close program.	Finalize accounting information for the fiscal year.	High	Jul 2012	Sep 2012
	14	Replace SSNs with algorithm-generated vendor numbers on all financial tables.	Complete elimination of SSN vendor numbers by replacing them with algorithm-generated numbers in existing historical data.	High	Feb 2012	Sep 2012
	15	Run and verify the Vendor Purge program.	Remove unused vendor profiles from R*STARS and ADPICs; follow-up to Financial Table Vendor Algorithm conversion.	Medium	Sep 2012	Oct 2012
	16	Test, run and verify the Cumulative Payment data purge.	Improve processing efficiency and manage system costs.	Medium	Nov 2012	Dec 2012
	17	Test, run and verify the Payment Control/ Cancel tables archive.	Improve processing efficiency and manage system costs.	Medium	Feb 2013	Mar 2013
	18	Test and perform the profile tables roll.	Prepare SFMA agency profiles for the next fiscal year and biennium.	High	Mar 2013	Apr 2013
	19	Test, run and verify the Financial Tables archive.	Improve processing efficiency and manage system costs.	High	Feb 2013	May 2013
	20	Run and verify the Vendor Purge program.	Remove unused vendor profiles from R*STARS and ADPICs.	Medium	Apr 2013	Jun 2013
	21	Manage accounting data clean ups (System Data Integrity Events) as needed.	Accurate financial information for agency decision makers as well as the CAFR.	High	Ongoing	

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
Reconciliations	22	Analyze system control reports for proper batch cycle processing and data balancing.	Maintain sound and viable test and training environments.	High	Ongoing	
	23	Perform monthly statewide General Fund and Lottery reconciliations.	Ensure the integrity of cash transactions and that cash balances reconcile with Treasury.	High	Ongoing	
	24	Review and monitor statewide use of the Small Purchase Order Transaction System (SPOTS) card.	Help detect SPOTS card fraud by providing customer assistance and notifying agencies of improper use of SPOTS cards, dormant cards and cardholders changing positions.	High	Ongoing	
	25	Assist agencies with bank reconciliations, often three way matches between Treasury, an agency subsystem and SFMA.	Ensure the integrity of transactions and that cash balances reconcile with Treasury.	Medium	Ongoing	
Interface Coordination and Security	26	Coordinate security, testing, and production migrations for new and existing agency interfaces.	Ensure appropriate processing of interfaced accounting transactions.	High	Ongoing	
	27	Implement process and program changes for secure data transfers.	Ensure integrity and security of the data interfaced to SFMA.	High	Ongoing	
	28	Provide direction and training on SPOTS interface test processes and coordinate testing and production implementation.	Ensure appropriate processing of interfaced accounting transactions.	High	Ongoing	
Central and Agency Support	29	Review, add indices and search capabilities to the SFMS Desk Manual – moved from FY 2012 due to software replacement.	Update and cross-reference documentation for agency users. This accommodates a FY 2012 agency non-functionality requests.	High	Nov 2012	Mar 2013

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	30	Provide information and training to customers about data archives and purges.	Continue to update and provide information to agencies on annual data reduction processes.	Medium	Ongoing	
	31	Provide semi-annual training to SFMS staff on specific SFMA job processes and system logic.	Familiarize SFMS staff with R*Stars and ADPICS capabilities and data processing jobs.	High	Ongoing	
	32	Assist agencies in the resolution of production data transmission and processing issues.	Provide for the most efficient use of SFMA and ensure the integrity of its data.	High	Ongoing	
Performance Mgmt / Other	33	Coordinate and track System Management Request activity.	Improve process and resource efficiency for unit performance measures.	Medium	Ongoing	
	34	Perform analysis of system processes to develop and implement cost/resource saving measures.	Improve processing efficiency and manage system costs.	High	Ongoing	
	35	Analyze and track State Data Center charges for mainframe processing and storage to identify potential cost saving improvements.	Improve processing efficiency and manage system costs.	Medium	Ongoing	

FY12 Systems Management Accomplishments for Key Functions

System Maintenance

- Tested and verified Z O/S 1.9 to 1.11 mainframe software application upgrade.

- Tested and verified IBM DB2 V9 relational model database server upgrade.

- Performed additional testing and verification of IBM DB2 V9 functionality tools installation.

- Prepared the annual calendar for scheduling of the batch cycles and other special jobs in the non-production regions.

- Eliminated needless system edits for unused programs that could cause posting problems for agency transactions.

System Functionality/Development

- Modified the capacity of an internal table to eliminate processing problems related to large batches.

- Completed testing of and implementation of electronic report delivery web utility for view/download of SFMA reports by agencies.

- Implemented algorithm-generated vendor numbers to replace SSN vendor numbers.

- Tested and implemented changes to the yearend roll, profile roll, and year end closing programs to incorporate the new GASB54 coding elements.

- Added SFMA document number drilldown capability to the 13 Deposit Reconciliation screen.

- Created a hotlink from the 3A Vendor Alpha Inquiry screen to the 51 Vendor Mail Code and 85 Vendor Transaction Inquiry screens.

- Expanded the transaction code field area on the D66 User Class Profile.

- Created system edits to generate an error message when deposit reconciliation transactions cross Treasury funds.

- Created the ability to move backward through transaction batches during batch review.

- Standardized the F5 and F8 function keys on the 530 View Batch Headers and 520 View A Batch screens.

- Completed initial research and write-up on project to expand the description field on accounting transactions.

- Refreshed and verified the data in the test environment with current production agency data.

Data Management

- Completed 37 System Data Integrity Event data clean ups in R*Stars/ADPICS.

- Tested, ran and verified the year-end data roll and closing processes in the production and non-production regions.

- Tested, ran and verified the Financial Tables archive, the Profile Tables archive, Receipt Table archive, Payment Control/Cancel tables archive, and Cumulative Payment table archive, removing approximately155 million records.

- Tested, ran and verified the Encumbrance/Pre-Encumbrance Liquidation program and Biennium Close program to close the 2009-2011 biennium.

- Maintained and updated Technical Manual job specifications to reflect current processing.

Reconciliations

- Analyzed system control reports for proper batch cycle processing and data balancing to ensure sound and viable production, test and training environments.

- Performed monthly statewide General Fund and Lottery Fund reconciliations to ensure the integrity of transactions and reconciliation of cash balances between SFMA and Treasury.

- Reviewed and monitored statewide use of the Small Purchase Order Transaction System (SPOTS) card to help detect and prevent fraud and improper use.

- Assisted agencies with bank reconciliations.

Interface Coordination and Security

- Provided test and production migration services to agencies for new and/or revised financial data interfaces in R*Stars, including coordinating testing and implementation of the eCommerce financial interface changes required by the eCommerce vendor transition from Hewlett-Packard to NIC.

- Provided subsystem and accounting data analysis to identify and correct agency production interface anomalies.

- Partnered with the State Procurement Office and SciQuest to develop an R*STARS interface for the ORPIN 2.0 procurement system integration, a project that will continue through Fiscal Year 2013.

