



Transmittal 2

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Karen Bass

Mayor, City of Los Angeles

Board of Harbor
Commissioners

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Diane L. Middleton
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Commissioner

Edward R. Renwick
Commissioner

I. Lee Williams
Commissioner

Eugene D. Seroka

Executive Director

October 5, 2023

NITI Systems Consultants, Inc.
4521 Bastion Drive
Roswell, CA 30075

ATTN: Jignesh Pate

SUBJECT: RESOLUTION NO. 23-10223: APPROVAL OF FIRST AMENDMENT TO AGREEMENT NO. 22-9854 WITH NITI SYSTEMS CONSULTANTS, INC. FOR SYSTEM INTEGRATION AND SUPPORT SERVICES FOR THE ENTERPRISE RESOURCE PLANNING (ERP) CLOUD MIGRATION PROJECT

At its meeting held August 10, 2023, the Los Angeles Board of Harbor Commissioners approved Resolution No. 23-10223, regarding the above subject agreement.

Enclosed for your files, is one (1) fully executed original of Agreement No. 23-9854-A between the City of Los Angeles Harbor Department and NITI Systems Consultants, Inc.

Please feel free to contact me at (310) 732-2642 if I may be helpful.

Best Regards,

AMBER M. KLESGES
Commission Secretary

#11
8/10/23

RECOMMENDATION APPROVED;
RESOLUTION 23-10223 ADOPTED AND;
AGREEMENT 23-9854-A APPROVED
BY THE BOARD OF HARBOR COMMISSIONERS

August 10, 2023
AM KLESGES
AMBER M. KLESGES
Board Secretary



DATE: AUGUST 2, 2023

FROM: INFORMATION TECHNOLOGY

SUBJECT: RESOLUTION NO. ~~23-10223~~- APPROVAL OF FIRST AMENDMENT TO AGREEMENT NO. 22-9854 NITI SYSTEMS CONSULTANTS, INC. FOR SYSTEM INTEGRATION AND SUPPORT SERVICES FOR THE ENTERPRISE RESOURCE PLANNING (ERP) CLOUD MIGRATION PROJECT

SUMMARY:

Staff requests approval of a First Amendment to the existing City of Los Angeles Harbor Department (Harbor Department) Agreement No. 22-9854 with NITI Systems Consultants, Inc. (NITI) for the Oracle Enterprise Resource Planning (ERP) Cloud migration project. The ERP Cloud migration project schedule has been extended for an additional twelve (12) months and the system will go-live on July 1, 2024.

The proposed Amendment will increase the not-to-exceed amount by \$9,240,332, from \$12,884,438, to the total not-to-exceed agreement amount of \$22,124,770. The three-year term of the agreement remains unchanged.

The Harbor Department will continue to be financially responsible for the payment of expenses incurred under the Agreement.

RECOMMENDATION:

It is recommended that the Board of Harbor Commissioners (Board):

1. Find that the Director of Environmental Management has determined that the proposed action is administratively exempt from the requirements of the California Environmental Quality Act (CEQA) under Article II Section 2(f) of the Los Angeles City CEQA Guidelines;
2. Find that in accordance with the Los Angeles City Charter Section 1022, the services required can be performed more feasibly by an outside contractor than by City employees;
3. Approve the First Amendment to Agreement No. 22-9854 with NITI Systems Consultants, Inc. for system integration and support services for an additional amount of \$9,240,332 with a total not-to-exceed \$22,124,770;
4. Direct the Board Secretary to transmit the First Amendment to Agreement No 22-9854 to the Los Angeles City Council for approval pursuant to Section 373 of the Charter of the City of Los Angeles and Section 10.5 of the Los Angeles Administrative Code;

SUBJECT: FIRST AMENDMENT TO AGREEMENT 22-9854

5. Authorize the Executive Director to execute and the Board Secretary to attest to said Amendment for and on behalf of the Board; and
6. Adopt Resolution No. 23-10223

DISCUSSION:

Background - The existing Oracle Enterprise E-Business Suite (EBS) is the Harbor Department's core business information system and has been in use since October 2012. It provides mission critical financial and purchasing functionality required to support the Harbor Department operations, decision making, and other information needs for twenty-five business functions, including but not limited to: general ledger, accounts payable, accounts receivable, cash management, fixed assets, budgeting, projects, grants, purchasing and inventory. It is interfaced to internal and external systems, including the City of Los Angeles' Financial Management System and the Harbor Department's banking partners.

The Oracle ERP Cloud project is necessary for the Harbor Department to replace the current core, on-premise, financial business information system. Oracle ended standard Software maintenance and support for the current ERP system in December 2021, and it was decided to implement Oracle Cloud ERP System instead of upgrading the on-premise Oracle System. This project will move functions of the current system to the cloud and provide solutions to challenges with the current system such as inadequate reporting capabilities, cumbersome user interfacing, labor intensive software maintenance, and inflexibilities to accommodate the Port's business process changes.

Planning for the ERP system upgrade started in August 2019, and the following year the Harbor Department decided to implement Oracle ERP Cloud.

Previous Board Action - The Board approved the NITI Agreement No. 22-9854 on February 15, 2022, for system integration and support services for a not-to-exceed compensation amount of \$12,884,438 and a term of three (3) years ending on March 14, 2025.

The project was divided into five phases and was planned to be completed within twelve (12) months. Project implementation began on July 1, 2022, and the Go-Live was expected to be on July 1, 2023. As of June 2023, the initial two phases of the project (Discovery and Vision) were completed. Currently, the project is in the Validate and Construct phases.

- **Phase 0 - Discovery** (April 2022 – June 2022) – Completed preliminary project discovery phase to identify the vision, goals, business cases, and stake holders as well as begin project planning; defined the Harbor Department's requirements and future state business processes as well as roles and configurations.
- **Phase 1 – Vision** (July 2022 – January 2023) – Discussed and clearly defined the vision for the project. A concise vision sets a tangible framework and helps determine how an activity fits into the overall project assumptions and scope at the conceptual level; redesigned the Chart of Accounts (COA) to help ensure the Harbor Department is "future

SUBJECT: FIRST AMENDMENT TO AGREEMENT 22-9854

ready" for growth, regulatory reporting changes, and internal analysis needs; increased automation of workflows, reconciliation, and key business functions to help minimize and reduce manual processes and work-arounds.

- **Phase 2- Validate** (In progress) - The key stakeholders and project team align and finalize the to-be design, develop a plan for implementation and finalize the solution design.
- **Phase 3 – Construct** (In progress) - In the Construct phase, NITI and the Harbor Department are building and testing the technology solution and design layers using an iterative testing process, Conference Room Pilot (CRP) and System Integration Testing (SIT), and prepare for deployment.

Reasons for Amendment – The Validate and Construct phases are extended due to the extensive business transformation, design decisions, Subject Matter Experts' (SMEs) feedback from testing events, as well as various deep dive sessions and to streamline multiple critical business processes. After extensive review of various options, and to ensure the overall success of the project, the ERP Project Team presented the schedule extension recommendation with lessons learned to the Project Steering Committee which consists of four (4) senior management leaders for guidance and oversight assistance and proposed that the project should be extended with scope and cost changes. The Project Steering Committee approved the schedule extension recommendation on April 26, 2023.

The Project team recommends extending the Go-Live date from July 1, 2023 to July 1, 2024 as the extended project schedule allows for additional time and resources necessary to complete technical, functional tasks, and testing required for a successful system implementation. In addition, the Project team presented the additional cost, scope, and schedule change to the Audit Committee on May 25, 2023. Below is the revised project schedule.

- **Phase 2- Validate** (August 2022 – December 2023) - During this phase, the final solution design will be validated against the standard to-be design based on leading practices. During this validation process, the Harbor Department determines any requirements that deviated from the standard and thus will develop a tailored solution that is customized to the Harbor Department's unique business requirements.
- **Phase 3 – Construct** (December 2022 – April 2024) - In the Construct phase, NITI and the Harbor Department are building and testing the technology solution and design layers using an iterative testing process, Conference Room Pilot (CRP) and System Integration Testing (SIT) and preparing for deployment.
- **Phase 4 – Deploy** (December 2023 – July 2024) - In the Deploy phase, NITI and the Harbor Department will conduct User Acceptance Testing (UAT), deploy the solution and its relevant components, and deliver training to end-users.
- **Phase 5 – Evolve** (July 2024 – September 2024) - In the final project phase Evolve, NITI and the Harbor Department will complete post go-live support and project closure procedures and transition to applicable HyperCare support, which will be 90 days starting from the Go-Live date.

SUBJECT: FIRST AMENDMENT TO AGREEMENT 22-9854

| Phase | Approved Schedule | | Proposed Schedule | |
|---------------------|-------------------|------------|-------------------|------------|
| | Start | Finish | Start | Finish |
| Phase-0 - Discovery | 04/01/2022 | 06/30/2022 | 04/01/2022 | 06/30/2022 |
| Phase-1 - Vision | 07/01/2022 | 11/30/2022 | 07/01/2022 | 01/31/2023 |
| Phase-2 - Validate | 08/01/2022 | 12/30/2022 | 08/01/2022 | 12/30/2023 |
| Phase-3 - Construct | 12/01/2022 | 05/31/2023 | 12/01/2022 | 04/01/2024 |
| Phase-4 - Deploy | 02/01/2023 | 06/30/2023 | 12/01/2023 | 07/01/2024 |
| Phase-5 - Evolve | 07/01/2023 | 08/31/2023 | 07/01/2024 | 09/30/2024 |

The extended schedule with the Go-Live date of July 1, 2024 will better accommodate the following:

- Based on lessons learned from the testing events, and the feedback from SMEs, the project team identified a need to restructure the testing event and re-test configurations. Additional time allows the project team to thoroughly review and validate the future state of critical business models, test scripts and smoke test prior to the testing events. The extended duration of the testing events will provide added benefits to the Harbor Department's end users, business analysts and core team leads.
- The COA is an essential and foundational element of an enterprise-wide system. The scope increase allows for extra time to perform deep dives into design decisions and validations so that the Harbor Department's future redesigned COA will comply with the recommended leading practice and provide additional operational data to support staff and management in making business decisions.
- As a result of business transformation and design decisions, as well as various deep dive sessions, twenty-three (23) additional integrations were identified during Validation workshops and testing events, such as the Computerized Maintenance Management System (MaintStar) to capture Work Order numbers, labor costs, inventory, assets and purchasing details; Project Information Control System (PICS) to capture project detail, budget data and Grant Project funding data; and the City of Los Angeles Financial Management System (FMS) to exchange Account Payable transactions for the reconciliation process.
- Full Planning and Budgeting Cloud Service (PBCS) Implementation
 - Implementation of additional Enterprise Performance Management (EPM) functionalities to allow the consolidation of planning processes performed outside the system to be directly incorporated into EPM and ERP.
 - Some examples of these processes include revenue modeling, Profit and Loss (P&L) allocation creation and reporting, expenditure plan management and reconciliation, detailed sub-divisional budgeting, and expense monitoring.
 - The primary goal of the overall ERP/EPM project is to enhance connections between EPM and ERP through new, detailed COA segments and data transfers between ERP sub-ledgers and EPM components. The ability to extensively map and transfer data between ERP and EPM requires more extensive work than would

SUBJECT: FIRST AMENDMENT TO AGREEMENT 22-9854

have been allowable through a simple lift and shift as provided in the originally planned scope.

- In addition, the extended schedule aligns with the delayed implementation schedule of Workday, the City of Los Angeles new Human Resources and Payroll (HRP) system for stabilization of integrations between two systems. It also allows time for proper security patching, disaster recovery and other "dry runs" prior to Go-Live to help increase effectiveness of knowledge transfer activities to the Harbor Department's support staff and ongoing system stabilization.

Proposed Amendment – Staff requests approval of the First Amendment to Agreement No. 22-9854 (Transmittal 1) in order to increase the not-to-exceed amount by \$9,240,332 in order to fund the additional costs associated with the schedule extension.

First Amendment of Agreement No. 22-9855 with CherryRoad Technologies, Inc. to provide continued IT staff augmentation and backfill services for supporting the extended implementation schedule of the Oracle Enterprise ERP Cloud migration project and First Amendment of Agreement of No. 21-9843 with Byrd Professional Resources LLP dba Byrd Group for staffing as-needed Business Systems Analyst Services will be considered by the Board under a separate report and recommended board action.

ENVIRONMENTAL ASSESSMENT:

The proposed action is the approval of the First Amendment to Agreement No. 22-9854 with NITI, which is an administrative activity. Therefore, the Director of Environmental Management has determined that the proposed action is administratively exempt from the requirements of CEQA in accordance with Article II Section 2(f) of the Los Angeles City CEQA Guidelines.

FINANCIAL IMPACT:

Approval of the proposed Amendment will increase not-to-exceed compensation by \$9,240,332, from \$12,884,438 currently to a total three-year agreement amount of \$22,124,770. The increased capital cost of \$9,240,332, was approved by the Project Development Committee (PDC) on May 3, 2023, and is budgeted under Work Order 2564800, Account No. 54310 (Information Systems Consulting Services), Center 0640 and 1206, Program No. 000.

| Fiscal Year | Approved Agreement | | Proposed Amendment | | Total |
|----------------------------|---------------------|---------------------|---------------------|-------------|----------------------|
| | Capital | Operating | Capital | Operating | |
| 2021/2022 | \$ 0 | \$ 110,000 | \$ 0 | \$ 0 | \$ 110,000 |
| 2022/2023 | \$ 8,831,838 | \$ 430,000 | \$ 0 | \$ 0 | \$ 9,261,838 |
| 2023/2024 | \$ 0 | \$ 1,863,800 | \$ 9,240,332 | \$ 0 | \$ 11,104,132 |
| 2024/2025 | \$ 0 | \$ 1,648,800 | \$ 0 | \$ 0 | \$ 1,648,800 |
| Total Not-To-Exceed | \$ 8,831,838 | \$ 4,052,600 | \$ 9,240,332 | \$ 0 | \$ 22,124,770 |

The actual expenditures may differ from the estimated amounts in the accounts and in any given

SUBJECT: FIRST AMENDMENT TO AGREEMENT 22-9854

fiscal year presented in the table above. However, the total aggregate amount will not exceed \$22,124,770. Furthermore, the proposed HyperCare (post-implementation support) period was negotiated from 30 to 90 days post Go-Live date with no additional cost.

The proposed amended Agreement is one of three (3) purchase amendments necessary for the ERP Cloud project. NITI is working with two (2) staff augmentation vendors; CherryRoad Technologies Inc. (CherryRoad) under Agreement No. 22-9855 and Byrd Professional Resources, LLC (Byrd) under Agreement No. 21-9843 to implement Oracle ERP Cloud project for the Harbor Department. The proposed total not-to-exceed cost of the ERP Cloud project is \$40,000,891. All anticipated ERP Cloud project expenditures are below:

| Expenditure | Approved | Proposed Increase | Total Amount |
|--|---------------------|---------------------|---------------------|
| System integration and support services (Proposed Agreement with NITI) | \$12,884,438 | \$9,240,332 | \$22,124,770 |
| Oracle software and subscriptions | \$2,949,429 | \$60,000 | \$3,009,429 |
| Other software and other hosting/support | \$903,711 | \$235,000 | \$1,138,711 |
| Temporary backfill staffing (Staff Augmentation): Business Systems Analysts (Byrd) IT (CherryRoad) | \$6,153,700 | \$2,732,486 | \$8,886,186 |
| Equipment and materials | \$29,652 | \$0 | \$29,652 |
| Existing Harbor Department staff working on the project (no additional employees hired for this project) | \$3,994,367 | \$817,776 | \$4,812,143 |
| Total: | \$26,915,297 | \$13,085,594 | \$40,000,891 |

There is no change to the original proposed ongoing operational cost for the Oracle ERP Cloud. The on-going operational cost for the Oracle ERP Cloud is expected to be approximately the same as the current Oracle EBS system. The annual operating cost for the Oracle ERP cloud software subscription, licenses, and support is anticipated to be \$1,864,099. This will be offset by the elimination of the current expenditures for the existing Oracle EBS hardware, software, and consultant support. However, the initial year following implementation will be higher because of overlapping expenditures for both systems during the transition and additional consulting support, if needed, for the new system.

CITY ATTORNEY:

The Office of the City Attorney has prepared and approved the proposed Amendment as to form and legality.

TRANSMITTALS:

1. First Amendment between the City of Los Angeles Harbor Department and Agreement No. 22-9854 - NITI Systems Consultants, Inc.

DATE: AUGUST 2, 2023

PAGE 7 OF 7

SUBJECT: FIRST AMENDMENT TO AGREEMENT 22-9854

FIS Approval: MB

CA Approval: kfm

SheebaVarughese

Sheeba Varughese
dc=pola, dc=lahd, ou=HQ,
ou=ITD, ou=USERS, ou=EMP,
cn=Sheeba Varughese,
email=SVarughese@portla.org
2023.08.02 12:25:30 -07'00'

SHEEBA VARUGHESE
Chief Information Officer

Thomas E. Gazsi
Digitally signed by
Thomas E. Gazsi
Date: 2023.08.02
12:32:15 -07'00'

THOMAS GAZSI
Chief of Public Safety and
Emergency Management

APPROVED:

Mark Bleavin *Fup*

EUGENE D. SEROKA
Executive Director

SV:HN

| To | | From |
|----|-------------------------------------|------|
| | BOARD OF HARBOR COMMISSIONERS | |
| | EXECUTIVE DIRECTOR | |
| | CHIEF OF STAFF | |
| | DED - FINANCE & ADMIN, CFO | |
| | DED - PUB SAFETY & EMERG MGT, CHIEF | |
| | DED - MKTG & CUSTOMER RELATIONS | |
| | DED - DEVELOPMENT | |
| | DED - STAKEHOLDER ENGAGEMENT | |
| | SR DIR COMM & STAKEHOLDER ENGAGE | |
| | ACCOUNTING | |
| | CARGO INDUST REAL ESTATE (WHARF) | |
| | CARGO MARKETING | |
| | CITY ATTORNEY | |
| x | COMMISSION OFFICE | |
| | COMMUNITY RELATIONS | |
| | CONSTRUCTION | |
| | CONSTRUCTION & MAINTENANCE | |
| | CONTRACTS & PURCHASING | |
| | DEBT & TREASURY MANAGEMENT | |

CITY OF LOS ANGELES
HARBOR DEPARTMENT

September 21, 2023

| To | | From |
|----|-------------------------------|------|
| | EMERGENCY MANAGEMENT | |
| | ENGINEERING | |
| | ENVIRONMENTAL MANAGEMENT | |
| | FINANCIAL MANAGEMENT | |
| | GOODS MOVEMENT | |
| | GRAPHIC SERVICES | |
| | HUMAN RESOURCES | |
| | INFORMATION TECHNOLOGY | X |
| | INTERNAL AUDIT | |
| | LABOR RELATIONS & GOV AFFAIRS | |
| | MEDIA REL & STRATEGIC COMM | |
| | PLANNING & STRATEGY | |
| | PORT PILOTS | |
| | PORT POLICE | |
| | RISK MANAGEMENT | |
| | TRADE DEVELOPMENT | |
| | WATERFRONT/COMM REAL ESTATE | |
| | | |
| | | |

SUBJECT: NOTIFICATION OF ADMINISTRATIVE ERROR IN THE BOARD REPORTS FOR FIRST AMENDMENT TO AGREEMENT NO. 22-9854 WITH NITI SYSTEMS CONSULTANTS, INC. AND FIRST AMENDMENT TO AGREEMENT NO. 22-9855 WITH CHERRYROAD TECHNOLOGIES INC.

The Information Technology Division (ITD) is notifying the Commission Office of an administrative error to "Resolution 23-10233 Niti Systems Consultants, Inc Agreement 23-9854-A." and "Resolution 23-10234 "CherryRoad Technologies Inc. Agreement 23-9855-A." for the inadvertent inclusion of "Recommendation #4" to direct the Board Secretary to transmit to Los Angeles City Council pursuant to Section 373 of the Charter of the City of Los Angeles and Section 10.5 of the Los Angeles Administrative Code. Charter section 373 and Administrative Code section 10.5 do not apply to these agreements and City Council approval is not required. Both Resolutions were approved at the Board of Harbor Commissioners on August 10, 2023, and transmitted to the Mayor's Office for further processing.

We respectfully request for Resolution 23-10233 (Niti Systems Consultants, Inc.) and Resolution 23-10234 (CherryRoad Technologies Inc.) be withdrawn from the Mayor's Office and redirected to the Executive Director for signature, based on the terms of the agreement amendments.

If you have any questions, please contact Sheeba Varughese on extension 7766.



Sheeba Varughese
dc=pola, dc=lahd, ou=HQ,
ou=ITD, ou=USERS, ou=EMP,
cn=Sheeba Varughese,
email=SVarughese@portla.org
2023.09.22 14:16:10 -07'00'

SHEEBA VARUGHESE
Chief Information Officer

SV

CITY OF LOS ANGELES

INTER-DEPARTMENTAL CORRESPONDENCE

DATE: August 15, 2023

TO: The Honorable Karen Bass, Mayor
City of Los Angeles

FROM: Amber M. Klesges, Commission Secretary
Harbor Department / Mail Stop 260 

SUBJECT: **CHARTER SECTION 373** – RESOLUTION NO. 23-10223 – FIRST AMENDMENT TO AGREEMENT NO. 22-9854 WITH NITI SYSTEMS CONSULTANTS, INC. FOR SYSTEM INTEGRATION AND SUPPORT SERVICES FOR THE ENTERPRISE RESOURCE PLANNING (ERP) CLOUD MIGRATION PROJECT

In accordance with Executive Directive No. 4, attached for your review is Resolution No. 23-10223 authorizing the approval of First Amendment Agreement No. 23-9854-A with Niti Systems Consultants, Inc.; which was approved at the Board of Harbor Commissioners Meeting on August 10, 2023.

It is respectfully recommended for the City Administrative Office to review, report, and return to the Harbor Department for further processing to City Council for final consideration.

Please feel free to contact me for any inquiries regarding the transmitted documents at (310) 732-2642 or aklesges@portla.org

cc: Heleen Ramirez, Mayor's Office
Erick Martell, Mayor's Office
Jacqueline Wagner, CAO Office
Sondra Fu, CAO Office
Stephanie Magnien, Harbor Representative
City Attorney

AK/EV

FIRST AMENDMENT TO AGREEMENT NO. 22-9854
BETWEEN THE CITY OF LOS ANGELES AND
NITI SYSTEMS CONSULTANTS, INC.

THIS FIRST AMENDMENT to Agreement No. 22-9854 is made and entered into by and between the CITY OF LOS ANGELES, a municipal corporation ("City"), acting by and through its Board of Harbor Commissioners ("Board"), and NITI SYSTEMS CONSULTANTS, INC. a Georgia corporation, 4251 Bastion Dr., Roswell, GA 30075 ("Consultant") as follows:

1. Exhibit A is replaced in its entirety with Exhibit A-1 attached hereto. On the effective date of this First Amendment, all references to Exhibit A shall now refer to Exhibit A-1.
2. Exhibit B is replaced in its entirety with Exhibit B-1 attached hereto. On the effective date of this First Amendment, all references to Exhibit B shall now refer to Exhibit B-1.
3. Section 5 COMPENSATION AND PAYMENT, subsection B, shall be amended to increase compensation by an additional amount of Nine Million Two Hundred Forty Thousand Three Hundred Thirty-Two Dollars (\$9,240,332) and will read as follows:

"B. The maximum payable under this Agreement, including reimbursable expenses (see Exhibit B-1), shall be Twenty-Two Million One Hundred Twenty-Four Thousand Seven Hundred Seventy Dollars (\$22,124,770)."

Except as amended herein, all remaining terms and conditions of Agreement No. 22-9854 shall remain in full force and effect.

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IN WITNESS THEREOF, the parties hereto have executed this First Amendment to Agreement No. 22-9854 on the date to the left of their signatures.

THE CITY OF LOS ANGELES, by its Board of Harbor Commissioners

Dated: September 21, 2023

By 
EUGENE D. SEROKA
Executive Director

Attest 
AMBER M. KLESGES
Board Secretary

NITI SYSTEMS CONSULTANTS, INC.

Dated: 7/19/23

By: Jignesh Patel Digitally signed by Jignesh Patel
Date: 2023.07.19 11:27:20
-04'00'

Jignesh Patel, CEO
(Print/type name and title)

Attest: Matthew Nixon Digitally signed by Matthew Nixon
Date: 2023.07.19 11:37:52 -04'00'
Matthew Nixon, Director
(Print/type name and title)

APPROVED AS TO FORM AND LEGALITY

7-24, 2023
HYDEE FELDSTEIN SOTO, City Attorney
STEVEN Y. OTERA, General Counsel

By  
MINAH PARK, Deputy

First Amendment to Agreement AG_22_9854
 NITI SYSTEMS CONSULTANTS, INC.
 - Capital Budget Information



| | | | |
|--------------------------------|---|--|-------------|
| Account # | 54310 | W.O. # | 2564800 |
| Ctr/Div # | 1206 | Job Fac. # | |
| Proj/Prog # | 000 | | |
| Budget FY: Amount: | | | |
| | 22/23 | | \$0 |
| | 23/24 | | \$9,240,332 |
| | 24/25 | | \$0 |
| | TOTAL | | \$9,240,332 |
| For Acct/Budget Div. Use Only: | | | |
| Verified by: |  | Digitally signed by Joanna Ames Date: 2023.07.19 13:11:12 -07'00' | |
| Verified Funds Available: |  | Digitally signed by Frank Liu Date: 2023.07.19 14:49:49 -07'00' | |
| Date Approved: | 7/19/23 | | |

Table of Contents

| | |
|---|----|
| 1. EXECUTIVE OVERVIEW..... | 3 |
| 1.1 PROJECT BACKGROUND AND OBJECTIVES | 3 |
| 1.2 PROJECT TIMELINE..... | 4 |
| 1.3 PROJECT SCOPE..... | 6 |
| 2. SCOPE OF SERVICES..... | 7 |
| 2.1 FUNCTIONAL SCOPE | 7 |
| 2.1.1 BUSINESS TRANSFORMATION | 13 |
| 2.1.2 ENTERPRISE PERFORMANCE MANAGEMENT (EPM) | 13 |
| 2.2 TECHNICAL SCOPE..... | 21 |
| 2.2.1 INTERFACE DEVELOPMENT..... | 21 |
| 2.2.2 REPORTS DEVELOPMENT..... | 27 |
| 2.2.3 ORACLE WORKFLOWS | 28 |
| 2.2.4 DATA CONVERSION | 28 |
| 2.2.5 DATA ARCHIVING | 30 |
| 2.2.6 LAHD IT OPERATIONS..... | 32 |
| 2.3 CHANGE MANAGEMENT AND TRAINING SERVICES | 32 |
| 2.4 AS-NEEDED DEVELOPMENT..... | 34 |
| 2.5 EBS SUPPORT..... | 35 |
| 2.6 AS-NEEDED LEVEL 1 HELPDESK CLOUD SUPPORT..... | 35 |
| 2.6.1 AS-NEEDED CLOUD ENRICHMENT SERVICES SUPPORT | 36 |
| 2.6.2 STATUS REPORTING AND MANAGEMENT OF WORK | 36 |
| 2.7 CLOUD MANAGED SERVICES SUPPORT AND RESPONSIBILITIES | 37 |
| 2.7.1 LEVEL 2 / LEVEL 3 – MANAGED SERVICES GENERAL CLIENT RESPONSIBILITIES | 38 |
| 2.7.2 MANAGED SERVICES MANAGEMENT RESPONSIBILITIES | 42 |
| 2.7.3 SERVICE VALIDATION AND TESTING | 46 |
| 2.7.4 CLOUD SYSTEM DEVELOPMENT SERVICES | 49 |
| 3. PROJECT STAFFING, ROLES, AND RESPONSIBILITIES | 52 |
| 3.1 NITI AND LAHD STAFF ROLES | 52 |
| 3.2 NITI AND LAHD RESPONSIBILITIES | 55 |
| 3.3 PROJECT ORGANIZATION CHART | 56 |
| 4. IMPLEMENTATION METHODOLOGY AND WORKPLAN..... | 57 |
| 4.1 METHODOLOGY AND DELIVERABLES | 57 |

EXHIBIT A-1

| | |
|--|----|
| 4.1.1 PHASE 0 | 57 |
| 4.1.2 VISION PHASE (PHASE 1) | 59 |
| 4.1.3 VALIDATE PHASE (PHASE 2) | 61 |
| 4.1.4 CONSTRUCT PHASE (PHASE 3)..... | 67 |
| 4.1.5 DEPLOY PHASE (PHASE 4)..... | 76 |
| 4.1.6 EVOLVE PHASE (PHASE 5)..... | 78 |
| 4.2 DELIVERABLE ACCEPTANCE | 79 |
| 4.3 COMPLETION CRITERIA | 80 |
| 5. ORACLE SOFTWARE AND THIRD-PARTY SOFTWARE TOOLS..... | 81 |
| 6. RATES, PRICING SUMMARY AND PAYMENT SCHEDULE..... | 82 |
| 7. PROJECT ASSUMPTIONS | 82 |
| 7.1 GENERAL..... | 82 |
| 7.2 LOGISTICAL..... | 84 |
| 7.2.1 TARGET OPERATING MODEL | 85 |
| 7.2.2 ORACLE CLOUD SERVICE..... | 85 |
| 7.3 INTEGRATION..... | 86 |
| 7.4 DATA MIGRATION..... | 87 |
| 7.5 CHANGE MANAGEMENT AND TRAINING | 87 |
| 7.6 SECURITY AND CONTROLS | 88 |
| 7.6.1 SECURITY | 88 |
| 7.6.2 CONTROLS | 89 |
| 7.6.3 OTHER SECURITY AND CONTROLS TOPICS | 89 |
| 7.7 EPM ASSUMPTIONS | 90 |
| 7.7.1 APPLICATION CONFIGURATION..... | 90 |
| 7.7.2 BUSINESS RULES | 91 |
| 7.7.3 DATA INTEGRATION..... | 91 |
| 7.7.4 NARRATIVE REPORTING | 92 |
| 8. PROVISION FOR FLEXIBILITY | 93 |
| 9. GLOSSARY AND TERMS | 93 |
| 10. ATTACHMENTS..... | 96 |

SCOPE OF WORK

1. EXECUTIVE OVERVIEW

The City of Los Angeles Harbor Department (LAHD) requires assistance to migrate the Department's on-premise Oracle E-Business Suite (EBS) Enterprise Resource Planning financial system to a new Oracle Fusion Cloud (ERP) system in Government Cloud and provide related design, development, as well as support services.

The Scope of Work (SOW) is intended to document the scope, roles, responsibilities, tasks and timeframe for the implementation that includes: all work required to migrate from the current on-premise Oracle EBS applications (including existing features, forms used, reports, and Oracle workflows) to Oracle's Fusion Cloud ERP solution; the adoption of the inherent benefits of the new cloud system; as well as the maintenance and support services required after implementation.

The content of the SOW with respect to the original proposal and the Agreement with NITI Systems Consultants (NITI) functions to:

- Complement and clarify the original proposal and documents negotiated changes;
- Require that everything in the SOW must be provided; and
- Require that everything in the proposal must be provided unless the SOW specifically documents the substitution or deletion.

This Executive Overview section is intended as an overview of the Los Angeles Harbor Department's (LAHD) objectives for the project, scope, and timeline for the Oracle ERP Cloud Implementation Services. Following the executive overview, the terms of the SOW are documented in the appropriate level of detail.

1.1 PROJECT BACKGROUND AND OBJECTIVES

LAHD currently uses Oracle ERP as its financial and purchasing management system. The ERP system includes the Oracle EBS, Planning and Budget Cloud Service (PBCS) as well as other supporting products and custom-written programs and interfaces. The ERP system provides Financial Management, Procurement Management, Inventory and Cost Management, Workforce Management, Asset Management, Project and Grants Accounting, Debt and Treasury Management, and Budget Management.

LAHD will be migrating the Department's Oracle EBS financial system to a new Oracle ERP Cloud system in Government Cloud, including the cloud's hosted Debt and Treasury (D&T) SymPro software as the Oracle ERP Cloud (SaaS) does not currently offer a module for D&T. These new cloud systems shall allow for new,

EXHIBIT A-1

enhanced, and improved functionalities for various modules. The Oracle Cloud system's planned go-live date will be July 2024.

NITI will guide LAHD in its business transformation and migrate from the on premise EBS platform to a future state cloud model on Oracle Fusion Applications in the Government Cloud. With the implementation of the Oracle ERP Cloud system, LAHD expects to transform its overall business processes related to accounting and financial management. NITI will work with LAHD to understand LAHD's current business process, identify gaps in current practices, and make recommendations regarding how to both modify the current business process and implement new practices that will best leverage the system's capabilities to facilitate best-in-class accounting and financial management practices through an ERP system.

1.2 PROJECT TIMELINE

This section shows a high-level project timeline. The project has five (5) main phases – Phase 1-5. Phase 0 has been added in to begin the business transformation and bring parts of the discovery and project planning forward to put in place necessary time for downstream approvals and orchestration for a successful implementation.

The Phases are:

Phase 0 (estimated April 2022 – June 2022) - Designed to begin the business transformation and bring parts of the discovery and project planning forward to put in place necessary time for downstream approvals and orchestration for a successful implementation.

Phase 1 - Vision (July 2022 – January 2023) - In the Vision phase, the project will be officially launched, and key stakeholders will align on key design principles and how best to deploy the integrated and standardized enterprise financial solution across all of LAHD's organizations and locations.

Phase 2 – Validate (August 2022 – December 2023) - The parties will align and finalize the to-be design, develop a plan for implementation and finalize the solution design. During this phase, the final solution design will be validated against the standard to-be design based on leading practices that are inherent in the Powered Solution. As such, LAHD will validate this design ("review" rather than "create"). Through this validation process, LAHD can then determine any requirements that will deviate from this standard. Such deviations will be captured by NITI and reviewed and approved by LAHD. The objective in this phase will be for NITI to develop a tailored enterprise design that meets LAHD's unique business requirements.

EXHIBIT A-1

Through the Validate phase, NITI will identify the dependencies for processes, people, and technologies and set a general strategic direction that would be a foundation for the overall program, subject to LAHD's review and approval.

Phase 3 – Construct (December 2022 – April 2024) - In the Construct phase, NITI and LAHD will build and test the technology solution and design layers using an iterative testing process, conference room pilot (CRP) and System Integration Testing (SIT) and prepare for deployment.

Phase 4 – Deploy (December 2023 – July 2024) - In the Deploy phase, NITI and LAHD will conduct user acceptance testing (UAT), deploy the solution and its relevant components, and deliver training to end-users.

Phase 5 – Evolve (July 2024 – September 2024) - In the final project phase Evolve, NITI and LAHD will complete post go-live support and project closure procedures and transition to applicable HyperCare support (HyperCare will be 90 days).

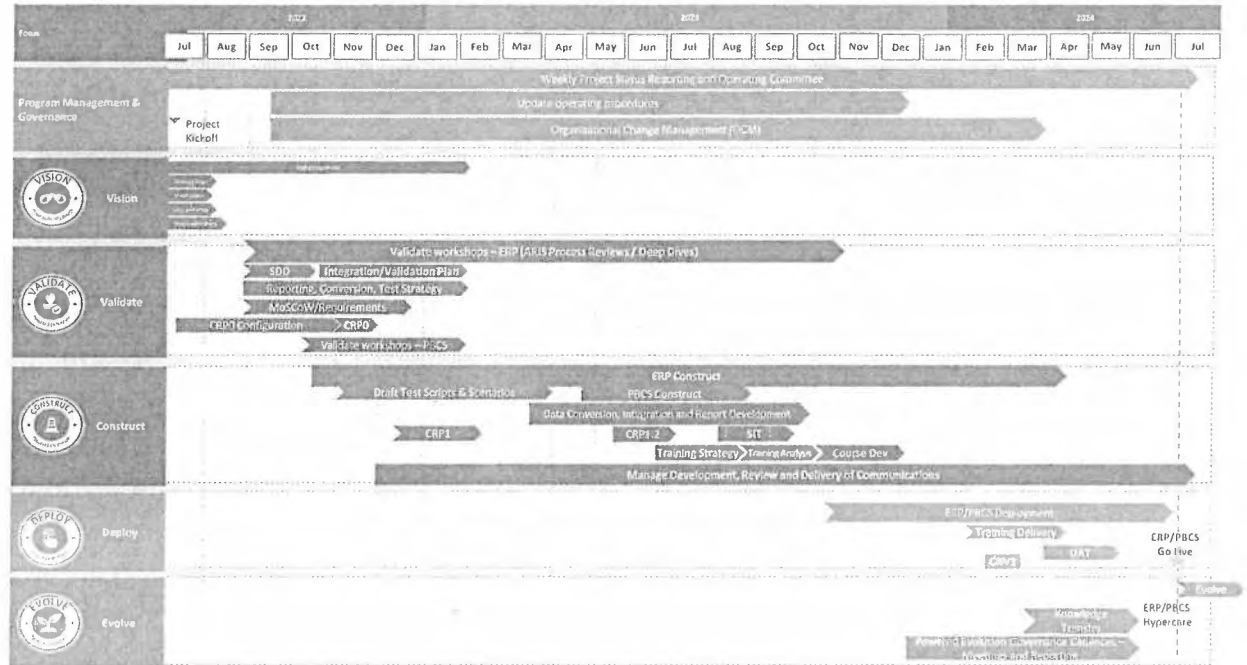
The guiding principles of the engagement are as follows:

1. Focus on using delivered functionality to achieve business needs and not duplicating existing processes. It is important that the joint teams work toward a solution that meets the business need recognizing that the approach in Oracle Fusion will at times accomplish the same or similar outcome in a different way than was previously done in legacy system(s).
2. The Powered Solution provides a sample set of processes, roles and system configurations and other relevant information as a starting point, based on leading practices. During the Validation phase, NITI will walk LAHD through this example in workshop settings and LAHD will make decisions as to whether the leading practice example is appropriate, or where changes should be made at LAHD's direction.
3. A consistent design will be implemented across, business units, and Divisions.