Central and Agency Support

- Partnered with agencies and the SFMS Controller to identify and make available appropriate production data access through query tools such as Hyperion and Access.

- Reviewed, added or deleted almost 1,500 security profiles for agency and central user testing in the SFMA test region.

- Provided three SFMS staff trainings on system processes.

- Provided information and training to agency customers via the SFMS User Group meetings, scheduled training events and SFMS-News e-mails regarding six Fiscal Year 2012 scheduled data purges and archives, the vendor algorithm change for SSN vendors, and the new Deposit Reconciliation edits for Treasury Fund and Treasury Account matching.

- Participated in six agency visits.

Financial Business Systems

Centralized PERS Services

2012–2013
Business Plan

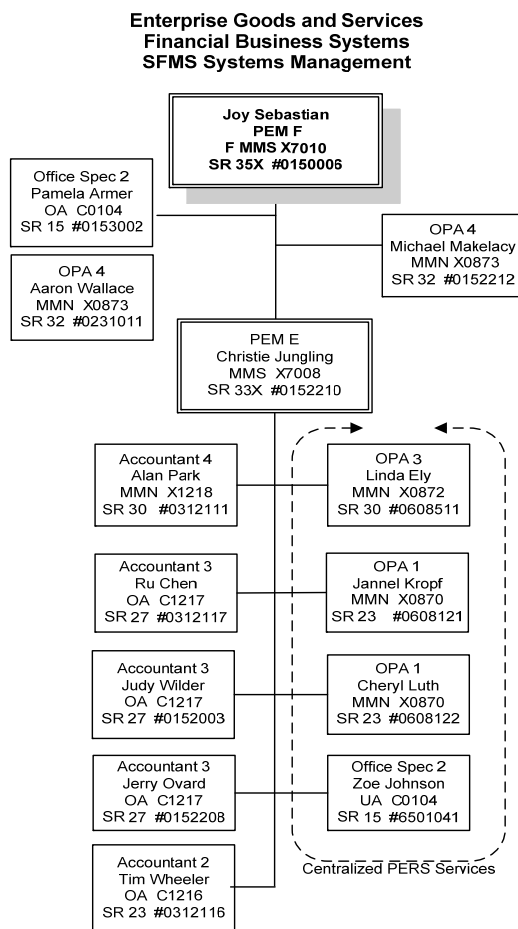## Centralized PERS Services Team

Purpose

The Centralized PERS Services Team represents the State of Oregon as a PERS employer by integrating and interfacing PPDB (personnel) and OSPA (payroll) system data to the PERS jClarety system, correcting any reporting errors caused by bad data, and coordinating the flow of required information related to PERS administration between PERS and state agencies.

Legal Authority

Our legal authority comes from Chapter 238 and 238a in the Oregon Revised Statutes (ORS). The following ORS section provides authority:

238.705   Establishes responsibility of employer to remit contributions and reports.

SFMS Systems Management Organization Chart

Enterprise Goods and Services
Financial Business Systems
SFMS Systems Management

Joy Sebastian **PEM F** **F MMS X7010** **SR 35X #0150006**	

| Office Spec 2
Pamela Armer
OA C0104
SR 15 #0153002 | |
| OPA 4
Michael Makelacy
MMN X0873
SR 32 #0152212 |

| OPA 4
Aaron Wallace
MMN X0873
SR 32 #0231011 |

| PEM E
Christie Jungling
MMS X7008
SR 33X #0152210 |

Accountant 4 Alan Park MMN X1218 SR 30 #0312111	OPA 3 Linda Ely MMN X0872 SR 30 #0608511
Accountant 3 Ru Chen OA C1217 SR 27 #0312117	OPA 1 Jannel Kropf MMN X0870 SR 23 #0608121
Accountant 3 Judy Wilder OA C1217 SR 27 #0152003	OPA 1 Cheryl Luth MMN X0870 SR 23 #0608122
Accountant 3 Jerry Ovard OA C1217 SR 27 #0152208	Office Spec 2 Zoe Johnson UA C0104 SR 15 #6501041
Accountant 2 Tim Wheeler OA C1216 SR 23 #0312116	Centralized PERS Services

Resources

Our employees are our most important resource. They are experts in their respective areas in State of Oregon enterprise system functionality as well as practices and Federal and State Laws. On average, it takes more than a year to function effectively as a member of the Centralized PERS Services Team. The skill sets of our positions require combine specific areas of expertise with system technical knowledge. Staff's successes typically involve sophisticated problem solving and matching system

capability with requirements. Some staff find this type of deliverable unrewarding compared to a standard position, while others find it exhilarating. Our trained staff are desirable candidates for promotions to other agency positions. We expect retention to be a challenge in our unit.

Centralized PERS Services is comprised of four full-time positions and one half-time position.

Key Functions
The principal responsibilities of the Centralized PERS Services Team are summarized in the following general categories:

- Electronic PERS Reporting – Ensure the integrity of State of Oregon PERS reporting by managing the electronic reporting of required employee demographic and payroll data to PERS on a monthly basis. This includes modifying the mainframe job that creates the data, clearing records that have suspended due to errors, and resolving data discrepancies between the Oregon State Payroll Application (OSPA), the Position Personnel Database (PPDB) and the PERS jClarety system.

- Member Account Requests - Assist PERS, agencies, and employees with the resolution of specific individual employee issues, retirement plan compliance and determination of employee eligibility. This includes researching and resolving issues related to non-routine processes including USERRA, arbitration and settlement agreements, police and fire units, and seasonal employment.

- Information Tracking/Coordination – Coordinate the flow of PERS required forms and requested information between PERS and state agencies, ensuring compliance with data requirements and timeframes, and maintaining files.

- Agency Education/Outreach – Provide leadership, technical advice and training to state agencies in the area of PERS administration and reporting. Disseminate information to agencies regarding changes and updates to PERS-related statutes, policies and system requirements. Perform agency reviews and develop customized training to address reporting issues.

- Administration – Track PERS-related legislation for program impacts. Develop legislative concepts and propose changes to administrative rules, statewide policies and processes related to State of Oregon PERS reporting. Review electronic PERS invoices and forward to agencies for payment. Represent the State of Oregon at PERS Board meetings and on various employer advisory committees.

2012/2013 Resources by Key Function

The schedule below shows the key functions of the Centralized PERS Services Team, the percentage of time devoted to each key function by staff position, and the total FTEs assigned to each key function.

Function	Manager Christie	OPA 3 Linda	OPA 1 Cheryll	OPA 1 Jannel	Office Specialist Zoë	Total FTE
Electronic PERS Reporting	5%	25%	30%	30%		.90
Member Account Requests	15%	20%	50%	50%		1.55
Information Tracking/Coordination		5%	5%	5%	90%	1.05
Agency Education/Outreach	15%	25%	10%	10%	10%	.55
Administration	15%	25%	5%	5%		.45
Total	50%	100%	100%	100%	100%	4.50

We plan to accomplish the following objectives during the fiscal year ending June 30, 2013.