During the project, approval from the LAHD Project Manager is required for any Phase timeline schedule changes.

EXHIBIT A-1

PROJECT TIMELINE



1.3 PROJECT SCOPE

NITI will be the primary system implementer, working with LAHD to implement the Oracle ERP Cloud system, which will include migration of the department's existing, on-premise EBS applications. Services provided by NITI will include overall business process transformation in alignment with the capabilities of the new system, configuration of system security, configuration of departmental ERP functions in Oracle ERP Cloud Software as a Service (SaaS), and implementation of Debt and Treasury (D&T) - SymPro software, deployment, post-implementation and as-needed maintenance support.

The project will also include three formal testing events and a User Acceptance Testing events. The events will be as follows:

1. Conference Room Pilot (CRP) 1
2. CRP 1.2
3. CRP 2 (SIT)
4. User Acceptance Testing (UAT)

The revised scope includes 8 additional weeks for CRP 1.2 (total of 8 weeks), 5 additional weeks for SIT (total of 15 weeks) and 4 additional weeks for UAT (total of 15 weeks).

2. SCOPE OF SERVICES

This section describes the scope of services associated with the implementation of the Oracle Cloud ERP application.

2.1 FUNCTIONAL SCOPE

NITI will provide process and application implementation services during the course of the engagement. The processes in scope for LAHD and the relevant Oracle Fusion Applications are listed in Table 1 - Application Scope. The corresponding activities and deliverables are as noted in Section 4.1.2 through 4.1.6.

TABLE 1 - APPLICATION SCOPE

| Process Area | LAHD Functional Area / Applications | Proposed Oracle Cloud Modules / Technical Scope | Connecting to LAHD's Key Considerations |
|------------------|---|---|--|
| Record to Report | Core Accounting General Ledger / Reporting Encumbrance Accounting Budgetary Control Financial Reporting | Oracle Fusion ERP Cloud Service | <p>NITI believes an enterprise-wide review of the Chart of Accounts and GL Structure is essential in every ERP implementation. A simplified and standardize language in which data is captured, reported, automated, synchronized and governed consistently throughout the organization is critical for LAHD to improve reporting and meet the future needs of the operations.</p> <p>NITI agrees with LAHD's ranking of EPM focus areas for this engagement and believe that addressing the foundational aspects of planning and reporting functions by taking PBCS custom application to Oracle Cloud EPM Planning and addressing ACFR reporting</p> |

EXHIBIT A-1

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| | | | <p>with Oracle Cloud EPM Narrative Reporting. This critical transformation will provide the necessary foundational elements to grow EPM capabilities and look forward to leveraging Oracle's newest technology for the Department.</p> <p>Develop and implement financial process that comply with GAAP costing and accounting regulatory procedures. Such processes are critical to support year-end close and reporting needs.</p> <p>Redesign the Chart of Accounts (COA) by conducting current state and leading practice workshops while also incorporating a broad report cataloging and rationalization activity to confirm the COA design.</p> <p>Allocation of operation cost to expense segments.</p> |
| Plan to Perform | <p>Financial Reporting</p> <p>Planning and Budgeting</p> <p>Narrative Reporting</p> | <p>Oracle EPM Enterprise Cloud Service</p> <p>Oracle Cloud EPM Planning and Oracle Cloud EPM Narrative Reporting (Modules)</p> | <p>Financial reporting has evolved beyond supporting daily reconciliation activities and close processes. Today, for organizations like LAHD, reporting is critical to support decision making, expansion, and management operations.</p> <p>As noted in Section 7.7 EPM Assumptions, NITI will be migrating LAHD's current Planning Environment which is highly developed, with</p> |

EXHIBIT A-1

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| | | | <p>detailed Business Rules, Forms, and Reports that have been developed and enhanced over at least 10 years into the Enterprise Planning Cloud. The new application will adopt the future state data model with full integration with Oracle Cloud ERP and take advantage of Mid-Year and Adopted Budgets.</p> |
| Acquire to Retire | Fixed Assets | Oracle Fusion ERP Cloud Service | <p>Defining asset categories, tags, and tracking methods better defines LAHD's ability to understand a complete operational picture and comply with U.S. GAAP.</p> |
| Project to Result | <p>Project Accounting</p> <p>Grants Accounting</p> <p>Budgetary Control</p> | Oracle Fusion ERP Cloud Service | <p>As a public sector organization, LAHD receives grant funding. Further, LAHD must consider regulatory requirements, including how to spend the funds, what is allowable, allocation of overhead, and tracking grant dollars by project and by individual. Cloud applications help support this in an automated fashion.</p> <p>Reduce manual effort of reconciliation with LAHD legacy/custom systems such as PICS (for capital projects) and MaintStar (for maintenance projects) through integration.</p> <p>As LAHD expands and continues to add assets, funding sources, and operational needs - project accounting will only grow for</p> |

EXHIBIT A-1

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| | | | <p>both capital and indirect projects. Ensuring consistent naming, tracking, and integration across applications and interfaces is critical.</p> <p>Review and better utilize subledger accounting rules to drive financial impact of project related transactions.</p> <p>Allocation of operational costs to projects and leverage burdening functionality to capture overhead charges to projects.</p> <p>Enable budgetary control on projects, on a time period basis (annually/fiscal year basis) and life of the project/grant.</p> |
| Requisition to pay | <p>Payables</p> <p>Procurement</p> <p>Expense Management</p> <p>Automated Invoice Processing</p> <p>Encumbrance Accounting</p> | <p>Oracle Fusion ERP Cloud Service</p> <p>Oracle Fusion Procurement Cloud Service</p> <p>Oracle Fusion WebCenter and Form Center Cloud Service</p> | <p>NITI understands spend control and automation will drive efficiency, minimize errors, and improve reporting for LAHD.</p> <p>An integrated solution should provide LAHD a streamlined approach from solicitation to payment without duplicate data entry or the need to capture manual signatures while still capturing all of the necessary approvals and providing controls throughout the process.</p> <p>Solution for Withholding tax (requirement for State of CA) and Sales and Use Tax - self-assessment.</p> |

EXHIBIT A-1

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| | | | <p>Leverage workflow for routing of information and gaining approvals.</p> <p>Incorporate process improvements for project-related requisition through fulfillment process.</p> <p>Include encumbering of travel and expense authorization.</p> |
| Order to Cash | Receivables Advanced Collections | Oracle Fusion ERP Cloud Service | <p>NITI will partner with LAHD to assess critical capability (i.e., Late Fees, Penalties, etc.) and fit with delivered capability in Accounts Receivables. NITI will validate the supporting reference data requirements for enhanced reporting and leverage improved integration capability of cloud for any custom integration requirements.</p> <p>KPMG's Powered Methodology and testing approach ensures all newly released capability in Oracle Fusion Applications is thoroughly tested and any gaps are vetted and quantified before a workaround is defined.</p> <p>Review LAHD's collections requirements and configure Advanced Collections to provide a streamlined collection process.</p> |
| Store to Fulfill | Inventory Management | Oracle Fusion Supply Chain Execution Cloud Service | <p>NITI will work with LAHD to determine opportunities to improve current processes and leverage available</p> |

EXHIBIT A-1

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| | | | automated processes. NITI will reference the functional requirements (Attachment 6) from PU 173.00 through PU 2019.20. |
| Source to contract | Supplier Relationship Management Strategic Sourcing Strategic Procurement Signature (e.g. DocuSign) | Oracle Fusion Procurement Cloud Services | To enable fully integrated end-to-end automation, LAHD will require a standard catalog, rationalize vendor master, and instances of iSupplier portal will be required. Develop supplier diversity matrices for reporting purposes to LAHD. |
| Debt and Treasury | SymPro Debt and Treasury Application | SymPro | Define Debt and Treasury requirements and coordinate with SymPro to enable the requirements in the software. Investigate and assess the integration requirements for SymPro to push journal entries into the Oracle Financial Cloud early. |

During the Vision phase, NITI will outline the business operations and supporting systems with a clearly stated functional strategy and roadmap to transform current state to future state, and the associated enterprise structure.

During the Validate phase, NITI will deliver the Target Operating Model (TOM) describing the business transformations and future state and a prioritized list of required changes to the environment, agreeing on the purpose and scope of the solution, and the transformations within the finance operations.

LAHD provided a list of functional requirements to NITI in Attachment 6 - Functional Requirements of the request for proposal. NITI will leverage the requirements as a basis of understanding but will leverage KPMG's Powered Enterprise methodology to drive the solution design in order to gain the most benefit of process transformation for LAHD.

Any deviations to the baseline Powered Enterprise solution will be determined and documented in Section 4.1.4 Validate Phase – Deliverable Va-8. NITI will review LAHD's workflow / existing AME rules as part of NITI led validation workshops.

EXHIBIT A-1

The list provided in Attachment 8 – EBS Workflows and AME Rules of the RFP will be leveraged as the basis for this review but will be validated during the workshops to document any changes necessary to transform the workflows/AME rules to new functionalities.

LAHD's functional requirements document as provided in the Request for Proposals will be used as a reference point and is included as Attachment 6.

2.1.1 BUSINESS TRANSFORMATION

The Business Process work stream will identify and confirm the affected core business functions that make up the scope of the transformation and validate against Attachment 4 - Oracle Billing of Material (BOM). Leveraging the pain-points identified in the LAHD Functional Lead workshop, engage in small working sessions with the LAHD team and subject matter professionals to determine if directly in scope, partially in scope or not in scope.

NITI will utilize KPMG's Powered Enterprise process taxonomy tile boards to review the Finance, EPM, Procurement & Projects level 3 processes. This will lead to the initial vision for LAHD's transformed business operations in the form of a Target Operating Model (TOM). The team will then determine the transformation scope during working sessions with key functional stakeholders, and map the transformation scope to the enabling Oracle technology module to identify transformation opportunities' and key decisions.

Business process transformation should be accomplished and in alignment with the best practices and requirements of both government enterprise agencies and Oracle ERP Cloud.

2.1.2 ENTERPRISE PERFORMANCE MANAGEMENT (EPM)

This workstream is focused on Planning/Budgeting PBCS PCMCS and ACFR Narrative Reporting. The below are considered in scope for EPM:

| | Requirements in scope for EPM | Requirement Details | Associated Deliverable |
|---|--|---|------------------------|
| 1 | Integration of EPM solutions | Specifically, Narrative Reporting integration with Revenue and PBCS | |
| 2 | Support sunset of existing non-Enterprise Cloud PBCS to Enterprise Cloud | The expectation is that LAHD owns this effort including any modifications required to transition existing reports, rules, | |

EXHIBIT A-1

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| | | forms or other objects to Enterprise cloud. KPMG will help with migrating the application to the new POD, general technical support and assistance with provisioning users and other security | |
| 3 | Perform a full re-implementation of PBCS to address new ERP global data model and functionality (PBCS) | | Ext - 7.1 |
| 4 | Convert 5 years of history (final version only) | | |
| 5 | Convert existing forms to the new COA with the new data model | | |
| 6 | Develop up to 10 new forms to address new planning requirements for standard divisional budget submission | | |
| 7 | Budget Transfer/ adjusted budget functionality is required and will most likely be a combination of future state ERP and EPM capabilities. | Workforce Planning is not in scope. | |
| 8 | Automation to be enabled for budget transfers. | | |
| 9 | Develop new forms, authorization/work-flow processes, and reports to address requests from Port Police and other divisions to utilize Planning for section/unit-based internal divisional budget submissions. | | |
| 10 | Within Planning, bring forward initial divisional budget submissions | Will serve as the starting point for consolidated annual divisional budget submissions | |
| 11 | Develop up to 5 Data Maps (Revenue cube to Lineltem cube, Revenue cube to PMCS, Revenue to Reporting | Must be within EPM and is considered PBCS functionality to move data | |

EXHIBIT A-1

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| | Cube (2 additional to be defined, if required) | | |
| 12 | Implement Revenue Model | | Ext - 7.2 |
| 13 | Revenue model will replace, to the extent possible, the Excel-based Revenue model currently utilized by Finance to generate the annual Revenue Budget | | |
| 14 | Plan all LAHD revenue accounts, automated to the extent possible, through combination of business rules, formulas or direct inputs (if not directly interfaced from ERP) for all 7 container terminals | <p>A. All Shipping Services Revenue components will be calculated utilizing Planning forms, business rules, and/or formulas.</p> <p>B. Expectation is that these calculations reside 100% within PBCS (driver input may remain manual through forms or smartview if unable to be pulled into Revenue Model from the ledger/sub ledger)</p> <p>C. Wharfage solution is required to be calculated within Planning</p> | |
| 15 | Develop up to 30 forms to support Revenue Planning to support FP&A | | |
| 16 | Develop up to 10 business rules to support Revenue Planning, including drivers for wharfage and pilotage (summary table, including specific source description) to be provided by LAHD to outline the different revenue types) | | |
| 17 | Develop up to 5 integrations to load necessary revenue drivers | Expected Integrations with Klein, AR, GL (two additional TBD, if required) | |
| 18 | Develop DataMaps to transfer data to the reporting cube and/or Narrative Reporting | | |
| 19 | Develop up to 5 complex reports and up to 5 dashboards for Revenue | Expectation is that LAHD would own the report creation if greater than 5 are required | |

EXHIBIT A-1

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| | Reporting (PBCS reports – can be retrieved by Narrative Reporting) | | |
| 20 | Implement Allocations (PCMCS) | In conjunction with KPMG's ERP development team, KPMG's EPM team will develop a comprehensive "Profit & Loss by Line of Business/Customer" solution "Profit & Loss by LOB/Customer" is defined as the comprehensive allocation plan to allocate operating expense and depreciation to LOB/Customer detail. Solution is a collection of processes, systems, tools, views, and reports utilized by a Port's Financial Planning & Analysis division to create Profit & Loss reports by LOB/Customer. This solution starts with receiving operating expenses and depreciation, identifying direct expenses, and then allocating all remain expenditures utilizing the COA and PCMCS component. | Ext - 7.3 |
| 21 | a. Initial deliverable from KPMG in the EPM Vision (or ERP Construct) phase would be a functional/technical PCMCS design document with tables, flow charts, screen prints, and graphical representations that outlines how allocations will be created and P&L reports will be generated within EPM by sourcing information from ERP, reducing dependence on manual processes and outside Excel models. | a. Deliverable will detail the processes, system configurations and integrations, and the system tools, forms, application views, and reports necessary to comprehensively manage the allocation process within Oracle ERP and EPM. b. KPMG's EPM and ERP teams will develop integrations between EPM and ERP components to source actual expenditures to PCMCS through the utilization of COA segments, defined Flex fields, and EPM dimensions. | |

EXHIBIT A-1

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| | b. Deliverables from KPMG within Construct and Deploy will be the actual system configurations and the development of allocations and P&L statements by LOB/Customer and other tools to effectuate allocation and P&L by LOB/Customer statement control and governance within ERP and EPM. | | |
| 22 | KPMG's EPM and ERP teams will develop custom reports, application views, and forms within EPM and ERP to create a comprehensive package of tools and reports to allow FP&A to manage their allocations and P&L by LOB/Customer statements directly within ERP and EPM. | | |
| 23 | Develop up to 45 allocation rules to allocate expenses to customer for customer P&L reporting | | |
| 24 | Develop up to 10 integrations to import data (P&L, allocation drivers) | | |
| 25 | Develop DataMap to export data to the Reporting Cube | | |
| 26 | Implement Reporting Cube (Actuals vs Budget and Statistical calculations) | | Ext - 7.4 |
| 27 | Implement dimensionality to support allocations for Customer P&L reporting | | |
| 28 | Develop up to 40 calculated Key Performance Indicator (KPI)/Statistical accounts | | |
| 29 | Rebuild of up to 15 reports migrated from the Lineltem cube to the new Reporting Cube. | Expectation is that LAHD would own the report creation if greater than 15 are required | |

EXHIBIT A-1

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| 30 | Reports to be built within the new Reporting Cube for P&L reporting. | | |
| 31 | <p>Migrate existing LineItem application from legacy cubes to include Expenditure Management</p> <ul style="list-style-type: none"> a. In conjunction with KPMG's ERP development team, KPMG's EPM team will develop a comprehensive "Expenditure Management" solution b. Initial deliverable from KPMG in the EPM Vision (or ERP Construct) phase would be a functional/technical design document (narrative in nature, but not actual Narrative Reporting report) with tables, flow charts, screen prints, and graphical representations that outlines how divisional ERP/EPM users will be able to manage their Expenditure Management Plans directly within EPM and ERP, reducing dependence on outside tracking reports and systems such as Access Databases and Excel Spreadsheets. c. Deliverables from KPMG within Construct and Deploy will be the actual system configurations and the development of reports and other tools to | <ul style="list-style-type: none"> a. Expenditure Management Plan is defined as the comprehensive collection of processes, systems, tools, and reports utilized by a Port operating division to manage its annual expenditures against annual budgets at a detailed appropriation level. This Plan starts with the adoption of an annual divisional budget and proceeds with continuous expenditure forecasting and the creation and reconciliation of purchasing documents such as requisitions, invoices, receipts, and payments. Expenditures will need to be matched to detailed budget appropriations and tracked and managed throughout the entire purchasing process. b. Deliverable will detail the processes, system configurations and integrations, and the system tools, forms, application views, and reports necessary to comprehensively manage and control Expenditure Management Plans within Oracle ERP and EPM. c. KPMG's EPM and ERP teams will develop integrations between EPM and ERP components to link actual expenditures to detailed Budget Appropriations through the utilization of COA segments, | |

EXHIBIT A-1

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| | <p>effectuate "Expenditure Management Plan" control and governance within ERP and EPM.</p> | <p>defined Flex fields, and EPM dimensions. KPMG's EPM and ERP teams will develop custom reports, infolets, application views, and forms within EPM and ERP to create a comprehensive package of tools and reports to allow users manage their Expenditure Plans directly within ERP and EPM.</p> | |
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Implement Narrative Reporting (ACFR only), as outlined initial Project scope of work below:

| Narrative Reporting Scope | | Narrative Reporting Assumptions |
|----------------------------------|--|--|
| 1 | <p>The application will be configured with integrations, workflow, and other configurations necessary to produce the ACFR report book only. Budget and Management reports were not considered in scope for this SOW.</p> | <p>a. The report book will be created using one format that can accommodate narrative note disclosure, numeric schedules, and charts (e.g. Microsoft Word)</p> <p>b. The report book will be no more than 50 pages of <i>newly</i> created material – we are expecting that existing ACFR report book will be leveraged to the extent possible. <i>Document to contain close to 139 pages, give or take.</i></p> <p>c. No more than five (5) objects (financial reports, graphs/charts, Smart View) will be created within Narrative Reporting. Other reports/charts migrated and/or configured as part of the migration of PBCS to Enterprise Cloud Planning can be embedded within the CAFR report book that will not count against the five (5) object limit.</p> |
| 2 | <p>All financial and statistical data comes from Oracle Fusion Application ERP and Planning, any additional data sources will be the responsibility of the LAHD.</p> | |
| 3 | <p>Internal document reference will only be configured for data points/references that come from Narrative Reporting.</p> | |
| 4 | <p>Users - No more than 13 powered users will be provisioned and added to the workflow (10 authors, 2 reviews, and 1 sign-off).</p> | |
| 5 | <p>Out of Scope: Close manager integration, Disclosure management, Narrative Reporting custom data models/applications are all out of scope.</p> | |
| 6 | <p>Historical PBCS reports will not be converted/created in Narrative Reporting.</p> | |

EXHIBIT A-1

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| | | <p>d. The latest version (FY22) of the existing offline report book will be provided and used a baseline structure for the final deliverable. The final deliverable will mirror the latest version of the existing report provided and table of contents structure.</p> <p>e. This SOW does not include any non-ACFR report(s) to be in scope for Narrative Reporting</p> |
|--|--|---|

CUSTOMER LABOR MODULE

NITI to sub-contract with InnoFin to implement public sector starter kit for position planning functionality built for EPM to facilitate planning of salaries and other compensation related elements by position as part of the migration of the existing PBCS application into the new Enterprise Planning platform and enable hybrid BSO on dimensions where applicable to enhance the performance of the application. This module is dependent on Workday implementation and will be contracted at such point when Innofin can gather the appropriate requirements and Workday is live

Specific scope related to Position Planning model:

| Position Planning model requirements | |
|---|--|
| 1 | Enable Hybrid BSO on dimensions (1 new BSO cube in Planning application and 1 new ASO cube); Up to 5 new Reports developed for position planning process; Up to 50 forms for Personnel Planning; |
| 2 | Test performance implications of Hybrid BSO; |
| 3 | Interface with Cloud HCM; |
| 4 | Interface with Lineltem cube (future state COA) |
| 5 | Conversion of Position historical data will include costs and FTE only; |
| 6 | Remove unnecessary aggregations from business rules and sunset usage of aggregation rules from forms and job scheduler; |
| 7 | Import position planning starter kit and make modification to dimensions, web input forms, financial reports, and calculations aligned with the detailed design for position planning. |
| 8 | Build position dimensions (Position, Pay Elements, etc.) using metadata flat files provided by LAHD; |

EXHIBIT A-1

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| 9 | Modify position planning calculations in Calculation Manager based upon fit/gap analysis (up to 10 modifications); |
| 10 | LAHD's Budget application will include calculations from Innofin's Public Sector Starter Kit based upon position planning fit/gap analysis. Functionality includes: calculate compensation, allocate position costs, add position, delete position, transfer position, close position, mass step increase, cost of living adjustment (COLA), mass pay element rate change, add pay element, delete pay element, update security configuration as required. |
| 11 | Examine ability to interface with new HRP (City of Los Angeles' Human Resources and Payroll system). |

2.2 TECHNICAL SCOPE

The Technical scope will align to requirements as noted in Attachment 9 - LAHD ERP Cloud Interface Requirements and Attachment 7 – Technical Requirements.

In addition to the interfaces listed in Attachment 9, additional interfaces with SymPro and DocuSign will be included.

2.2.1 INTERFACE DEVELOPMENT

The interfaces required by the future state application architecture will be confirmed during the Validate phase. The scope of interfaces to be identified includes all interfaces between the Oracle modules to and from external systems and/or the integration layer. Reference Table 2 – Interface Objects. The original list included 17 interfaces, following the Vision phase, this expanded to 40.

TABLE 2 – INTERFACE OBJECTS

** Integration is part of EXT - 5.1 and EXT- 5.2*

| | Module | Interface Object | Complexity |
|---|---------------|--|-------------------|
| 1 | iExpense | INT001- Citi Air Travel Expense Credit Card Inbound Interface (Receive Air travel charging information from Citibank to Oracle to ensure the proper accounting, approvals, and ultimate payment back to Citibank) | Moderate |
| 2 | iExpense | INT002- Citi MC Travel Expense Credit Card Inbound Interface (Receive Corporate Card travel charging | Moderate |

EXHIBIT A-1

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| | | information from Citibank to Oracle to ensure the proper accounting, approvals, and ultimate payment back to Citibank) | |
| 3 | Cash Management | INT003- JPMC bank Statement Inbound ((This integration will include the bank statements for 3 bank account, one for deposit bank account and two disbursement bank accounts. The data will be coming from JPMC to Oracle Cash Management module. JPMC will send a file to GCD who then will send a file to FMS) | Moderate |
| 4 | Payables | INT004 JPMC ACH payment outbound (ACH payment file will go from Oracle Accounts Payable module to GCD and they will send it to JPMC and FMS controller's office as well.) | Moderate |
| 5 | Payables | INT005- JPMC Check Payment Outbound ((Check payment file will go from Oracle Accounts Payable module to GCD and they will send it to JPMC and FMS controller's office as well.) | Moderate |
| 6 | Core HR | INT006- Workday Employee Info Inbound Interface – Workday HR data source at time of implementation | High |
| 7 | Project | INT007- Workday Project Costing Inbound Interface – Workday data source at time of implementation (Export Project and task details from Workday to Oracle) | High |
| 8 | Project | INT008- Workday Task Details Outbound Interface – Workday data source at time of implementation (To pass on projects and tasks that created/ended date in Oracle ERP to HDTIME so employee | Moderate |

EXHIBIT A-1

| | | | |
|----|--|---|----------|
| | | can use the task when entering time.) | |
| 9 | General Ledger | INT009 Workday to GL Inbound Interface – (LAHD employees are recording their time using their current payroll system - HD Time. Workday data source at time of implementation. Labor costs including project related costs will be summarized and loaded into the Oracle General Ledger) | Moderate |
| 10 | Receivables | INT010- KLEIN AR Customer Outbound Interface (Send customer detail information from Oracle to Klein) | Moderate |
| 11 | Receivables | INT011- KLEIN AR Invoices Inbound Interface (Receive billing information from Klein to Oracle Account Receivables (AR) module) | High |
| 12 | Receivables (<i>Configuration in Oracle Fusion</i>) | INT013- LOCKBOX Inbound Interface (JP Morgan) This inbound integration will bring cash receipts – Lockbox, wires, LAHD remote deposits, and ACH from JPMC in Oracle, Account Receivable module. | Moderate |
| 13 | Payables | INT014- OPEN DATA Outbound Interface (retrieves a list of AP invoices within a specific GL Period and puts the information into a file which is sent to the controller's office via email. | Moderate |
| 14 | iExpense | INT016- PCARD Inbound Interface (loads employee purchasing card (P-Card) details into Oracle ERP iExpense module so that employees can submit expense report) | Moderate |
| 15 | Projects | INT017- PICS Outbound Interface (Send labor cost and | Moderate |

EXHIBIT A-1

| | | | |
|----|----------|---|----------|
| | | payment data to PICS for Capital Project Management | |
| 16 | Projects | INT018- MAINTSTAR Work Orders Inbound Interface (Work Order details like work order number and start date from MaintStar to Oracle to update project sub-task) | High |
| 17 | Projects | INT019- MAINTSTAR Labor Costs Outbound Interface Sends work order related costs from Oracle Project to MaintStar | Moderate |
| 18 | Projects | INT020* - MaintStar Project Task Details Outbound- Sends list of active projects and tasks from Oracle to MaintStar | Moderate |
| 19 | Projects | INT021* - MaintStar Work Order Status and end date inbound (Sends the status of Work order from MaintStar to Oracle) | Moderate |
| 20 | Sourcing | INT022* -DFCS Contracts Outbound (Interface Purchase orders or purchase agreement detail in to City of LA Department Contract Filing System. | Moderate |
| 21 | Projects | INT024* -MAINSTAR Asset Detail Outbound (Provide new fixed asset details to MaintStar) | Moderate |
| 22 | Projects | INT025* - PICS Schedule Data Inbound (Integrate Project schedule from PICS to Projects) | High |
| 23 | Sourcing | INT026* - Planet Bids Sourcing Activity Inbound (Planet Bids, which handles all the sourcing activities for Construction, such as publishing, receiving bids from contractors, and awarding contractors. Once the contractor is selected and contract is final the contract, | High |

EXHIBIT A-1

| | | | |
|----|----------------|---|----------|
| | | contract lines need to integrate into Oracle Purchasing to create a purchase order along with the contract for finalization and signing through DocuSign. | |
| 24 | Sourcing | INT027* - RAMP Executed Contract Outbound (Integrate signed and executed procurement contracts from Oracle to RAMP to satisfy the city data's requirements) | Moderate |
| 25 | Sourcing | INT028* -RAMP Executed RFx Awarded outbound (Integrates awarded RFx from Oracle to Ramp. To occur after the initial RFx is posted to RAMP, suppliers submit bids in Oracle, the negotiation closes in Oracle, the bids are scored, and a vendor is selected) | Moderate |
| 26 | Sourcing | INT029* - RAMP RFx Published Outbound (Integrates Published RFx documents and amendments from Oracle to RAMP after the business and CPD work together to author RFx that vendor submit bid/proposal against) | Moderate |
| 27 | General Ledger | INT031* - Sympro to Oracle General Ledger Inbound (take detailed subledger accounting entries related to debt and investments and integrate them with Oracle GL module for summary level accounting) | Moderate |
| 28 | Inventory | INT032* -Integration with LATAX system Inbound (Record check with LATAX to determine if vendor at onboarding to determine if payments can be sent to vendor) | High |
| 29 | Inventory | INT033* - Loftware Barcode Label Printing Outbound- | High |

EXHIBIT A-1

| | | | |
|----|---------------------------------|---|----------|
| | | (Integration with item label printer within inventory) | |
| 30 | Sourcing | INT034* - DocuSign to Oracle Contracts Inbound (Imports electronically signed documents from DocuSign into Oracle) | High |
| 31 | Sourcing | INT035* - DocuSign From Oracle Contracts Outbound (Imports contract document from Oracle to DocuSign for electronic signature) | High |
| 32 | Projects | INT036* - PICS Project detail to Oracle (Creation of Oracle project record when new project is created in PICS) | High |
| 33 | Projects | INT037* - PICS budget data to Oracle Inbound (Creation and update of project budget data from PICS into Oracle for budgetary control) | High |
| 34 | Projects | INT038* - Grant Project funding data to PICS Outbound (Interface grant funding project data from Grants to PICS) | Moderate |
| 35 | Projects | INT039* -Project Budget Approval to PICS Outbound (Provide budget approval status back to PICS from Oracle) | Moderate |
| 36 | Projects | INT041* - CPS schedule of values of Oracle Inbound (Import the Schedule of Values Inbound to Oracle to Create a Purchase Order with Multiple Line Items) | Moderate |
| 37 | Projects | INT042* - CPS Billing amount to Oracle Inbound (Progress Billing Amount Inbound into Oracle from CPS, matched to PO lines that were created) | Moderate |
| 38 | As-Needed Interface Development | INTXXX* - As-Needed Interface Development – reserved for as-needed interface development. | TBD |

EXHIBIT A-1

| | | | |
|----|---------------------------------|---|-----|
| 39 | As-Needed Interface Development | INTXXX* As-Needed Interface Development – reserved for as-needed interface development. | TBD |
| 40 | As-Needed Interface Development | INTXXX* As-Needed Interface Development – reserved for as-needed interface development. | TBD |

2.2.2 REPORTS DEVELOPMENT

NITI will conduct reporting sessions to review standard Oracle reports with LAHD. As part of these sessions, NITI and LAHD will identify and document customizations to existing reports and/or net new custom reports required by LAHD across the in-scope processes. Any analysis, design or enhancements to downstream data warehouses and downstream reporting tools is out of scope for this SOW. NITI includes up to forty (40) custom reports for development across ERP and EPM and will be captured as MoSCoW items during the validate phase (the ACFR is excluded from the 40 reports cap and is identified as a separate deliverable above in section 2.1.2.).

The 40 custom reports will be identified and finalized upon the completion of SIT. Input into this list will be custom reports currently leveraged today in EBS along with custom reporting requirements identified from business as a result in business transformation changes to the future-state solution. Each of the custom reports will be captured as MoSCoW items and prioritized with LAHD identifying the top 40 reports to be developed by NITI. NITI will focus on development of high and medium complexity reports.

APPROACH

- Iterative approach
- Forces reporting and analytics business value prioritization
- Release early, release often
- Delivers value continuously
- Collaboration drives user adoption
- Business analysts take ownership of the data, reporting, analytics and dashboard capabilities
- Users are invested and motivated to take advantage of the reporting and analytics platform (rather than rely on legacy approaches, such as MS Excel)
- The LAHD's Reporting Team takes ownership and responsibility for the environment post Go-Live

EXHIBIT A-1

- Report rationalization process establishes a streamlined set of reports and analytics leveraging leading practices
- Knowledge transfer from Niti to LAHD supports long-term effectiveness
- Leading report developers are the Subject Matter Professionals (SMP) with reporting tech skills
- Powered Enterprise's knowledge transfer sessions during project implementation are much more impactful than typical training

2.2.3 ORACLE WORKFLOWS

NITI will review LAHD's workflows and existing AME rules as part of the validation workshops. The list provided in Attachment 8 - EBS Workflows and AME Rules will be leveraged as the basis for this review but will be validated during the workshops to document any changes necessary to transform the workflows/AME rules to new functionalities.

2.2.4 DATA CONVERSION

Conversion refers to migrating data from LAHD's Legacy Systems to the new Oracle Fusion Applications, which will include both Master data (such as customer, items, and suppliers) and transactional data (such as GL balances, sub ledger transactions). The Conversion Data Objects in scope for this engagement are described in Table 3 – Programmatic Conversion Data Objects.

NITI will provide leading practice guidance regarding conversion approaches and will document LAHD's needs in a Conversion Strategy deliverable. LAHD will mask Personally Identifiable Information (PII) prior to submitting to NITI and NITI will employ, within its data conversion strategy, an approach to confirm data masking of PII prior to conversion loads. NITI assumes all master data will be sourced from legacy LAHD systems: Oracle E-Business Suite (EBS), Workday and Klein.

NITI will execute against the Conversion Strategy deliverable as defined in the Exhibit B-1 – Validate Phase Deliverables: Data Migration Strategy. The formalized development activities, shared between LAHD and NITI, will be executed as defined for the data objects in the following table. LAHD will be responsible for the creation of the legacy data extracts while NITI will be responsible for loading the following data objects into Oracle Fusion Application. Business rules, error handling and data discrepancies will be handled as defined in Section 4.1.4 Validate Phase, Va-11 Data Migration Strategy.

EXHIBIT A-1

TABLE 3 – PROGRAMMATIC CONVERSION DATA OBJECTS

| | Data Object | Data Type | Sample Business Rules | Complexity |
|----|------------------------------------|-----------|---|------------|
| 1 | Employee - Job, Division, Location | Master | Active Jobs, Active Department and Cost Center | Moderate |
| 2 | Employee Worker Data | Master | Active: Employee and contingency worker | Moderate |
| 3 | Active Customers | Master | Active customers, addresses, sites, and contacts or as defined in the functional design documents for the conversion | High |
| 4 | Suppliers | Master | Active suppliers, addresses, sites, addresses, contacts | Moderate |
| 5 | Supplier Bank Accounts | Master | Supplier Bank Accounts | Moderate |
| 6 | Fixed Assets | Trans | All in-use Assets; not retired | Moderate |
| 7 | AR Invoices | Trans | Open AR Invoices (remaining balance only) | High |
| 8 | GL Journal Balances | Trans | Primary General Ledger conversion - beginning balances (as of July 1, 2021); Primary General Ledger conversion – Net Period Activity balance (July 2021 till June 2023) summary | High |
| 9 | GL Journal Transactions-Detailed | Trans | Primary General Ledger conversion – Detail Journal Activity (Current Fiscal Year) from July-2023 until Go-live | High |
| 10 | AP Invoices | Trans | Open AP invoices (remaining balance only) | High |
| 11 | PO Standard Open Orders | Trans | Open POs (remaining balance only) | Moderate |
| 12 | AR Receipt | Trans | Open Fully Unapplied AR receipt | Moderate |
| 13 | PA Projects/Tasks | Trans | Open projects (and tasks) only | Moderate |
| 14 | Project Budgets | | Project Budgets | Moderate |
| 15 | PA Expenditures | Trans | Open projects, incurred but not yet capitalized (for capital projects) | High |
| 16 | Project Grants | | Project Grants | Moderate |
| 17 | Inventory Master Items | Master | Active Items | Moderate |
| 18 | Inventory On-Hand Balance | Trans | Inventory balances by location | Moderate |

EXHIBIT A-1

| | | | | |
|----|---------------------|-------|---|----------|
| 19 | Purchasing Contract | Trans | Open Contracts | High |
| 20 | Budget | Trans | Budget for last and current fiscal year | Moderate |

LAHD will be responsible for extracting legacy data from source systems into the NITI-provided file format, and for validation of converted data objects loaded into Oracle Cloud back to legacy LAHD systems to confirm data quality.

Data cleansing will be the responsibility of LAHD. Only cleansed data will be loaded into the Oracle Cloud solution. LAHD is aware that poor data cleansing will impact the project timeline and the quality of the Oracle Cloud solution. NITI will assist LAHD with developing the data cleansing approach that will be executed by LAHD.

2.2.5 DATA ARCHIVING

NITI will perform an assessment and implement a data archive solution for historical data containing data currently residing from two different sources - LAHD's current EBS environment and archived data in a MS SQL Server 2012. NITI understands it is LAHD's intent to archive the total current volume of data (both EBS and archived data) in a warm storage to satisfy near term reporting requirements.

EBS ARCHIVE REQUIREMENTS

- Sizing - Estimated storage for the current EBS data will be up to 1.25 TB.
- Categories - The data within the EBS system will fall within three (3) separate categories:
 - Data required for compliance, legal or statutory purposes
 - Transactional data required for historical reporting and audit purposes
 - Data no longer required (e.g. internal system management data)
- Access
 - Users will be able to access the EBS Archive via web browser URL, similar to current EBS Production.
 - Users will have read-only access to application data; i.e., no updates to master or transaction data will be allowed in EBS Archive.
 - Users will be able to create queries and reports to extract application data in EBS Archive.

SQL ARCHIVE REQUIREMENTS

- Sizing - Estimated storage for MS SQL Server 2012 should remain at the current 26 GB.

EXHIBIT A-1

- Access – the following access requirements will be similar to the current on-premise SQL Archive features:
 - Users will be able to access the SQL Archive via web browser URL.
 - Users will authenticate via LDAP integration to Active directory.
- Reporting – the current SQL Server Reporting Service (SSRS) application, along with existing developed reports, will be migrated to OCI. Refer to Attachment 11 – SQL Archive Reports Inventory.

VALIDATION PLAN

NITI will incorporate a validation plan for both the EBS and SQL Archive into their Testing Strategy, to ensure that both archives work as defined by the above requirements.

IT OPERATIONS PLAN

NITI will incorporate an Operations plan for both the EBS and SQL Archive into their OCI Operations documentation, to ensure that the IT Team can manage, administer, and maintain both archives.

APPROACH

Refer to Attachment 10: EBS Lift & Shift RACI for migration approach and KPMG/LAHD resources required.

NITI will follow the procedures provided by Oracle to perform the Oracle EBS lift and shift to OCI. In addition, NITI will provide LAHD the detailed documentation.

Refer to the image below for the data archive approach:

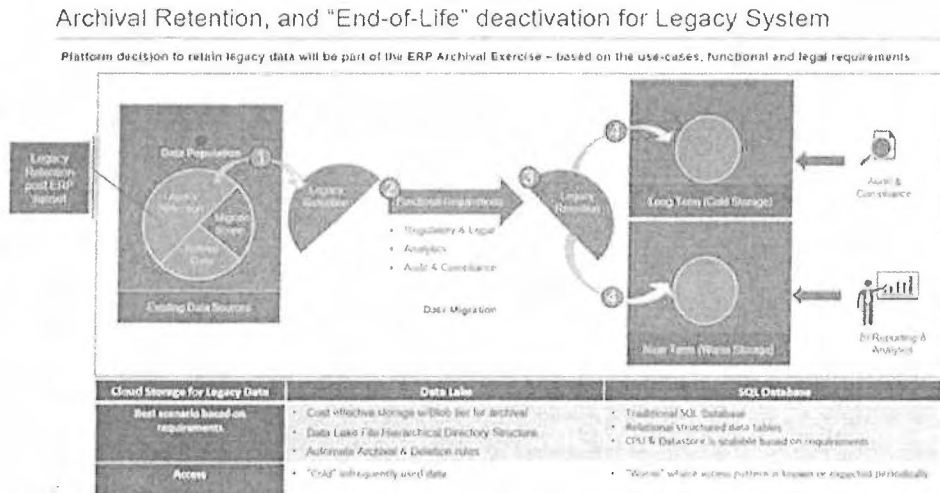


EXHIBIT A-1

| Deliverable Name | Description |
|------------------------------|---|
| Data Archive Services | Lift and shift of EBS (database and application layer) from on premise hardware to Oracle Cloud Infrastructure (OCI) on an IaaS cloud environment. EBS roles will be changed to "Read-only" to allow existing users access to run reports for historical purposes. Following the implementation of the Data Archive Solution, LAHD will review the solution against requirements provided to ensure the solution meets expected needs and provide final approval in writing. |

2.2.6 LAHD IT OPERATIONS

To ensure that LAHD Information Technology Department can successfully manage, administer, and support the production Cloud applications, NITI will provide the following components prior to deployment:

- IT Operations Documentation – provide instructions on IT management of Oracle Cloud, including quarterly updates, process schedules, integration administration, workflow administration, reporting, security, and Disaster Recovery.
- Quarterly Patches Exercise - One (1) Dry Run of procedures and tasks following the release of an Oracle Quarterly Update. This includes Release Notes analysis, opt-in of selected updates, regression testing and final production application.
- Disaster Recovery Exercise – One (1) Dry Run of DR procedures in the event of the loss of the LAHD primary data center, including switchover to secondary data center and regression testing.






2.3 CHANGE MANAGEMENT AND TRAINING SERVICES

NITI shall provide guidance and mentor the project core team to successfully implement the overall business transformation and system changes for LAHD.

NITI will work with LAHD to design strategies and plans that resonate with LAHD's stakeholders.

EXHIBIT A-1

Below is a high-level summary of change and learning enablement activities designed to assist with the migration to Oracle ERP Cloud and its synergy with NITI's Powered Enterprise methodology.

| |  VISION Make it Clear |  VALIDATE Make it Known |  CONSTRUCT Make it Real |  DEPLOY Make it Happen |  EVOLVE Make it Stick |
|-----------------------|--|--|--|---|--|
| Purpose | <i>Align leaders around the strategic aims, ambition, and scale of change and how this impacts required behaviors and ways of working</i> | <i>Communicate the change vision and case for change and begin to create ownership of the solution</i> | <i>Translate the change vision into reality for people and clarify what the change means to them</i> | <i>Equip the organization for their new ways of working and transition to the future state</i> | <i>Ensure there is a capability in the organization to sustain the change</i> |
| Key Activities | <ul style="list-style-type: none"> — Identify new behaviors and ways of working required — Define and validate the case for change, vision, and guiding principles — Align leaders on the change — Analyze stakeholders (groups and individuals) | <ul style="list-style-type: none"> — Engage key stakeholders — Launch Change Agent Network — Collect, assess, and validate change impacts — Define change metrics — Draft, iterate, and execute global change strategy and plan — Begin regional customizations for first deployment | <ul style="list-style-type: none"> — Execute on Change Management plan and iterate as needed — Maintain change impacts with functional leads — Align on process for utilizing narratives during Conference Room Pilots (CRPs) — Engage stakeholders, specifically with changes coming to their roles — Define readiness checkpoints — Monitor change metrics | <ul style="list-style-type: none"> — Start knowledge transfer between functions — Validate end user readiness to adopt the change — Execute go-live communication cascade — Enact Hypercare support model | <ul style="list-style-type: none"> — Provide post-go-live support — Ensure the change is sustainable |

- i. NITI will be responsible for the development of communication and engagement materials as detailed in the Change and Communications plans. LAHD will be responsible for approving and distributing all materials intended for a non-project team audience (i.e. the organization or external vendors/partners).
- ii. If labor group involvement is required, NITI will help develop communication materials as requested by the LAHD liaison, but all labor group interactions must be handled by LAHD directly. LAHD will work with NITI to provide communication content that is appropriate for the organization and location.
- iii. During the Vision phase, NITI's Change Team will conduct up to ten (10) key leaders and stakeholders' interviews to inform the Change Management Plan and the Case for Change. LAHD will identify these leaders and make them available for interviews during the Vision phase.
- iv. Training conducted by NITI should be based on the Department's ERP Cloud setups and configurations; and segmented into groups of users by business process, workflow approvers, and system administrators.
- v. Training content will cover basic functionality and navigation of the Oracle application and the key processes therein; Change Management is not responsible for closing competency or skill gaps.
- vi. NITI will develop training materials in the job aids format in US English. Job aids are defined for LAHD specific production instances as step-by-step system instructions for key transactions with process flow context. Job aids will be packaged with role-specific change impacts, process documentation, and any additional context as provided by the functional SMEs. The agreed upon curriculum will leverage Oracle's Guided Learning workflow where possible, and determine the number of in-scope job-aids and Quick Reference Guides. LAHD is responsible for enhancing the job aids to cover other business processes that will otherwise be performed outside of Oracle Cloud. LAHD is

EXHIBIT A-1

responsible for enhancing the job aids to convert content to a user guide format if desired (Post Go Live).

vii. See Attachment 2 - Change Control for details.

High Level Remaining Change Management Activities are defined below:

Construct – Activities (at a high level)

- Manage Change Champions Network
- Conduct Change Champion monthly meetings
- Capture Change Impacts
- Outline change impacts by role for business processes
- Draft Construct Communications
- Execute Construct Communication Plan
- Develop surveys and analyze feedback for Org Readiness Assessment
- Identify learning needs by role
- Determine levels of learning needed by group and the method to be utilized
- Develop role based curriculum including processes by role, logistics,
- Develop training materials including: job aids and quick reference guides
- Configure Oracle Guided Learning

Deploy – Activities (at a high level)

- Manage Change Champions Network
- Conduct Change Champion monthly meetings
- Draft Deploy Communications
- Execute Deploy Communication Plan
- Develop pulse checks and analyze feedback
- Identify necessary mitigation tactics
- Develop Train-the-Trainer materials
- Schedule Train-the-Trainer sessions
- Evaluate Training effectiveness

Evolve – Activities (at a high level)

- Develop pulse checks and analyze feedback
- Identify necessary mitigation tactics

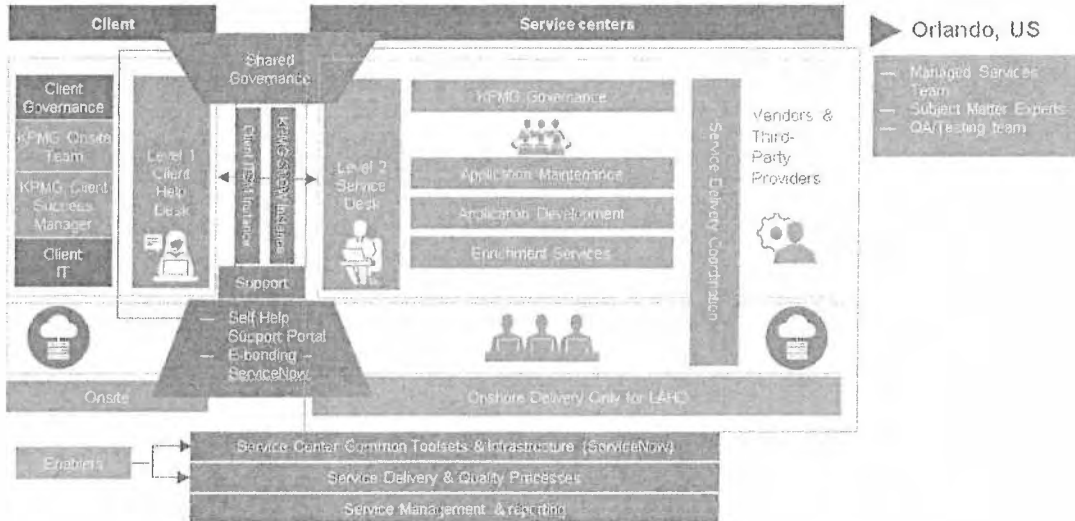
2.4 AS-NEEDED DEVELOPMENT

NITI will provide as-needed design, development, implementation and other related tasks upon LAHD's requests. Documentation and knowledge transfer based on related tasks, shall be also provided including a tracking log of tasks and hours. Work Authorization should follow the Work Authorization process as described in Section 2.6 (AS-NEEDED LEVEL 1 HELPDESK CLOUD SUPPORT).

EXHIBIT A-1

2.5 EBS SUPPORT

NITI has partnered with Aslan Consulting to provide EBS support services with three (3) distinct support levels: Levels 1, 2, and 3. The diagram and explanation below further elaborate on our support structure and approach.



Please refer to Attachment 3 – Support SLAs for detailed description of each level of support

2.6 AS-NEEDED LEVEL 1 HELPDESK CLOUD SUPPORT

After the Hypercare post go-live support period, LAHD may require Level 1 Helpdesk Cloud Support from NITI on as-needed basis.

Pricing will be based on the rates specified in Exhibit B-1. NITI will invoice based on actual hours.

The makeup of NITI support team shall be comprised of dedicated and consistent members who will:

- Be familiar with LAHD systems, operating environments, and issues.
- Ensure continuity and accountability throughout the lifecycle of the issue from initiation through escalation and to final resolution.

EXHIBIT A-1

NITI shall assign a project manager for LAHD who will function as the single point of contact for any issues, communication, work requests, etc. Below are the main the point of contacts:

| Name | Email Address | Phone No. |
|------------------------------|--------------------|----------------|
| Jignesh Patel (NITI Systems) | JPatel@nitisys.com | (404) 509-3055 |
| John Masley (KPMG) | JMasley@kpmg.com | (281) 221-0242 |

If any team member is not satisfactory to LAHD, NITI shall replace with acceptable staff person within two weeks, or mutually agreed upon timeline.

WORK AUTHORIZATION

Work shall be authorized through task orders as follows:

When service is needed, LAHD will provide request with scope of work to NITI. NITI shall respond with a quote for the required work within four (4) business days of receiving the request from LAHD, or mutually agreed upon deadline. Once quote has been reviewed and approved, LAHD will issue a task order to NITI. NITI shall perform the work required to complete the request.

2.6.1 AS-NEEDED CLOUD ENRICHMENT SERVICES SUPPORT

Enhancements will be provided at the request from LAHD and will be priced and scoped at the time of the request.

Project Work will be scoped out and agreed to before any work begins. NITI shall provide a Statement of Work that includes a level of effort and pricing estimate based on the rates specified in Exhibit B-1. The scoping and estimates will be completed within four (4) business days of a written request or within mutually agreed upon deadline. There will be no cost to prepare the estimates.

2.6.2 STATUS REPORTING AND MANAGEMENT OF WORK

NITI will provide LAHD a summary of open Service Requests, resolved Service Requests, and the status of any tasks being scheduled or performed. A meeting to review the status of Service Requests will be scheduled on a mutually agreed upon schedule. In addition, outside of these scheduled review sessions, NITI will be available at any time to discuss issues, review service enhancements, or any other topic to meet LAHD requirements.

EXHIBIT A-1

All Support work orders must include complete documentation and knowledge transfer detailing the resolution.

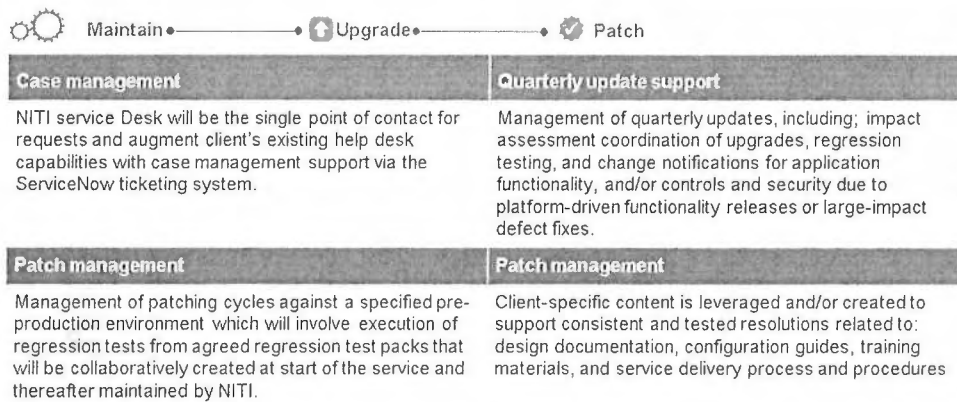
2.7 CLOUD MANAGED SERVICES SUPPORT AND RESPONSIBILITIES

NITI will provide post implementation support for the Cloud ERP solutions as part as a managed service. As part of managed services, NITI will provide LAHD services included in the “Base Services” category.

The NITI Team's Cloud Managed Services lead resources will be finalized and presented to the LAHD for the LAHD's review and approval prior to the commencement of the NITI Team's Cloud Managed Services tasks.

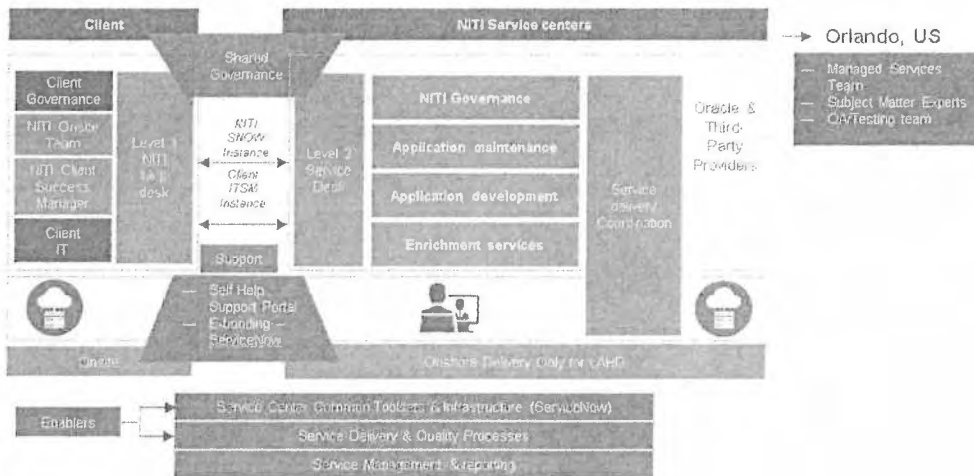
SCOPE OF SERVICES:

1. BASE SERVICES



2. SERVICE DELIVERY MODEL

EXHIBIT A-1



2.7.1 LEVEL 2 / LEVEL 3 – MANAGED SERVICES GENERAL CLIENT RESPONSIBILITIES

In addition to the roles and responsibilities outline below, LAHD shall:

1. Designate an individual who has the requisite skills, knowledge and/or experience to oversee Managed Services (“Contract Manager”).
2. Ensure timely engagement by the team responsible for the services hereunder to assist with NITI’s timely completing of its responsibilities.
3. Provide oversight, along with the NITI team, of the project progress and address issues, if any, as they arise.
4. Complete acceptance and signoff on Deliverables as defined herein.
5. Provide access to any LAHD Resources necessary for NITI to provide Managed Services and any duties or responsibilities related to the use of such Client Resources.
6. All activities below (through 2.7.3) are considered Base Services.

| Activities | NITI | LAHD |
|---|------|------|
| Provide reports and/or data on a monthly basis in respect of Base Services and Enrichment Services charges. | √ | |

EXHIBIT A-1

| | | |
|--|---|---|
| Provide input for preparation of budgets and other planning processes as requested by Client. | √ | |
| Provide timely input for requests and changes to the Managed Services Forecast. | | √ |
| Coordinate with Client on a monthly basis forecasting for the Managed Services. | √ | |
| Participate in Client functional analysis meetings as reasonably requested. | √ | |
| Develop, update and maintain, support configuration workbooks, standard operating procedures and production procedures (where applicable). | √ | |
| Provide and maintain Client contact, escalation and notification requirements (e.g. email, IM and/or phone). | | √ |
| Provide reports in accordance with the Agreement. | √ | |

EXHIBIT A-1

| | | |
|--|----------|--|
| <p>Establish operations and service management quality assurance programs. Analyze performance reports and make changes to operations and service delivery based on the service management quality assurance programs.</p> | <p>√</p> | |
| <p>Create, update and maintain online standards, policies, technical, operational and self-help documentation for the Managed Services.</p> | <p>√</p> | |
| <p>Review and update training materials as required due to changes in Cloud System.</p> | <p>√</p> | |
| <p>Conform Cloud System to changes in federal, state, and local laws, regulations and policies as applicable to the Managed Services as directed in writing by Client.</p> | <p>√</p> | |
| <p>Report Service Level performance</p> | <p>√</p> | |

EXHIBIT A-1

| | | |
|--|---|---|
| on a monthly basis against targets for Service Levels. If requested, make calculation data elements available to Client. | | |
| Provide access to monthly metrics reports. | √ | |
| Manage, coordinate and schedule monthly Service Level reviews. | √ | |
| Approve system access requests. | | √ |
| Grant access to systems as requested and approved by the Client administrator. | √ | |
| Maintain Cloud System-related documentation reasonably required for commercially reasonable security assessments, audits and internal control and control testing. | √ | |

EXHIBIT A-1

2.7.2 MANAGED SERVICES MANAGEMENT RESPONSIBILITIES

1. MANAGED SERVICES OPERATIONS RESPONSIBILITIES

| Activities | NITI | LAHD |
|--|------|------|
| Develop and maintain Cloud System road-map. | | √ |
| Conduct feasibility studies for the implementation of new modules and functionality. | √ | |
| Conduct feasibility studies for the implementation of Enhancements. | √ | |
| Create, implement and maintain a process and log to manage requests for new requirements to existing applications from Authorized Users. | √ | |
| Prioritize requests for Base Services and Enrichment Services. | | √ |
| Identify scope and timing of Enrichment Services. | | √ |
| Monitor Vendor notices regarding the availability of Quarterly Updates and advise Client as to their applicability. | √ | |

EXHIBIT A-1

| | | |
|--|---|--|
| Run annual segregation of duty report and deliver results to Client. | √ | |
|--|---|--|

2. RELEASE MANAGEMENT RESPONSIBILITIES

| Activities | NITI | LAHD |
|--|------|------|
| Update and maintain Cloud System configurations. | √ | |
| Create and maintain the release management plan. | √ | |
| Review and approve the release manage plan. | | √ |

3. CHANGE AND QUARTERLY UPDATE MANAGEMENT

| Activities | NITI | LAHD |
|--|------|------|
| Coordinate Quarterly Updates, including emergency outage responses as required in accordance with the Change Management Processes. | √ | |
| Perform promotion activities using automated tools, where feasible, or defined processes and procedures. | √ | |
| Perform a roll-back of deployed code if needed. | | √ |
| Participate in recurring Change Management Process meetings. | √ | √ |

EXHIBIT A-1

| Activities | NITI | LAHD |
|---|------|------|
| Review proposed Changes for completeness. | √ | |
| Approve Changes on a timely basis. | | √ |
| Execute the Client Change Management Process. | | √ |
| Perform Changes in Production. | | √ |
| Record, document and track information on proposed changes to Cloud System. | √ | |
| Provide information in support of audits for compliance-related activities and internal / external audits upon Client's reasonable request. | √ | |
| Manage communication, coordination, monitoring and scheduling of Changes in environments with Client as necessary. | √ | |
| Coordinate Changes to published schedule, ad hoc Changes schedule, and Cloud System availability schedule. | √ | |
| Provide Change window forecasting based upon Quarterly Update Management needs and business negotiated outage windows. | | √ |

EXHIBIT A-1

4. INCIDENT AND PROBLEM MANAGEMENT RESPONSIBILITIES

| Activities | NITI | LAHD |
|---|------|------|
| Recommend, document and implement leading practices for Incident and Problem management. | √ | |
| Recommend Managed Services improvements based upon Incident data. | √ | |
| Coordinate Incident conference calls for Major Incidents. | √ | |
| Manage Incidents and Problems as they arise. | √ | |
| Facilitate break/fix and maintenance support with Vendor. | √ | |
| Coordinate Incident and Problem resolution with Vendor, and Client IT groups. | √ | |
| Communicate with the applicable Authorized User to validate and obtain confirmation each Incident has been resolved prior to closure. | | √ |
| Perform trend analyses and other analyses to attempt to identify recurring or systematic problems. | √ | |
| Perform Root Cause Analyses for P1s and repetitive Incidents, attempt to identify preventative measures | √ | |

EXHIBIT A-1

| Activities | NITI | LAHD |
|--|------|------|
| and attempt to implement fixes to prevent reoccurrence. | | |
| Lead, manage and coordinate Root Cause Analysis discussions. | √ | |

2.7.3 SERVICE VALIDATION AND TESTING

1. TESTING RESPONSIBILITIES

| Activities | NITI | LAHD |
|--|------|------|
| Provide, document and maintain user acceptance tests. | √ | |
| Prototype new scenarios in test environments to support design efforts. | √ | |
| Develop, document and maintain Integration testing procedures in the Process and Procedures Manual. | √ | |
| Coordinate/support business involvement in User Acceptance Testing. | | √ |
| Sign-off approval of Acceptance test results. | | √ |
| Manage Client's functional, integration, and regression test environments and associated test data, including creation and maintenance during the testing period. | | √ |
| Create test environment and data where required, including demonstration of requirements traceability to verify the requirements specified in the requirements document have been satisfied. | √ | |
| Approve testing plans. | | √ |

EXHIBIT A-1

| | | |
|---|---|---|
| Review and approve QA environment plans. | | √ |
| Coordinate Cloud System testing configurations, including coordination with Client or Client specified IT infrastructure teams or Vendor in regard to system software, network, capacity, and other requirements needed for testing. | √ | |
| Coordinate, develop and maintain test data in Client-approved repositories. | √ | |
| Create test plans, test cases, test scripts, test data and schedules. | √ | |
| Approve test plans, test cases, test scripts, test data and schedules. | | √ |
| Coordinate with Client entities and third parties required to conduct Testing Services (i.e., gain user involvement, establish and define acceptance criteria, setting high-level test objectives, and establish high level test scenarios). | | √ |
| Conduct the following tests, as required or specified by Client prior to introducing and releasing a Change into Client's Production environment: Unit, Functional, End to End, Regression, System and Integration. (For multiple system projects, this includes coordination with the affected systems). | √ | |
| Review testing results for compliance with policies, procedures, regulatory standards, plans, and test criteria and metrics (e.g., defect rates, progress against schedule). | | √ |
| Validate Changes to Cloud System for compliance with Client security policies. | | √ |

EXHIBIT A-1

| | | |
|---|---|--|
| Record and report applicable test results. | √ | |
| Complete and deliver to Client required testing documentation. | √ | |
| Conduct walk-throughs of applicable test results with Client-appointed representatives. | √ | |
| Work to correct defects found as a result of testing efforts. | √ | |
| Monitor and review Production defects to attempt to improve test models over time. | √ | |

2. USER ACCEPTANCE TESTING RESPONSIBILITIES

| Activities | NITI | LAHD |
|--|------|------|
| Facilitate and support UAT (e.g., establishing adequate test environments based on acceptance criteria, preparing data to support test scenarios within modified system as well as managing the relationship with interfaced systems necessary to conduct test, troubleshooting, support users to progress through scenarios, simulating Interfaces or working with integrated systems to conduct end-to-end tests, support batch processing, exercise functionality, and report results) as prescribed. | | √ |
| Participate in test plan reviews, recommending appropriate test environments/configurations, and determining necessary test data. | | √ |
| Support User Acceptance Testing, including identification and support for Authorized Users participating in the testing. | √ | |

3. INFORMATION SECURITY MANAGEMENT RESPONSIBILITIES

| Activities | NITI | LAHD |
|---|------|------|
| Establish Client security strategies, policies, standards and guidelines. | | √ |
| Provide Resources to assist with compliance testing relevant to Managed Services, as requested by Client. | √ | |

EXHIBIT A-1

| Activities | NITI | LAHD |
|---|------|------|
| Work with the Vendor to document, communicate, recommend and take actions to resolve risks and issues associated with security vulnerabilities across Cloud System-related environment. | | √ |
| Provide documentation and reasonably cooperate in third party security audits. | √ | |
| Maintain confidentiality of user information (contact information and passwords). | √ | |

2.7.4 CLOUD SYSTEM DEVELOPMENT SERVICES

Note: Cloud System Development Services apply to Base Services and applicable Enrichment Services in relation to Service Requests.

1. DELIVERY MANAGEMENT RESPONSIBILITIES

| Activities | NITI | LAHD |
|--|------|------|
| Provide input to develop design decision documents and meetings. | √ | |
| Create and maintain project plans for approved development items. | √ | |
| Perform progress and milestone reporting (when applicable). | √ | |
| Manage development activity towards budget, schedule and quality requirements. | √ | |
| Coordinate hand-over to Client in accordance with specified checklists. | √ | |
| Provide timely Sign-off/Acceptance. | | √ |

2. REQUIREMENTS DEFINITION RESPONSIBILITIES

| Activities | NITI | LAHD |
|--|------|------|
| Act as primary point of contact with the business to define, gather, refine, and prioritize business requirements for Enrichment Services. | | √ |
| Develop and document business requirements for Enrichment Services. | | √ |

EXHIBIT A-1

| | | |
|--|---|---|
| Develop Functional Requirements Documents, including conceptual, logical and physical data models for Enrichment Services. | √ | |
| Conduct value assessments of Functional Requirements and generate an impact analysis. | √ | |
| Approve all Functional Requirements. | | √ |
| Identify the need for software upgrade requirements and execute based upon a Service Request from Client. | √ | |
| Approve Cloud System Quarterly Update requirements. | | √ |
| Define local adaptation deployment criteria and delivery requirements (i.e. laws/regulations). | | √ |

3. HIGH LEVEL DESIGN RESPONSIBILITIES

| Activities | NITI | LAHD |
|--|------|------|
| Create the high-level design document from the business and Functional Requirements. | √ | |
| Review and approve the high-level design document. | | √ |
| Develop RICE (Report, Interface, Conversion and Enhancement) related requirements. | √ | |
| Develop overall Minor Enhancement cost and schedule estimate. | √ | |
| Develop Minor Enhancement Service Request. | √ | |
| Approve Minor Enhancement Service Request. | | √ |

4. DETAIL DESIGN RESPONSIBILITIES

| Activities | NITI | LAHD |
|--|------|------|
| Create the detailed design document from the Functional Requirements, if necessary for applicable Enrichment Services. | √ | |
| Document and present evaluated implementation options. | √ | |
| Review and approve detailed design documents. | | √ |
| Approve test cases prepared by NITI. | | √ |
| Define implementation and deployment policies and project schedules to meet deployment and delivery requirements. | √ | |

EXHIBIT A-1

| Activities | NITI | LAHD |
|---|------|------|
| Review and approve implementation, deployment policies and schedules. | | √ |
| Provide Minor Enhancement implementation cost and schedule estimates. | √ | |

5. CODING AND UNIT TESTING RESPONSIBILITIES

| Activities | NITI | LAHD |
|--|------|------|
| Establish Minor Enhancement schedule. | √ | |
| Provide overall programming and development module delivery schedule for Client sign-off or Acceptance, as applicable. | √ | |
| Approve overall programming and development module delivery schedule. | | √ |
| Perform necessary technical design, programming, development, unit testing, and scripting, as required for each Minor Enhancement. | √ | |
| Manage programming and development efforts using industry-standard project management tools and methodologies. | √ | |
| Conduct development status reviews and provide written report on results to Client. | √ | |

2.7.5 STATUS REPORTING AND MANAGEMENT OF WORK

NITI will provide LAHD a summary of open Service Requests, resolved Service Requests, and the status of any tasks being scheduled or performed. A meeting to review the status of Service Requests will be scheduled on a mutually agreed upon schedule. In addition, outside of these scheduled review sessions, NITI will be available at any time to discuss issues, review service enhancements, or any other topic to meet LAHD requirements.

All Support work orders must include complete documentation and knowledge transfer detailing the resolution.

EXHIBIT A-1

3. PROJECT STAFFING, ROLES, AND RESPONSIBILITIES

3.1 NITI AND LAHD STAFF ROLES

Below are the key personnel proposed for this engagement. Additional subject matter and functional leads are designated in NITI's proposal response.

| Resource | High Level Responsibility |
|--|---|
| <p>Jignesh Patel and Tony Hernandez</p> <p>Engagement Leaders</p> | <p>Jignesh has over 20 years of Public Transit experience in the areas of Transit Planning, Mobility Solutions Delivery, Systems Engineering, IT Advisory Services, Technology Governance, and Data Driven Decisions. Tony has more than 30 years of experience serving public sector and related clients, including overseeing large scale ERP transformation for transportation agencies. Jignesh and Tony will have overall responsibility for the engagement including oversight of deliverables, implementation, and governance.</p> |
| <p>Dee Dee Owens</p> <p>Quality Assurance Lead</p> | <p>Dee Dee serves as the Lead Partner for the City of Los Angeles and has over 20 years of QA and system implementation experience. She will review work product to help ensure quality and consistency, as well as alignment with Harbor Department expectations. Dee Dee will also periodically meet with Harbor key stakeholders throughout the project to obtain feedback.</p> |
| <p>Matt Nixon</p> <p>Program Manager</p> | <p>Matt has extensive knowledge and experience in operational and financial reporting, requirements gathering and definition, back office business process improvement. He has lead ERP transformation projects for several large government agencies. Matt will provide insight and guidance related to public sector financial processes during implementation.</p> |
| <p>Patrick Murray*</p> <p>KPMG Oracle Support Partner</p> | <p>Pat has more than 25 years of business transformation, program management, and ERP implementation experience. He has a deep understanding of the Oracle Cloud solutions including functional and business process experience through all aspects of the system implementation life cycle. He will provide insight and</p> |

EXHIBIT A-1

| Resource | High Level Responsibility |
|---|---|
| | guidance related to Oracle Cloud functionality and processes during implementation. |
| <p>Sujatha Kuruba Technical Lead</p> | <p>Sujatha is specialized as a Technical Lead in Oracle Fusion Cloud and E-Business suite with around 16 years of experience, Proficient in executing all phases of Implementation, Support & Enhancement and Upgrade projects from analyzing the requirements, designing, developing, testing till Go-Live for various clients globally. Experience includes analyzing the current state and future state, assist the client, coordinate with the team, Strong experience in providing end to end solutions, reviews and ensuring the quality.</p> <p>Strong experience on Oracle Cloud Integrations (OIC), Reports (OTBI, BIP, FRS), SQL/PLSQL, XML, good knowledge on VBCS. Good exposure on Modules like Payables, Receivables, General Ledger, Fixed Assets, Cash Management, Order Management, Purchasing, Inventory.</p> |
| <p>Christina Lisotto Change Management and Training Lead</p> | <p>Christina has experience in partnering with organizational leaders to help their teams navigate the uncertainty of transformation, adopt new ways of working, and achieve tangible results. She will provide insight and guidance related to change management and training during implementation.</p> |
| <p>Allen Piekara Record to Report Lead</p> | <p>Allen has more than 14 years of business analysis experience. He has been involved in the full system development life cycle (SDLC) process on several large IT projects for both public and private entities. Allen specializes in business process redesign, financial system implementations, financial system upgrades, data separation projects, and providing quality assurance services to clients. As a SME, he also drafts configuration and customization designs, configure the system, set up system security and batch process schedules, testing the system, lead user acceptance testing sessions, covert data during system implementation and support the system after.</p> |
| <p>Dalip Khandelwal Quote to Cash</p> | <p>Dalip has led implementation of Oracle Cloud Financial with more than 20 years' experience in IT Industry including design of ERP. He has a strong</p> |

EXHIBIT A-1

| Resource | High Level Responsibility |
|---|--|
| | background across the full life cycle of IT project delivery and project and program management experience with software implementations. Clients include some of the leading entities in the Financial, Healthcare, insurance, Leasing, and Retail business. |
| <p>Santosh Kumar</p> <p>Project to Result Lead Acquire to Retire Lead</p> | <p>Santosh is an Oracle PPM Solution Lead that has provided solutions enabling business transformation in managing Capital Projects and Grants for large Public Sector and Healthcare clients. He has led end-to-end Public Sector/Healthcare focused design for well-integrated capital projects, Grants and Assets modules. Utilizing Oracle's delivered functionalities along with custom solutions to address Gaps like Effort certification, Funds distribution, successful in delivering a robust and flexible design.</p> |
| <p>Christopher Mash</p> <p>Source to Pay Lead</p> | <p>Chris has led and managed testing cycles (Vision/Validate and CRP Events), conducted knowledge transfer sessions, hosted enterprise-wide trainings, and implemented projects successfully from start to finish. He can help companies grow top-line revenue by providing professional services to their organizations through business process, transformation roadmaps, business to IT alignment, and implementation/integration services. He is passionate about delivering value, improving client efficiency, and understand the importance of building and maintaining strong client relationship.</p> |
| <p>Jon McGee</p> <p>Store to Fulfill Lead</p> | <p>Jon is an experienced Oracle ERP Consultant with over 13 years of experience implementing Supply Chain Management modules in both the Cloud and EBS. He brings a unique blend of functional and technical expertise to each engagement, helping clients to bridge the gap between technology and business processes. Jon has worked with a variety of clients and industries worldwide, including multiple Fortune 500 companies, public & private sector, manufacturing, and ecommerce businesses.</p> |
| <p>Jamey Boozer</p> <p>EPM Lead</p> | <p>Jamey has led delivery of EPM within the Powered Enterprise framework. He has extensive technical and functional knowledge of data transformation tools/models and standardization of corporate financial consolidation, reporting and planning</p> |

EXHIBIT A-1

| Resource | High Level Responsibility |
|--------------------------------------|---|
| | processes to provide wholistic and tightly integrated solutions across the Oracle EPM suite of products. He will lead day to day implementation for EPM and EPBC functionality and processes. |
| Gary Lyons Cloud Architect | Gary is an experienced Oracle cloud architect with deep knowledge of the public sector. He will lead day to day implementation oversight of the Oracle Fusion platform, including functional and technical oversight. |
| OCI Architect | Oracle Cloud Infrastructure SME to provide strategic guidance over the OCI configuration to (a) serve as a Quality Assurance resource over the OCI methodology and architecture, (b) update OCI configuration parameters as needed, (c) ensure compliance with LAHD Security Policy, and (d) proactively identify and address any Government Cloud limitations. |

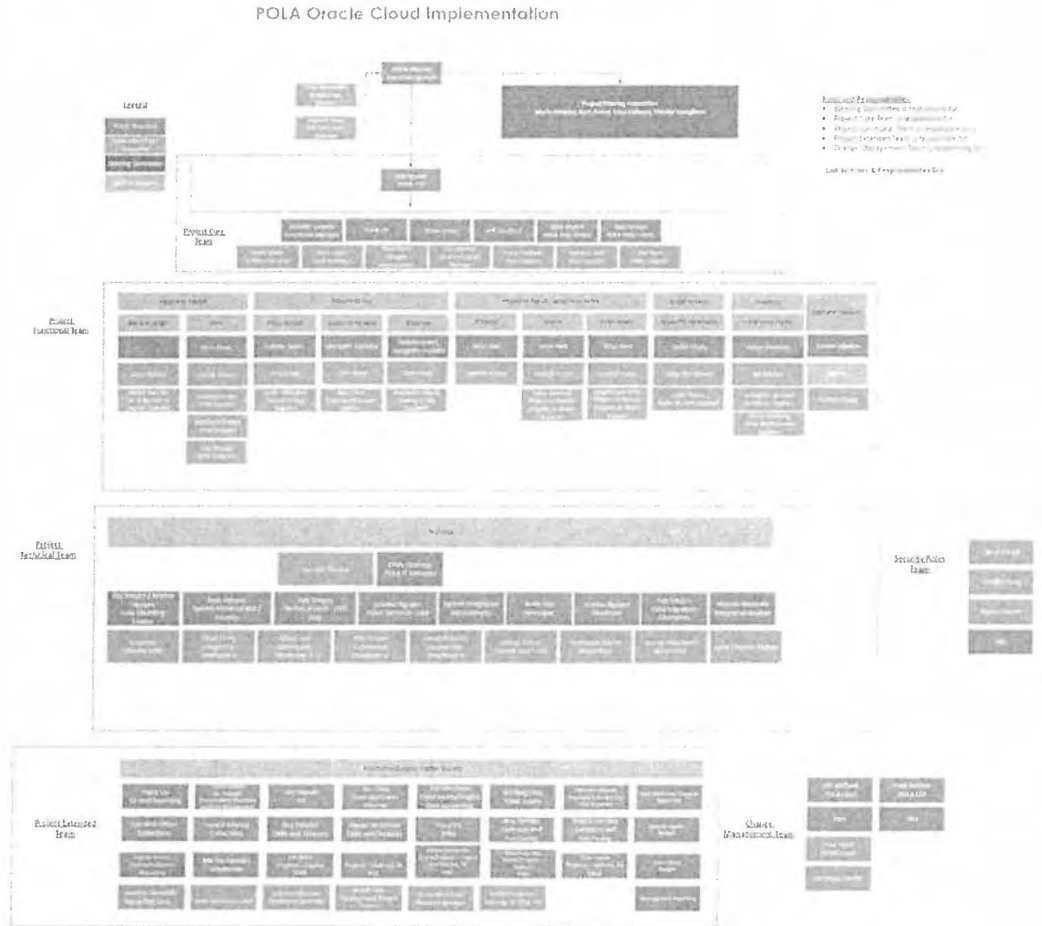
3.2 NITI AND LAHD RESPONSIBILITIES

Please refer to Attachment 1 for expected LAHD involvement.