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
Electronic PERS Reporting	1	Implement programming changes to job that produces monthly jClarety file.	Keep up with modified data requirements in OSPA and PPDB that affect PERS reporting.	High	Ongoing	
	2	Reduce the aging of suspended records to <=3 months.	Improve the accuracy of account balances, benefit calculations and PERS reporting.	High	Ongoing	
	3	Partner with PERS for calendar year 2012 year-end reconciliation.	Clear errors so account balances are accurately reflected for year-end statements and annual earnings crediting.	Medium	Dec 2012	Mar 2013
Member Account Requests	4	Complete Oregon State Police arbitration correction project.	Correct affected employee account balances.	High	May 2012	Jan 2013

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	5	Partner with PERS to complete Reemployment project.	Reemploy PERS retirees who have worked more than 1040 hours in a calendar year.	High	Sep 2012	Dec 2012
	6	Bring USERRA case analysis and agency invoicing current.	Reduce impact on agency budgets of delayed invoices.	High	Aug 2012	Mar 2013
Information Tracking/ Coordination	7	Catch up filing backlog	Enable staff to find information in employee files.	Medium	Oct 2012	Feb 2013
	8	Make modifications to the PERS forms tracking database	Increase effectiveness and efficiency of tracking processes	Medium	Ongoing	
Agency Education/ Outreach	9	Finalize and disseminate Data Verification instructions for agencies.	Provide clear guidance on agency responsibilities and processes for compliance.	High	Jan 2013	Mar 2013
	10	Establish quarterly training and information-sharing events with agencies.	Improve communications with agencies on PERS issues; increase accuracy of PERS reporting with better training of HR and Payroll staff regarding PERS administration.	Medium	Mar 2013	Jun 2013
Administration	11	Finalize internal Data Verification process.	Determine internal process for coordinating the Data Verification process with agencies and PERS.	High	July 2012	Jan 2013
	12	Develop comprehensive analyst desk manual.	Increase effectiveness and efficiency of team through standardization and documentation of processes.	High	Ongoing	

FY12 Accomplishments for Centralized PERS Services are not available / Centralized PERS Services was merged into the Financial Business Systems section effective July 1, 2012.

Financial Business Systems

Oregon Statewide Payroll Services

2012–2013
Business Plan

OSPS SYSTEMS AND SERVICES

Oregon Statewide Payroll Services (OSPS) is the unit in the Enterprise Goods and Services, Financial Business Systems that is responsible for all the centralized processes of the statewide payroll system and for processing payroll and benefits for 25 client agencies including DAS and the Governor's Office. The unit's duties include operational support, system controls, training, payroll and benefit services for approximately 1,240 state employees, and making improvements to the Oregon Statewide Payroll Application (OSPA).

OSPS serves about 665 system users from 83 agencies to process wage and deduction transactions for approximately 37,500 employees every month. The unit communicates with state agencies' payroll and financial staff on system functionality and with system programmers on required outcomes. OSPS acts as the common paymaster for reporting, reconciling and submitting payments for Federal and State income taxes, Social Security Administration, Public Employee Retirement System, Public Employee Benefits Board, Worker's Benefit Fund and other pay-related vendors ranging from union organizations to garnishors including Department of Justice for child support writs.

LEGAL AUTHORITY

Our legal authority comes from the Chapters 291 and 292 of the Oregon Revised Statutes. We provide policy and procedure in Chapter 45 and 50 of the Oregon Accounting Manual.

283.110	Furnishing by state agency to another state agency of services, facilities and materials. (1) (2)
291.015	Fiscal responsibilities of department; delegation of fiscal functions. (1)
291.100	Financial management; duties of Oregon Department of Administrative Services; duties of state agencies. (2a) (2b) (3b)
292.010	Defines the state's payroll schedule
292.016	Provides for the centralized payroll procedure
292.018	Designates DAS as the state's payroll agent
292.024	Authorizes the Joint Payroll Account
292.026	Permits the issuance of payroll checks from the Joint Payroll Account
292.033	Permits pay advances and off-cycle payments for termination checks
292.034	Authorizes us to charge the agencies for the centralized payroll services
292.042-292.067	Authorizes direct deposit of paychecks
292.045-292.065	Authorizes the deduction of insurances, union dues, parking fees, charitable fund contributions, etc.

OSPS Organization Chart

Enterprise Goods and Services
Financial Business Systems
Oregon Statewide Payroll Services

Joy Sebastian
PEM F
F MMS X7010
SR35X #0150006

Office Spec 2
Pamela Armer
OA C0104
SR 15 #0153002

OPA 4
Michael Makelacy
MMN X0873
SR 32 #0152212

OPA 4
Aaron Wallace
MMN X0873
SR 32 #0231011

PEM E
Sandy Ridderbusch
MMS X7008
33X #0156005

Accountant 4
Seth Lewis
MMN X1218
SR 30 #651201

Acct Tech 3
Gina Beaman
OA C0212
SR 19 #0102111

Accountant 3
Pauline Lewis
OA C1217
SR 27 #0321109

Acct Tech 3
Vacant
OA C1202
SR 19 #0532001

Training Dvelp Spec 2
Katherine Bremser
OA C1339
SR 27 #0313322

Acct Tech 3
Julie Saunders
OA C0212
SR 19 #1802051

Accountant 2
Matthew Riley
OA C1216
SR 23 #0156004

Acct Tech 3
Vacant
OA C0212
SR 19 #0101141

OPA 1
Allison Absher
OA C0870
SR 23 #0156003

OPA 1
Julie Berbena
OA C0870
SR 23 #0101141

RESOURCES

Our employees are our most valuable resource. OSPS staff are experts in their knowledge and understanding of the payroll system and in their knowledge of payroll practices, federal and state tax regulations, Executive Orders, as well as in the diverse collective bargaining agreements and state policies that are applicable to employee payroll. The skill sets of many of the OSPS positions require combined expertise in system technical knowledge and in pay practices and requirements. Each staff member strives to provide the highest level of service and information to our customers. OSPS staff members are committed to payroll, technology, and customer service training to improve their individual skills. Our trained staff are desirable candidates for promotions to other agency positions and we expect employee retention in our unit to continue to be a challenge due to this factor.

OSPS - PSS

Oregon Statewide Payroll Services (OSPS) consists of two units: Payroll System Support (PSS) and Shared Payroll Services (SPS). OSPS is comprised of 11 full time staff which includes the unit's supervisory position.

Key Functions

The principal responsibilities of OSPS/PSS are summarized in the following general categories:

- **Application Management and Maintenance** - Ensure continued integrity of data, system functionality, interfaces, and technical user documentation throughout these processes and always seek to preserve the original table-driven structures that are cost efficient to maintain. Manage and test mainframe DB2 version and application upgrades for the SFMA and related tools. Coordinate user security, subsystem processes, testing and job scheduling for training, test, and production regions. Manage the System Development Life Cycle (SDLC) applying CobiT standards.

- **Agency Payroll Support** - Provide help desk-style assistance including consultation, research and guidance to resolve payroll payment errors for 83 agency payroll offices that use OSPA. Provide training and assistance on the use of the OSPA, as well as guidance in general payroll practice.   Maintain and create profiles in OSPA for work schedule, pay, and deduction codes based on agency requests, collective bargaining agreements, PEBB, PERS, and state/federal payroll processing requirements.