Please refer to Attachment 5 for details on NITI and LAHD responsibilities.

EXHIBIT A-1

3.3 PROJECT ORGANIZATION CHART



If assigned staff is not acceptable to LAHD, the Consultant will provide qualified replacement within ten (10) business days. NITI will be responsible for the knowledge transition to ensure that the replacement has the knowledge specific to this project. All key project staff changes are subject to review and approval by LAHD.

LAHD's Project Manager reserves the right to contact any key personnel for questions relating to the Oracle ERP Cloud system.

4. IMPLEMENTATION METHODOLOGY AND WORKPLAN

4.1 METHODOLOGY AND DELIVERABLES

Below are the ongoing activities and deliverables across all the project phases. The due dates for activities and deliverables are tracked via the Project Management Office in the Integrated Project Plan (IPP) see Attachment 12.

NITI's project management activities in this section are associated with NITI assigned activities on this project. LAHD will perform project management tasks related to the management of its personnel and LAHD's third-party providers, and their assigned tasks and associated deliverables on the project.

PROJECT MANAGEMENT TASKS

1. Execute program management processes including weekly project plan updates for all phases
2. Perform ongoing project risk identification and issue tracking
3. Status and budget reporting for NITI scope of work
4. Project change control and escalation process
5. Conduct steering committee updates
6. Coordination with ERP Platform Cloud Services and ERP Platform Customer Success teams
7. Coordination with LAHD's third-party vendors and other LAHD internal teams
8. Develop the status report (including workstream updates, JIRA ticket status and decisions needed)
9. Confirm the process of updating the status report with the project team
10. Review the status report with project leadership and adjust as needed
11. Introduce and review the status report with the operating committee and steering committee

4.1.1 PHASE 0

Phase 0 is intended to begin the business transformation and set the project forward toward a successful implementation. NITI will focus on four workstreams:

1. Program Management
2. Business Transformation Scoping
3. Change Management

EXHIBIT A-1

4. Technology and Data

PHASE 0 - ACTIVITIES

1. Project Management (Status Reporting, Issue Tracking)
2. Identify key PMO roles
3. Develop governance structure (Weekly Cadence, Steering Committee, etc.)
4. Assign resources to the PMO
5. Based on process scope, organization requirements, and enabling technology complexity, create roll-out options and review with LAHD
6. Determine Project Management toolsets to be utilized
7. Prepare for Vision and Validation phase launch
8. Utilize leading Powered Enterprise process taxonomy tile boards to review the Finance, EPM, Procurement & Projects level 3 processes. This will lead to the initial vision for LAHD's transformed operations in the form of a Target Operating Model (TOM) that will be elaborated in future phases
9. Determine transformation scope during working sessions with key functional stakeholders
10. Map transformation scope to enabling Oracle technology module to identify opportunities and key decisions

PHASE 0 - DELIVERABLES

1. Program Management & the LAHD Governance Framework and decision-making matrix
2. Project Tool Framework
3. Consolidated Deployment Timeline
4. High level Project Plan for Future Phases including costs
5. Integrated NITI / LAHD's Resource Plan
6. Final Phase 0 readout
7. Finalized Transformation Scope (Finance, EPM, Procurement, & Projects) based on key leading practices
8. Mapping of Oracle Technology modules to process scope
9. Finalized Oracle BOM
10. Business Case for Change
11. Key Journey Maps of impacted stakeholders

EXHIBIT A-1

12. Leadership & Stakeholder Engagement Strategy
13. Change Management Strategy Framework
14. Future State Technology Architecture
15. High-level Integration Strategy
16. High-level Data Migration and Archiving Strategy
17. Inventory of the Integrations
18. Data Readiness & Governance Assessment

4.1.2 VISION PHASE (PHASE 1)

The phase will be kicked off by establishing project organization, roles and responsibilities, governance, and leadership alignment. The initial strategy documents identified by LAHD for inclusion in the program scope are developed via collaborative workshop sessions between NITI and LAHD. Below are the key activities and deliverables for the phase.

PHASE 1 - ACTIVITIES

1. Develop High Level Program Schedule and Publish Project Timeline
2. Document review and approval assignments
3. Establish Onboarding Procedures
4. Develop Project Governance Plan (Scope, Risk, Issues, Financial Management, Project Change Control, Resource Management, Deliverables, Project Reporting)
5. Establish Project Infrastructure and Resources (Organizational Structure, Committees, Infrastructure Plan, Resource Needs and Plan)
6. Setup Project Infrastructure (Powered Execution Suite)
7. Review Deliverable Template Structure with Key Stakeholders
8. Develop Integrated Project Plan

PHASE 1 - DELIVERABLES

| Deliverable Number | Deliverable Name | Description |
|--------------------|-------------------------|---|
| Vi-1 | Project Governance Plan | A Confluence page, which can be extracted into a PDF or Word document that describes the specific processes and procedures and resources necessary for the fulfilment of the project according to LAHD's stated requirements. These procedures should be established when the project is set up and ready to be executed. |

EXHIBIT A-1

| | | |
|-------------|---|---|
| Vi-2 | Kick off presentation | Presentation used for project kick off session |
| Vi-3 | Integrated Project Plan (Vision – Validate) | Defines and outlines the project work schedule – including the task, task duration, task start/end dates, task dependencies (predecessor/successor), task owners, deliverables, and project milestones for the Vision and Validate phases of the project. This plan includes all project tasks and dependencies regardless of which party is responsible for completing the task. |
| Vi-4 | Consolidated List of Potential Benefits | The potential benefits are collected during the stakeholder interviews. The benefits are then consolidated from the various interview results and compiled into a list that is confirmed with project leadership and the project sponsor(s). The list will be included as part of the Value Charter deliverable. |
| Vi-5 | Value Charter/Value Case | The Value Charter is an addendum to the Case for Change document. In keeping with the integrated nature of the program delivery approach the Value Charter will be integrated with the view on change and how change will be executed. |
| Vi-6 | Case for Change | Outlines the rationale for undertaking a transformation, with a summary of the current state, desired future state, benefits of the transformation, and LAHD defined success criteria based on findings from the interviews and the Alignment/Visioning experiences. This document will be used as the foundation for future project communications. |
| Vi-7 | Stakeholder Assessment | Documents key stakeholders' perspectives including definitions of program success, concerns, existing pain points, and expected impact. Provides an overview of the program's stakeholder landscape, anticipated impacts to certain demographics, and potential change or adoption risks by stakeholder group. |
| Vi-8 | Communication Plan (Vision) | Identifies key program communications required to enable Vision activities (e.g. Visioning workshop invites and follow-up) and tentatively outlines the proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. |

EXHIBIT A-1

| | | |
|-------|--|---|
| Vi-9 | High Level Future State Vision and Roadmap | Outlines the organizational Vision, business operations and supporting systems with a clearly stated organizational and functional strategy and outlines supporting rationalized initiatives in a roadmap to transform current state to future state, including quick-win area identification. Also identifies and quantifies key value drivers of the project to track value realization (e.g. key benchmarks for cycle times, # of team members supporting processes, performance metrics, etc.). |
| Vi-10 | Finance Data Model & Enterprise Structure Strategy | Defines the data model strategy required by the foundational application setup. This deliverable includes the strategy and structure for the chart of accounts and related segments, which drives the specific legal, managerial, and functional reporting for the enterprise as well as the strategy for the enterprise structure. |
| Vi-11 | Security & Controls Strategy | Define the project strategy for integrating Cloud application controls, designing application roles, and user access management processes. |
| Vi-12 | Environment Strategy & Plan | Maps out the approach and plan for the required application environments needed for the validation, construct and deploy phases and how they are used and evolve through-out the engagement. |
| Vi-13 | Report Inventory | Provides listing of all of LAHD's current, active financial and operational reports and data sources. |

4.1.3 VALIDATE PHASE (PHASE 2)

The Validate phase will include the validation of LAHD's future state processes against KPMG's Powered Enterprise solution for Oracle Cloud. This phase will include a series of validation workshops in which NITI will demonstrate and capture deviations from the standard Powered Oracle functionality in KPMG's environment with KPMG's data. At the end of this phase, a Target Operating Model design will be documented, and LAHD will approve the documented design and make decisions regarding implementation.

PHASE 2 - ACTIVITIES

1. Plan and Manage Validation Workshop Schedule
2. Update Integrated Project Plan
3. Report and Mitigate Risks and Issues

EXHIBIT A-1

4. Manage Ongoing Program Governance
5. Finalize Value Governance Framework
6. Validate Communication and Engagement Materials
7. Conduct Change Impact Assessment
8. Develop Change Management Strategy and Plan
9. Conduct Target Operating Model (TOM) Validation Workshops
10. Define Finance Data Model
11. Define Enterprise Structure
12. Compile Development Object List
13. Compile Deviation List
14. Develop Integration Strategy
15. Develop Data Migration Strategy
16. Develop Reporting Strategy (Analyze LAHD's key reporting requirements against standard Oracle reports and Powered Enterprise report templates and determine strategy on fulfilling gaps)
17. Compile Development Object List
18. Conduct Roles Gap Session
19. Document Roles list for future Target Operating Model (TOM)
20. Conduct Controls Gap Analysis workshop to review future state control objectives
21. Document draft risk and controls matrix (with control objectives only)

PHASE 2 - DELIVERABLES

| Deliverable Number | Deliverable Name | Description |
|---------------------------|--|--|
| Va-1 | Integrated Project Plan (Construct – Deploy) | Defines and outlines the project work schedule – including the task, task duration, task start/end dates, task dependencies (predecessor/successor), task owners, deliverables, and project milestones - for the Construct and Deploy phases. This plan includes all project tasks and dependencies regardless of which party is responsible for completing the task |
| Va-2 | Value Management | This is framework is intended to ensure that key business decisions that could affect the course and outcome of the |

EXHIBIT A-1

| | | |
|------|-------------------------------------|--|
| | Governance Framework | project align with the agreed upon expected benefits in the Value Charter. The framework is part of the key business decision process and as each key decision goes through the process of completion it helps confirm how the key decisions align with the identified expected benefits measures. |
| Va-3 | Change Management Strategy and Plan | Strategy and plan for addressing and executing change management (including Communications Strategy) throughout the program; establishes change activities, high-level timeline and techniques pertaining to stakeholder engagement, communications, and organization readiness. <i>Note: Strategy should be iteratively built throughout Validate phase.</i> |
| Va-4 | Change Impact Assessment | Assesses the impact a change will have on departments and roles as a result of new and/or different processes, technology, policies, roles and responsibilities, decisions, or information. |
| Va-5 | Communication Plan (Validation) | Identifies key program communications required to enable Validate activities and includes a refined set of proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. |
| Va-6 | Target Operating Model (TOM) | An Operating Model is a conceptual representation of an organization's structures, capabilities, and processes. The Target Operating Model (TOM) deliverable describes the organization's desired future state across the six layers for each in-scope process (including the design requirements that will support the configuration of Oracle Fusion Applications): a new global solution design for an Operating Model that can achieve the desired business outcomes and strategic objectives. |

EXHIBIT A-1

| | | |
|---------------|--|---|
| Va-7 | Global Finance Data Model & Enterprise Structure | Defines the global data model required for the foundational application setup. This deliverable includes the structure for the chart of accounts and related segments, which drives the specific legal, managerial, and functional reporting for the enterprise as well as the enterprise structure. |
| Va-8.1 | Deviation List | <p>A prioritized list of LAHD specific functional requirements that will be used to baseline requirements (freezing) and agreeing on the purpose and scope of the solution at a level that allows for detailed investigation of what the deviation/requirement imply. The MoSCoW (Must have, Should have, Could have or Won't have) technique will be used to indicate what is inside or outside scope.</p> <p>This interim deliverable will be considered to represent 85% of known deviations. Va – 8.2 will represent a complete list of Deviations once confirmed after CRP 2.</p> |
| Va-8.2 | Deviation List | <p>A prioritized list of LAHD specific functional requirements that will used to baseline requirements A prioritized list of LAHD specific functional requirements that will be used to baseline requirements (freezing) and agreeing on the purpose and scope of the solution at a level that allows for detailed investigation of what the deviation/requirement imply. The MoSCoW (Must have, Should have, Could have or Won't have) technique will be used to indicate what is inside or outside scope.</p> <p>This final deliverable will represent 100% of known Deviations prior to User Acceptance Testing.</p> |
| Va-9.1 | Development Object List | A prioritized list of LAHD specific development requirements e.g. reports, integrations and conversions that will be |

EXHIBIT A-1

| | | |
|--------|-------------------------|---|
| | | <p>used to baseline the development scope (freezing) and agreeing on the purpose of each object at a level that allows for detailed investigation of what the requirements imply. The MoSCoW technique is used to indicate what is inside or outside scope.</p> <p>This interim deliverable will be considered to represent 85% of known development objects. VA 9.2 will represent a complete list of Development Objects once confirmed after CRP2.</p> |
| Va-9.2 | Development Object List | <p>A prioritized list of LAHD specific development requirements e.g. reports, integrations and conversions that will be used to baseline the development scope (freezing) and agreeing on the purpose of each object at a level that allows for detailed investigation of what the requirements imply. The MoSCoW technique is used to indicate what is inside or outside scope.</p> <p>This final deliverable will represent 100% of known Development Objects prior to User Acceptance Testing.</p> |
| Va-10 | Integration Strategy | <p>Defines the high-level integration requirements that will provide a baseline upon which to build an effective integration approach. This deliverable outlines the differing integration platform scenarios and how the various data objects could be addressed through each platform scenario. Additionally, it documents key architectural principles and the initial catalog of integrations required and volumetric information to inform the design going forward.</p> |
| Va-11 | Data Migration Strategy | <p>Defines the approach for performing the migration and conversion of data from the legacy system(s) to the Oracle Fusion Application system, including</p> |

EXHIBIT A-1

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| | | specific data objects, rationale, and sequence. |
| Va-12 | Reporting Strategy | Outlines the structural foundation to be further refined by LAHD and NITI, inclusive of key reporting elements for in-scope Oracle modules and processes as well as the framework for reporting from the people, process, organization, and systems perspective. NITI will consider multiple reporting options including BI Publisher, Oracle Transactional Business Intelligence (OTBI), Smart View, Financial Reporting Web Studio, and BI Cloud Connector (BICC). NITI will analyze the best tool to use for each report and will leverage the reports that are already part of the KPMG Powered Enterprise (KPE) methodology. |
| Va-14.1 | Roles List and Data Security Requirements | A list of all the powered applications roles and any custom roles including data security requirements identified during the Validate workshops. This interim deliverable will represent 85% of known roles and data security requirements. Va-14.2 will include updates from CRP 2 and segregation of duties confirmation. |
| Va-14.2 | Roles List and Data Security Requirements | A list of all the powered applications roles and any custom roles including data security requirements identified during the Validate workshops This final deliverable will represent 100% of known roles and data security requirements needed for Go Live. |
| Va-15.1 | Draft Risk and Controls Matrix | A spreadsheet containing list of risks and controls objectives mapped to the level 4 functional process including any gaps against powered risk and controls This interim deliverable will represent 85% of known risks and mitigation control requirements. Va-15.2 will |

EXHIBIT A-1

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| | | include updates from CRP 2 and final list of controls needed for Go Live. |
| Va-15.2 | Final Risk and Controls Matrix | A spreadsheet containing list of risks and controls objectives mapped to the level 4 functional process including any gaps against powered risk and controls. This final deliverable will represent 100% of known risk and control requirements needed for Go Live. |

VALIDATE CHECKPOINT

Upon completion of the Validate Phase, NITI and LAHD will confirm the scope of overall program and update the scope, timeline, staffing and budget for the remaining project phases: Construct, Deploy and Evolve (“Validate Checkpoint”).

If there is an impact on scope, timeline, staffing and budget NITI will work with LAHD to update Estimate-to-Complete (ETC) and document the impact for review and approval via the change control process described in Attachment 2: Change Control.

The NITI team will use a formal “Stage Gate” review process to review all Validate deliverables and milestones and confirm in writing with LAHD the phase is complete.

4.1.4 CONSTRUCT PHASE (PHASE 3)

During the Construct phase the application will be configured based on the global design from the Validate phase; the conversion process will be built and tested; and all other development work including interfaces and reports will be developed, and unit tested. This phase will also include three (3) formal testing events called Playbacks, or CRPs. This will be CRP 1, CRP 1.2, and CRP 2 (SIT). Each CRP will have a defined scope, entrance, and exit criteria, and include hands-on testing and validation of the solution by the LAHD Team.

PHASE 3 - ACTIVITIES

1. Initiate cutover planning workshops
2. Develop draft cutover plan
3. Develop CRP test plan
4. Conduct CRP entry/readiness event

EXHIBIT A-1

5. Schedule and Conduct CRP Event
6. Execute CRP Test Scripts and Defect Identification and Capture
7. Report CRP results
8. Conduct CRP1 exit criteria review
9. Develop System Integration Test (SIT) test plan
10. Conduct SIT entry/readiness event
11. Schedule and Conduct SIT Event
12. Execute SIT Test Scripts and Defect Identification and Capture
13. Document and Report SIT Results
14. Document and Prioritize Issues and Defects From SIT
15. Disposition Issues and Defects from SIT
16. Update project plan with details for the next phases
17. Coordinate Knowledge Transfer Plan development
18. Construct Communication and Engagement Materials
19. Change Champion Network Launch
20. Organizational Readiness Assessment
21. Role Impact Summary Development
22. Develop Training Needs Analysis, Strategy, Plan, Curriculum, And Materials)
23. Develop Integration Functional Design Documents
24. Develop Report Functional Design Documents
25. Develop Data Mapping Specifications
26. Conduct Iteration 1 – Conference Room Pilot (CRP)
27. Conduct Iteration 1.2 – Conference Room Pilot (CRP)
28. Conduct Iteration 2 – System Integration Testing (SIT)
29. Develop Oracle Cloud Reporting Technical Designs
30. Review and Approve Reporting Technical Designs
31. Build and Execute Unit Testing of Custom Oracle Cloud Reports
32. Functional Unit Testing (FUT) Of Reports
33. Provide Conversion Mapping File Format
34. Design, Build and Test Legacy System Extracts
35. Test Conversion Load Processes
36. Reconcile Data Conversions and Extracts

EXHIBIT A-1

- 37. Data Migration Iteration 1 – Conference Room Pilot (CRP)
- 38. Data Migration Iteration 2 – System Integration Testing (Sit)
- 39. Build/test application security
- 40. Complete security configuration in POD for CRP
- 41. Update CRP Test Scripts with Application Security Roles
- 42. Complete CRP issue and defect remediation in line with CRP exit criteria
- 43. Update the Security Workbooks to reflect changes and corrections coming out of CRP1
- 44. Build/Test Application Security
- 45. Perform Role Level Segregation of Duties (SOD) Analysis
- 46. Share observations and recommendations from SOD analysis
- 47. Complete Security configuration in POD for SIT
- 48. Update SIT Test Scripts with Application Security Roles
- 49. Conduct Knowledge Transfer Sessions
- 50. Complete SIT issue and defect remediation in line with SIT exit criteria
- 51. Finalize Security workbooks

PHASE 3 - DELIVERABLES

| Deliverable Number | Deliverable Name | Description |
|--------------------|--|--|
| C-1 | Integrated Project Work Plan (Deploy - Evolve) | Defines and outlines the project work schedule – including the task, task duration, task start/end dates, task dependencies (predecessor/successor), task owners, deliverables, and project milestones - for the Deploy and Evolve phases. |
| C-2 | Test Plan | Outlines the details and logistics to execute the respective testing iteration in terms of theme, objectives, entry and exit criteria, structure, schedule, and required resources. |
| C-3 | Communication Plan (Construct) | Identifies key program communications required to enable Construct activities and includes a refined set of proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, |

EXHIBIT A-1

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| | | vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. |
| C-4 | Change Champion Network Launch Materials | Includes documentation related to the approach and stand-up of the Change Champion Network (e.g. Change Champion Network structure, resourcing, and meeting/activity plan). |
| C-5.1 | Role Impact Summaries | <p>The Role Impact Summary outlines changes by role to job tasks and processes between current and future state roles and enables users to start to understand the new ways of working.</p> <p>This interim deliverable will represent 75% of known Role Impact summaries following CRP 2.</p> |
| C-5.2 | Roles Impact Summaries | <p>The Role Impact Summary outlines changes by role to job tasks and processes between current and future state roles and enables users to start to understand the new ways of working.</p> <p>This final deliverable will represent 100% of known Role Impact summaries following UAT.</p> |
| C-6 | Org Readiness Assessment | Includes a baseline Organizational Readiness dashboard for applicable functions / stakeholder groups. Assesses readiness and necessary mitigation tactics. |
| C-7 | End-User Training Needs Analysis | Diagnostic framework used to identify process and technology capability gaps and determine how they can be addressed through training. Note: Skills/talent assessments are not in scope. |
| C-8 | End-User Training Strategy & Plan | Based on the Training Need Analysis, identifies stakeholder groups that require training, the levels of training needed by each group, and the methods of training that should be utilized. Outlines accountability for developing, reviewing, and executing training. |
| C-9 | End-User Training Curriculum | Outlines proposed training topics and structure by role in order for users to learn new policies, systems, and processes. |
| C-10 | Test Strategy | Defines the approach to testing by examining the characteristics of the system |

EXHIBIT A-1

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| | | to be built, approach, focus and entry/exit criteria for the testing iterations/events (e.g. CRP, SIT, UAT). |
| C-11.1 | Functional Designs | <p>Detailed designs for specific Oracle Fusion Application development objects (e.g. reports, interfaces, and enhancements) which include a functional essay, business objectives, business requirements, definition of terms, reference to business scenario that the design is covering, examples of the desired business behavior, business rules that drive the use case behavior, assumptions that form the basis for the solution, details descriptions of the data and interface behavior. It should also include a detailed report layout and description for reporting requirements.</p> <p><u>This interim deliverable will represent 75% of functional designs finalization required for preparation of CRP 2.</u></p> |
| C-11.2 | Functional Designs | <p>Detailed designs for specific Oracle Fusion Application development objects (e.g. reports, interfaces, and enhancements) which include a functional essay, business objectives, business requirements, definition of terms, reference to business scenario that the design is covering, examples of the desired business behavior, business rules that drive the use case behavior, assumptions that form the basis for the solution, details descriptions of the data and interface behavior. It should also include a detailed report layout and description for reporting requirements.</p> <p>This final deliverable will represent 100% of functional designs after UAT.</p> |
| C-12 | Data Mapping Specifications | Source and target system data dictionary that shows how data from source system maps to data in target system in an Oracle required format. |
| C-13 | Configuration Workbooks | Workbooks containing the initial LAHD specific application configuration used to setup Oracle Fusion Application modules to |

EXHIBIT A-1

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| | | <p>meet the approved deviations. These Configuration Workbooks will be used to configure the Iteration 2 – SIT environment and transitioned to LAHD for final ownership and updates/maintenance going forward (i.e. UAT to Production).</p> <p><u>Final configuration workbooks are represented as Deliverable D-9.</u></p> |
| C-14 | Functional Test Cases | Test Case that includes test objectives and test scripts for functional system testing. |
| C-15 | Data Conversion Test Plan | Conversion testing guide per data load outlining the load and validation process. |
| C-16 | Integration Architecture | A detailed description of components of Oracle Platform as a service, cloud integration framework, technical architecture, deployment architecture and operational aspects. |
| C-17.1 | Technical Designs | <p>Technical design for specific Oracle Fusion Application development objects (e.g. reports, interfaces, workflows and enhancements) which include all the technical components required to satisfy the functional design including the interface designs, navigation logic, reporting designs, subject area designs, validation logic, SQL pseudo code, performance considerations, business rules, system flow diagram and installation considerations.</p> <p>This interim deliverable will represent 75% of functional designs finalization required for preparation of CRP 2.</p> |
| C-17.2 | Technical Designs | <p>Technical design for specific Oracle Fusion Application development objects (e.g. reports, interfaces, workflows and enhancements) which include all the technical components required to satisfy the functional design including the interface designs, navigation logic, reporting designs, subject area designs, validation logic, SQL pseudo code, performance considerations, business rules, system flow diagram and installation considerations.</p> |

EXHIBIT A-1

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| | | This final deliverable will represent 100% of functional designs after UAT. |
| C-18 | Security Workbook | <p>Security workbook will include all roles required to setup the production environment to meet the scope and requirements agreed to through the Validate and Construct phases.</p> <p>Design changes as a result of the SOD analysis will be incorporated in the security workbook deliverable.</p> |
| C-19 | Data Archive Solution | <p>Lift and shift of EBS (database and application layer) from on premise hardware to Oracle Cloud Infrastructure (OCI) on an IaaS cloud environment. EBS roles will be changed to "Read-only" to allow existing users access to run reports for historical purposes.</p> <p>Lift and shift of the SQL Archive from on premise hardware to OCI on an IaaS cloud environment, to include both Active Directory authentication and SQL Server Reporting Service (SSRS) utility and reports inventory.</p> <p>Following the implementation of the Data Archive Solution, LAHD will review the solution against requirements provided to ensure the solution meets expected needs and provide final approval in writing.</p> |

Based on the Vision phase and CRP 1, as of 3/31/2023 the following scope has been added to be completed during the Construct Phase. They are numbered as Extension (EXT).

| Deliverable Number | Deliverable Name | Milestone Payment | Deliverable Description |
|---------------------------|-------------------------|--------------------------|---|
| EXT -1.1 | PMO/CM Extension | Approval of CRP 2 / SIT | <p>Extension of Project Management Office (PMO) and Change Management (CM)</p> <p>This interim milestone will represent</p> |

EXHIBIT A-1

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| | | | initial extension of PMO and CM resources (50% of payment). |
| EXT-1.2 | PMO/CM Extension | Exit Approval of UAT and End User Training | This interim milestone will represent final extension of PMO and CM resources (50% of payment). |
| EXT-2 | CRP 1.2 Testing Event | Exit Approval of CRP 1.2 | 8 additional weeks added to schedule for configuration, testing and execution of additional Conference Room Pilot (CRP) event |
| EXT-3 | CRP 2/SIT Extension | Exit Approval SIT | 5 additional weeks added to schedule for additional System Integration Testing (SIT) and capture of feedback. |
| EXT-4 | UAT Extension | Exit Approval UAT | 4 additional weeks added to schedule for additional User Acceptance Testing (UAT) and capture of feedback. |
| EXT-5.1 | Additional Integration | Exit Approval of Sit | 21 additional integrations captured during Validation workshops and Conference Room Pilot (CRP) 1 Testing event. This will represent 50% of the extension payment. |
| EXT-5.2 | Additional Integration | Exit Approval of UAT | 21 additional integrations captured during Validation workshops and Conference Room Pilot (CRP) 1 Testing event. |
| EXT-6.1 | Additional Reports | Exit Approval SIT | Captured over 100 currently used reports and doubling report development effort from 20 (as specified in original scope) to 40 custom reports (medium/high complexity). This interim milestone (50% of payment) will represent initial design and testing of custom reports after CRP 2 / SIT. |
| EXT-6.2 | Additional Reports | Exit Approval of UAT | This final milestone payment (50% of payment) will represent full acceptance of custom reports after UAT. (Medium/high complexity). The total number of custom reports is 40 with 20 from the original scope and additional 20 from the extension. |

EXHIBIT A-1

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| EXT-7.1 | PBCS Change | Completion of the conversion and updating of line item expense planning cube | <ul style="list-style-type: none"> • Implementation of new COA • Conversion and validation of 5 years of history (Final versions only) • Conversion/updating of existing forms and creation of new data entry forms • Conversion/Creation of any Business Rule and Member Formulas • Completion of data integrations (inbound/outbound) • Creation and Implementation of Expenditure Management Plan |
| EXT-7.2 | PBCS Change | Completion of new Revenue planning cube | <ul style="list-style-type: none"> • Implementation of new COA and creation of statistical account for drivers/metrics • Creation of Forms for Revenue Planning • Creation of new Business Rule and Member formulas • Adding of any new members necessary for Revenue planning • Completion of data integrations (inbound/outbound) • Creation of Reports |
| EXT-7.3 | PBCS Change | Completion of expense allocation (PCMS) for customer profitability | <ul style="list-style-type: none"> • Creation of driver accounts • Development of approximately 40 allocations • Completion of data integrations (inbound/outbound) • Creation of Reports and P&L Statements • Deliver comprehensive functional/technical PCMS design document. |
| EXT-7.4 | PBCS Change | Completion of Reporting Cube | <ul style="list-style-type: none"> • Development of any KPI's/Metrics • Development of inbound integrations • Rebuild reports migrated from line-item cube. |
| EXT-8 | Chart of Accounts | Approval COA Design | Extensive reviews and deep dives to redesign LAHD's chart of accounts structure and related values |
| EXT-9.1 | Functional Resource Extension | Approval of CRP 2 / SIT | Extension of project resources. This interim milestone will represent initial extension of Functional resources (50% of payment). |

EXHIBIT A-1

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| EXT-9.2 | Functional Resource Extension | Exit Approval of UAT | This interim milestone will represent final extension of Functional resources (50% of payment). |
| EXT-10.1 | Production System Go Live | Executed Cutover Plan and Go Live | The Production System Go-Live milestone marks the execution and completion of each task identified in the D-2 Production Cutover Plan deliverable being required for Go-Live, and system users can log in, access data, and input data as required in the system. |
| EXT-10.2 | Extension of Project Acceptance | Final acceptance and sign-off of the project | The Project Acceptance milestone memorializes final acceptance and sign-off of the project. |
| EXT - 11 | As Needed Development | N/A | As needed development support for extension support work. |

The NITI team will use a formal "Stage Gate" review process to review all Construct deliverables and milestones and confirm in writing with LAHD the phase is complete.

4.1.5 DEPLOY PHASE (PHASE 4)

During the Deploy phase, the Configured System will be migrated to the production POD. The POD will then be copied via Oracle's production to test (P2T) process into the user acceptance testing POD. Once the copy is complete, the full data conversion will be executed, and final user acceptance testing will be initiated. Once UAT is complete and functioning in accordance with LAHD's expectations (as defined in the LAHD-approved global design, functional/technical specifications, and UAT exit criteria), the Configured System will be signed off and accepted by LAHD. At this point the cutover execution plan will be initiated to begin the go-live activities. The activities and deliverables described in this Section shall be repeated and completed for each deployment wave, as defined by the Project Plan and Cutover Strategy activities and deliverables.

PHASE 4 - ACTIVITIES

1. Finalize Production Plan/Cutover Plan
2. Finalize production support plan and procedures
3. Co-execute Cutover Plan
4. Finalize and Execute Knowledge Transfer Plan
5. Develop UAT Test Plan

EXHIBIT A-1

6. Conduct UAT entry/readiness event
7. Manage UAT event
8. Document and report UAT results
9. Conduct UAT exit criteria event
10. Prepare Production Readiness Assessment
11. Plan Sunsetting of Legacy Systems
12. Conduct Go-Live Decision Meeting
13. Deploy Communication & Engagement Materials
14. Conduct organizational risk/readiness pulse checks around program milestones in support of go/no go checkpoints

PHASE 4 - DELIVERABLES

| Deliverable Number | Deliverable Name | Description |
|---------------------------|-----------------------------|--|
| D-1 | HyperCare Plan | Post production support plan, procedures, resources identified and trained and ready for support |
| D-2 | Cutover Plan | Detailed step-by-step cutover execution plan that outlines the sequences of all necessary steps, processes, and cutoffs, communications, and data migration activities. This will also include a Sunsetting Strategy for LAHD legacy systems. |
| D-3 | Knowledge Transfer Plan | Plan to document and communicate development knowledge to appropriate LAHD stakeholders. |
| D-4 | UAT Test Plan | UAT test plan, a schedule with test scripts, entry and exit criteria that indicate what has to be completed successfully to exit UAT. The plan will also include regression testing of Oracle Cloud Quarterly releases in the test/dev environment. |
| D-5 | Communication Plan (Deploy) | Identifies key program communications required to enable Deploy activities and includes a refined set of proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. |
| D-6 | Org Readiness Assessment | Organizational Readiness pulse checks and aggregate dashboard for applicable |

EXHIBIT A-1

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| | | functions / stakeholder groups to assess readiness and any necessary mitigation tactics. |
| D-7 | Train the Trainer Sessions | Includes the materials and facilitation of (in partnership with functional leads) sessions to educate the designated trainers on how to deliver the system training to end users. |
| D-8 | Executed & Accepted UAT (Exit) | The agreed upon User Acceptance Testing exit criteria has been met. |
| D-9 | Configuration Workbooks | Application configuration workbooks will include all configurations required to setup the production environment to meet the scope and requirements agreed to through Validate and Construct. |
| D-10 | Development Objects | Final version of the in-scope production ready development objects (e.g. reports, integrations, enhancements) are deployed and live in the production environment. |

The NITI team will use a formal "Stage Gate" review process to review all Deploy deliverables and milestones and confirm in writing with LAHD the phase is complete. The Stage Gate review for Deploy will also include acceptance and confirmation of deployment of confirmed and approved configurations to Production and the EBS Lift and Shift.

4.1.6 EVOLVE PHASE (PHASE 5)

The Evolve phase will focus on post go-live support, stabilization, managing the project close out, and transition to steady-state support. NITI will work with LAHD to implement the Oracle functionality and help the system go live. NITI will support post go-live through the first month-end close following the go-live.

PHASE 5 - ACTIVITIES

1. Transition program and governance management processes
2. Establish a Continuous Improvement Program
3. Manage Enhancement Prioritization
4. Conduct Evolve/Project Close-Out Check Point(s)
5. Assess project performance and lessons learned
6. Close project against completion criteria
7. Manage Evolve Checkpoint

EXHIBIT A-1

8. Develop communications messages / materials to support program activities (Hypercare, Program close-out, etc.)

9. Translate (as needed) and deploy communications to organization and/or vendors/external partners

PHASE 5 - DELIVERABLES

| Deliverable Number | Deliverable Name | Description |
|--------------------|---|---|
| E-1 | Project Acceptance | Final acceptance and sign-off of the project |
| E-2 | Organizational Adoption Assessment | Organizational Adoption pulse check assesses user adoption and identifies any necessary mitigation tactics. |

The NITI team will use a formal "Stage Gate" review process to review all Evolve deliverables and milestones and confirm in writing with LAHD the phase is complete.

4.2 DELIVERABLE ACCEPTANCE

Quality Assurance Process

Prior to submission of any deliverables to LAHD, the NITI team will submit the deliverable through a rigorous quality review process. Each deliverable will be submitted by the Workstream Group responsible for each deliverable to the PMO Leadership for QA review prior to submission to LAHD.

As of the time of this extension (June 2023), each in-progress or remaining deliverable will have an associated Deliverable Expectation Document "DED". See Attachment 13. The DEDs will confirm the understating for each deliverable regarding content, level of detail, and expected LAHD participation. Consultant shall initiate DED circulation and both parties shall initial each DED indicating approval.

Deliverable

The Deliverable shall consist of a write-up that will include: (1) the Deliverable Number(s); (2) Deliverable Description(s); and (3) a narrative, in sufficient detail, describing the (a) successful execution and completion of each of the tasks, (b) any lessons learned upon completion of task, and (c) explanation for any deviations from the deliverable description, if applicable, and justification of such deviation.

EXHIBIT A-1

Acceptance Notification

Upon completion of any Deliverables for which LAHD is required to provide formal approval as defined in Section 4.1.2 through 4.1.6, NITI shall submit such Deliverables, as specified above, to LAHD, in electronic format, for review and acceptance within 10 business days of NITI submission. LAHD will have one designated approver for each deliverable. If a Deliverable is rejected by LAHD within the 10 business days after NITI submission with the explanation for rejection provided in reasonable detail, NITI will have the opportunity to remediate and resubmit for approval, and/or align with LAHD on a mutual course of action to address and remediate the Deliverable. All Deliverable approvals in JIRA will contain the completed LAHD sign off form for payment attached to the approved JIRA ticket.

Additional review and acceptance iteration(s) will be in accordance with change control process outlined in Attachment 2 – Change Control

Rework Notification and Time Period

NITI will have 3 business days to submit the work plan for the rejected Deliverable. Once the work plan approved by LAHD, NITI will have 5 business days to submit the revised Deliverable at no additional cost to LAHD.

Reworked Deliverables Not Accepted

If Deliverable is rejected again, the following options may be applied:

- Provide another rework period (3 business days for work plan, 5 business days to submit the revised deliverable).
- Reject Deliverable and no payment will be made.
- Catastrophic deliverable failure will result in termination of agreement as outlined in the agreement.

4.3 COMPLETION CRITERIA

The completion criteria for each stage gate shall be set forth in the Project Plan. NITI shall notify LAHD's project manager in writing when NITI believes the completion criteria for a stage gate has/have been met, providing the necessary evidence as required by LAHD in the Project Plan. LAHD shall have a maximum five (5) business days to review the evidence to confirm and accept that the stage gate meets the completion criteria or reject the evidence presented by NITI. Any rejection by LAHD shall be accompanied by a written explanation by LAHD as to why the stage gate has not met the agreed upon completion criteria for the applicable stage gate.

Completion of a phase shall occur upon (a) successful completion by NITI of all deliverables and activities associated with such phase, including those listed in this

EXHIBIT A-1

SOW and the Project Plan and (b) acceptance by LAHD according to the acceptance process set forth in the process set forth above.

LAHD and NITI may agree that a phase, stage gate is complete upon the achievement of less than the criteria set forth above. Any such agreement must be made in writing and must include a plan for what, if any, additional activities, or deliverables may be needed to properly complete the applicable phase, stage gate.

5. ORACLE SOFTWARE AND THIRD-PARTY SOFTWARE TOOLS

LAHD will be purchasing the following third-party software tools to enhance the Department's business processes in the cloud and for the teams' project management. These software tools are:

1. DocuSign – electronic signing tool for the Oracle workflows;
2. Atlassian (JIRA and Confluence) – project management and issues tracking;
3. Magnitude – reporting tool to access legacy data.

EXHIBIT A-1

6. RATES, PRICING SUMMARY AND PAYMENT SCHEDULE

The Fees for Services shall not exceed the fixed fee unless LAHD requests a change in the scope of the project in connection with those phases and such change is agreed to by the parties in accordance with change control process.

In addition to the fixed price deliverables as listed in the previous section, travel expense will be billed at the actual amounts incurred but are estimated to be \$349,560.

Please see Exhibit B-1 – Compensations Fees and Rates for more details.

7. PROJECT ASSUMPTIONS

The following assumptions have been made, and the professional fees are based upon these assumptions. Any material changes to these assumptions will be examined, and if needed, be subject to change control. The following assumptions have been made, and the professional fees are based upon these assumptions. Any material changes to these assumptions will be examined, and if needed, be subject to change control.

7.1 GENERAL

- The project will be managed using the KPMG Powered Enterprise methodology.
- NITI, through subcontractor KPMG LLP, intends to bring proprietary tools and accelerators, collectively called "KPMG Powered Enterprise," to enable the delivery of the engagement. Deliverables created for the LAHD based upon these tools will become the property of the LAHD. NITI, including KPMG LLP and its affiliated member firms, will retain the ability to continue to use their proprietary tools to serve our other clients.
- LAHD will be responsible and accountable for the overall program and project management and governance processes and procedures in conjunction with this engagement.
- NITI will not be responsible or accountable for managing LAHD team, or any LAHD contractors, team members in terms of activities, work quality, performance, and overall adherence to the engagement scope of work.
- LAHD will be responsible for communication, contracting, and facilitating testing with third party vendors, applications, and financial institutions.
- NITI will not be acting, temporarily or permanently, as a director, officer, or employee of the company, or be performing any decision-making, supervisory, or on-going monitoring functions or project management functions on behalf of the company.

EXHIBIT A-1

- Notwithstanding our duties and responsibilities in relation to the Services, LAHD shall designate individuals who possess suitable skills, knowledge and experience and retain responsibility and accountability for:
 - The management conduct and operation of LAHD business and affairs.
 - Deciding on LAHD use of, choosing to what extent LAHD wish to rely on, or implementing advice or recommendations or other product of the Services always supplied by NITI.
 - Overseeing the Services, making any decision affecting the Services, any product of the Services, LAHD's interests, or affairs.
 - The delivery, achievement or realization of any benefits directly or indirectly related to the Services which require implementation by LAHD, and compliance with your regulatory and legal obligations.
- LAHD will procure a new Atlassian Cloud instance (e.g. JIRA and Confluence) and required Add-Ons directly from the vendor or reseller. NITI will apply KPMG's Powered Execution Suite (PES) configuration to facilitate project activities like project planning, issue tracking, risk management, test management, documentation, and team collaboration.
- LAHD will provide NITI user accounts and appropriate levels of access to Oracle Fusion Applications, Oracle Technology and Atlassian Cloud applications specifically related to the scope of work contained in this SOW.
- NITI project management, project coordinator and lead roles will provide support to LAHD project management and leads in the scope of work outlined in the scope section.
- Any changes in scope and/or timeline may require a Change Order that is mutually agreed upon by LAHD and NITI.
- LAHD will use commercially reasonable efforts to ensure that project decisions required to keep the project on track will be made within a reasonable time frame. If LAHD explicitly decides at the senior executive level on a change of strategy or direction in the ERP implementation that leads to a delay in a project deliverable, NITI reserves the right to work with LAHD to revisit and revise the project's estimated timeline and/or costs through the change control process.
- Deliverables will be reviewed and accepted by LAHD within ten (10) business days from the time final draft has been submitted.
- It is expected that the LAHD project team will attend appropriate foundational training for their areas of responsibility prior to the project in order to gain fundamental understanding of Oracle Fusion Applications concepts and capabilities.
- NITI will store all approved deliverables in Confluence in editable formats. ARIS process flows can be exported to Visio, if desired, or to LAHD's purchased instance

EXHIBIT A-1

of ARIS, after formal approval and sign off of the Target Operating Model (TOM) by LAHD.

- NITI will not be responsible for project schedule impacts due to issues with LAHD internal ancillary project dependent schedule conflicts, resource availability, decision making, or delays with LAHD owned activities and/or deliverables.

7.2 LOGISTICAL

- NITI will use nearshore (team members in Mexico and Canada) delivery centres; various resources will be engaged in the project based on project needs.
- Once COVID travel restrictions are lifted, project leadership from NITI and LAHD will review requirements to have resources available to work on-site. Once travel is approved, appropriate resources can be at the LAHD site Monday to Thursday and work remote on Fridays on a scheduled agreed to by NITI and LAHD. Out-of-town personnel may work hours other than those defined as normal business hours to accommodate their travel schedules.
- NITI team members will use NITI issued laptops and connectivity to access LAHD Oracle Fusion Application environments.
- NITI and LAHD will mutually agree on a process to access, store, and transmit sensitive data.

EXHIBIT A-1

7.2.1 TARGET OPERATING MODEL

- LAHD will make every reasonable effort to adopt the Powered solution. Where the Powered solution cannot be adopted, a deviation will be documented for evaluation in the Validate Checkpoint.
- NITI will execute Validation Workshops leveraging KPMG's Powered environments for demonstration purposes only. These environments contain pre-configured applications and Powered data as per the Powered TOM. No changes shall be made to reflect LAHD preferred configurations or structures, nor shall LAHD get access to NITI environments.
- The design and updates of any non-Oracle integration and other related technology to align with Oracle Cloud technology will be the responsibility of LAHD.
- Alternative solutions using existing functionality will be accepted as the go-live solution to Oracle Service Requests ("SRs") logged as part of the project. Key project milestones and deliverables will not wait on Oracle delivery of SRs. NITI and LAHD will work together to determine workarounds if LAHD deems existing functionality as not reasonably acceptable.
- The TOM solution design will be based on the most recent Oracle Fusion Application release as of the start of the Validate phase. Additional functionality and tool changes that occur throughout the project will be evaluated for project impact in accordance with Attachment 2: Change Control.

7.2.2 ORACLE CLOUD SERVICE

- LAHD will need to acquire a minimum of three (3) Oracle PaaS environments for development, testing and production. Oracle PaaS environments will be needed at the beginning of the Construct phase.
- LAHD will need to acquire a minimum of four (4) Oracle Fusion Application non-prod environments to support design, testing, development, and training project activities at the beginning of the Construct phase.
- All PaaS and SaaS environments will be hosted by Oracle Cloud Operations and coordinated with Oracle by LAHD. NITI will advise LAHD resources during this process.
- NITI will not be responsible for project schedule impacts due to issues with the Oracle delivered product functionality or cloud services.
- NITI is not responsible for any Oracle Cloud product related shortcomings, or any project schedule extensions or delays caused by product related shortcomings. NITI will assist LAHD to escalate problems to the product

EXHIBIT A-1

vendor (Oracle) and will work with the product vendor (with LAHD assistance) to help bring issues to closure and minimize impacts to schedule and project budget.

- NITI will not be responsible for any additional costs due to infrastructure related delays or issues with accessing the Oracle Cloud environment.
- The timeline and resource plan for all areas will be confirmed during Validate phase and approved during the Validate Checkpoint.
- As part of the deviation (requirements and gap/fit) process, NITI will follow KPMG's Powered approach of providing LAHD with leading practice reports and LAHD will provide any additional requirements or deviations for consideration.
- NITI will build roles in one (1) instance (CRP1). LAHD will build roles or fix roles in all other PODS/instances including Production instance.
- LAHD will provide NITI with LAHD's Oracle Customer Support Identifier (CSI) to support LAHD in opening Oracle Service Requests (SR's).
- NITI shall make every effort to close all SR's before completion of the engagement. LAHD and NITI shall mutually decide whether an SR needs to stay open before completion of the engagement. In these cases, NITI will transition all open SR's to LAHD Team. NITI will perform a "health check" after each CRP to provide guidance on next steps.

7.3 INTEGRATION

NITI and LAHD will collaborate on a strategy to reduce the complexity and number of interfaces based on the following principles:

- Standardize similar interfaces on a single file layout wherever possible.
- Aggregate interfaces with similar functionality into single integration process wherever possible.
- Work with vendors and systems to take Oracle delivered files and new LAHD standard file formats.
- Leverage Oracle recommended Extract-Load-Translate ("ETL") tools like Data Management ("DM") and EPM Automate.
- LAHD will be responsible for changes required to non-Oracle legacy systems.
- Support for on-premise legacy Integration environments or other legacy technology will be managed by LAHD, including application and database server administration. This includes network, printers, single sign on, and all other LAHD internal technologies and existing system.

EXHIBIT A-1

- Oracle Integration Cloud (OIC) with the NITI Cloud Integration Framework (CIF) will be leveraged to build the integrations.

7.4 DATA MIGRATION

- LAHD will provide business rules for mapping between legacy GL Accounts to the new the Chart of Accounts.
- With regards to EPBCS, the following data will be converted: Actuals (TBD), Budget (current budget for TBD) and Forecast (current forecast for TBD).
- General ledger data migration will include the summary level for one (1) year prior and detail level for current year.
- LAHD will be responsible for extracting data from source application for data conversion. In scope data objects will be cleansed by LAHD prior to conversion. The data cleansing will continue until cutover and the retirement of legacy systems.
- NITI will leverage KPMG's Cloud Conversion Framework (CCF) for the data migration activity.
- Three (3) iterations of data migration (e.g. CRP, SIT, UAT) would be done before production migration. LAHD will define a data archive strategy for any systems to be retired. It is expected that this will be incorporated in the overall Project Plan and tracked as a key LAHD deliverable.
- LAHD will be responsible for performing additions and ongoing updates to master file data as needed once the data conversion process has started.
- LAHD performs final data mapping. NITI will provide guidance on approach and leading practices. LAHD will begin data mapping during the Vision stage.
- LAHD will extract/gather data, transform, cleanse, consolidate, and pass data to NITI in single source files (and in KPMG format). This format will be discussed and agreed with LAHD with an objective on making the data conversion process simple and repeatable for data capture, extract, and load.

7.5 CHANGE MANAGEMENT AND TRAINING

- LAHD will help identify, document, and review all change impacts as a result of the defined future state from validations sessions, these sessions will be led by NITI.
- LAHD will make available a Change Support resource starting in Vision phase to partner with the NITI Change Lead and ensure an integrated approach to the creation and execution of all change management activities. This LAHD role may be part-time.
- All materials will be developed in English, and LAHD will be responsible for any translation needs.

EXHIBIT A-1

- LAHD and NITI will work together to agree on the distribution of project related communications, change and readiness activities, and training.
- LAHD will identify and provide a consolidated list of names of all individuals who will be part of the Change Champion Network.
- LAHD will be responsible for providing timely access to resources and documents needed to support the completion of the change management activities.
- LAHD is accountable for providing organization information (e.g. organization charts, reporting relationships, LAHD location information, etc.).
- LAHD will support in logistics and scheduling, as needed.
- Training content will cover system functionality related to LAHD's key business processes and navigation of the Oracle application; Change Management is not responsible for closing competency or skill gaps.
- LAHD System Administrator learning to occur through system configuration activities as part of the project and any supplemental system vendor.
- LAHD SMEs will work with NITI instructional designers during development of job aids to provide content and review learning material.
- NITI will not be responsible for mapping of organizational roles, posting of job descriptions, consultation on resource fit, and/or related activities.

7.6 SECURITY AND CONTROLS

7.6.1 SECURITY

- NITI will assist in incorporating design changes from iteration 1 as part of finalizing security roles for LAHD. LAHD will incorporate design changes post iteration 2.
- LAHD is responsible for user provisioning activities. NITI team will provide guidance on provisioning users. LAHD to provide technical and functional resources needed to support the user provisioning process.
- LAHD will provide security resource who will shadow role build process and complete role build/fixes after construct phase with assistance from NITI.
- NITI will perform one (1) round of Segregation of Duties (SOD) analysis, i.e., Role level SOD analysis after Iteration 1(CRP 1.2. NITI team will incorporate any role design changes coming out SOD assessment for SIT.
- Segregation of Duties configuration is the responsibility of NITI, but the final analysis and sign off must be the responsibility of LAHD.
- Data Security requirements will be gathered during Validate Phase.

EXHIBIT A-1

- NITI will leverage LAHD's single sign on infrastructure to configure single sign on within the Oracle cloud environment. LAHD will be responsible for setting up their internal infrastructure for single sign on.
- Security Scope includes 45 roles, including ten (10) custom role changes. NITI will configure custom roles and assignments as part of the Construct Phase.
- LAHD will provide security provisioning and access management resource(s) who will shadow role build process and complete role build/fixes after construct phase with assistance from NITI. LAHD is responsible for user provisioning activities. NITI will support knowledge transfer during CRP 1 and CRP2 as well as additional guidance to LAHD resources during SIT and PROD.
- NITI will assist LAHD with the configuration of Auto-provisioning of Security Roles and Data Access.
- NITI will perform one (1) round of SOD analysis i.e. Role level SOD analysis in CRP1.2 and LAHD will perform User Level SOD analysis in UAT or PROD like instance.

7.6.2 CONTROLS

- Controls scope includes reviewing the Powered risks and controls objectives identified for the process areas in scope. NITI process team will review the risks and control objectives during Validation workshops. NITI will review gaps in risks and control objectives captured during the process workshop and confirm the future state risk & control with process owners.
- LAHD will be responsible for the test of design and test of operating effectiveness of the controls.

7.6.3 OTHER SECURITY AND CONTROLS TOPICS

- Identity management integration, Single Sign-on (Federation), and other governance risk and compliance (GRC) activities not specified in the SOW are outside the scope of this engagement. NITI team will conduct a Vision workshop to review the areas of responsibility. NITI team may bring in subject matter professionals who have in-depth knowledge in the above areas to help address LAHD questions during these sessions, as needed. Any scope change coming out of these workshops will be handled using the established change request process.
- LAHD will provide resources to partner with the NITI Application Security and Controls team throughout the life of the program.
- LAHD will review the existing user lifecycle management process, risk management process, controls management process, and roles management process and optimize for Oracle cloud. NITI's scope is limited to the application security and controls activities listed in the SOW.

EXHIBIT A-1

7.7 EPM ASSUMPTIONS

LAHD's current Planning Environment is highly developed, with detailed Business Rules, Forms, and Reports that have been developed and enhanced over at least 10 years. The EPM track will focus on migrating current planning to Oracle's Enterprise Planning Cloud. Both, LAHD and NITI will assess enhancements related to systems and processes to better integrate Fusion, Planning, and Narrative Reporting by adopting the future state data model to address the following key business requirements: Migrate from current PBCS Cloud to Oracle Enterprise Cloud Planning (full integration with Fusion and Narrative Reporting and adoption of future state data model), take advantage of Mid-Year and Adopted Budgets, configure a detailed labor budgeting module ("Custom Labor Module"), and enhance reporting with Narrative Reporting.

Planning and Budgeting assumptions are as follows:

7.7.1 APPLICATION CONFIGURATION

- Chart of Accounts / Dimensions – All hierarchies defined by the future state data model to the extent possible, all other dimension from existing PBCS application is not expected to have changes.
- Migration limited to one POD (A POD is what Oracle calls their subscription within EPM – each POD includes 2 environments: "TEST" and "PROD") – Migration activities are specific to moving from the Test to the Production in the same POD.
- Security Groups – LAHD is not expecting additional security requirements outside of current PBCS – up to 4 dimensions will be defined in EPM (e.g. Department, Entity, Unit, etc.)
- To the extent possible, existing PBCS forms will be migrated using batch functionality, in the event that the migration to Enterprise Cloud cannot be migrated using batch functionality, NITI will own the migration of up to 20 moderates to high complexity forms - LAHD to own remaining. We are not expecting the migration effort to include any new enhancements outside of the changes made to the existing PBCS data model or adjusted budgeted/transfers functionality.
- Up to five (5) Custom or New Webforms are included in this SOW.
- Enhancements in Fusion (Customized Labor Module within ERP or Planning) to support detailed planning will be incorporated/integrated into future state Enterprise Cloud Planning to the extent possible – Custom Labor Module is in scope for this implementation.

EXHIBIT A-1

- To the extent possible, existing PBCS reports will be migrated using batch functionality, in the event that the migration to Enterprise Cloud cannot be migrated using batch functionality, NITI will own the migration of up to 10 existing moderate to high complexity PBCS reports – LAHD to own the remaining. We are not expecting the migration effort to include new enhancements outside of the changes made to existing PBCS data model or adjusted budget/transfers functionality.
- New Budget and Management reports (up to seven (7) net new Planning reports) will be sourced from GL and future state Enterprise Cloud Planning. These reports are expected to be built in Financial Reporting to align to the existing migrated PBCS reports, however, may be added to the scope of Narrative Reporting.
- Planning will interface with Fusion and Narrative Reporting.

7.7.2 BUSINESS RULES

- Migration of existing PBCS rules will be required and are in scope.
- LAHD is not expecting current PBCS application to require extensive rules enhancements. Up to 4 User Defined rules/allocations not to exceed 8 total days of development are included in the scope of services.
- Budget transfers / adjusted budget functionality is required and will most likely be a combination of future state ERP and EPM capabilities. Workforce planning is not in scope.
- Up to one (1) batch process to support automation is included in the scope of services – existing batches (if any) will most likely require updates as part of this migration and are out of scope, but LAHD and NITI will work together to determine impact of migration on existing batches.

7.7.3 DATA INTEGRATION

- All current direct and manual flat file integrations will require rationalization – updates to existing integrations are not in scope, including current SQL dimensional hierarchies (Account, Program, Project, Entity (Division) extractions from EBS, FSG report extractions of Actuals, Encumbrances, and Adjusted Budget figures, Adopted budget flat Planning extracts.
- New integrations will leverage Data Management (DM) – Oracle EPM Data Management (DM) will be used as an ETL tool to load data into Enterprise Cloud Planning.

Inbound Data Sources – Up to two (2) inbound data integrations to be configured (i.e. Workday, GL).

EXHIBIT A-1

Outbound Data Sources – Up to one (1) outbound data integrations to be configured (GL). SmartView to an Autonomous DW would not be considered as an outbound integration.

- Mappings – Data mapping to future state data model to be provided by LAHD – existing integration mapping changes, if any, are not considered part of this SOW.
- Extract Files – NITI intends to leverage built in connections using Data Management, however if this is not possible, NITI will identify why Data Management cannot be used and assist, to the extent possible, with specification required for extract. Any external data extract files, if any, must be provided to NITI in the required format by LAHD.
- Drill Feature – Drill through will be enabled to DM.
- Data Conversion – Data conversion/validation is the responsibility of LAHD.

Out of Scope: Workforce Planning, Constant Currency, Automation, Reporting Cube, DM Mapping Scripting, Data Conversion

7.7.4 NARRATIVE REPORTING

7.7.4.1 APPLICATION CONFIGURATION ASSUMPTIONS FOR NARRATIVE REPORTING (EPM CLOUD)

- The application will be configured with integrations, workflow, and other configurations necessary to produce the CAFR report book only. Budget and Management reports were not considered in scope for this SOW.
- All financial and statistical data comes from Oracle Fusion Application ERP and Planning, any additional data sources will be the responsibility of the LAHD.
- Internal document reference will only be configured for data points/references that come from Narrative Reporting.
- Users - No more than 13 powered users will be provisioned and added to the workflow (10 authors, 2 reviews, and 1 sign-off).
- Out of Scope: Close manager integration, Disclosure management, Narrative Reporting custom data models/applications are all out of scope.
- Historical PBCS reports will not be converted/created in Narrative Reporting.

EXHIBIT A-1

7.7.4.2 NARRATIVE REPORTING – REPORTING ASSUMPTIONS

- The report book will be created using one format that can accommodate narrative note disclosure, numeric schedules, and charts (e.g. Microsoft Word)
- The report book will be no more than fifty (50) pages of newly created material – we are expecting that existing CAFR report book will be leveraged to the extent possible
- No more than five (5) objects (financial reports, graphs/charts, Smart View) will be created within Narrative Reporting. Other reports/charts migrated and/or configured as part of the migration of PBCS to Enterprise Cloud Planning can be embedded within the CAFR report book that will not count against the five (5) object limit.
- The two (2) latest versions of the existing offline report book will be provided and used a baseline structure for the final deliverable. The final deliverable will mirror the latest version of the existing report provided and table of contents structure.
- This SOW does not include any non-CAFR report(s) to be in scope for Narrative Reporting.

8. PROVISION FOR FLEXIBILITY

As project work contains an element of uncertainty, LAHD and NITI will partner on decisions to move funding from line item to item as conditions dictate and on a reasonable frequency. Any movement will require the agreement of both LAHD and NITI.

9. GLOSSARY AND TERMS

The below tables provide the responsibilities information for the project. Each activity or deliverable is identified by a RACI code to determine who has which role in the completion of each activity or deliverable.

| Group | Definition |
|--------|--|
| PM | Project Management |
| BP | Business Process Transformation |
| CE | Change Management Execution |
| TM | Technology & Data Management |
| SC | Security Controls |
| MoSCoW | Must have, Should have, Could have, Won't have |

EXHIBIT A-1

| | |
|-----|---|
| POD | Another term for environment. Typical PODS should be Dev, Test, and Production. |
|-----|---|

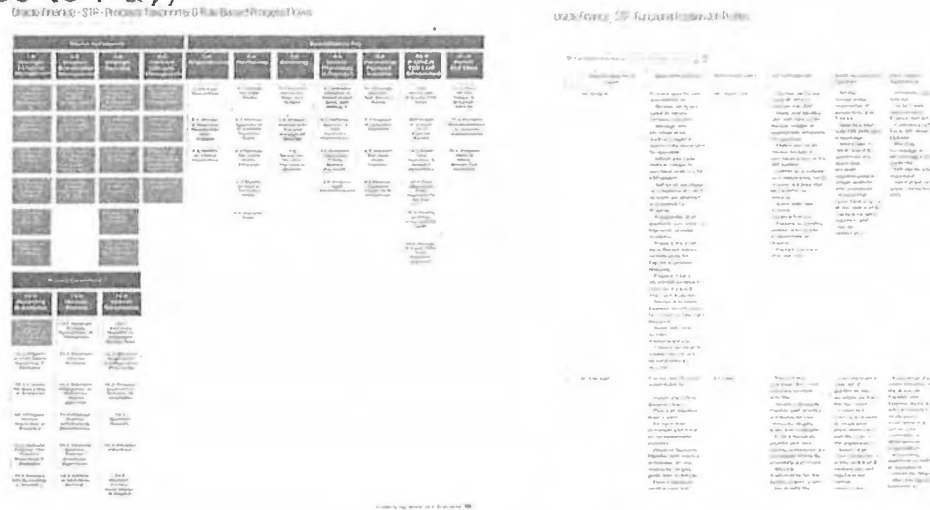
| RACI key | Definition |
|-----------------|--|
| R = Responsible | Those who are responsible to do the work and complete the task and/or Deliverable correctly |
| A = Approval | Those who are accountable for giving final approval and official sign-off of Key Deliverables |
| C = Consulted | Those whose opinions are sought, typically subject matter professionals; and with whom there is two-way communication |
| I = Informed | Those who are kept up-to-date on progress, often only on completion of the task or Deliverable; and with whom there is just one-way communication. |

KPMG's Powered Enterprise process taxonomy tile boards and Procurement & Projects level 3 processes are leading practice process documentation that will be used to facilitate the requirement gathering workshops.

Sample Oracle Cloud Tile Boards (Source to Pay Function) and Level 3 Process Flows

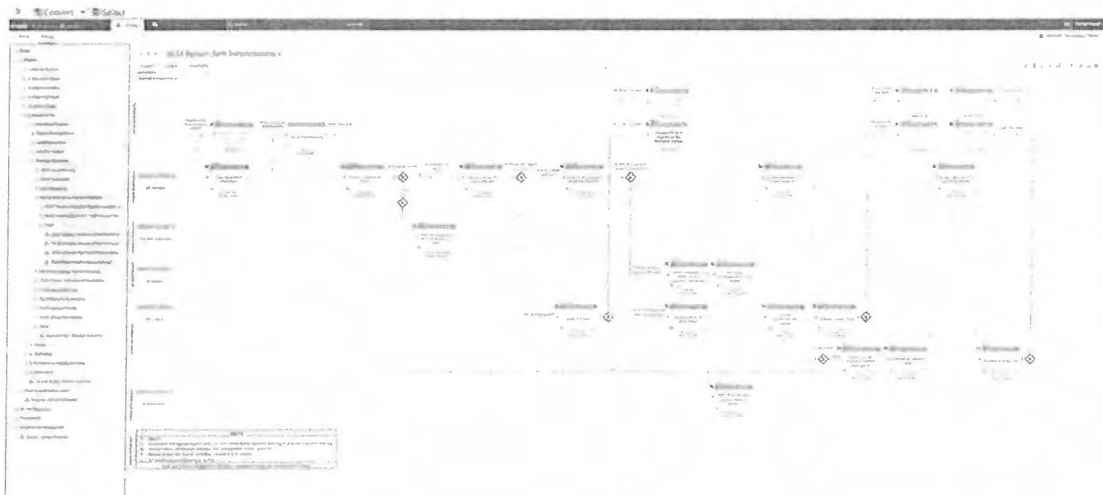
EXHIBIT A-1

Illustrative Source To Pay Process Taxonomy and Functional Position Job Roles Within Our Powered Enterprise Framework (Source to Pay)



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Illustrative Bank Reconciliation Process Within Our Source To Pay Process Taxonomy



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EXHIBIT A-1

10. ATTACHMENTS

- Attachment 1 – Expected LAHD Involvement
- Attachment 2 – Change Control
- Attachment 3 – Support SLAs
- Attachment 4 – Oracle Billing of Material (BOM)
- Attachment 5 – RACI Matrix
- Attachment 6 – Functional Requirements (Excel Documents)
- Attachment 7 – Technical Requirements (Excel Documents)
- Attachment 8 – EBS Workflows and AME Rules (Excel Documents)
- Attachment 9 – LAHD ERP Cloud Interface Requirements
- Attachment 10 – EBS Lift & Shift RACI
- Attachment 11 – SQL Archive Reports Inventory
- Attachment 12 – Integrated Project Plan (IPP)
- Attachment 13 – Deliverable Expectation Documents (DEDs)

ATTACHMENT 1

EXPECTED LAHD INVOLVEMENT

The following LAHD Team Roles outlines the estimated commitment level estimates for LAHD resources. Actuals will vary based on scope of the project, which will be finalized in the Validation phase. Some roles may be filled by the same person and some roles may be broken down into more than one resource.

NITI will leverage functional Subject Matter Professionals as applicable. Please see Attachment 5 – RACI Matrix for roles and responsibilities pertaining to deliverables and activities.

| Project Phases | Vision (Discovery Analysis & Requirements) | Validate (Design) | Construct (Coding, Configuration, Testing) | Deploy (UAT, Deployment) | Evolve (Post Production) |
|---|--|--|--|--|-----------------------------------|
| Management Team | | | | | |
| Project Executive Team | Up to 4 hrs / week | Up to 4 hrs / week | Up to 4 hrs / week | Up to 8 hrs / week | Up to 1-4 hrs / week |
| Project Manager | Full Time | Full Time | Full Time | Full Time | Full Time |
| Functional Team | | | | | |
| Functional Process Owners (Supervisors) – Decision Makers | Up to 8 hrs / week or as needed for the process area | Up to 8 hrs / week or as needed for the process area | Up to 8 hrs / week or as needed for the process area | Up to 8 hrs / week or as needed for the process area | Full Time Owner of the new system |
| Functional Lead – Responsible for Business Process (e.g. Accounts Payable) | Up to 16 hrs / week per process | Up to 24 hrs / week per process | Up to 16 hrs / week per process | Up to 24 hrs / week per process | Full Time Users of the new system |
| Functional End Users (Testers) | - | - | - | Up to 24 hrs / week during UAT | Full Time Users of the new system |
| Technical Team | | | | | |
| Technical Lead | Up to 16 hrs / week per process | Up to 24 hrs / week per process | Up to 16 hrs / week per process | Up to 24 hrs / week per process | Full Time User of the new system |
| Technical Analyst(s) <ul style="list-style-type: none"> • Technical Architect • Data Conversion • Interface / Integration • Reporting • Workflow | Up to 8 hrs / week or as needed | Up to 16 hrs / week or as needed | Up to 16 hrs / week or as needed | Up to 32 hrs / week or as needed | Up to 8 hrs / week or as needed |

| Project Phases | Vision (Discovery Analysis & Requirements) | Validate (Design) | Construct (Coding, Configuration, Testing) | Deploy (UAT, Deployment) | Evolve (Post Production) |
|--|---|-----------------------|---|--------------------------------|--|
| Testing Lead | - | Up to 8 hrs / week | Up to 32 hrs / week | Up to 32 hrs / week | As needed for future testing |
| Testing Analyst(s) | - | - | Up to 32 hrs / week | Up to 32 hrs / week | As needed for future testing |
| Subject Matter Advisors (SMA) | | | | | |
| Subject Matter Advisor – specific expert of a particular process area (e.g. PBCS Budgeting) | Up to 2 hrs / week | Up to 8 hrs / week | Up to 8 hrs / week | Up to 8 hrs / week | Full Time Users of the new system |
| Change Management Team | | | | | |
| Change Management Lead | Up to 8 hrs / week | Up to 8 hrs / week | Up to 8 hrs / week | Up to 8 hrs / week | Up to 1-2 hrs / week |
| Training Team | | | | | |
| Functional Process Training Leads | | Up to 8 hrs / week | Up to 8 hrs / week | Up to 32 hrs / week | As needed for training material maintenance |

ATTACHMENT 2 CHANGE CONTROL

All Change Requests must be formally initiated, evaluated, and approved as per the change control process to be defined in the project governance plan. NITI shall not be obligated to perform any tasks, and LAHD shall not be obligated to pay additional costs applicable to Change Requests that result in a change to the scope of services, cost or schedule, unless both parties agree to such in the form of an Addendum to this Statement of Work.

The following procedures will be followed related to change control:

1. **Initiation and Control.** This includes completion of the Change Request form and submission to the Change Management Process managed by the PMO.
2. **Impact Assessment.** An impact assessment will be performed to determine the estimated impact of the change, including scope, cost, time, benefits, and external impacts.
3. **Approval Process.** The Change Request will go through a formal approval process as outlined in the project governance plan. Change Requests that are not approved will not progress further in the process.
4. **Control and Documentation of Changes.** Approved Change Requests will be recorded as such and the impacted project areas including any deliverables will be updated to reflect the Change Request.
5. **Any Change Requests that impact the NITI contract will be addressed in the form of a Statement of Work Addendum signed by both parties.** NITI shall not commence performing any services, functions or responsibilities related to the Addendum until it is executed by both parties.

Development Object Change Control

During the Validate phase development objects will be reviewed for rationalization, consolidation or elimination based upon available functionality of the in-scope Oracle Cloud applications described in Exhibit A. NITI will allow for development object to be exchanged or replaced with net new objects, without an impact on the Fees, as long as the total count described in Exhibit A, Section 4.1.3 is not increased.

Any new development objects identified and not listed in Exhibit A, Section 2.2 will be rated for complexity on a scale of Low, Moderate, High and Complex as defined in Table E2.1 - Development Object Complexity Rating. These ratings drive estimated effort. For "Complex" objects, the effort and cost will be determined on a case-by-case basis.

TABLE E2.1 – DEVELOPMENT OBJECT COMPLEXITY RATING

| Object Type | Low | Moderate | High |
|---------------|---|--|---|
| Report | Simple custom reports created using OTBI, BI Publisher or FRS | Medium complexity custom reports created using OTBI, BI Publisher or FRS | Complex custom reports created using OAC, OTBI, BI Publisher or FRS |

| Object Type | Low | Moderate | High |
|-------------------|--|---|---|
| | Simple SQL (one subject area) | Moderate SQL, two subject areas | Complex SQL, multiple subject areas |
| | Straightforward data retrieval | Some relational cross-checking against SaaS ERP | Relational cross-checking against PaaS Database Cloud Service |
| | Minimal formatting | Some formatting and processing logic | Significant formatting or processing logic |
| | Minimal aggregation, calculation, sorting, grouping, breaking | Moderate aggregation, calculation, sorting, grouping, breaking | Complex aggregation, calculation, sorting, grouping, breaking |
| | Simple data retrieval | Moderate data retrieval | Complex data retrieval |
| Interface | Simple API data structures | Medium complexity of API data structures | Complex API data structure |
| | Low data volume | Moderate data volumes | High data volumes |
| | Simple record format | Moderate complex record format | Complex record format |
| | No transformations or data validations required | Moderate transformations, SaaS data lookups and validations required | Complex transformations, SaaS data lookups and validations required |
| | No retry logic (errors to report log) | Some retry logic and error processing | Significant retry logic and error handling |
| | Batch architecture - same platform | Complex batch or simple real-time interface | Cross-platform, batch, real-time communication |
| Conversion | Simple FBDI data structures | Medium complexity of FBDI data structures | Complex data mapping/FBDI data structure |
| | Data is pre-extracted and formatted | Some reformatting of data is required | Significant reformatting is required |
| | Limited data mapping | Moderate data mapping | *Custom extensions are needed to support the interface process |
| | No transformations or data validations required | Moderate transformations, SaaS data lookups and validations required | Complex transformations, SaaS data lookups and validations required |
| | Single load program, no master data | Single load program, with master data lookup | Some master data rationalization required |
| | Low data volume | Moderate data volumes | High data volumes |
| Extension | Simple design | Moderately complex design | Complex design |
| | Usage of Visual Builder Cloud Service with single REST service interface | Usage of Visual Builder Cloud Service with multiple REST service interfaces | SOA JDeveloper - ADF with simple programming logic |

| Object Type | Low | Moderate | High |
|-----------------|---|--|--|
| | No changes to processing logic or underlying table structure | Moderate level of new fields, logic, or table structures | High level of new fields, logic, or table structures |
| | No database updates | Database updates required | Complex supporting database |
| | No separate program logic | Simple PL/SQL programming logic | Complex PL/SQL or some Java programming logic |
| | No retry logic (errors to report log) | Some retry logic and error processing | Significant retry logic and error handling |
| Workflow | New simple workflow process definition or simple modification to an existing workflow process definition using {ERP} Workflow Builder, or the BPM tool in Cloud Applications. Custom code components triggered from one or more events. | Medium-complexity workflow process definition | Medium-complexity workflow process definition |

ATTACHMENT 3 SUPPORT SLAS

Service Level Agreement - Support (Business Hours)

TABLE E3.1 – SLA TARGET INCIDENT RESPONSE TIME

| Service Level | Description | Target Incident Response | Potential Incident Levels |
|---------------|--|--------------------------|---------------------------|
| 1. Outage | Application Down or Services Down | Within 30 minutes | L2, L3 and L4 |
| 2. Critical | High risk of server downtime, Work stoppage, Month end, Quarter end or Year-end issues effecting close | Within 60 minutes | L2, L3 and L4 |
| 3. High | End user impact effecting downstream functionality | Within 120 minutes | L2 and L3 |
| 4. Medium | Potential for impact if not addressed | Within 1 Business Day | L2 and L3 |

Note: Target Incident Response is based on the Support team being notified either via mobile alerts and/or email. Target incident response times are during office hours (8AM to 6PM PST)

TABLE E3.2 – SLA TARGET INCIDENT UPDATE AND RESOLUTION TIME

| Service Level | Target Incident Update SLA | Target Resolution SLA |
|---------------|----------------------------|-----------------------|
| 1. Outage | 2 Hours | 24 Hours |
| 2. Critical | 1 Business Day | 2 Business Days |
| 3. High | 2 Business Days | 5 Business Days |
| 4. Medium | 3 Business Days | 7 Business Days |

Incident Levels

L1: Initial level of maintenance support provided by LAHD help desk. LAHD Help Desk will triage issues and assign to relevant teams.