- **Manual Payroll Payments –** Provide daily run of off-cycle payroll payments. These manually produced payments help agencies to make necessary pay adjustments, corrections, issue pay advances, and to ensure compliance with BOLI rules for timely final pay to departing. Perform check cancellations, ACH stop payment, and requests for forgery reimbursements on behalf of payroll agencies.

- **Tax Reporting** - Ensure timely and accurate calculation and payment of payroll tax withholdings and manage the statewide monthly, quarterly and annual wage and reporting. Provide the electronic data files required to comply with the reporting requirements of the Oregon Department of Employment, the Oregon Department of Revenue, IRS, SSA, PERS, and PEBB. Provide year-end close guidance to the agencies and issue employee W-2 forms and 1099 Miscellaneous forms (deceased employee estate reporting).

- **Payroll Practice and Procedural Guidance** – Develop and disseminate system policies, procedures and documentation for OSPA users. Publish the web-based OSPS Reference Manual and a robust menu of payroll processing tools and resources and hold user forums to provide information on system, process, and pay regulation changes for our OSPS customers.

- **ACH Processing/Payment Reconciliation –** Reconcile and release twice-monthly production batches of direct deposit payments through the Oregon Treasury to the financial institutions chosen by state employees, to the AccelaPay payroll card, and to a variety of vendors paid

through employee and employer payroll deductions i.e. transit passes, parking fees, insurance premiums, union dues, retirement payments, etc.

- **Production Scheduling** – Publish the Statewide Payroll Calendar for the annual schedule on the monthly production of payroll runs. Coordinate production scheduling, including weekly, monthly, year-end, and subsystem processes. Coordinate with SFMS to develop the schedule for interfaced labor cost information to R*Stars, with PERS to develop the annual posting and payment schedule, with PEBB to change programming to accommodate new plan and benefit packages, and with DAS HRSD to implement collective bargaining and state policy requirements.

- **Other Special Projects -** Develop and implement system and process changes in response to state, federal, collective bargaining agreements, agency requests, and other accounting and reporting requirements. Respond to requests for information from media, union, Legislature, and other public and private entities.

- **Performance Management** - OSPS seeks to provide training and professional development opportunities for staff. Set, track, and report performance goals and measures in order to manage and improve both section and individual performance.

Function	Manager Sandy	Acct 4 Seth	Acct 3 Pauline	Trainer Katherine	Acct 2 Matthew	OPA 1 Allison	OPA 1 Julie B	Total FTE
Application Mgmt & Maintenance	5%	60%	50%		5%	10%	10%	1.40
Agency Payroll Support		10%	20%	50%	15%	40%	40%	1.75
Manual Payroll Payments				5%	15%	30%	30%	0.80
Tax Reporting	5%		10%		15%			0.30
Payroll Practice / Procedural Guidance	10%	5%		30%		10%	10%	0.65
ACH Processing / Payment Recon			5%		35%			0.40
Production Scheduling	10%	10%						0.20
Other Special Projects	15%	10%	10%	10%	10%	5%	5%	0.65
Performance Management	15%	5%	5%	5%	5%	5%	5%	0.45
Total	60%	100%	100%	100%	100%	100%	100%	6.60

OSPS invited agencies to identify additional functionality for OSPA that doesn't exist at this time. Agencies recommended 21 projects that would require a change to OSPA. The unit then identified the OSPS resources that would be necessary to accomplish the tasks and asked agencies to prioritize the projects taking available resources into consideration. Below are the responses to our request that agencies provide direction regarding what projects would provide them the most value.

2012 OSPA Agency Directed Functionality Projects
1. Add employee name display to the P420 Leave Clearing Account Balances screen. (3 units, 78 voting points)
2. Add P190 Pay Period End date to field on the OSPA/SFMA interface file. (17 units, 48 voting points/multi-year project in coordination with SFMS)
3. Open P190 Data Views for all screens including timesheet changes for entire year – except at year end. (5 units, 41 voting points)
4. Synchronize data names on the Datamart with the data names on OSPA production tables. (12 units, 31 voting points/multi-year project in coordination with Datamart Analyst)
5. Display employee name on P007 Online Daily Time Summary screen. (4 units, 28 voting points)

These projects will be incorporated into the business plan of the OSPS section.

2012-2013 Business Plan Objectives

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
Application Management / Maintenance	1	Update rates for annual changes-PERS, bond debt, income tax, PEBB, etc.	Ensure accuracy of payroll processing.	High	July 2012	June 2013
	2	Maintenance of statewide profiles, including work schedules, paycodes, and deduction codes.	Ensure compliance with payroll, accounting and federal requirements.	High	Ongoing	
	3	Expire, report and transfer funds for stale dated paychecks.	Comply with state law.	High	July 2012	Nov 2012
	4	Run and distribute agency year-end total hours and PERS employee count reports.	Ensure timely reporting of information to PERS, SSA, and agency payroll offices.	High	Jan 2013	Feb 2013
	5	Solicit and transmit labor cost crosswalk tables for new biennium coding	Ensure appropriate allocation of payroll related expenditures on SFMA.	High	May 2013	July 2013

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	6	Research and resolve accounting, payroll, and system related functionality issues.	Ensure the integrity of OSPA used by 83 state agencies and 665 users.	High	Ongoing	
	7	Make Food Bank changes to database.	Ensure timely load for new year's Food Bank deductions.	Medium	Jan 2013	Feb 2013
	8	Outdate old and load new Charitable Fund Drive deductions for agency payroll offices.	Reduce workload and data entry errors on OSPA.	Medium	Oct 2012	Oct 2012
	9	Update OSPA Datamart for new biennium additions.	Accommodate need for additional biennium tables and removal of oldest data on Datamart.	Medium	May 2013	Aug 2013
	10	Meet with agency customers on the functionality they want that does not currently exist on OSPA.	Work collaboratively with agencies about the functionality they would like to have for payroll processing.	Medium	May 2013	July 2013
Manual Payroll Payments	11	Process final payroll check requests.	Ensure timely compliance with BOLI requirements.	High	Ongoing	
	12	Process pay advance requests.	Ensure compliance with State Policy and CBA language.	High	Ongoing	
	13	Cancel and stop pay checks and request forgery reimbursement.	Ensure appropriate processing of checks that do not follow normal processing through the bank.	Medium	Ongoing	
	14	Perform signature authorization reviews of payroll check and delivery requestors.	Ensure persons handling sensitive employee records/pay are properly authorized to do so.	High	Aug 2012	Sept 2012
Tax Reporting	15	Process and report employee W-2s.	Ensure compliance with state, federal, and payroll accounting practices.	High	Dec 2012	Jan 2013
	16	Process and report 1099M for deceased employee earnings.	Ensure compliance with state, federal, and payroll accounting practices.	High	Dec 2012	Jan 2013