L2: Support tickets that can be resolved by basic configuration changes in the EBS applications or by applying suggested workarounds.

Both L1 and L2:

- A. Workarounds suggested by EBS Support team and approved by LAHD.
- B. Support incidents that can be resolved by configuration changes in EBS.
- C. Rollout of Workarounds and Configuration changes to Production are dependent on validation testing and approval times by LAHD Business Users.

- L3: Support tickets requiring code changes or Advanced EBS Configuration Changes to resolve.
 - A. Datafix incidents requiring LAHD custom code changes, changes to existing data fix scripts and development of new data fix scripts.
 - B. Incidents requiring advanced EBS configuration changes to resolve.
 - C. Rollout of Datafix scripts, code changes and advanced EBS configuration changes to Production may require full validation testing and approval from LAHD Business Process Owners.

- L4: Tickets related to the product defects and workarounds for unmet functionality, which require help from the Application Software product vendor (Oracle, Other Application Software Vendors) in terms of raising support tickets or Hotfix or a patch release.

ATTACHMENT 4
Oracle Billing of Material (BOM)



Port of Los Angeles
Oracle Fusion for Sales, SCM, EPM
Oracle SaaS to PaaS Services

Currency: USA (US Dollar)

Hours/Month 0% Months per Year
0%

| Product Description | Part # | Metric | Quantity | Discount | Net Monthly Cost | Net Annual Cost | Year 1 | Year 2 | Year 3 | Comment |
|---|--------|-------------------------------------|----------|----------|------------------|-----------------|--------|--------|--------|--|
| SUMMARY | | | | | | | | | | |
| Autonomous Database (PaaS) | | | | | | | | | | |
| Oracle Autonomous Data Warehouse | B89040 | OCPU per Hour | 2 | 15% | \$ 1,700.02 | \$ 20,400.21 | Yes | Yes | Yes | Data Warehouse, Support OAC Production and Non-Production in different schemas |
| Oracle Autonomous Data Warehouse - Exadata Storage | B89041 | Terabyte Storage Capacity Per Month | 1 | 5% | \$ 112.48 | \$ 1,349.76 | Yes | Yes | Yes | Data Warehouse Storage |
| Database Service | | | | | | | | | | |
| Oracle Cloud Infrastructure - Database Cloud Service - Standard | B90569 | OCPU Per Hour | 1 | 5% | \$ 151.96 | \$ 1,823.54 | Yes | Opt | Opt | DBCS for conversion tools and long term integration (integrating archive data with current data for consolidated reporting) |
| Oracle Cloud Infrastructure - Database Cloud Service - Enterprise | B90570 | OCPU per Hour | 2 | 5% | \$ 607.99 | \$ 7,295.87 | Yes | Yes | Yes | DBCS For current EBS DB |
| Analytics (PaaS for SaaS) | | | | | | | | | | |
| Oracle Analytics Cloud - Enterprise | B89631 | OCPU per Hour | 0 | 0% | \$ - | \$ - | | | | Production environment for reporting from custom DW |
| Oracle Analytics Cloud - Enterprise | B92683 | Hosted Name User | 10 | 15% | \$ 680.00 | \$ 8,160.00 | Yes | Yes | Yes | Non-Production environment for reporting from custom DW |
| Oracle Integration (PaaS) | | | | | | | | | | |
| Oracle Integration Cloud Service - Enterprise | B89640 | SK Messages Per Hour | 4 | 15% | \$ 3,263.94 | \$ 39,167.31 | Yes | Yes | Yes | Application Integration: 1 message pack for dev env; 1 message pack for test env; and 2 message packs for prod env |
| Security (PaaS) | | | | | | | | | | |
| Oracle CASB for SaaS - Enterprise User | B88161 | Monitored Service User Per Hour | 550 | 5% | \$ 466.49 | \$ 5,597.86 | Yes | Yes | Yes | Oracle CASB for SaaS only supporting the Oracle Fusion for Sales SaaS product at this time; not the SCM or EPM solutions as part of this RFP |
| IaaS | | | | | | | | | | |
| Oracle Identity Foundation Cloud Service | B90936 | Each | 0 | 0% | \$ - | \$ - | Yes | Yes | Yes | Free Service |
| Oracle Cloud Infrastructure - Compute - Virtual Machine Standard - X7 | B88514 | OCPU per Hour | 4 | 5% | \$ 180.38 | \$ 2,164.50 | Yes | Yes | Yes | Data Integration - OCI Compute VM's for ODI if needed for managing ETL's for moving EBS data into ADW on OCI |
| Storage | | | | | | | | | | |
| Oracle Cloud Infrastructure - Object Storage - Storage | B91628 | GB per Month | 1,000 | 5% | \$ 24.23 | \$ 290.70 | Yes | Yes | Yes | Additional storage for Analytics and Data Warehouse |
| Oracle Cloud Infrastructure - Object Storage - Request | B91627 | 10K Requests per Month | 1 | 5% | \$ 0.00 | \$ 0.04 | Yes | Yes | Yes | |
| Oracle Cloud Infrastructure - Archive Storage - Storage | B91633 | GB per Month | 2 | 5% | \$ 0.00 | \$ 0.06 | Yes | Yes | Yes | Backups using Block & Object Storage |
| Oracle Cloud Infrastructure - Block Volume Storage | B91961 | GB per Month | 2,712 | 5% | \$ 65.70 | \$ 788.38 | Yes | Yes | Yes | New SKU - block storage for ODI Compute VM's, DBCS, and MS SQL |
| Oracle Cloud Infrastructure - Block Volume Performance | B91962 | PU per GB per Month | 27,120 | 5% | \$ 43.80 | \$ 525.59 | Yes | Yes | Yes | New SKU - block storage for ODI Compute VM's, DBCS, and MS SQL |
| MS SQL Server 2012 | | | | | | | | | | |
| Oracle Cloud Infrastructure - Compute - Virtual Machine Standard | B88514 | OCPU per Hour | 1 | 5% | \$ 45.09 | \$ 541.13 | Yes | Yes | Yes | MS SQL Server for current historical EBS Data |
| Oracle Cloud Infrastructure - Compute - Windows OS | B88318 | OCPU per Hour | 1 | 5% | \$ 65.03 | \$ 780.31 | Yes | Yes | Yes | |
| Network | | | | | | | | | | |
| Oracle Cloud Infrastructure - FastConnect 1 Gbps | B88325 | Port Hour | 0 | 0% | \$ - | \$ - | Yes | Yes | Yes | Two FastConnect ports per data center / region; optional FastConnect service as needed for data migration to OCI - Object Storage |
| | | | | | | \$ 88,885.26 | | | | |
| NOTE: No additional reserve is included | | | | | | | | | | |
| This pricing example is provided for evaluation purposes. This quote is intended to further our discussions, it is not eligible for acceptance by you and is not a part of a binding contract between us for the products and/or services specified. User minimums and licensing rules may apply to the products specified. If you would like to purchase the products and/or services specified in this draft quotation, please ask Oracle to issue you with a formal Quote (which may include an Oracle License and Services Agreement if you do not already have a license agreement with Oracle) for your acceptance and execution and return to Oracle. Your order will be effective only upon Oracle's acceptance of the formal Quote (and the Oracle License and Services Agreement, if required). Freight & Tax are not included. | | | | | | | | | | |

ATTACHMENT 5 RACI MATRIX

| On-Going Activities | LAHD | NITI |
|--|------|------|
| - Execute program and governance management processes | C | R |
| - Perform ongoing risk mitigations and issue tracking | C | R |
| - Execute progress status and budget reporting | C | R |
| - Project change control and escalation process | C | R |
| - Conduct steering committee updates | R | C |
| - Ongoing Oracle ER (Enhancement Request) and SR (Support Request) creation and management | C | R |
| - Coordination with Oracle Cloud Services and Oracle Customer Success teams | R | C |
| - Coordination with third-party vendors and other Client internal teams | R | C |
| - Ongoing data cleansing and scrubbing | R | C |
| - Weekly project update reports | C | R |
| - Steering committee update reports | C | R |

Vision Phase

| Activities | LAHD | NITI |
|---|------|------|
| - Phase kick-off meeting | R | R |
| - Establish and execute program management processes to define Project Governance, Charter (project plan, issues, risk, change, SR) | R | R |
| - Conduct finalize governance structure workshops | C | R |
| - Coordinate with Oracle to provision project pods (ERP and EPM environments) | R | C |
| - Conduct program/project plan and schedule workshops | C | R |
| - Conduct environment strategy and management plan workshops | C | R |
| - Conduct architectural/integration strategy and design workshops | C | R |
| - Conduct data strategy workshops for conversion, cleansing, and archive | C | R |
| - Conduct reporting strategy workshops | C | R |
| - Conduct reporting technology workshops | C | R |
| - Conduct functional design workshops for decisions, risks, issues, and gaps | C | R |
| - Define development standards and naming conventions | C | R |
| - Attend outside Oracle application training | R | C |
| - Evaluate scope against remaining timeline and budget | C | R |

| Activities | LAHD | NITI |
|---|------|------|
| - Update project plan with details for the next phase | C | R |
| - Sign off on phase deliverables | R | C |
| Develop securing the cloud strategy | | |
| - Conduct Applications Security Workshop | C | R |
| - Conduct Applications Controls Workshop | C | R |
| - Conduct Cyber Integration Workshop | C | R |
| - Review and Approve Securing the Cloud Strategy and Design | R | C |
| COA Design | | |
| - Conduct Finance / Accounting Report Rationalization Workshops | C | R |
| - Conduct Chart of Accounts Structure and Governance Design | C | R |

Validate Phase

| Activities | LAHD | NITI |
|---|------|------|
| - Develop and deliver initial communications | C | R |
| - Respond to KPMG's provided discovery questionnaires | R | C |
| - Update Powered Enterprise Validation workshop packs | C | R |
| - Create change agent strategy | C | R |
| - Conduct Powered Enterprise Validation workshops | C | R |
| - Assess end user training needs | R | C |
| - Document and prioritize finalized scope and variances with Powered Enterprise | C | R |
| - Develop communication strategy & plan | C | R |
| - Create Test Strategy for the program | C | R |
| - Create Test Plan for CRP0 | C | R |
| - Update Finance target operating model / define high-level future state organization | C | R |
| - Define Finance roles mapped to Oracle Finance Cloud roles | C | R |
| - Develop Transition to Support Strategy | C | R |
| - Begin to develop conversion mapping rules | C | R |
| - Develop legacy data cleanup strategy and start cleanup | R | C |
| - Finalize technical inventory (interfaces, reports, conversions) | C | R |
| - Evaluate scope against remaining timeline and budget | C | R |
| - Update project plan with details for the next phase(s) including any adjustments to target launch dates | C | R |
| - Sign off on phase deliverables | R | C |

| Activities | LAHD | NITI |
|--|------|------|
| - Validate Powered Controls with Process Owners | C | R |
| - Develop Security Gap (deviations from Powered Roles) | C | R |

Construct Phase

| Activities | LAHD | NITI |
|---|------|------|
| - Develop and execute ongoing communications | R | C |
| - Conduct production planning / cutover workshops | C | R |
| - Finalize conversion mapping rules | C | R |
| - Develop draft segregation of duties (SOD) rules | C | R |
| - Evaluate the proposed design of application roles against the agreed- to SOD rules | C | R |
| - Conduct mapping exercise of users to application roles based on job function within the organization | R | C |
| - Configure, unit test Roles in 2 Pods (CRP and Gold) | C | R |
| - Support 2 testing cycles | C | R |
| - User and Role provisioning in all environments | R | C |
| - Conduct security knowledge transfer sessions to client Security Team | I | R |
| - Train Business Users on application role capabilities | R | C |
| - Evaluate user access against Segregation of Duties rules prior to go- live and review with business, IT and internal control stakeholders | C | R |
| - Support Hyper Care security related activities | R | C |
| - Controls (process & IT) rationalization, formalizing Risk and Controls Matrix, Test of Design / Operating Effectiveness | R | I |
| SDLC (Data Migration, Integration, and Reports) | | |
| - Document interface functional specifications | C | R |
| - Document reporting functional specifications | C | R |
| - Develop interface technical designs | C | R |
| - Develop reporting technical designs | C | R |
| - Build and execute unit testing of interfaces | C | R |
| - Build and execute unit testing of custom reports | C | R |
| - Data cleansing / cleanup in legacy system | R | C |

| Activities | LAHD | NITI |
|---|------|------|
| - Build and test legacy system extracts | R | C |
| - Load and test conversion processes | C | R |
| - Reconcile data conversions and extracts | R | C |

| CRP 1 Activities – Solution Validation | LAHD | NITI |
|--|------|------|
| - Define scope and entry / exit criteria for CRP1 | C | R |
| - Sign off on scope and entry / exit criteria for CRP1 | R | C |
| - Build configuration workbooks updated for CRP1 | I | R |
| - Complete configuration in pod for CRP1 | I | R |
| - Execute data conversion (mock 1) - Client is responsible for providing clean and correct extract files and KPMG is responsible for the load into Oracle Cloud | C | R |
| - Create Test Plan for CRP1 including Powered Enterprise provided test scripts | C | R |
| - Adjust Powered Enterprise provided test scripts to The City of Los Angeles Harbor Department requirements | R | C |
| - Prepare testing data scenarios | R | C |
| - Execute CRP1 event | R | C |
| - Interface functional unit testing | C | R |
| - Report functional unit testing | C | R |
| - Document and report CRP1 results | C | R |
| - Signoff on CRP1 exit | R | C |
| - Document and prioritize issues and defects from CRP1 | C | R |
| - Resolve issues and defects from CRP1 | C | R |

| CRP 2 Activities – System Integration Test (SIT) | LAHD | NITI |
|--|------|------|
| - Define scope and entry / exit criteria for CRP2 | C | R |
| - Sign off on scope and entry / exit criteria for CRP2 | R | C |
| - Build configuration workbooks updated for CRP2 | C | R |
| - Complete configuration in pod for CRP2 | C | R |
| - Execute data conversion (mock 2) | C | R |

| CRP 2 Activities – System Integration Test (SIT) | LAHD | NITI |
|--|------|------|
| - Client is responsible for providing clean and correct extract files and KPMG is responsible for taking the lead to load data into Oracle Cloud | | |
| - Create Test Plan for CRP2 including Powered Enterprise provided test scripts | C | R |
| - Adjust Powered Enterprise provided test scripts to The City of Los Angeles Harbor Department requirements | R | C |
| - Prepare testing data scenarios | R | C |
| - Execute CRP2 event | R | C |
| - Interface functional unit testing | C | R |
| - Report functional unit testing | C | R |
| - Document and report CRP2 results | C | R |
| - Signoff on CRP2 exit | R | C |
| - Document and prioritize issues and defects from CRP2 | C | R |
| - Resolve issues and defects from CRP2 | C | R |
| - Finalize change agent role and identify change agents | R | C |
| - Evaluate scope against remaining timeline and budget | C | R |
| - Update project plan with details for the next phase | C | R |
| - Sign off on phase deliverables | R | C |
| - Data (Conversion) Mapping | C | R |
| - Data Conversion Test Plan including Powered Enterprise provided testing scripts | C | R |
| - Legacy Data Cleanup Strategy | R | C |
| - Functional Specifications – Interfaces | C,A | R |
| - Functional Specifications – Reporting | C,A | R |
| - Signed off Test Plans for CRP1 and CRP2 | C,A | R |
| - Signed off CRP1 and 2 Entry/Exit Criteria | C,A | R |
| - Signed off CRP1 and CRP2 events | C,A | R |
| - Production Cutover Plan | C,A | R |
| - Technical Designs – Interfaces | I,A | R |
| - Technical Designs – Reporting | I,A | R |
| - Training Curriculum Development | C, I | R |
| - A listing of SOD Rules leveraged for assessing Roles | A | R |
| - Functional and Technical Design document for Roles | A | R |

Deploy Phase

| Deploy Activities | LAHD | NITI |
|-------------------|------|------|
|-------------------|------|------|

| | | |
|--|---|---|
| - Develop and execute ongoing communications | I | R |
| - Finalize cutover execution plan | R | C |
| - Develop knowledge transfer strategy & plan | C | R |
| - Define production support procedures (i.e. governance model, production change control) | R | C |
| - Resolve issues and defects from CRP1 and CRP2 | C | R |
| - Finalize configuration workbooks | I | R |
| - Build and configure production environment | R | C |
| - Oracle to perform P2T copy of production to user acceptance testing (UAT) environment | C | R |
| - Finalize migration and configuration of UAT environment | R | C |
| - Execute data conversion (mock 3) - Client is responsible for providing clean and correct extract files and Client is responsible for taking the lead to load data into Oracle Cloud | R | C |
| - Finance Functional lead switches from KPMG to Client | R | I |
| - Conversion Technical lead switches from KPMG to Client | R | I |
| - Configuration Maintenance of the production environment | R | I |

| Deploy Phase – User Acceptance Testing (UAT) Activities | LAHD | NITI |
|---|-------------|-------------|
| - Define scope and entry / exit criteria for UAT | R | C |
| - Sign off on scope and entry / exit criteria for UAT | R | C |
| - Create Test Plan for UAT | R | C |
| - Adjust Powered Enterprise provided test scripts to The City of Los Angeles Harbor Department requirements | R | C |
| - Prepare testing data scenarios | R | C |
| - Execute UAT | R | C |
| - Document and report UAT results | C | R |
| - Sign off on UAT exit | R | C |
| - Document and prioritize issues and defects from UAT | C | R |
| - Resolve issues and defects from UAT | C | R |

| Deploy Activities – Change Management and Go-live | LAHD | NITI |
|--|-------------|-------------|
| Change Management | | |
| - Develop go-live communications plan | R | I |
| - Facilitate change agent network activities | R | I |

| Deploy Activities – Change Management and Go-live | LAHD | NITI |
|--|------|------|
| - Update training strategy & plan | R | C |
| - Design end user training curriculum | I | R |
| - Conduct Super User/ Train-the-Trainer sessions | C | R |
| - Deliver end user training | R | C |
| Go-live | | |
| - Finalize go live readiness - final go/no-go decision | R | C |
| - Execute cutover execution plan (day-by-day count down) | R | C |
| - Begin using production environment as live system | R | C |
| - Evaluate scope against remaining timeline and budget | C | R |
| - Update project plan with details for the next phase | C | R |
| - Signed off UAT entry and exit criteria | R,A | C |
| - Signed off UAT events | R,A | C |
| - Application Configuration (workbooks) | C,A | R |
| - Training Materials | I | R |
| - Change Readiness Assessment(s) | R | C |
| - Go-Live Communications Plan (Communications Toolkit) | R | C |

Evolve Phase

| Activities | LAHD | NITI |
|---|------|------|
| - Transition program and governance management processes | C | R |
| - Confirm post go-live/sustainability plan | R | C |
| - Post production support | R | C |
| - Execute knowledge transfer strategy & plan | C | R |
| - Transition from project team to steady state team | R | C |
| - Assess project performance and lessons learned | R | C |
| - Archive project deliverables and assets | R | I |
| - Disband project resources and infrastructure | R | C |
| - Close project against completion criteria | R | C |
| - Transition from Oracle Implementation Success Manager (ISM) to Customer | R | C |
| - Project Close Letter | C,A | R |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.1 General

Functional Category: General Requirements

Requirement Code (RC)
R= Required N= Nice to Have F= Future

Functional Category: General Requirements

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|--|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| General Design | | | Comments |
| GE 1.00 | Full integration between all software modules. Specifically, the updating of any data element occurs only once, and is then reflected throughout all applications. | R | |
| GE 2.00 | All applications/modules utilize the same database. | R | |
| GE 3.00 | System users have the ability, based upon their security profile, to customize/develop the following parameters specific to their user ID: | R | |
| GE 3.01 | Input screens | R | |
| GE 3.02 | Menus, including help menus | R | |
| GE 3.03 | Notices | R | |
| GE 3.04 | Look-up Tables | R | |
| GE 4.00 | Prints information displayed on the screen in printable format to ensure information not truncated | R | |
| GE 5.00 | Accesses other input screens and modules without backing out of menus or menu paths. | R | |
| GE 6.00 | Supports short-cut keys to move between modules and menus. | R | |
| GE 7.00 | Ability to navigate within multiple input screens without losing information input on the original (or header) screen. | R | |
| GE 8.00 | Ability to open multiple screens/windows. | R | |
| GE 9.00 | Utilizes on-line drop-down list of all valid values for each validated field. | R | |
| GE 10.00 | Supports partial queries in fields. | R | |
| GE 11.00 | Supports user defined fields for the capture of unique data. | R | |
| GE 12.00 | Contains an on-line calculation tool that can also insert a calculated value into a numeric value field. | R | |
| GE 13.00 | Utilizes an on-line help feature, which directs the user to help screens specific to the transaction for which they are processing. | R | |
| GE 14.00 | System provides the ability to attach and retrieve files (including but not limited to scanned images, programs, and word processing documents) to all records/transactions. | R | |
| GE 15.00 | Ability to copy one line of coding to the next line and change one or more coding elements when using input screens. | R | |
| GE 16.00 | Splits a single transaction over multiple coding line distributions (fund, appropriation, general ledger account, project, grant, etc.) on all transaction types based on user-defined criteria. | R | |
| GE 17.00 | Splits account distributions by percentage, dollar amount, quantity or other user-defined calculation. | R | |
| GE 18.00 | All transactions are stored at the level of detail entered in the system. | R | |
| GE 19.00 | All transactions are stored until purged. | R | |
| GE 20.00 | Parent and child transactions are linked (i.e. voucher is linked to payment). | R | |
| GE 21.00 | Supports posting to the general ledger in summary or in detail based upon user-defined system configuration. | R | |
| GE 22.00 | Permits users to process transactions on-line real time or in batch mode. | R | |
| GE 23.00 | Processes external transactions (in standard format) from interfaced systems in the following ways: | R | |
| GE 23.01 | Accepts transaction files | R | |
| GE 23.02 | Validate data before importing | R | |
| GE 23.03 | Applies all system edits | R | |
| GE 23.04 | Generates exception reports and send notifications | R | |
| GE 23.05 | Posts transactions after all edits are approved | R | |
| GE 24.00 | Produces a standard formatted file that supports sending financial information (i.e., history extract, payment data) to other systems. | R | |
| GE 25.00 | Take advantage of standard desktop software already installed and familiar to users, such as Internet browsers, email, Microsoft Windows, Microsoft Office, etc.. AND Collaboration tools such as Sharepoint. | R | |
| GE 26.00 | Maintain data across multiple fiscal years. | R | |
| GE 27.00 | Enter business rules with future effective dates and expiration dates | R | |
| GE 2019.10 | User friendly GUI to navigate/search for information | R | |
| GE 2019.20 | Provide audit trail screen of who performing the transactions | R | |
| GE 2019.30 | Streamline process to add new accounting calendar year | N | |
| GE 2019.40 | Ability to process transactions associated with or created by terminated employees after termination (i.e. expense reports, REQs submitted prior to employment termination) | R | |
| Edit Requirements | | | |
| GE 28.00 | Uses descriptive error messages tied to specific transactions | R | |
| GE 2019.50 | Ability to configure error messages | R | |
| GE 28.00 | Utilizes on-line error message help screens, which can be accessed directly from the error message. | R | |
| GE 30.00 | Highlights required elements and provides detailed error messages when entering any system transaction (i.e., purchasing, HR event, chart of account maintenance) if an element is incorrect or omitted. | R | |
| GE 31.00 | Allows only existing table values in fields requiring valid values. | R | |
| GE 32.00 | Validate data as it is entered | R | |
| GE 33.00 | Query the database to assist in data entry | R | |
| Interfaces | | | |
| GE 34.00 | Provide interfaces to the following systems: | | |
| | | | We currently interfaced with PaySR+HDTIME, and will be interfaced with WorkDay in the future |
| GE 34.01 | City of Los Angeles Payroll System and POLA Payroll System | R | |
| GE 34.02 | City of Los Angeles Financial Management System | R | |
| GE 34.03 | POLA/LAHD KLEIN Billing System | R | |

ATTACHMENT 6
FUNCTIONAL REQUIREMENTS

6.1 General

Functional Category: General Requirements

| Reference Number | Business Requirement | RC | Comments |
|--|--|----|--|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| GE 34.04 | POLA/LAHD KLEIN Real Estate System | R | |
| GE 34.05 | POLA/LAHD MaintStar - Construction & Maintenance Work Order System | R | Currently not interfaced |
| GE 34.06 | POLA/LAHD Project Information Control System | R | |
| GE 34.07 | Enterprise GIS (ESRI based) | F | Cost information by terminal, property location etc. |
| GE 34.08 | Lockbox | R | |
| GE 34.09 | Travel & Charge Credit Card Transaction | R | Citibank is our current travel & charge credit card agent |
| GE 34.10 | PCARD Transactions | R | US Bank is our current PCARD agent |
| GE 34.11 | Debt and Treasury Information Management System | R | Third party software such as Sympro |
| GE 34.12 | PBCS - Budget and Planning system | R | |
| GE 34.13 | LATAX - Office of Finance Financial System | R | To validate BTRC - Currently manually checked, not system interfaced |
| GE 34.14 | City of LA Personnel Risk Management system - IVOS | F | |
| Workflow and Approval Requirements | | | |
| GE 35.00 | Utilizes workflow for processing transactions across different units within the organization, based on user defined processes and approvals. | R | |
| GE 36.00 | Workflow tools are available for all system transactions. | R | |
| GE 37.00 | Notifies account "owners" of transactions to their accounts that are generated by users that are not part of the accounts owners workgroup (i.e., organization unit). | R | |
| GE 38.00 | Provide user ability to set number of approvals required by type of transaction or threshold such as dollar value. | R | |
| GE 39.00 | Monitors workflow transactions based on user-defined thresholds (i.e., time and amount) | R | |
| GE 40.00 | Workflow rules are based upon the following: | R | |
| GE 40.01 | Tolerances | R | |
| GE 40.02 | Financial rules | R | |
| GE 40.03 | User-defined parameters | R | |
| GE 41.00 | Provides a flexible, hierarchical approval process. | R | |
| GE 42.00 | Tracks and reports electronic approvals. | R | |
| GE 43.00 | Workflow transaction records contains a comment field for text entry or for file attachments. | R | |
| GE 44.00 | Supports multiple approval levels for transactions. | R | |
| GE 2019.60 | Provide transparent workflow process and easy workflow administration | R | |
| Audit Requirements | | | |
| GE 45.00 | System should provide an automated audit trail (e.g., log of changes, additions, deletions, deactivations) of system changes. | R | |
| GE 46.00 | Records the following minimum data on all transactions: | R | |
| GE 46.01 | Type of change | R | |
| GE 46.02 | Operator ID | R | |
| GE 46.03 | Effective Date of Change | R | |
| GE 46.04 | Date | R | |
| GE 46.05 | Time | R | |
| GE 46.06 | Old value | R | |
| GE 46.07 | New value | R | |
| GE 46.08 | Transaction type | R | |
| GE 46.09 | Transaction ID | R | |
| GE 47.00 | Maintains history and can report on all changes over a given period, user or activity to records filtered by user criteria. | R | |
| GE 2019.70 | Provide audit trail of meta-data changes/updates (charts of accounts, divisions, vendors etc.) | R | |
| Querying | | | |
| GE 48.00 | Ability to drill down to supporting documents and related transactions from any field within the system. | R | |
| GE 49.00 | System generates ad-hoc queries and reports based on user defined parameters. | R | |
| GE 50.00 | Ad-hoc queries access any fields within the system. | R | |
| GE 51.00 | Exports queries to popular desktop applications (i.e., Microsoft Office Applications etc.). | R | |
| GE 52.00 | Ability to drill down from summary balances to the supporting detail transactions and drill up from the detail transaction to the summary balance (i.e., actual links to PO/REQ/Invoices). | R | |
| Reporting | | | |
| GE 53.00 | Ability to save and retrieve ad hoc reports/queries in various file formats(pdf, excel, csv, rtf etc.) | R | |
| GE 54.00 | Ability to produce ad-hoc reports both online and in hard copy. | R | |
| GE 55.00 | System meets POLA/LAHD'S financial reporting requirements in accordance with GAAP. | R | |
| GE 56.00 | The system supports federal and state government reporting requirements applicable to all modules/applications. | R | |
| GE 57.00 | Ability to produce suspense report for all pending transactions. | R | |
| GE 58.00 | Ability to generate reports that include user designed graphs and charts. | R | |
| GE 59.00 | Ability to route reports to various network printers as defined by user. | R | |
| GE 60.00 | Ability to produce a list of items flagged for purging. | R | |
| GE 61.00 | Produces the following Quality Assurance reports: | R | |
| GE 61.01 | Illegal access to system | R | |
| GE 61.02 | Exception reports based on user-defined criteria | R | |
| GE 61.03 | Out of balance reports (system and transaction) | R | |
| GE 61.04 | Control report that reconciles summary and detail balances | R | |
| GE 61.05 | Reconciliation report that only shows out of balance conditions within and between modules | R | |
| GE 2019.80 | Ability to schedule and distribute reports | R | |
| GE 2019.90 | Provide end-users ability to create reports | R | |
| GE 2019.91 | Ability to create dashboards | R | Currently not set up |
| Security | | | |
| GE 62.00 | All transactions require proper security. | R | |
| GE 63.00 | Ability to restrict access to data fields to users with proper security. | R | |
| GE 64.00 | System should provide the ability to limit the types of transactions that a user can process. | R | |

ATTACHMENT 6
FUNCTIONAL REQUIREMENTS

6.1 General

| Functional Category: General Requirements | | | |
|--|---|----|----------|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| GE 65.00 | Ability to support various flexible levels of security, meaning that the security administrator can assign security parameters which are individual to users. | R | |
| GE 66.00 | Ad Hoc/Query/Reporting is subject to application security. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.2 Accounts Payable

Functional Category: Accounts Payable

Requirement Code (RC)

R= Required N= Nice to Have F= Future

Functional Category: Accounts Payable

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|--|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| | General Design | | Comments |
| AP 1.00 | Maintain and provide on-line access for Accounts Payable data. | R | |
| AP 2.00 | Accumulate year-to-date figures for purchases by vendor, payments to vendor and payments by contract. | R | |
| AP 3.00 | Can be queried by invoice, purchase order number, contract number, commodity code, account, and budgetary line item. | R | Currently not on commodity code, account, budgetary line item, and contract level |
| AP 4.00 | Generate accruals of payables to open GL period when corresponding AP period is closed. | R | |
| AP 5.00 | Ages accounts payable. | R | |
| AP 6.00 | Integrated with the purchasing module for workflow approval, transaction processing and drilldown to source transactions. | R | |
| AP 7.00 | Integrated with projects/grants and fixed assets to process purchases and track related information. | R | |
| AP 8.00 | Accommodate multiple workflow approval processes. | R | |
| AP 9.00 | Allow users to view audit trails of all transactions. | R | |
| AP 10.00 | Track detailed activity of procurement cards and integrated card detail reconciliation. | R | |
| AP 11.00 | Support receiving credit card detail via electronic interface with credit card carriers. | R | |
| AP 12.00 | Match by invoice, receiving documents, purchase order and contract. | R | |
| AP 13.00 | Provide an unlimited amount of cost distributions per transaction. | R | |
| AP 14.00 | Maintain payment history for each vendor for specified periods. | R | |
| AP 15.00 | Maintain discount taken & lost history. | R | |
| AP 16.00 | Track vendor numbers with unlimited characters. | R | |
| AP 17.00 | Process more than one 1099 category per vendor or invoice. | R | |
| AP 18.00 | Track if vendor W-9 and equivalent state form are onfile and current. | R | |
| AP 19.00 | Track vendor certifications and licenses. | R | |
| AP 20.00 | Track disadvantaged business certifications. | R | |
| AP 21.00 | Track vendor parent-child relationships with duplicate tax ID. | R | Currently not used |
| AP 22.00 | Retain prior year(s) data (up to 5 years) for comparative reporting, both on-line and off-line. | R | |
| AP 23.00 | Handle and report "one-time" vendors, then drop them from the system based on user-defined parameters. | R | |
| AP 24.00 | Track invoices from receipt to final payment with on-line status inquiry (for three way matching process). | R | |
| AP 25.00 | Determine cash requirements on a selective basis for any number of days into the future. | R | |
| AP 26.00 | Track vendor historical information. | R | |
| AP 27.00 | Enforce business rules for account distribution and payment terms based on vendor or other parameters. | R | |
| AP 28.00 | Relieve encumbrances (commitments) | R | |
| AP 29.00 | Track payables by facility for utility costs, maintenance material costs, construction materials costs, and related professional services, environmental study/cleanup. | R | Currently track in an offline system, Mainstar system; the purpose is to help or facilitate P&L reporting by lines of business, by customer, and invested capital by lines of business and by customer |
| AP 30.00 | Automatic account distribution of freight charges, sales tax, labor costs, discount amounts. | R | |
| AP 2019.10 | Send notifications when receiving | R | |
| Voucher Processing | | | |
| AP 31.00 | Schedule invoices for payment based on vendor terms, future dated invoices, etc. and accrue costs based on vendor invoice date. | R | Currently not used |
| AP 32.00 | After proper edit checks, the system can update the general ledger expense accounts in real-time. (e.g., when an invoice is entered). | R | |
| AP 33.00 | Automatically relieve an commitment when an expenditure transaction is entered. | R | |
| AP 34.00 | Close out / reverse commitments and purchase orders by user defined parameters. | R | |
| AP 35.00 | Maintain and release recurring payments based upon user defined amounts and payment dates. | R | Currently not used |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.2 Accounts Payable

| Functional Category: Accounts Payable | | | |
|--|--|-----------|-----------------|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| AP 36.00 | Automatically update budget ledgers. | R | |
| AP 37.00 | Void or correct payments on-line, with appropriate corrections made to year-to-date vendor totals. | R | |
| AP 38.00 | Cross-reference a purchase order and invoice for the same transaction. | R | |
| AP 39.00 | Provide duplicate invoice tracking capabilities. | R | |
| AP 40.00 | Process retainage from contract purchases. | R | |
| AP 41.00 | Support detailed utility invoicing capabilities including EDI receiving of invoices. | R | |
| AP 42.00 | Prorate vendor freight charges over multiple lines. | R | |
| AP 43.00 | Maintain, update, and retrieve invoice transactions by vendor, employee, or other identification as defined by the user. | R | |
| AP 44.00 | Process invoice information, including invoice number, amount, payment date, and transaction number, if applicable. | R | |
| AP 45.00 | Age accounts payable by open item and/or in accordance with vendor terms. | R | |
| AP 46.00 | Calculate penalties and discounts. | R | |
| AP 47.00 | Assign voucher numbers (up to 15 alphanumeric digits) for internal control. | R | |
| AP 48.00 | Track anticipated cash requirements for disbursements. | R | |
| AP 49.00 | Reject transactions for insufficient appropriation and cash / fund balances (with override feature). | R | |
| AP 50.00 | Process prepaid expenses (i.e., advanced payment, travel etc.). | R | |
| AP 51.00 | Automatically updates to vendor master file. | R | |
| AP 52.00 | Track individual invoices over a user-specified amount. | R | |
| AP 53.00 | Automatically updates expenditures and appropriate ledgers. | R | |
| AP 54.00 | Allocate an invoice amount to various accounts according to a percentage of the invoice amount. | R | |
| AP 55.00 | Provides invoice tracking for pending approvals. | R | |
| AP 56.00 | Maintain an open item file of unpaid vendor invoices and allows inquiry into that file by vendor or invoice. | R | |
| AP 57.00 | Perform automated partial or complete liquidation of an commitment by payment against a vendor invoice. | R | |
| AP 58.00 | Schedules payments by user-defined calendars. | R | |
| AP 59.00 | Report daily, weekly, or monthly future payment requirement schedules (cash requirements reporting). | R | |
| AP 60.00 | Process credit and debit memos to adjust the amount due if items are returned or if an invoice is incorrect. | R | |
| AP 61.00 | Cross-reference a purchase order and invoice for the same transaction. | R | |
| AP 62.00 | Accumulate state sales / use tax or income for out of state vendors and pay direct to state. | R | |
| AP 63.00 | Take discounts when the check payment date is the same as, or prior to, the discount due date with override capabilities on discount due date. | R | |
| AP 64.00 | Pay all invoices due on or before a specified due date (with override capabilities), defer payments, or pay items with later due dates. | R | |
| AP 65.00 | Maintain and allow retrieval of information by payee from the disbursement pending file. | R | |
| AP 66.00 | Allow users to enter an invoice without a PO# or receipt verification. | R | |
| AP 67.00 | Receive and enter invoices sent via OCR or Internet EDI | R | |
| AP 68.00 | Track requirements POLA imposes on its vendors such as insurance certificates, business licenses, living wage certification, etc. Track each vendor's compliance with these requirements with an audit trail of compliance findings and expiration dates. Prevent payment to vendors whose compliance had expired prior to the date that the invoiced product or service was received. | R | |
| AP 69.00 | Combine several invoices and credit memos into one payment. | R | |
| AP 70.00 | Calculate payment and discount dates and amounts from standard vendor terms. | R | |
| AP 71.00 | Schedule payment for best possible payment date. | R | |
| AP 72.00 | Cancel or update an invoice after it has been entered but before it has been paid. | R | |
| AP 73.00 | Change the cost center or accounting distribution of a payment after it has been paid. | R | |
| AP 74.00 | Process freight bills. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.2 Accounts Payable