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	17	Expire, report and transfer funds for stale dated payroll checks.	Comply with state law.	High	Aug 2012	Nov 2012
	18	Remit and report payroll taxes timely and reconcile all discrepancies.	Comply with federal and state requirements and do not incur reporting penalties.	High	Ongoing	
Payroll Practice / Procedural Guidance	19	Update reference manual with PEBB Plan Year 2013 new and revised practices.	Provide OSPA users with information to accurately and timely process benefit transactions.	High	Nov 2012	Nov 2012
	20	Develop seminar-style OSPA high level overview training for managers and accountants.	Provide useful and relevant payroll system and process training to non-OSPA users.	Medium	July 2012	Mar 2013
	21	Issue Recommended Payroll Practice on year-end procedures.	Provide our OSPA users with most current payroll practice information.	Medium	Oct 2012	Nov 2012
	22	Develop training on new E-Paystub web service for employees.	Provide step-by-step training in format that can be readily accessed by state employees.	Medium	Nov 2012	April 2013
	23	Develop training on new GUI front end time entry screen website.	Provide step-by-step training in format that can be readily accessed by state employees.	Medium	Jan 2013	June 2013
	24	Issue regular and special OSPS E-News on current and new system, process, and other payroll related requirements.	Provide relevant and timely information to our system users and agency customers.	Medium	Ongoing	
	25	Respond to Help Desk email and telephone requests for assistance.	Provide relevant and timely research and assistance to our agency payroll customers.	High	Ongoing	
ACH Processing / Payment Reconciliation	26	Review and reconcile payments processed through OSPA for employees and vendors.	Ensure accuracy and integrity of payment processing.	High	Ongoing	

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	27	Review daily J460 ACH control reports.	Ensure integrity of direct deposit posting.	High	Ongoing	
	28	Work with SFMS on reconciliation of the Joint Payroll Account.	Ensure the integrity of transactions on SFMA and cash balances reconcile with Treasury and OSPA activity.	High	Ongoing	
	29	Cancel and stop pay ACH payments and checks and request forgery reimbursement.	Ensure appropriate processing of payments that do not follow normal processing through the bank and Treasury.	Medium	Ongoing	
Production Scheduling	30	Produce the yearly processing calendar for scheduling weekly, monthly and yearly processes and programs.	Facilitate efficient coordination of jobs and processes with other enterprise systems in an effort to meet all interested parties objectives.	High	Aug 2012	Sept 2012
	31	Update Year End timeline and distribute information to payroll offices.	Ensure timely completion of pay-related tasks.	High	May 2013	June 2013
	32	Manage project migration of changes on OSPA.	Ensure disciplined change management principals and coordination of timing with programming staff.	Medium	Ongoing	
	33	System available and functional for customer use weekdays, 7AM-6PM and Saturdays, 7AM-3PM.	OSPA available and fully operational to best meet the needs or the users.	Medium	Ongoing	
Other Special Projects	34	Design and implement programming to allow variant billing process for manual vs. system generated paychecks.	Systematically comply with agency billing changes under new Entrepreneurial Management.	Medium	Jan 2013	June 2013
	35	Add employee name display to the P420 Leave Clearing Account Balances screen.	Agency requested #1 functionality project for FY 2013.	Medium	Sept 2012	June 2013

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
	36	Develop and implement electronic paystub web-service for employee usage.	Reduce paper paystub and replace with electronic website per Improving Government Committee direction.	Medium	July 2012	June 2013
	37	Add P190 Pay Period End date to field on the OSPA/SFMA interface file.	Agency requested #2 functionality project for FY 2013. (Multi-year project with SFMS.)	Medium	March 2013	Feb 2014
	38	Open P190 Data Views for screens, including timesheet changes, for entire year – except at year end.	Agency requested #3 functionality project for FY 2013.	Medium	Feb 2013	July 2013
	39	Synchronize data names on the Datamart with the data names on OSPA production tables.	Agency requested #4 functionality project for FY 2013. (Multi-year project with Datamart analysts.)	Medium	Jan 2013	July 2014
	40	Display employee name on P007 Online Daily Time Summary screen.	Agency requested #5 functionality project for FY 2013.	Medium	Oct 2012	June 2013
Performance Management	41	Provide one training per quarter for OSPS staff.	Ensure OSPS staff understand unit processes.	Medium	Ongoing	
	42	Participate in five agency visits per fiscal year.	Provide staff with the opportunity to learn and understand more about each agency's environment.	Medium	Ongoing	
	43	Participate in regular and annual staff meetings for goal setting and to provide performance reviews.	Provide staff performance feedback and the opportunity to plan and set goals.	Medium	Ongoing	
	44	Promote cross training in all positions.	Increase efficiency and ensure clear and documented procedures.	Medium	Ongoing	
	45	Manage, track, and report section performance measures under new E. M. model.	Continued alignment of staff and resources to primary business objectives.	Medium	Ongoing	

FY12 Accomplishments for OSPS Payroll System Support

<u>Application Management & Maintenance</u>

- Completed 146 service requests for system changes, maintenance and data clean-ups.

- Processed 220 table changes for benefit packages, pay and deduction codes.

- Maintained statewide profiles for vendor deductions.

- Modified system tables, calculation modules, and reports to incorporate all requirements of PEBB Plan Year 2012.

- Coordinated and performed three separate mainframe and software upgrade testing with OSPA programmers and State Data Center (ETS).

- Produced, and made electronically available, the annual compensated absences report for SARS in support of their CAFR preparation.

- Modified the employee check and paystub form to utilize the signature of a new authorized signer.

- Reviewed and modified the language for the back of the W-2.

- Reviewed and updated tax percents and limitations for tax sheltered annuities, FICA, pre- and post-tax maximums, deferred compensation maximums, etc.

- Automated programming jobs to be initiated via production scheduler, reducing manual work effort and associated CPU costs (average monthly savings - $1,600).

- Reinstated Fair Share deductions for collective bargaining agreements no longer in 'status quo'.

- Created new dataset interfaces to meet agency 44300-Oregon Health Authority payroll reporting requirements.

- Updated PERS Bond Debt Assessment rate.

- Performed monthly reconciliation of OSPA Datamart update and authorized refresh to Datamart tables after each Run 2 of payroll.

- Interfaced the annual Charitable Fund Drive pledge file from the CFD giving system into OSPA.

- Implemented temporary year-end controls to prevent errant entries and improve outcomes for agencies on year-end reporting of employee wage and tax information.

- Met weekly with the program support staff regarding the ongoing development and maintenance of OSPA.

<u>Agency Payroll Support</u>

- Assisted with collective bargaining language interpretation for set up of 16 new pay type codes.

- Provided guidance and assisted with processing five separate agency grievance settlements.

- Set up an average of 20 new work schedules per agency request each month.

- Performed 13 data clean ups for agencies to correct production entry errors/omissions.

- Uploaded labor cost changes from agency spreadsheets eliminating need for manual entries.

- Created electronic report of employee pay and check stubs for agency payroll staff use.

- Held customer meetings to identify additional functionality that doesn't currently exist on OSPA and use the agency input to determine projects for the next fiscal year.

- Processed 24 regularly scheduled payrolls issuing more than 575,000 payroll payments.

- Assisted multiple agencies with setting of corrective flags for pay changes due to late settlement of collective bargaining agreements.

- Issue monthly net pay negative reports to agencies and worked with them to clear negative balances prior to year-end reporting of employee wage and tax information.

Manual Payroll Payments

- Processed 14,769 agency requested off-cycle manual checks.

- Processed 400 agency requested check cancellations.

- Performed annual review of manual check and pay advance signature authorizations.

- Updated list of those authorized to take delivery of payroll at agencies and provided list to DAS Mail Services.

Tax Reporting

- Researched and issued 76 corrected W-2s.

- Upgraded the software used to prepare annual 1099M forms and corrected W-2 forms.

- Produced and filed 58 1099M forms and reported final wages paid to the survivors/estates of deceased state employees.

- Produced and filed 44,393 state employee 2011 W-2s.

- Filed annual report and surrender of payroll-related unclaimed property to State Lands.

- Produced and filed wage-related taxes and reported timely per Federal and State requirements.

- Responded to inquiries from IRS/SSA regarding reconciling discrepancies for prior periods without incurring any tax penalties to the State.

Payroll Practice /Procedural Guidance

- Reviewed and updated 84 web pages for OSPA process, codes, screen, reports, and other reference manual changes.

- Prepared and held three User Forums to disseminate new and changed payroll regulation, system changes, and best practice guidance.

- Updated nine payroll web forms for pay advance, corrected W-2, final pay check, and other agency initiated requests and three insurance benefit calculation worksheet tools.

- Responded to an average of 200 Help Desk calls per month.

- Researched and responded to an average of 250 Help Desk emails per month.

- Provided regular and special issues of the OSPS E-News providing information about system changes, functionality, payroll processes, and announcements on pay practice changes, upcoming meetings/events, and training opportunities.

- Coordinated with DAS HRSD to create and offer five additional webinar-style trainings through iLearn Oregon.

- Provided two agency-specific presentations on Online Daily Time.

- Developed and published 12 monthly training newsletters.

- Provided 557 student training hours on payroll-related coursework.

- Worked with DAS Technology Support Center to develop procedure for accessing and using Online Daily Time screens remotely through a Citrix secured user link.

ACH Processing/Payment Reconciliation

- Processed and reconciled 492,604 employee payroll direct deposits.

- Processed and reconciled 84,749 system generated employee payroll checks.

- Worked with SFMS to reconcile the Joint Payroll account each month.

- Processed 506 ACH Stop Pay transactions.

- Processed more than $1.9 billion dollars in employee gross wages and reconciled to other payroll expenses such as PEBB, PERS/PERS Bond Debt, Deferred Compensation, and taxes.

Production Scheduling

- Produced 2012 Production Calendar, in cooperation with SFMS, for agency, central, and programmer reference.

- Scheduled year-end jobs including outdating employee deductions for the Charitable Fund Drive, Governor's Food Drive and PEBB Plan Year 2011.

- Scheduled the addition and removal of hours at fiscal year change for various leave types including furlough, personal business, and compensatory.

- Coordinated and scheduled timing of production move for all other system maintenance or enhancement changes.

- Built holiday table for new calendar year processing.

Other Special Projects

- Implemented electronic version of employee paystub/check as an agency resource via the secure web report portal.

- Responded to nine public information requests.

- Worked with PERS Deferred Compensation to design and implement new interface to communicate employee election for deductions under the new ROTH 457 plan.

- Assisted with the legislated transition of Department of Human Services into two entities: Oregon Health Authority and DHS. Loaded approximately 4,000 employee records for deductions and labor costing for the new agency.

- Provided program specific electronic report access to the Centralized PERS Team and to PEBB via secure web portal.

- Assisted an agency with processing the calculation and payment for a very complex grievance settlement.

- Designed and implemented system changes to allow a semi-independent board to process their payroll using OSPA without also having a Treasury account.

- Added additional field – Leave Comment - to OSPA Datamart Leave Accrual Table.

- Developed new one-page employee paper timesheets with two-decimal work schedule displays reducing print costs. Also made available as electronic .PDF printable timesheet to agencies.

Performance Management

- Completed all staff performance appraisals on time.

- Held regular staff, work team, and individual employee/manager meetings.

- Participated in the quarterly and extended-annual National Association of State Controllers (NASC) Payroll Information Sharing Group conference calls.

- Performed semi-annual reviews of OSPA "agency ALL" user authority and submitted results to SARS within allotted timeline.

- Finalized 2012 Performance Measure tracking and reporting for OSPS. All objectives were met within the pre-determined goal or measure.

- Identified, using the new Entrepreneurial Management model, 2013 Performance Measures and goals for OSPS.

OSPS - SPS

Oregon Statewide Payroll Services (OSPS) consists of two units: Payroll System Support (PSS) and Shared Payroll Services (SPS). OSPS is comprised of 11 full time staff which includes the unit's supervisory position.

Key Functions

The principal responsibilities of OSPS/SPS are summarized in the following general categories:

- **Client Payroll Services** – Process timely and accurate monthly payroll for 25 client agencies including the Governor's Office and the Department of Administrative Services. Provide new hire and termination services. Process off-cycle client agency pay requests for pay advances, terminations, or pay corrections due to employee missed time entries.
- **Client Benefit Services** – Process insurance forms by reviewing for completeness and entering the data into the PEBB system and reviewing on OSPA for accuracy. Make appropriate entries in OSPA related to domestic partners, opting out, and HEM participation. Review and activate PERS eligibility and respond to inquiries from PERS representatives for reporting of retirement benefits, to provide pay documentation, and to make PERS benefit related corrections when necessary.
- **Client Training and Consulting** – Train client agency employees and supervisors on entry and approval of timesheets in OSPA. Provide interpretation and instruction on furlough leave, military leave, leave without pay, etc., FMLA/OFLA requirements, COBRA benefits, PEBB, PERS, Statewide payroll policies, and collective bargaining agreement language. Respond to employee/supervisor inquires on pay and payroll process.
- **Reporting** – Track and audit SAIF, FMLA, OFLA, and furlough related leave and time entries for accuracy and compliance to report to or respond to inquiries by client agency human resource departments, employees, supervisors, DAS Chief Human Resources Office, and Secretary of State's auditors. Review payroll exception reports for net pay negative balances, overpayments, unreported leave or work hours, and unapproved time entries for reporting to employees, supervisors and/or client agency HR departments.
- **Other Projects / Miscellaneous** - Respond to Legislature, Secretary of State Audits, Chief Operating Officer's Office, and to public information requests for payroll data, system or process changes, and other special projects.
- **Performance Management** - OSPS seeks to provide training and professional development opportunities for staff. Set, track, and report performance goals and measures in order to manage and improve both section and individual performance.