| Functional Category: Accounts Payable | | | |
|--|--|----|---------------------------------------|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| AP 75.00 | Handle different remit-to addresses for different types of purchases from the same vendor. | R | |
| AP 76.00 | Insert specific payment parameters and free-text comments into remittance advices. | R | |
| | Check Processing | | (POLA/LAHD does not print the checks) |
| AP 77.00 | Provide an audit trail of disbursements, requisition number, purchase order number, contract number, check number, date and payee. | R | |
| AP 78.00 | Compute the number of checks written per check issue run and total per month. | R | |
| AP 79.00 | Allow for immediate payments, such as manual checks, and recognize the associated expenditure distribution. | R | |
| AP 80.00 | Holdback payments for contractors pending release of payment to related sub-contractors. | R | |
| AP 81.00 | Can garnish vendor payments and create a separate payable to government agencies. | R | |
| AP 82.00 | Store standard vendor information required during the check generation process. | R | |
| AP 83.00 | Collect necessary information and generate Federal 1099's at year-end (both manually and per IRS approved tape). | R | |
| AP 84.00 | Support the use of multiple bank accounts. | | |
| AP 85.00 | Generate check INTERFACE on a daily, weekly, monthly or user defined basis. | R | Requires FMS interface |
| AP 86.00 | Allow users to enter comments on the remittance advice. | R | Currently done in FMS |
| AP 87.00 | Process accounts payable through electronic funds transfers. | R | |
| AP 88.00 | Maintain and retrieve payee identity. | R | |
| AP 89.00 | Produce check "registers" in various sequences (i.e., vendor, zip code, "do not mail," dollar amounts). | R | |
| AP 90.00 | Consolidate multiple invoices for the same vendor on one check, and itemize the invoices on the remittance advice. | R | |
| AP 91.00 | Track transactions for voided checks, blank, negative, or zero amount checks/payments. | R | |
| AP 92.00 | Include manually prepared checks in a separate check register for automatic distribution into the general ledger. | R | |
| AP 93.00 | Provide for automatic restart procedures for the check processing routine. | R | |
| AP 94.00 | Allow selected items to be paid and items to be withheld from payment for a particular check run based on the availability of cash or other constraints. | R | |
| AP 95.00 | Generate accounts payable checks daily, weekly, monthly or on demand. | R | |
| AP 96.00 | Provide for automatic distribution of the discounts actually taken during check writing to the general ledger. | R | |
| AP 97.00 | Track check numbers assigned by the system. | R | |
| AP 98.00 | Generate multiple types of checks such as trust fund payments and regular accounts payable. | R | |
| AP 99.00 | Produce a monthly report of all cleared checks by check type and by fund. | R | |
| AP 100.00 | Produce a monthly summary outstanding check report check type. | R | |
| AP 101.00 | Produce a monthly detail outdated checks listing by fund and by check type. | R | |
| AP 102.00 | Produce monthly check reconciliation reports of manual transaction by check type. | R | |
| AP 103.00 | Produce a monthly report that show the total amount as well as the number of outstanding checks. | R | |
| AP 104.00 | Produce electronic files containing detail of checks issued by the system to be used by banks for reconciliation. | R | |
| AP 105.00 | Produce a reconciliation activity report showing all the daily on-line update activity in the system. | R | |
| AP 106.00 | Produce a file containing all rejected check reconciliation transactions which could be available for on-line corrections. | R | |
| AP 107.00 | Delete selected check information on the error suspense file using appropriate security controls. | R | |
| AP 108.00 | Cancel payments on-line and automatically generate general ledger transactions to reverse all accounting distributions associated with that check. | R | |
| AP 109.00 | Retain cleared checks in a check reconciliation data base for inquiry and/or reporting purposes. | R | |
| AP 110.00 | Place a "stop payment" on checks and generate the appropriate general ledger transaction. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.2 Accounts Payable

| Functional Category: Accounts Payable | | | |
|--|---|-----------|--|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| AP 111.00 | Perform on-line bank reconciliation based upon electronic media sent by various banks. | R | Require interface with FMS |
| AP 2019.20 | Provide electronic fund transfers | R | |
| Reporting/Inquiry | | | |
| AP 112.00 | Maintain, track, and inquire (on-line), the payment history voucher information (including check request / invoice number and date, vendor name, purchase order / contract number, check amount, check date, check number, account coding, and comments). | R | |
| AP 113.00 | Maintain and provide easy/direct on-line inquiry capabilities on commitment data, including current fiscal year commitment data, detailed commitment transactions, and ending commitment balances | R | |
| AP 114.00 | Provide on-line inquiry to obtain current accounts payable status. | R | |
| AP 115.00 | Produce mailing labels. | R | Currently done outside of the system |
| AP 116.00 | Generate data and output to various format (excel, pdf, csv, rtf etc.) for audit trail purposes. | R | |
| AP 117.00 | Provide full tax reporting abilities to comply with both Federal and State laws. | R | |
| AP 118.00 | Provide electronic transfers to deduction facilities for voluntary deductions. | R | |
| AP 119.00 | Find warrant status with one step by knowing warrant number. | R | |
| AP 120.00 | Maintain, track, and inquire (on-line) on all payment history voucher information. | R | |
| AP 121.00 | Allow users to query and print 1099 data. | R | |
| AP 122.00 | Provide a listing of payments by division. | R | |
| AP 123.00 | Query employee travel history | R | |
| AP 2019.30 | Ability to extract data of end to end transactions and output to various format (excel, pdf, cvs, rtf etc.) | R | |
| AP 2019.40 | Ability to specify the percentage/amount for retention and system automatically calculate for payment processing | R | |
| Employee Expenses | | | |
| AP 124.00 | Issue payment vouchers for travel advances | R | |
| AP 125.00 | Match advances with expenses claimed for reimbursement | R | |
| AP 126.00 | Generate employee expense statements | R | |
| AP 127.00 | Track advances and reimbursed expenses by trip and person | R | |
| AP 128.00 | Associate regular purchases with an employee trip e.g. conference fee paid by check | R | |
| AP 129.00 | Track travel expenses by type: airfare, meals, lodging, etc. | R | |
| AP 130.00 | Handle imputed income from reimbursed expenses | N | |
| AP 131.00 | Account for and report travel, conferences, etc reimbursements | R | |
| AP 132.00 | Allow authorized users to enter expense reports for other employees on their behalf | R | |
| AP 133.00 | Load Visa (P-Card) Statement for I-Expense | R | |
| AP 134.00 | Load Citi-MC Statement for I-Expense | R | |
| AP 135.00 | Load Citi-Air Statement for I-Expense | R | |
| AP 136.00 | Add Credit Card to Employee | R | |
| AP 137.00 | Assign Card Number to Employee | R | |
| AP 138.00 | Create Expense Report Credit Card Expense | R | |
| AP 139.00 | Create Invoice for P-Card Visa, Citi-Air, Citi-MC Statement and pay portion of reimbursement | R | |
| AP 140.00 | Ability to load credit card transactions, generate system virtual number, and assign to employees(travelers) | R | |
| AP 141.00 | Apply Prepayment to Expense Report | R | |
| AP 142.00 | Expense Report Approval and audit process | R | |
| AP 143.00 | Ability to create VARIOUS EXPENSE REPORT templates (i.e. P-Card Expense , Air Travel, Credit Expense) | R | P-Card - US Bank Air Travel - Citibank for air tickets only, Travelstore - reserve tickets. Credit Expense - Citibank Mastercard |
| AP 144.00 | Manage credit card historical transactions (activate or de-activate historical transactions) | R | |
| AP 145.00 | Ability to reserve fund for encumbered credit card expenses | R | |
| AP 146.00 | Process Inactive Employees Credit Card Transactions | R | |
| AP 147.00 | Ability to set up threshold range for receipt matching | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.2 Accounts Payable

| Functional Category: Accounts Payable | | | |
|--|--|-----------|---|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| AP 148.00 | Ability to define expense types to charge against GL accounts | R | |
| AP 149.00 | Ability to configure required or optional fields on iexpense screens | R | |
| AP 150.00 | Ability to input grant award number on expense report screen | R | |
| AP 151.00 | Validate imported credit card transactions | R | |
| Employee Expenses - Reporting/Inquiry | | | |
| AP 152.00 | Outstanding Credit Card Charges Aging Report- P-Card Visa | R | |
| AP 153.00 | Outstanding Credit Card Charges Aging Report-Citi Air | R | |
| AP 154.00 | Outstanding Credit Card Charges Aging Report-Citi MC | R | |
| AP 155.00 | O/S Credit Card Transaction Detail Report-P-Card Visa | R | |
| AP 156.00 | O/S Credit Card Transaction Detail Report-Citi Air | R | |
| AP 157.00 | O/S Credit Card Transaction Detail Report-Citi MC | R | |
| AP 158.00 | O/S Credit Card Transaciton Summary Report P-Card Visa | R | |
| AP 159.00 | O/S Credit Card Transaciton Summary Report Citi Air | R | |
| AP 160.00 | O/S Credit Card Transaciton Summary Report Citi MC | R | |
| AP 161.00 | Payables Expense Report by Expense Type | R | |
| AP 162.00 | TL Activity Report | R | |
| AP 163.00 | Prepayment Status Report | R | |
| AP 164.00 | Supplier Payment History by vendor | R | |
| AP 165.00 | Retrieve or search for credit card transactions to reconcile with bank statement | R | |
| AP 166.00 | Credit Memo Matching Report | R | |
| BTRC Interface | | | |
| AP 167.00 | Interface with BTRC database at the Office of Finance for verifying and populating the required field. | R | Currently done manually. Requires interface with LATAX - Office of Finance Financial System |

ATTACHMENT 6
FUNCTIONAL REQUIREMENTS

6.3 General Ledger

Functional Category: General Ledger

Requirement Code (RC)

R= Required N= Nice to Have F= Future

Functional Category: General Ledger

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|--|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| General Design | | | Comments |
| GL 1.00 | Financial internal controls comply with public sector accounting and financial reporting standards. (GAAP and GASB) | R | |
| GL 2.00 | Support all required account groups utilizing full accrual, modified accrual or cash basis accounting. | R | |
| GL 3.00 | Provide cash management to book cash. | R | |
| GL 4.00 | Is integrated or interfaced with all appropriate internal and external financial and human resource system components. | R | |
| GL 5.00 | Allow users access to all general ledger data on-line. | R | |
| GL 6.00 | Maintain all elements of the transaction coding structure on user maintained system tables including specific definitions of accounts and transaction codes as well as documentation of what each transaction code does. | R | |
| GL 7.00 | Provide basic fund accounting and during all processing, system edits transactions to ensure that each entry to a fund is balanced. | R | |
| GL 8.00 | Support subsidiary ledgers that are automatically updated by source transactions. | R | |
| GL 9.00 | Can handle variable allocations, i.e. inter-entily, tiered, percentage, statistical, etc. | R | |
| GL 10.00 | Provide trend, ratio and variable analysis tools. | R | |
| GL 11.00 | Track labor costs by facility for maintenance labor, construction labor. | R | |
| Chart of Accounts | | | |
| GL 12.00 | Designate each general ledger account by the following user-defined "account types": asset, liability, fund equity, revenue and expense or expenditure. | R | |
| GL 13.00 | Permits for authorized users to establish and maintain a standard chart of accounts to meet organization and user accounting and financial reporting needs, using tables which do not require programming knowledge to establish or modify. | R | |
| GL 13.00 | Structure the chart of accounts hierarchically (program/project;account/subaccount) with up to five parent child levels in each field | R | |
| GL 14.00 | Lookup, query and retrieve data based on the hierarchical (parent-child) structure of the chart of accounts. | R | |
| GL 15.00 | Account design contains the following minimum components: | R | |
| GL 15.01 | Fiscal Year | R | |
| GL 15.02 | Organization | R | |
| GL 15.03 | Fund | R | |
| GL 15.04 | Revenue/Cost Center | R | |
| GL 15.05 | Division | R | |
| GL 15.06 | Function | R | |
| GL 15.07 | Location Code | R | |
| GL 15.08 | Account | R | |
| GL 15.09 | Sub-account | R | |
| GL 15.10 | Project | R | |
| GL 15.11 | Program | R | |
| GL 15.12 | Phase | F | |
| GL 15.13 | Activity | R | |
| GL 15.14 | Task | N | Task associated on facility/terminal, customer: Need implementer to recommend how best to facilitate financial reporting by line of business and by customer, and invested capital by line of business and by customer |
| GL 15.15 | Funding Source | R | |
| GL 15.16 | User-defined Fields (e.g facility/terminal, customer) | R | |
| GL 16.00 | Group divisions and any other organization structure. | R | |
| GL 17.00 | Allow users to record, maintain, view and query data at various user-defined levels of detail. | R | |
| GL 18.00 | Allow for on-line maintenance and sorting of the chart of accounts. | R | |
| GL 19.00 | Provide effective dating to add or delete all chart of account structures and to validate entries based upon the effective date. | R | |
| GL 20.00 | Enter chart of accounts items with future effective dates and expiration dates | R | |
| GL 21.00 | Enter business rules for validating chart of accounts values (e.g. which expense categories can be charged to which projects). | R | |
| GL 22.00 | Supports the reorganization process and can track chart-of-accounts organization structure changes and hierarchies from fiscal year to fiscal year. | R | |
| GL 23.00 | Provides division expenditure and revenue account classification in a drop down list that reflects the hierarchical structure of all elements of the chart of accounts. | R | |
| GL 24.00 | Create a visual representation of the structure of the chart of accounts. | R | |
| GL 25.00 | Provide multiple levels of the organization structure as needed, and provide different levels and different views of that structure. | R | |
| GL 26.00 | Allows users to have filtered views of the chart of accounts. | R | |
| GL 27.00 | Create account roll-ups from detailed to high-level accounts. | R | |
| GL 28.00 | Track in a subsidiary ledger, detail information for assets and liability management including data for loans, investments, enterprise funds, bonds, and debt service. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.3 General Ledger

| Functional Category: General Ledger | | | |
|--|--|-----------|--|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| GL 29.00 | Allow users to view the chart of accounts and business rules associated with acceptable/non acceptable uses of accounts. | R | |
| Accounting Periods | | | |
| GL 30.00 | Maintain different charts of accounts for different accounting periods and allows posting to both. | R | |
| GL 31.00 | Allow two fiscal years to be open simultaneously. | R | |
| GL 32.00 | Close separate ledgers at different times. | R | |
| GL 33.00 | Post in multiple periods (current and prior) until period is closed. | R | |
| GL 34.00 | Reopen closed periods for posting with proper security. | R | |
| GL 35.00 | Isolate and maintain period information for each valid account. | R | |
| General Processing | | | |
| GL 36.00 | Track complete accounting processes for all input and machine generated transactions. | R | |
| GL 37.00 | Provide detailed audit trails of transactions down to the source. | R | |
| GL 38.00 | Record accounting transactions using self-balancing double entry bookkeeping. | R | |
| GL 39.00 | Detect and reject transactions containing invalid chart of account combinations. | R | |
| GL 40.00 | Support system edits to ensure that coding entered on transactions is valid and that the combination of codes (i.e., fund, object, etc.) is valid. | R | |
| Journal Entry | | | |
| GL 41.00 | Accept both standard and recurring journal entries, both amount and account. | R | |
| GL 42.00 | Support posting to the general ledger in summary or in detail based upon user-defined system configuration. | R | |
| GL 43.00 | Identify and correct errors before actual posting occurs, including the rejection of out-of-balance batches and reports basic deficiencies in a transaction, such as invalid codes, invalid accounts, debit/credit not equal, etc. prior to posting. | R | |
| GL 44.00 | Provide for convenient online maintenance of rejected batches of journal entries. | R | |
| GL 45.00 | Can copy previously posted journal entries. | R | |
| GL 46.00 | Validate field values within the journal entry screen. | R | |
| GL 47.00 | Journal entries can be done manually or in batch transactions. | R | |
| GL 48.00 | Allow users to enter journal entries for multiple divisions, functions or groupings under one journal header. | R | |
| GL 49.00 | Automate the recording of standard journal entries at period-end (recurring entries). | R | |
| GL 50.00 | Automatically reverses selected journal entries on a period basis (reversing entries). | R | |
| GL 51.00 | Allow input of journal entries as a correction or adjustment to prior accounting periods. | R | |
| GL 52.00 | Import and export journals from/to Excel spreadsheets. | R | |
| GL 53.00 | Can default data within journal fields (e.g., year, fund). | R | |
| GL 54.00 | Can attach or reference backup documents in various file formats (e.g., PDF, excel, word, etc.) | R | |
| GL 55.00 | Allow users to highlight errors on the screen for immediate correction. | R | |
| GL 56.00 | Provide descriptive error messages. | R | |
| GL 57.00 | Accept corrections or adjustments to prior accounting periods. | R | |
| GL 58.00 | Prevent users from using ineligible accounts such as balance sheet accounts. | R | |
| Transfers | | | |
| GL 59.00 | Automate the reversal of any revenue and expenditure transfers as defined by user. | R | |
| Other Transactions | | | |
| GL 60.00 | Record cash receipts into the General Ledger at time of deposit. | N | Need recommendation from implementer how this will be implemented |
| GL 61.00 | Provide an interface of check data to be used in producing automated bank reconciliation's. | R | |
| General Processing | | | |
| GL 62.00 | Provide appropriation control (fund availability check) at various levels of control. | R | |
| GL 63.00 | Maintain multiple budget revision amounts including: Proposed, Recommended, Approved and Final Adopted. | R | |
| GL 64.00 | Account for transactions on an accrual basis. | R | |
| GL 2019.10 | Automatically distributes the annual budget by month based on user-specified percents. | R | |
| GL 65.00 | Calculate cash balances to include pending warrants (checks) payable. | R | |
| GL 66.00 | Report budget balances by dollar amount and percentage. | R | |
| GL 66.10 | Provide daily transaction counts for the various transactions types, and provides daily reports for all transactions processed as well as for rejected transactions. | R | |
| GL 2019.20 | Automatically calculate payroll accruals based on historical information | N | Need recommendation from implementer how this will be implemented based on tools available in the cloud, allocation entries, etc |
| Budget Control | | | |
| GL 67.00 | Controls budget by: Division and Account. | R | |
| GL 68.00 | Accommodate multi-year budget control. | R | |
| GL 69.00 | Set up "uncontrolled" or tracked budgets (i.e., salary). | R | |
| GL 70.00 | Provides separate budgeting rules for operating and capital budgets (Yearly, Expense category and Project Life) | R | |
| GL 71.00 | Accommodate position budgeting. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.3 General Ledger

| Functional Category: General Ledger | | | |
|--|---|-----------|--|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| GL 2019.30 | Controls should work for all documents/entries (REQ/PO, JV, IDO etc.) | R | |
| | Commitments (Encumbrances) | | |
| GL 72.00 | Accommodate both commitment and pre-commitment control. | R | |
| GL 73.00 | Encumber appropriations through requisitions, purchase orders and contracts. | R | |
| GL 74.00 | Encumber payroll appropriations for multiple accounts (salary and benefits) and various periods. | N | Needs recommendation from vendor for feasibility and implementation. |
| GL 75.00 | Adjust the appropriation remaining (uncommitted) balance by the amount of the commitment increase or cancellation. | R | |
| GL 76.00 | Reject any pre-commitment or commitment transaction that would reduce the remaining balance of an appropriation below zero. | R | |
| GL 77.00 | Automatically liquidates a commitment (partial or complete) by various means including payment, commitment adjustment, journal entry or transfer document. | R | |
| GL 78.00 | Automatically provides an exception report on an commitment when an commitment is completed and has a non-zero remaining balance. | R | |
| GL 79.00 | Allow for expenditures to exceed commitments (tolerances) based on a user-defined percentage or dollar amount. | R | |
| GL 80.00 | Through proper security, the system allows tolerances for each transaction to be turned off. | R | |
| GL 81.00 | Can delete an commitment and not re-use the commitment number during the same user-defined period. | R | |
| GL 82.00 | Provides automated closing of commitments by system-defined rules. | R | |
| GL 83.00 | Can allocate commitments to contracts and projects. | R | |
| GL 84.00 | Can use the same commitment number in two different fiscal years while both years are open. | R | |
| GL 85.00 | Change the accounting distribution of an commitment (with proper / approved security) after it has been entered into the system. | R | |
| GL 86.00 | Provide user review capability for each commitment to determine whether funds (commitment and appropriations) are to carry forward to the new fiscal year. | R | |
| GL 2019.40 | Provide beginning balance details for new fiscal year | R | |
| Cost Allocations | | | |
| GL 87.00 | Utilize the accounting classification elements to identify and establish unique cost objects (for the purpose of cost and revenue capture, accumulation and reporting). Cost objects might include: organizational units, programs, projects, activities, specific contracts, specific customers, work orders, etc. | R | |
| GL 88.00 | Can allocate and distribute the full cost and revenue of cost objects. Full cost includes: support costs provided by other division, both internal and external; identifiable support costs provided by other general and administrative areas such as pension and other retirement benefits; unfunded costs such as accrued annual leave that accrue in the current reporting period; depreciation expense; and, amortization costs. | R | |
| GL 89.00 | Can allocate function costs general and administrative (g&a) and overhead to projects, grants, business line or any COA component. | R | |
| GL 90.00 | Ability to allocate and distribute the full cost of goods and services provided by division to another. | R | |
| GL 91.00 | Track current cost information against prior month and prior-year-to date cost data for selected cost objects, and track progress against pre-determined plans. | R | |
| GL 92.00 | Provide multiple allocation formulas from the same base costing data. | R | |
| GL 93.00 | Accumulate non-financial data relating to cost objects such as output units to allow the calculation of both total and unit costs. | R | |
| GL 94.00 | Calculate prices, leases, fees, and user charges for reimbursable agreements and other purposes using full cost. | R | |
| GL 95.00 | Use the accrual basis of accounting when recognizing costs and revenue. Recognize costs in the period of time when the events occurred regardless of when ordered, received or paid for. Recognize revenue when earned. | R | |
| GL 96.00 | Associate with the appropriate cost objects, the reductions of balances such as inventories, prepaid expenses and advance payments as the balances are used or liquidated. | R | |
| GL 97.00 | Ability to identify and record costs incurred by each cost object, including input of costs from feeder systems, such as inventory, fleet, property management (depreciation), or payroll. | R | |
| GL 98.00 | Assign indirect costs on a cause-and-effect basis, or allocate costs through any reasonable and consistent basis such as a percentage of total cost incurred, direct labor hours used, square footage, equipment usage or metered usage. | R | |
| GL 99.00 | Ability to perform multi-layer overhead distributions that are user-defined (at least three levels of distribution) using multiple rates, fixed amount and other appropriate allocation methods. | R | |
| GL 100.00 | Can use historical information to conduct variance and time-series analyses, and to demonstrate the fairness and appropriateness of rates and charges that are based on actual historical costs. | R | |
| GL 101.00 | Distribute costs to other cost objects regardless of how they were originally assigned. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.3 General Ledger

Functional Category: General Ledger

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|----------|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| GL 102.00 | Provide an audit trail that traces a transaction from its origin to the final cost object(s). | R | |
| Closings | | | |
| GL 103.00 | Perform period end closings. | R | |
| GL 2019.50 | Provide a dashboard monitoring period end closing progresss | R | |
| GL 103.00 | All closings are properly secured and posting to closed periods is prevented. | R | |
| GL 103.00 | Calculate estimated interest earnings for initial closing based on a user estimated percentage. | R | |
| GL 103.00 | Provide ability to update actual interest earnings for final closing. | R | |
| GL 103.00 | Allow interim reports to be prepared for without external calculations and journal entries. | R | |
| GL 103.00 | Hold a period open indefinitely before closing. | R | |
| GL 103.00 | Hold more than one period open. | R | |
| GL 103.00 | Initiate year-end processing at any point in time after the end of the fiscal year. (i.e. doesn't have to occur on last day or on any particular day). | R | |
| GL 103.00 | Post closing adjustments at any point during the closing period. | R | |
| GL 103.00 | Keep fiscal year open for an indefinite time. | R | |
| GL 103.00 | Allow new year inputs to be entered before the old year's preliminary closing, while the transactions are held in suspense until the new year is opened. | R | |
| GL 103.00 | Handle open year-end commitments in the following ways: | | |
| GL 103.01 | Commitments are not carried forward | R | |
| GL 103.02 | All commitments are carried forward | R | |
| GL 103.04 | Selected commitments are carried forward. | R | |
| Reporting/Inquiry | | | |
| GL 105.00 | Provide drilldown capabilities for all GL transactions from summary to detail. | R | |
| GL 106.00 | Summarize individual line-item accounts into meaningful groups of accounts for use in financial reporting based on user-defined criteria. | R | |
| GL 107.00 | Track total revenues and expenditures and provide for revenue and expenditure accruals based on user-defined criteria. | R | |
| GL 108.00 | Group funds, divisions, or other user-defined groups and reports financial information based on those groups. | R | |
| GL 109.00 | Generate a control report listing all reports that were produced for each budget unit or for other user specified category. | R | |
| GL 110.00 | Provides user-notifications that standard system reports are ready for access. | R | |
| GL 111.00 | System reports can be color-coded and more extensively formatted for presentation purposes. | R | |
| GL 112.00 | Summarize data by selected categories (i.e., primary or subsidiary accounts, transactions, assets, receivables, cash / non-cash expenditures) on a year-to-date basis or for any time period requested). | R | |
| GL 113.00 | Generate management reports by organization (i.e., division, account) in various file format (e.g., excel) | R | |
| GL 114.00 | Support on-line inquiry to account balances, available funds, and to detail posted transactions. | R | |
| GL 115.00 | Maintain a history of all G/L entries and produces detail transaction reports to provide appropriate audit trail. | R | |
| GL 116.00 | Provide an organizational or departmental report containing information for each expenditure account transaction, including: | | |
| GL 116.01 | Transaction date and type code | R | |
| GL 116.02 | Document name and number | R | |
| GL 116.03 | Vendor name and vendor number | R | |
| GL 116.04 | Current month and YTD totals | R | |
| GL 116.05 | Commitment authority numbers and date of receipt | R | |
| GL 117.00 | Generate financial projections by user-defined COA component on a monthly basis projecting to end of current fiscal year. | R | |
| GL 118.00 | Generate financial statements in proper reporting formats. | R | |
| GL 119.00 | Generate schedules on a comparative basis for budget and actual data. | R | |
| GL 120.00 | Each system report shall include in the title the name of the report, date when the report is produced, and the date(s) for which the report is produced. | R | |
| GL 121.00 | Transaction listings are printed in the order of input and include complete account coding, accounting period and fiscal year, transaction identifying number, vendor name, description of transaction, and budgetary information, along with actual dollar amount. | R | |
| GL 122.00 | Print reports that serve as posting journals, providing an audit trail of all transactions being posted to the general ledger by source (cash receipts, cash disbursements, etc.). The reports are generated on user request and for variable and fixed period. | R | |
| GL 123.00 | General ledger transaction listing is available for any period during the fiscal year. | R | |
| GL 124.00 | Provide the capability to produce financial reports summarized to any reporting level. For example, the expenditure report should have the capability of being selectively printed, summarized by division or function, etc. | R | |

ATTACHMENT 6
FUNCTIONAL REQUIREMENTS

6.3 General Ledger

Functional Category: General Ledger

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|----------|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| GL 125.00 | Print a revenue report by fund and account code, showing budgeted revenues, revenues for the period, revenues YTD, and budget variances with totals. | R | |
| GL 126.00 | Print an expenditure report by fund, organization and expense object, showing budget, expenditures for the period, expenditures YTD, outstanding commitments and unobligated balance with totals. | R | |
| GL 127.00 | Produce budget versus actual variance analysis reports by percent and dollar amounts. | R | |
| GL 128.00 | Provide a trial balance report. | R | |
| GL 129.00 | Print a listing of accrued accounts payable at year end. | R | |
| GL 130.00 | Produce the following: | | |
| GL 130.01 | Chart of accounts listing with descriptions | R | |
| GL 130.02 | Daily journal entry report showing all transactions from all applications | R | |
| GL 130.03 | Journal entry edit list produced on demand for out-of-balance entries and for in-balance entries. | R | |
| GL 130.04 | General journal update report by journal entry number, daily, weekly, monthly, and on-demand | R | |
| GL 130.05 | Detailed transaction register or audit report showing all batch summary and individual postings made to the ledger during the current day and/or current month | R | |
| GL 130.06 | Adjustments journal | R | |
| GL 130.07 | Produce a daily cash report from Lockbox and City FMS cash balances to Harbor Revenue Fund. | R | |
| GL 130.08 | Department and division level budget variance reports for month and for year. | R | |
| GL 130.09 | Department and division expense reports that compare current actual and year-to-date actual to current budget and year-to-date budget amounts. The comparison to budget should be to the amended budget, and both the original and amended (annual) budget should be shown. | R | |
| GL 130.10 | Account analysis report showing all transactions for a given account by any user-defined period (e.g., month, year-to-date, quarter) | R | |
| GL 131.00 | Generate financial reports on an as-needed basis with user-defined column headings and data elements. Data elements should include, at a minimum, the following | R | |
| GL 131.01 | Actual year-to-date amount | R | |
| GL 131.02 | Actual year-to-date amount, including commitment | R | |
| GL 131.03 | Commitments outstanding at the end of the period for the current year, at the end of the period from the prior year | R | |
| GL 131.04 | Current year total budget | R | |
| GL 131.05 | Current year year-to-date budget | R | |
| GL 131.06 | Prior year year-to-date actual | R | |
| GL 131.07 | Prior year actual | R | |
| GL 131.08 | Prior year total budget | R | |
| GL 131.09 | Prior year year-to-date budget | R | |
| GL 131.10 | Current month total | R | |
| GL 131.11 | Prior year month actual | R | |
| GL 132.00 | Financial reports must be capable of being generated month-to-date, month-end, quarterly, year-to-date, or annually. | R | |
| GL 133.00 | Select reports at the user's option by division, activity (operation), a user-defined range of accounts, or all accounts for a user-defined date or date range. | R | |
| GL 133.00 | Expenditure detail from accounts payable should be invoice description detail and not just journal entry description. | R | |
| GL 134.00 | All system reports, including the general ledger detail transaction journal and the balance sheet(s) have the capability of including amounts for outstanding commitments on the report. | R | |
| GL 134.00 | User-defined system reports permit the user to combine a range of divisions, and/or general ledger account numbers, to be summarized into one amount per account in the user-defined report(s). | R | |
| GL 135.00 | Allow user to inquire and print reports containing only information and data elements for one fiscal year at a time. | R | |
| GL 136.00 | Allow users to print reports either on-screen inquiry, hard-copy printout, or a print-file for later printing. | R | |
| GL 137.00 | Detailed Available Funds Report that includes line item detail for Actuals and Encumbrances. For Actuals/Invoices: Period, Vendor Name, Invoice, Invoice Date, Check # and Date, Receipt # & Date, & Associated PO and Req. For Requisitions: Period, Vendor, Req # and date. For PO: Period, Vendor, PO# and Date, and associated Req# and date. Report should include line item descriptions for all levels (req, PO, Invoice). | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.4 Accounts Receivable

Functional Category: Accounts Receivable

Requirement Code (RC)