Function	Manager Sandy	Acct Tech 3 Gina	Acct Tech 3 Julie S	Acct Tech 3 Vacant	Acct Tech 3 Vacant	Total FTE
Client Payroll Services	5%	30%	30%	40%	40%	1.45
Client Benefit Services		20%	20%	30%	30%	1.00
Client Training & Consultation	5%	15%	15%	10%	10%	0.55
Review and Reporting	5%	15%	15%	10%	10%	0.55
Other Projects / Miscellaneous	10%	15%	15%	5%	5%	0.50
Performance Management	15%	5%	5%	5%	5%	0.35
Total	40%	100%	100%	100%	100%	4.40

2012-2013 Business Plan Objectives

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
Client Payroll Services	1	Process new employee hire transactions for shared client agencies.	Ensure timely and accurate payroll processing.	High	Ongoing	
	2	Process employee separation activities for shared client agencies.	Ensure compliance with BOLI and FLSA.	High	Ongoing	
	3	Review and enter employee time entries from paper timesheets.	Ensure compliance with state policy and with collective bargaining agreement language.	High	Ongoing	
	4	Review online daily time entries for accuracy and completeness.	Ensure compliance with state policy and with collective bargaining agreement language.	High	Ongoing	
	5	Process employee requests for pay advances.	Ensure compliance with state policy and with collective bargaining agreement language.	High	Ongoing	
	6	Update employee deductions, work schedules, and leave balances.	Ensure compliance with state policy and with collective bargaining agreement language.	High	Ongoing	

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
Client Benefit Services	7	Process employee insurance forms.	Ensure timeliness of health/dental insurance coverage.	High	Ongoing	
	8	Calculate and enter imputed taxable values for domestic partner coverages.	Ensure compliance with state and federal law.	High	Ongoing	
	9	Review PEBB.Benefits for alerts of COBRA or insurance coverage rejections.	Ensure compliance with BOLI, state policy, and federal requirements.	High	Ongoing	
Client Training / Consultation	10	Provide new employee orientation including training on time reporting.	Ensure employee knowledge of pay processing requirements.	Medium	Ongoing	
	11	Train supervisors on payroll report review.	Ensure manager knowledge of pay/time accountability.	Medium	Ongoing	
	12	Provide guidance on CBA and state policy language.	Ensure client agency understanding and compliance with CBA and payroll related policies.	Medium	Ongoing	
Review and Reporting	13	Review OSPA exception reports.	Ensure accuracy of employee pay.	High	Ongoing	
	14	Respond to requests for information from SOS, HR, union, and client agency directors.	Provide relevant information as required.	Medium	Ongoing	
	15	Monitor and report FMLA protected time usage.	Ensure compliance with FMLA requirements.	Medium	Ongoing	
	16	Track and report employee hours under SAIF.	Ensure compliance with state and federal law.	Medium	Ongoing	
Other Projects / Miscellaneous	17	Log, track, and report employee furlough.	Ensure compliance with State Cost Reduction Directive.	Medium	July 2012	June 2013
	18	Participate in PSS project to synchronize Datamart naming conventions.	Provide agency-view perspective on enterprise-wide projects.	Medium	Jan 2012	July 2014

Function		2012/13 Business Plan Objectives	Goal	Priority	Target Start Date	Target End Date
Performance Management	19	Manage, track, and report section performance measures under new E. M. model.	Continued alignment of staff and resources to primary business objectives.	Medium	Ongoing	
	20	Participate in regular and annual staff meetings for goal setting and to provide performance reviews.	Provide staff performance feedback and the opportunity to plan and set goals.	Medium	Ongoing	
	21	Promote cross training in all positions.	Increase efficiency and ensure clear and documented procedures.	Medium	Ongoing	

FY12 Accomplishments for OSPS Shared Payroll Services not available / Shared Payroll Services was merged into Oregon Statewide Payroll Services section effective July 1, 2012.

COST SAVINGS ACCOMPLISHMENTS - FBS

SFMS has been working on a number of cost saving measures:

Requestable Reports The most notable hard dollar cost savings measure is the changes we made to requestable reports. We identified this process because requestable reports are SFMS' most expensive computing costs. We realize reports vary from month-to-month depending on the number of month ends and other events during fiscal year 2009. The requestable report costs for the quarter ended September 2009 averaged $30,444 per month compared to the requestable report costs for the quarter ended September 2010 which averaged $20,587. This $10,000 per month decrease in computing costs includes about a 15% reduction in State Data Center cpu rate. In January 2011 additional programming efficiencies were put in place for requestable reports. We are thrilled to report that the SFMA requestable report costs for January 2011 were approximately $11,000 per month. Although we saw lots of variance during the last 12 months, the requestable report costs for June 2012 were $9,907.38.

Re-sort Treasury Reconciling Reports During the past year we have re-sorted the following reports to streamline the distribution to agency process: DAFR3140 Outstanding Warrants Report for Treasury Fund, DAFR7373 Treasury Activity Report, and the DAFR7401 Treasury Reconciling Items Report. These reports were originally sorted first in fund number and then agency number. This meant that for each report specific agency information was distributed throughout the report. We changed the sort order to first sort by agency number then the fund number. This sort change has reduced the distribution to agencies process from 7-8 hours a month to 2-3 hours per month. Agencies receive these reports sooner. The new process will facilitate distributing the reports from the print plant to the agencies in the future.

Add Banner Page to Treasury Reconciling Reports SFMS added an agency banner page to each of these month end Treasury reconciling reports in September 2011. These reports are now distributed by Publishing and Distribution with each agency's month end reports the next working day after a month end close. These reports are also available electronically if agencies chose to have these printed hard copy.

CDs as a lean process Moving control reports from microfiche to CD. The savings associated with shifting central control reports to CD was a $1,800 reduction in the monthly Bicom microfiche charges. In addition to the Bicom charges SFMS will no longer take the time to file microfiche and pay for microfiche storage. The CDs will be maintained consistent with retention requirements of six years. It only takes one CD for all of the weekly control reports. Agencies have been invited to participate in this process as long as they put the required mitigating controls in place. Agencies' mitigating controls include receiving hard copy reports for four identified control reports as follows:

- DAFR 2151 R*Stars Error Report
- DAFR 3252 Agency Payment Cancellation Daily Activity Report
- DAFR 3321 Deposit Reconciliation Control Report
- The confidential DAFR 3651 Warrant Register by Agency Report

In addition the appropriate control report reviewer needs to be identified to SFMS. Nineteen agencies are participating in this process.

Performing a clean-up to correct financial data elements When notable incorrect financial data elements are identified in SFMA the data must be corrected. In the past this was accomplished by SFMS staff going into the affected tables and making the needed adjustments. In order to make these changes, SFMA was not available for agencies' transactional use. The old process required the coordination between SFMS, the IS&S Analysts and the SDC. The new improved process allows SFMA to be available during data corrections and uses fewer resources. The SDC does not get involved with the new process and therefore the process does not include all of the security and lead

time around making changes to system availability. We successfully piloted the new process December 2010. We have estimated a savings of 20-25 hours of staff time per clean up.

Statewide Financial Management Application Data Archives   We archived 155 million rows of old data from SFMA. This is part of our continuing process to manage resources, including storage costs as well as computing time associated with sorting, searching and processing current data.

Electronic Reports - SFMS   SFMS implemented electronic SFMA reports in December 2011. Control reports, profile reports, and requestable reports are all available on-line. We are very excited about all of the efficiencies these electronic pdf reports make available. All reports can be accessed electronically. SFMS staff have taken this opportunity to remove the hard copy printing of large central control reports and review them electronically. This is saving approximately $2,000 a month or $48,000 per biennium.

OSPS has been working on a number of cost saving measures:

Electronic Reports – OSPS   In 2011 OSPS implemented electronic versions of all agency payroll management and labor cost reports. This change provides improved service to agencies, makes information available sooner, decreases the OSPS printing bill by $15,000 per month and uses 6-million fewer sheets of paper each biennium. OSPS created a secure web portal to deliver reports. The portal provides for roles-based segmentation for reports access. OSPS also created an approval form and process so that agency management assigns and approves those who have access to the report portal. For the last two reports provided to agencies on paper (manager version of payroll register and leave accrual register), reports are sorted and packaged at DAS Publishing and Distribution and securely delivered to agencies.

New Reports – OSPS   OSPS created a new report with pdf views of employee pay- and check stubs for agency payroll offices. The addition of this report reduced the time payroll officers had to spend provide prior and current wage information to their employees. Prior to this report, payroll officers had to manually cut and paste individual wage information, reformat, and then copy the identified section from an all-agency payroll register report.

Electronic W-2's   In 2011 OSPS implemented electronic versions of form W-2 as an agency resource. Utilized the secure web report portal to deliver 2009 and 2010 W-2 files for research, review and to allow agencies a method to quickly provide copies to a requesting employee.

FBS is committed to lean processes and to a cost-effective and efficient Statewide Financial Systems.

PERFORMANCE MEASURES - SFMS

We believe accomplishing the objectives listed below contributes to the achievement of the Statewide Financial Management Services (SFMS) goals to:

- Ensure accurate and efficient payments for state services.

- Ensure the system performs to specifications of its users.

- Ensure state agencies and their employees receive the information and guidance they need to perform their duties.

Primary Objective 1 for Operations: Outstanding General Fund Bank Reconciliation Items Over 60 Days from Last Reconciliation. The performance goal is five per quarter.

Primary Objective Indicator and Related Performance Measure	Quarterly Performance Goal
PM 1-1 Number of warrants issued	135,000
PM 1-2 Number of payments made via direct deposit	15,000
PM 1-3 Dollar amount of warrants issued	450,000,000
PM 1-4 Dollar amount of payments made via direct deposit	750,000,000
PM 1-5 Number of direct deposit forms received	400
PM 1-6 Number of vendors signed up for direct deposit (net gain)	200
PM 1-7 Number of vendors activated	5,000
PM 1-8 Number of vendor changes processed	3,000
PM 1-9 Number of forged warrants unresolved during reporting period	2
PM 1-10 Number of warrant stop payments processed	60
PM 1-11 Number of batches remaining unresolved at end of month close	40
PM 1-12 Number of agencies with unresolved batches at end of month close	15
PM 1-13 Number of agency support analyst contacts	2,000
PM 1-14 Percentage of warrants expired vs. issued (annual)	.50%

Primary Objective 2 for SM: Service Maintenance Requests (SMRs) Completed During Reporting Period. The performance goal is 30 per quarter.

Primary Objective Indicator and Related Performance Measure	Quarterly Performance Goal
PM 2-1 Total number of hours for SFMS to finalize SMRs completed during reporting period	300
PM 2-2 Total number of outstanding SMRs	15
PM 2-3 Total number of SMRs received during reporting period	N/A
PM 2-4 Percent of quality assurances on system changes performed by negotiated time	100%

Primary Objective Indicator and Related Performance Measure	Quarterly Performance Goal
PM 2-5 Percent of quality assurances on system changes not missing meaningful defects which subsequently show up in Production	100%

Primary Objective 3 for Administration: Number of Training Hours Provided to Agency Accountants. The quarterly performance goal is 300 hours.

Primary Objective Indicator and Related Performance Measure	Quarterly Performance Goal
PM 3-1 Number of pages of formal documents published for agency use	80
PM 3-2 Number of training events offered by SFMS	7

Primary Objective 4 for Operations: Percentage of 1099-Misc Forms Issued vs. Notice 972CG Errors (% of 1099's that are not a match with the IRS). The performance goal is zero.

Primary Objective Indicator and Related Performance Measure	Quarterly Performance Goal
PM 4-1 Number of 1099-MISC issued	7,000
PM 4-2 Percentage of W-9s sent to vendors vs. W-9s received back	95%

Primary Objective 5 for SM: Number of SFMA Inbound Interfaces in Production (SFMA System testing required due to new activity from agencies). The performance goal is 90.

Primary Objective Indicator and Related Performance Measure	Quarterly Performance Goal
PM 5-1 Number of new production interfaces migrated in reporting period	1
PM 5-2 Total count of interfaces in Acceptance test status at end of reporting period	2
PM 5-3 Number of existing interfaces removed and/or replaced by new production interface (# 5-1)	1
PM 5-4 Number of interface-related emails for testing and production-related assistance	250

Primary Objective 6 for SM: Percentage of SPOTS card transactions reviewed vs. count fraudulent activities identified. The performance goal is 0.001%.

Primary Objective Indicator and Related Performance Measure	Quarterly Performance Goal
PM 61 Number of SPOTS transactions reviewed	45,000
PM 6-2 Number of fraudulent transactions identified and reported	<10

PERFORMANCE MEASURES - OSPS

We measure performance to ensure that we align our staff and resources with our primary business goals and purpose. All members of the OSPS team play a vital role in achieving these objectives.

Objective 1

The Oregon Statewide Payroll Services will provide an efficient and cost-effective payroll system.

Primary Objective Indicator (P) and Supporting Performance Measures (S)	Performance Goal or Measure
(P) Cost per paycheck	$2.89
((S) Number of Run 1 payments processed per quarter	Actual number
(S) Percent of ACH employee payments at quarter end	>80%
((S) Number of Manual Checks Produced – employee	Actual number
(S) Percent of manual checks produced within 24 hours	>99%

Accomplishing this objective contributes to the achievement of the Oregon Statewide Payroll Service's goal to provide an efficient system of preparing paychecks for state employees. Quarterly and annual reporting will be used to track progress towards meeting the objectives outlined in this business plan.

Objective 2

Oregon Statewide Payroll Services will provide a timely and accurate payroll system, ensuring compliance with all regulations.

Primary Objective Indicator (P) and Supporting Performance Measures (S)	Performance Goal or Measure
(P) Number of system work request changes completed annually.	60
(S) Number of months in last quarter IRS or DOR penalties were not incurred.	Three
(S) Number of training hours provided by OSPS staff.	600 hours annually
(S) Number of payroll checks cashed early.	<.005%
(S) Numbers of days beyond November 1 that year-end closing instructions are published.	Zero

Accomplishing this objective contributes to the achievement of OSPS's goal to provide an accurate payroll system, thereby ensuring all regulations are met and the needs of both agency payroll staff and state employees are met. Quarterly and annual reporting will be used to track progress towards meeting the objectives outlined in this business plan.

ACKNOWLEDGEMENTS