R= Required N= Nice to Have F= Future

Functional Category: Accounts Receivable

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|--|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| | General Design | | Comments |
| AR 1.00 | Maintain a master customer file. | R | |
| AR 2.00 | Maintain multiple names, federal employer identification numbers, contact names, e-mail and addresses for one customer. | R | |
| AR 3.00 | Maintain multiple customer types and accounts. | R | |
| AR 4.00 | Record a designated collections manager by account. | R | |
| AR 5.00 | Establish default account distributions for each receivable. | R | |
| AR 6.00 | Validate accounting distribution based on business rules | R | |
| AR 7.00 | Integrated with property management for the purpose of establishing customer leases and contractual obligations. (or replace with similar ERP functionality) | R | |
| AR 8.00 | Recognize receipt of payments without creating a receivable. | R | |
| AR 9.00 | Integrated with project management, grant management, purchasing, and contract management for the purpose of generating billable items. | R | We currently import invoices from grant project mgt. in ERP. |
| AR 10.00 | Integrated with budget to automatically update revenue, and personnel expense daily and with monthly consolidation. | R | |
| AR 11.00 | Support sorting and displaying accounts receivable in a prescribed aging format. | R | |
| AR 12.00 | Accommodate Electronic Fund Transfers. | R | |
| AR 13.00 | Post revenue transactions to a revenue ledger and account for estimated revenue in the revenue ledger by month, division, fund, organization, project code, grant code, and revenue account. | N | |
| AR 14.00 | Provide on-line re-establishment of billing data directly into the billing application module. | N | |
| AR 15.00 | Handle accounts with extended payment terms during the aging process. | R | |
| AR 16.00 | Re-establish an account, after zero balance, directly into the accounts receivable file. | R | |
| AR 17.00 | Transfer an item incorrectly posted to accounts receivable to the correct account, with fully interfacing entries to the general ledger. | R | If the correction involves an invoice, prefer to make the correction in the source Klein billing system. |
| AR 18.00 | Correct general ledger distribution entries without deleting and resubmitting the invoice. | R | Prefer to make the correction in the source invoice in Klein billing system. |
| AR 19.00 | Maintain detailed transaction activity for each account. | R | |
| AR 20.00 | Allow for collection of deferred revenue. | R | |
| AR 21.00 | Allow refunds to be charged against revenue accounts. Send over to AP for payment processing | R | |
| AR 22.00 | Group by date, property type, individual tenant history and amount for searches and historical tracking by property type. | R | |
| AR 23.00 | System provides the statistical tracking capabilities and can be interfaced with various third-party packages. I.e.Klein Billing system. | R | |
| AR 24.00 | Intelligent remittance processing: match cash receipts to open items; apply payments to customers with multiple outstanding invoices according to business rules (e.g. LIF); process overpayments in ways determined by business rules (e.g. automatically generate a credit memo then route for approval). | R | Not currently use process overpayment |
| AR 25.00 | Correct transactions | R | |
| AR 26.00 | Track receipts and refunds, and query balances for "faithful performance guarantee" deposits. | R | Currently not used |
| Customer Records | | | |
| AR 27.00 | Record the following customer information: balance forward or open items, user-defined customer personal information, balance due, YTD payments, finance charges and relevant transaction dates. | R | |
| AR 28.00 | Check for duplicate customers based on user-defined criteria (e.g., alphabetic similarity, phonetic similarity, phone number, postal code, etc.). | R | |
| AR 29.00 | Restrict access to add, delete, or modify customer information by users. | R | |
| AR 31.00 | Track additions, changes, and deletions to the customer files with an audit trail. | R | |
| AR 32.00 | Purge inactive customer accounts based on user defined criteria. | R | Should be able to activate those that are inactive,if needed. (KLEIN) |
| AR 33.00 | Use alphanumeric or system-generated characters for customer numbers. | R | |
| AR 34.00 | Classify customers by user-defined classifications. | R | |
| AR 35.00 | Generate tickler messages for automatic display on specific dates for follow-up with a customer. | R | |
| AR 36.00 | Activate or deactivate customers. | R | Performed in KLEIN |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.4 Accounts Receivable

| Functional Category: Accounts Receivable | | | |
|--|---|-----------|---|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| AR 37.00 | Track customer balances and finance charge activity. | R | |
| AR 38.00 | Track customer status, priority ratings, and credit terms. | R | |
| AR 39.00 | Identify/track customer accounts for settlement processing. (i.e. court actions/court case docket number/payment schedule) by establishing a link to the vendor file and the accounts payable module. | R | |
| AR 40.00 | Classify customers billing requirements based on KLEIN Billing system | R | |
| AR 41.00 | Identify customers with special payment terms (zero ability to pay/partial or no payment.) | R | |
| | Reporting/Inquiry | | Respond as to how this functionality could be provided by the proposed solution in a future phase. |
| AR 42.00 | Provide ad-hoc reporting capabilities. | R | |
| AR 43.00 | Provide the ability to query all property lease system tables. | R | |
| AR 44.00 | Provide an online listing of Department lease property. | R | |
| AR 45.00 | Provide a lease transaction history report. | R | |
| AR 46.00 | Provide lease revenue report by property, division, account, etc. | R | |
| | Billing | | Respond as to how this functionality could be provided by the proposed solution in a future phase. (May be provided through an interface with Klein Port Billing system.) |
| AR 47.00 | Provide unlimited user-defined billing codes. | R | |
| AR 48.00 | Provide unlimited user-defined billing frequencies. | F | |
| AR 49.00 | Provide automatic recurring billing functionality that generates bills from applied master customer billing terms. | F | |
| AR 50.00 | Allow entry of miscellaneous invoices in batch or on-line. | F | |
| AR 51.00 | Enter or adjust bills. | F | |
| AR 52.00 | Produce ready to mail or electronic bills. | F | |
| AR 53.00 | Bill minimum or maximum charge amounts according to an agreed upon payment schedule and override if necessary. | F | |
| AR 54.00 | Bill with predetermined rates. | F | |
| AR 55.00 | Can exclude/include billing detail data elements, allowable charges and overhead on specific bills or all bills. | F | |
| AR 56.00 | Define multiple billing calculation tables (i.e. percentages, rates, receipts, leases, contractual allowances, and write offs.) | F | |
| AR 57.00 | Produce manual invoices for non-recurring types of billing. | F | |
| AR 58.00 | Produce ready-to-mail invoices prepared in accordance with Department policies and in the format required by the reimbursing Department / Division. | F | |
| AR 59.00 | Maintain detail of un-billed charges. | F | |
| AR 60.00 | Provide user-defined frequency of billings and provide interim and final billings. | F | |
| AR 61.00 | Consolidate multiple line items into single invoices. | F | |
| AR 62.00 | Provide on-line cancellation and one step automatic reversals of invoice entries. | F | |
| AR 63.00 | Print a duplicate bill on request. | F | |
| AR 64.00 | Print bills in a mailing envelope for immediate distribution. | F | |
| AR 65.00 | Correct and reprint invoices. | F | |
| AR 66.00 | View customer balances during billing process (drill-down). | F | |
| AR 67.00 | Assess penalties for invoices over due (typically 2% of over 30 days). | R | |
| AR 68.00 | Print penalty notices (typically 2% of over 30 days). Reference the original invoice #, invoice date, original due date, amount past due, penalty, total amount due. | R | Not currently set up |
| AR 69.00 | Capture information from Klein Billing system to include: Wharfinger Assigned File Number, Vessel number, Billing Types, Amount due, verified container count, Client number, date of transaction, total due. | R | Interface with KLEIN |
| AR 70.00 | Capture billing types by: tariff, storage, demurrage, cranes, pilotage, dockage, wharfage, land transportation (rail), water, electricity, fishboat dockage, flat-rate barges, space assignments, gross receipts and miscellaneous. | N | Structured by GL accounts |
| | Receivables | | |
| AR 71.00 | Capture cost on Accomodation work orders data for the set up of accounts receivable. | R | Captured through invoice KLEIN Billing interface |
| AR 72.00 | Edit receivable items with proper security. | R | |
| AR 73.00 | Construct and process periodic statements for every receivable. | R | |
| AR 74.00 | Accomodate memo or text fields for invoices or credit memos. | R | |
| AR 75.00 | Calculate and record finance, interest, and/or late charges. | R | |
| AR 76.00 | Generate consolidated statements for customers with multiple accounts. | R | |
| AR 77.00 | Accrue receivables based on a receiving schedule without generating a bill. | R | currently manual process |
| AR 78.00 | Produce reconciliation statements showing beginning balance, charges, credits and payments, and a new balance. | R | |
| AR 79.00 | Carry forward receivables with either current or new year account codes. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.4 Accounts Receivable

| Functional Category: Accounts Receivable | | | |
|--|--|-----------|---|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| AR 80.00 | Process checks returned for insufficient funds and re-establish the receivable. | R | |
| AR 81.00 | System is delivered with aging capabilities. | R | |
| AR 82.00 | Aging can be done on user-defined time schedules. | R | |
| AR 83.00 | Allow credit memos in batches or on-line. | R | |
| AR 84.00 | Apply specific credit memos to specific invoices and invoice line items. | R | |
| 85.00 | Partially apply a credit memo | | |
| AR 86.00 | Set up standard dunning message codes. | R | might be not currently set up in ERP or not currently used. |
| AR 87.00 | Print multiple user-defined dunning messages. | R | might be not currently set up in ERP or not currently used. |
| AR 88.00 | Maintain customer balances on an open item and / or balance forward basis. | R | |
| AR 89.00 | Generate unique installment repayment schedules for a customer. | R | not currently used |
| AR 90.00 | Generate account statements for delinquent accounts. | R | |
| AR 91.00 | Set dates and/or default time frames to produce final notices. | R | |
| AR 92.00 | Receive notification of collection status (i.e. payment in full and satisfaction of judgment.) | R | |
| AR 93.00 | Flag a customer account with a follow-up date for continuing action | R | |
| AR 94.00 | Generate dunning notices to customers that reference the invoices due, invoice dates, invoice amounts, penalties, total assessed, and appropriate comments | R | |
| Cash Receipts | | | |
| AR 95.00 | Accommodate multiple payments for an invoice and single payments applied to multiple invoices. | R | |
| AR 96.00 | Suspend partial payments and over payments as separate open items against the original bill amount until the bill is fully cleared. | R | |
| AR 97.00 | Tracks receivables by invoice, customer, or by other user-defined criteria. | R | |
| AR 98.00 | Can automatically update revenues and receivables based upon receipts. | N | Needs recommendation from vendor on streamlining process. |
| AR 99.00 | Automatically adjusts A/R account and passes appropriate data to the financial system when accounts have been written off. | R | |
| AR 100.00 | Process miscellaneous cash receipts without creating a billing record. | R | |
| AR 101.00 | Establish default chart of account coding strings for each receivable. | R | |
| AR 102.00 | Post all revenue regardless of source. | R | |
| AR 103.00 | Post full or partial payments. | R | |
| AR 104.00 | Post demand deposits and letter of credit receivables to appropriate accounts. | R | |
| AR 105.00 | Accept cash receipts applied against multiple invoices. | R | |
| AR 106.00 | Provide automated entries for partial payments on account and for payments in excess of or less than the bill rendered. | R | |
| AR 107.00 | Enter customer name and address directly, permitting "one-time" customers. | R | |
| AR 108.00 | Apply or allocate partial payments on a predetermined basis depending on the priority or the type of obligations outstanding. | R | |
| AR 109.00 | Apply cash receipts to an "un-applied" account (to hold unspecified transaction until they are resolved). | R | |
| AR 110.00 | Post receivables before or after depositing money in the bank, and automatically generate appropriate entries in the general ledger. | R | |
| AR 111.00 | Identify and post non-revenue and revenue receipts. | R | |
| AR 112.00 | Provide multiple receipt types. | R | |
| AR 113.00 | Account for, monitor, and track all daily deposits generated from remote locations. | R | |
| AR 114.00 | Apply unidentified cash receipts to a pending receipt account and reverse from pending upon resolution. | R | |
| AR 115.00 | Automatically record deposits made to bank accounts via lock boxes. | R | |
| AR 116.00 | Process payments received without an invoice | R | |
| AR 117.00 | Write off a small difference between invoice and payment | R | |
| AR 118.00 | Process returned checks | R | |
| AR 119.00 | Forecast future cash receipts based on current payment activity | R | |
| Reporting/Inquiry | | | |
| AR 120.00 | Maintain records of individual billings by customer with on-line inquiry capability (including past delinquencies). | R | |
| AR 121.00 | Report un-billed charges being held in the billing application module by user-defined categories and parameters. | R | |
| AR 122.00 | Provide both detail and summary audit trail. | R | |
| AR 123.00 | Provide drilldown to the originating transaction and connected activity, e.g. payments. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.4 Accounts Receivable

Functional Category: Accounts Receivable

| Reference Number | Business Requirement | RC | Comments |
|--|--|----|----------|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| AR 124.00 | Provide access to open items on-line by invoice number, organizational unit, cost center, project code, grant and account code. | R | |
| AR 125.00 | Flag payments received for which no match to an invoice has been determined (prepayments, duplicates). | R | |
| AR 126.00 | Generate a variance report for: | R | |
| AR 126.01 | Lists of receipts for daily cash deposits | R | |
| AR 126.02 | Cash receipts registers or journals | R | |
| AR 126.03 | Daily bank deposits | R | |
| AR 127.00 | List accounts written off. | R | |
| AR 128.00 | Report the variance between prior year revenue accruals and actual collection on reported year-to-date revenue. | R | |
| AR 129.00 | Provide the following reports monthly, yearly and by operating center or business line: | | |
| AR 129.01 | Billings by tenant by account code | R | |
| AR 129.02 | Cash receipts by tenant by account code | R | |
| AR 129.00 | Account and report for cash receipts revenue. | R | |
| AR 130.00 | Prepare an aging report and customer statements according to user defined categories. (i.e. 30, 60, 90 days) | R | |
| AR 131.00 | Exclude disputed items from aging, finance charging, printing on statements and dunning | R | |
| AR 132.00 | Provide an average of collections by user-defined period. | R | |
| AR 133.00 | Project the cash flow of receipts based on historical data by accounts receivable type. | R | |
| AR 134.00 | Sort and display accounts receivable in a prescribed aging format. | R | |
| AR 135.00 | Track and report on revenue by facility, by tenant, or by lease | R | |
| AR 136.00 | Track and report on revenue history by facility, tenant, or lease | R | |
| AR 137.00 | Track the collection of deferred revenue | R | |
| AR 138.00 | Provide reporting and queries by date, property type, individual tenant history, lease and amount | R | |
| AR 139.00 | Provide reporting by customer/lease on billing, volumes, by month, year, by multiple years. | R | |
| AR 140.00 | Provide graphical reporting to compare customer billing trends utilizing bar charts and graphics. | R | |
| AR 141.00 | Prepare an aging report and customer statements according to user defined categories. (i.e. by status of the account groups such as company 1,2,5,6) | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.5 Fixed Assets

Functional Category: Fixed Assets

| Requirement Code (RC) | | | |
|--|---|----|--------------------------------------|
| R= Required N= Nice to Have F= Future | | | |
| Functional Category: Fixed Assets | | | |
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| | General Design | | Comments |
| FA 1.00 | Is integrated with purchasing, accounts payable and the general ledger for financial transaction detail tracking. | R | |
| FA 2.00 | Is integrated with project and grant accounting. | R | |
| FA 3.00 | Completed project can be automatically reclassified as a fixed asset. | R | |
| FA 4.00 | Track an unlimited number of assets. | R | |
| FA 5.00 | Archive disposed assets at the end of the year from master file, transfer to an inactive property file all deletions of property from the general fixed assets file by user-specified criteria, and archive off and on-line ten years of historical data. | R | |
| FA 6.00 | Classify assets by the following categories: Land, Buildings, Equipment, Improvements to Assets, Construction in Progress, Furniture and Fixtures, Vehicles, Job, Facility | R | |
| FA 7.00 | Create detailed rollups from sub-categories of asset classifications. | R | |
| FA 8.00 | Ability to capture the following asset information: | R | |
| FA 8.01 | Asset or tag number | R | |
| FA 8.02 | Description | R | |
| FA 8.03 | GPS Code (e.g. address, latitude/longitude) in order to link to GeoPola and Enterprise GIS. | R | Currently not set up in ERP |
| FA 8.04 | Real property designation | R | |
| FA 8.05 | Funding source | R | |
| FA 8.06 | Project Number | R | |
| FA 8.07 | Serial number | R | |
| FA 8.08 | Budget code | R | |
| FA 8.09 | Component items | R | |
| FA 8.10 | Account number | R | |
| FA 8.11 | Location | R | |
| FA 8.12 | Job Facility Number | R | Currently using Task Number |
| FA 8.13 | Assigned or responsible individual | R | |
| FA 8.14 | Division | R | |
| FA 8.15 | Function | R | |
| FA 8.16 | Activity | R | |
| FA 8.17 | Disposal Restriction(s) | R | |
| FA 8.18 | Asset Maintenance/Service Information | R | |
| FA 8.19 | Cross reference to drawings, contracts, manuals, operating documents | R | |
| FA 8.20 | Picture/photo of asset | R | |
| FA 8.21 | Asset Warranty Information | R | |
| FA 8.22 | ID or VIN number | R | |
| FA 8.23 | Serial numbers & component numbers | R | |
| FA 8.24 | Acquisition date | R | |
| FA 8.25 | In service date | R | |
| FA 8.26 | Transfer Date(s) | R | |
| FA 8.27 | Disposal Date | R | |
| FA 8.28 | Cost | R | |
| FA 8.29 | Requisition Number | R | |
| FA 8.30 | Purchase order number | R | |
| FA 8.31 | Cost of Improvements | R | |
| FA 8.32 | Valuation | R | |
| FA 8.33 | Depreciation | R | |
| FA 8.34 | Useful life | R | |
| FA 8.35 | Make or model of vehicle | R | |
| FA 8.36 | Proceeds from Sale | R | |
| FA 8.37 | Vendor and/or vendor number | R | |
| FA 9.00 | Track assets by the same structure as the chart of accounts. | R | |
| FA 10.00 | Cross-reference assets by various classifications. | R | |
| FA 11.00 | Provide specific location information of an asset such as building and room number. | R | Currently manually done by divisions |
| FA 12.00 | Classify assets by user-designated groups, with subtotaling and totaling of an overall value. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.5 Fixed Assets

| Functional Category: Fixed Assets | | | | |
|--|--|----|--------------------------|--|
| Reference Number | Business Requirement | RC | Comments | |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | | |
| FA 13.00 | Assign each asset to a cost pool general ledger account, allowing depreciation to be charged to the cost pool. | R | | |
| FA 14.00 | Maintain the net book value of each asset and record the net book value in the general ledger account established for each asset pool. | R | | |
| FA 15.00 | Adjust asset cost, automatically adjust the appropriate general ledger account, and accommodate improvements and betterments. | R | | |
| FA 16.00 | Maintain accounts for capital lease and leasehold improvements. | R | New requirement 2019 | |
| FA 17.00 | Attach schematics, maintenance records and other documents to the asset file. | R | | |
| FA 18.00 | Provide multiple parent/child relationships. | R | | |
| FA 19.00 | Track assets by funding source. | R | | |
| FA 20.00 | Setup an asset prior to asset construction completion. | R | | |
| FA 21.00 | Track insurance coverage components as a single unit including computer equipments special identification number. | R | | |
| FA 22.00 | Locate an item by: fund, asset or tag number, description, serial number, cost, project number, budget code, location, VIN number, acquisition date, vendor or make/model. | R | | |
| FA 23.00 | Track and account for split, consolidated, partial retirement, and full retirement of assets. | R | | |
| FA 24.00 | System can record asset transfers between divisions, functions and funds as an acquisition and disposition. | R | | |
| FA 25.00 | Track modifications or alterations to an asset that affect the asset's life cycle. | R | | |
| FA 26.00 | Provide automatic computation of gain or loss on disposal of assets for proprietary funds and prepares journal entries to record gain / loss. | R | | |
| FA 27.00 | Provide a dollar total of fixed asset purchases by their funding source based on user defined attributes. | R | | |
| FA 28.00 | Provide standard public sector enterprise reporting. | R | | |
| FA 29.00 | Classify assets by divisions and total for the Department. | R | | |
| FA 30.00 | Record and accumulate multiple betterments for individual fixed assets. | R | | |
| FA 31.00 | Record and accumulate fleet maintenance information. | R | | |
| FA 32.00 | Support user-defined fields. | R | | |
| FA 33.00 | Support bar code labeling and remote asset entry. | R | | |
| FA 34.00 | Assign specific or multiple item/asset number. | R | | |
| FA 35.00 | Automatically create a record for each item purchased by requisition, purchase order, project, grant, etc. | R | | |
| FA 36.00 | Allow for online inquiry for each asset. | R | | |
| FA 37.00 | Track the detailed cost of each item. | R | | |
| FA 38.00 | Accommodate alphanumeric asset number and scannable numeric bar code. | R | | |
| FA 39.00 | Flag assets with disposal restrictions and display the restriction message for user handling (e.g. federal grant items that must be returned to the Federal government). | R | | |
| FA 40.00 | Identify assets by fund. | R | | |
| FA 41.00 | Prevent duplicate asset item identification numbers for the same organization unit. | R | | |
| FA 42.00 | Maintain information about the condition of the asset (e.g., good, idle, obsolete and broken). | R | | |
| FA 43.00 | Allow the useful life of an asset to change. | R | | |
| FA 44.00 | Allocate equipment costs to assets. | R | | |
| FA 45.00 | Track all transactions affecting the value of an asset by original source document number and date, and the module and application in which the transaction originated. | R | | |
| FA 46.00 | Record assets into various acquisition categories. (e.g., purchases, donations, construction projects, receipts from exercising the right of eminent domain and capital leases.) | R | | |
| FA 47.00 | Interface with KLEIN - Real Estate Management System (or provide similar functionality) | R | | |
| FA 48.00 | Interface with Construction & Maintenance MaintStar work order management system. (or provide similar functionality) | R | Currently Not interfaced | |
| FA 49.00 | Process fixed asset distribution based on business rules | R | | |
| FA 50.00 | Maintain records of improvements to assets, such as renovations and reference asset records back to original asset. | R | | |
| Depreciation | | | | |
| FA 51.00 | Allow the use of straight line depreciation method | R | | |
| FA 52.00 | Allocate depreciation based on user-defined percentages. | R | | |
| FA 53.00 | Allow depreciation methods to be changed for an asset or group of assets, to depreciate the assets for the balance of the asset's useful life. | R | | |
| FA 54.00 | Calculate accumulated depreciation and book value on a monthly, quarterly, semi-annually, yearly, or user-defined basis. | R | | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.5 Fixed Assets

| Functional Category: Fixed Assets | | | |
|---|---|-----------|------------------------|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| FA 55.00 | Update depreciation schedule when a useful life is adjusted. | R | |
| FA 56.00 | Adjust depreciation schedule retroactively for corrections or additional costs. | R | |
| FA 57.00 | Reconcile a number of user defined general ledger depreciation expense accounts. | R | |
| FA 58.00 | Record depreciation for external reporting. | R | |
| FA 59.00 | Calculate projection of depreciation based on actual or simulated conditions by asset, or asset category, for a current year and future years, as specified by user. | R | |
| FA 60.00 | Identify each item for which depreciation is to be taken including cost, life and depreciation schedule. | R | |
| FA 61.00 | Change accounting code for subsequent depreciation runs when assets are transferred between units. | R | |
| FA 62.00 | Calculate depreciation for an item at the time of transfer. | R | |
| FA 63.00 | Allocate depreciation computed total for a particular asset (i.e., a building) to different accounting projects based on user-defined criteria such as square footage. | R | |
| FA 64.00 | Provide depreciation by division by month. | R | |
| FA 65.00 | Provide flexible depreciation capabilities that can depreciate by different periods. | R | |
| FA 66.00 | Create a trial depreciation run. | R | |
| FA 67.00 | Create a depreciation run for assets outside of the regular asset depreciation schedule. | R | |
| FA 68.00 | Pro-rate initial depreciation calculation across user-defined panels. | R | |
| FA 69.00 | Allow some assets to be designated as nondepreciable or appreciable (i.e., land). | R | |
| FA 70.00 | Calculate depreciation expense for grant funded fixed assets, generate contra account and record transactions to "Contribution in aid of Construction" accounts. | R | |
| FA 2019.10 | Ability to import mass assets into system | R | Currently using WebADI |
| Excess/Surplus Property, Scrap Property, Fixed Asset, and Minor Property | | | |
| FA 71.00 | Allow transfer of equipment and supplies with or without fixed asset or minor property numbers to excess property inventory record. | R | |
| FA 72.00 | Report transfers of property with fixed asset or minor property numbers proactively to Risk Management | R | |
| FA 73.00 | Provide status and latest status date fields to record current property disposal status while held in excess property inventory (e.g., available for reuse, declared surplus, assigned to next sale, etc.). | R | |
| FA 74.00 | Allow recording of disposal date and type of disposal action taken (reutilized, sold, scrapped, donated, etc.). | R | |
| FA 75.00 | Provide proactive reporting of disposition of fixed asset | R | |
| Reporting/Inquiry | | | |
| FA 76.00 | Display or print subsidiary ledgers of fixed asset balances. | R | |
| FA 77.00 | Produce a transaction register audit trail of all acquisitions, transfers, changes, retirements, and disposals during a user-defined time period by asset type, division, or transaction date or purchase amount. | R | |
| FA 2019.20 | Produce report of all activities over life cycle of assets | R | |
| FA 78.00 | Provide a dollar total of fixed asset purchases by their funding source and division/organization. | R | |
| FA 79.00 | Report assets due for disposition, based on the scheduled disposal date. | R | |
| FA 80.00 | Provide a vendor/PO listing of assets by vendor or in purchase order number sequence. | R | |
| FA 81.00 | Produce a deletion report showing items by asset type which have physically been disposed of but still remain on file for information purposes. | R | |
| FA 82.00 | Produce a listing of all inactive/idle or retired assets by location and asset category. | R | |
| FA 83.00 | Produce a listing of all disposed assets showing any gains or losses and the associated account coding. | R | |
| FA 84.00 | Produce a forecast of assets scheduled for replacement, based on user-specified criteria, such as useful life, scheduled disposition date, or odometer readings. | R | |
| FA 85.00 | Allow reporting and inquiry of replacement cost by organization unit and by asset type. | R | |
| FA 86.00 | Produce depreciation reports by organization structure. | R | |
| FA 87.00 | Produce a depreciation report by balance sheet category, such as buildings and equipment. | R | |
| FA 88.00 | Maintain monthly, annual and user-defined periods of depreciation expenses for each financial statement category. | R | |
| FA 89.00 | Produce a report of assets by: Asset Type, Fund, Division, Function, and Vendor or any asset classification field. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.5 Fixed Assets

| Functional Category: Fixed Assets | | | |
|--|--|-----------|-----------------|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| FA 90.00 | Produce a physical inventory worksheet to be sorted by division, location, and/or person responsible to assist in conducting physical inventory. | R | |
| FA 91.00 | Print reports to support taking of physical inventory by division and/or location. | R | |
| FA 92.00 | Provide a schedule of assets grouped by GAAP function and/or division. | R | |
| FA 93.00 | Report all fixed asset balances in the standard Comprehensive Annual Financial Report (CAFR) format. | R | |
| FA 94.00 | Support GASB 34 reporting. | R | |
| FA 95.00 | Track maintenance, repair and operation (MRO). | R | |
| FA 96.00 | Query fixed asset property information to determine if property is port-owned, leased or subleased | R | |
| FA 97.00 | Query fixed asset property information to determine if there are outstanding permits on the property (film permits, Temporary Use Permits, Revocable Permits, Space Assignments) | R | |
| FA 98.00 | Output to different file formats (pdf, excel, xml, rtf etc.) | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.6 Purchasing

| Functional Category: Purchasing | | | |
|--|---|---------------------------|-----------------------------|
| Requirement Code (RC) | | | |
| R= Required | | N= Nice to Have F= Future | |
| Functional Category: Purchasing | | | |
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| | General Design | | Comments |
| PU 1.00 | Support both pre-commitment (encumbrance) and commitment control. | R | |
| PU 2.00 | Support centralized, de-centralized purchasing processing or a combination of both. | R | |
| PU 3.00 | Copy information from one process to another without rekeying, i.e. requisition to RFP/RFQ to purchase order. | R | |
| PU 4.00 | Provide a repository of templates and documents relating to a purchase (e.g. Approval Forms - Green Sheets, Quotes, Board Reprints, Invoices, RFPs, etc). | R | Currently not set up in ERP |
| PU 5.00 | Store and retrieve documents relating to a specific purchase (commodity, professional services, etc). | R | |
| PU 6.00 | Drilldown to supporting documents within the purchasing system. | R | |
| PU 7.00 | Support multiple workflow approval processes. | R | |
| PU 8.00 | Ticklers automatically generate/regenerate when follow up is necessary from key system events within all purchasing processes. | R | |
| PU 9.00 | Create tickler reminders. (contract renewals) | R | |
| PU 10.00 | Support two-way, three-way and four-way matching of documents. | R | |
| PU 11.00 | Provides aging capabilities for system processes. | R | |
| PU 12.00 | Provide multiple commodity codes (NIGP)/UNSPSC stock number capabilities. | R | |
| PU 13.00 | Capture and maintain buyer name and number and display activity with dates. | R | |
| PU 14.00 | Enter and update approval limits and other business rules. | R | |
| PU 15.00 | Temporarily reassign approval authority due to vacations, backlog, or urgency, based on business rules. | R | |
| PU 16.00 | Process draws on purchasing contracts or blanket orders (commitment should occur at the time that the drqaw is made) | R | |
| PU 16.01 | With pre set unit pricing | R | |
| PU 16.02 | Without preset unit pricing | R | |
| PU 17.00 | Handle chargebacks (e.g. equipment purchased for by one division but charged to another division - such as Information Technology buying PCs for Divisions). | F | |
| PU 18.00 | Provide user defined fields | R | |
| PU 19.00 | Compatible with MS Outlook and Sharepoint for scheduling, alerts, messages | R | |
| PU 20.00 | Compatible with MS Word, Excel, Project | R | |
| PU 21.00 | Compatible with Primavera | R | |
| PU 22.00 | Compatible with Acrobat | R | |
| PU 23.00 | Provide multiple document upload | R | |
| PU 24.00 | Support file compression | R | |
| Vendor Files | | | |
| PU 25.00 | Create master vendor files which are integrated with Accounts Payable. | R | |
| PU 26.00 | Associate the vendor with any organizational level. | F | |
| PU 27.00 | Distinguish different types of vendors, and any relationships between them. | R | |
| PU 28.00 | Provide cross references such as a business doing business under another name or changing the business name | R | |
| PU 29.00 | Provide vendor performance reports on actual delivery date and time versus promised delivery date and time, vendor average lead-times, and items rejected on inspection. | F | |
| PU 30.00 | Provide status flags for each vendor, which would, for example, denote them as inactive, on hold, reference only, and may prevent purchase orders and payments to the vendor. | R | |
| PU 31.00 | Identify items by vendor to which discounts, rebates and warranties apply. | F | |
| PU 32.00 | Record and track vendor quotes. | R | |
| PU 33.00 | Vendor file tracks by name, multiple addresses (bid, orders, and/or remit to), contact person(s) and phone number(s), minority / disadvantaged business information, last date vendor utilized. | R | |
| PU 34.00 | Support vendor 1099 tracking and creates 1099 vendor tape for tax purposes. | R | |
| PU 35.00 | Support disadvantaged vendor classifications from state certification. | R | |
| PU 36.00 | Maintain pricing information, quantity breaks, freight terms and shipping information for each vendor. | R | |
| PU 37.00 | Track vendor by performance / history, date added / deleted or inactivated and reason. | R | |
| PU 38.00 | Delete or deactivate vendor from vendor listing by date with reason. Historical data would be retained. | R | |
| PU 39.00 | Rate vendor at each event point based on user-defined criteria. | F | |
| PU 40.00 | Vendor numbers (numeric and alphanumeric) can be system generated or assigned manually. | R | |
| PU 41.00 | Search vendor files from within purchasing processes, i.e. requisition and purchase order. | R | |
| PU 42.00 | Create vendor groupings for specific commodities, locations, etc. | R | |
| PU 43.00 | Maintain an accumulated purchase history for each vendor in system. | R | |
| PU 44.00 | Provide vendor self-service capabilities via the internet. | F | |
| PU 45.00 | Maintain an on-line audit trail for changes to the vendor master file. | R | |
| PU 46.00 | Allow multiple contracts per company | R | |
| Requisition Processing | | | |
| PU 47.00 | System can electronically process stock, non-stock, multi-delivery, procurement card, direct ship and blanket requisitions. | R | |

ATTACHMENT 6
FUNCTIONAL REQUIREMENTS

6.6 Purchasing

| Functional Category: Purchasing | | | |
|--|---|----|---|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| PU 48.00 | Allow the use of electronic signatures. | R | |
| PU 49.00 | Route purchase requisitions to the appropriate approval authority conditionally and automatically using workflow. Notify the requestor automatically if the item is not approved for purchase. | R | |
| PU 50.00 | Enter multiple account and project codes at the line item level at the requisition or the order stage, with validation specific to the appropriate division, and the display of available budget and project funds. | R | |
| PU 51.00 | Assign a requisitioner's priority code and required date by line item. | F | |
| PU 52.00 | Display the status of a requisition and/or order as it passes through approval, order, receiving and payment stages and notify the requester proactively when the delivery is not received by the required date or estimated delivery date, whichever is later. | R | |
| PU 53.00 | Display purchase history for the item and vendor concerned. | R | |
| PU 54.00 | Cross reference bids/quotes, requisitions, purchase orders, and receivers. | R | |
| PU 55.00 | Create material requests for inventory and requisition lines for commodities and services. | R | |
| PU 56.00 | Perform the following requisition functions online: Inquiry, add, change and cancel. | R | |
| PU 57.00 | Provide for multiple lines of input per individual requisition. | R | |
| PU 58.00 | Provide reports to users and management on requisition status. | R | |
| PU 59.00 | Create and track all requisitions by date, by requester, by budget, by item, by action item, vendor etc. | R | |
| PU 60.00 | Pre-encumber requisition per line items and also assign project accounting data. | F | |
| PU 61.00 | Order in fractional quantities, dollars, and can assign to multiple General Ledger account codings. | R | |
| PU 62.00 | Modify through change order (add) items ordered – part, class, quantity, unit of measure, vendor, cost, project, fund. | R | |
| PU 63.00 | Prevent entering invalid account codes (division, object, and/or project, job, facility, work order, MainTstar#). | R | |
| PU 64.00 | Enter default information based upon certain criteria. | R | |
| PU 65.00 | Allow users to look up vendors based upon commodity code. | R | |
| PU 66.00 | Copy requisition information from one already in the system. | R | |
| PU 67.00 | Track requisitions and automatically date and time stamp (received, accepted, returned, re-received) with notes and comments. | R | |
| PU 68.00 | Track requisitions and log requisition number, MainTstar #, budget number, account number, division number, activity, project, buyer number or initials. | F | Currently not set up in ERP. Requires interface with MainTstar system |
| PU 69.00 | Reject duplicate requisition numbers. | R | |
| PU 70.00 | Convert lines of requisitions to multiple purchase orders and different vendors. | R | |
| PU 71.00 | Generate requisitions to replenish depleted inventory stock. | R | |
| PU 72.00 | Flag requisitions for bid process by total amount or line item amount by a user defined dollar threshold. | F | |
| Bid And Quote Processing | | | Currently done outside of the system |
| PU 73.00 | System can support the following types of bids: advertised sealed bids, phone and fax quotes, internet quotes and written requests for proposals and quotations, and prequalifications. | R | |
| PU 74.00 | Create multiple line item bid forms | R | |
| PU 75.00 | Maintain a classified list of bidders that indicates, amongst other things: | | |
| PU 75.01 | skills | F | |
| PU 75.02 | commodity | R | |
| PU 75.03 | capabilities | R | |
| PU 75.04 | special status e.g. DBE, current vendor | R | |
| PU 75.05 | contact data | R | |
| PU 75.06 | prior responses to RFP/RFQ/RFI (s) | R | |
| PU 76.00 | Provide for on-line vendor registration for bid opportunities, including: | | |
| PU 76.01 | NAICS Small Business Administration Code by vendor interest/business category | R | |
| PU 76.02 | On-line self service | R | |
| PU 76.03 | Small business reference | R | |
| PU 76.04 | Prime contractor interest | R | |
| PU 76.05 | Subcontractor interest | R | |
| PU 76.06 | State of California License Requirement | R | |
| PU 76.07 | License expiration | R | |
| PU 76.08 | MBE/WBE/OBE/SBE category | R | |
| PU 76.09 | Link to City www.labavn.org for City vendor registration | R | |
| PU 77.00 | Provide for on-line application for pre-qualification (form access and status entry). | R | |
| PU 78.00 | Provide for on-line bidding, and on line bid results results and award posting | R | |
| PU 79.00 | Provide for automatic notification to vendors on opportunities they have registered for in the NAICS code category, or on RFPs/RFBs/RFQs that they have requested. | R | |
| PU 80.00 | Maintain requests for specific RFQ's/RFP's/Bids from potential bidders. | R | |
| PU 81.00 | Add new bidders requesting RFQ's/RFP's/RFI's/Bids to classified bidders list. Either added via self service registration or added by staff. | R | |
| PU 82.00 | Send RFQ's/RFP's/RFI's/Bids to bidders selected from the classified list and the RFQ/RFP specific list by printing letters and labels for mailing, fax and e-mail. | R | |
| PU 83.00 | Maintain a record of responses to each RFQ/RFP/RFI/Bid. | R | |
| PU 84.00 | Maintain a record of documents relating to a bid, and utilizing collaboration software, provide access to those documents. | R | |

ATTACHMENT 6
FUNCTIONAL REQUIREMENTS

6.6 Purchasing

| Functional Category: Purchasing | | | |
|--|--|----|-----------------------------|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| PU 85.00 | Utilizing collaboration software and email, maintain a record of all correspondence with vendors relative to a specific bid opportunity, and any documents attached to such correspondence. | R | |
| PU 86.00 | Utilizing collaboration software and email, maintain a record and copies of all bid amendments or addendums. Provide bid document management. | R | |
| PU 87.00 | Maintain a history on bid process modifications, addendum, etc., by bid opportunity. | R | |
| PU 88.00 | Track contract compliance requirements and the satisfaction of these requirements. | R | |
| PU 89.00 | Track email correspondence to vendors relative to a purchase process. | R | |
| PU 90.00 | Support vendor outreach to identify prospective contractors and vendors (e.g. for primes to search for subcontractors by NAICS category or vendor type, or subcontractors to search for prime contractors) | R | |
| PU 91.00 | Program alerts on key procurement event dates by type of event, date, and contract. (e.g. pre bid conference, bid due date, bid award date etc). Provide for automatic notification to interested parties registered on that contract opportunity. | R | |
| PU 92.00 | Archive for analysis and retrieval: contractor history, bid history, bidders lists | R | |
| PU 93.00 | Maintain contract document repository. | R | |
| PU 94.00 | Support Small Business determination | R | |
| PU 95.00 | Support State of California License Requirement and verification/linking | R | |
| PU 96.00 | Support vendor license or certification expiration/detection | R | |
| PU 97.00 | Assist the group evaluation process. | R | |
| PU 98.00 | Maintain history of evaluations and awards of contracts to bidders. | R | |
| PU 99.00 | Generate a RFQ / Bid or Notice of Expiration when quote is about to expire. | F | |
| PU 100.00 | Allow inquiry into entire bid or bid item by vendor name or number, bid number, buyer or item number. | R | |
| PU 101.00 | Provide online entry of vendor bid responses. | R | |
| PU 102.00 | Support automated bid analysis, compare bids to historical values. | R | |
| PU 103.00 | Retain pricing from prior bid results. | R | |
| PU 104.00 | Provide bid analysis tools by price, quantity and availability by entire bid package or single line item. | R | |
| PU 105.00 | Copy information from one bid transaction to another. | F | |
| PU 106.00 | Provide a facility for standard and prototype bids with any number of associated vendors. | R | |
| PU 107.00 | Track Bid / RFP by awards, dollar amounts, vendor responses, buyer, commodity. | R | |
| PU 108.00 | Bid list / file tracks by commodity code. | R | |
| PU 109.00 | Track vendor bid list by vendor history, past awards, bid responses and new vendors. | R | |
| PU 110.00 | Produce documents for mailing or emailing to potential vendors/bidders (i.e., bid documents, addenda) | R | |
| PU 111.00 | Advertise bid information via the Internet. | F | |
| PU 112.00 | Download vendor catalog data from various formats including the internet. | F | |
| PU 113.00 | Interface with collaboration software (such as Sharepoint) to provide a repository of templates and documents relating to a purchase (e.g. Approval Forms - Green Sheets, Quotes, Board Reprts. Invoices, RFPs, etc). | R | |
| Contract Administration | | | |
| PU 114.00 | Convert awarded bid to approved contract. | R | |
| PU 115.00 | Create and track blanket order contracts. | R | |
| PU 116.00 | Create user-defined contract releases. | R | |
| PU 117.00 | Commit (encumber) contracts per line items and also assign project accounting data. | R | |
| PU 118.00 | Track multiple commitments and payments against a single contract. | R | |
| PU 119.00 | Track a contract dollars against multiple accounts, and by total contract value. | R | |
| PU 120.00 | Allow multiple contracts per vendor, multiple items per contract and multiple dates. | R | |
| PU 121.00 | Track service performance against a contract. | F | Currently not set up in ERP |
| PU 122.00 | Attach large volume documents to a contract. | R | |
| PU 123.00 | Evaluate vendor based on key user-weighted events with the system -- delivery date, quantity return / defective items, billing problems. | F | Currently not set up in ERP |
| PU 124.00 | Review and print contract text. | R | |
| PU 125.00 | Provide contract tracking by vendor, date (starting, ending, fic), dollars, item, class, budget, account, cost center, renewals, cancellations, extensions, add/change, buying groups, commodity codes, contract number(s), alternates. | R | |
| PU 126.00 | Provide a flag field indicating that a insurance certificate is on file, and flag expiration date of insurance. | R | |
| PU 127.00 | Track certifications or documents required of the vendor. | R | Currently not set up in ERP |
| PU 128.00 | Track several purchase orders or other reference documents within a single contract. | R | |
| PU 129.00 | Close and reopen contracts. | F | |
| PU 130.00 | Support various contract periods, including multiple year contracts (i.e., those that span fiscal and/or calendar years). | R | |
| PU 131.00 | Track and report contract operations over several different periods including Federal, or other user defined fiscal year. | F | |
| PU 132.00 | Record and track contract limits at user specified levels of detail over the life of the contract. | F | |
| PU 133.00 | Maintain a transaction listing of all contract change orders including date and source. (To understand why change were made, what amount, who approved, etc.) | F | |
| Purchase Order Management | | | |

ATTACHMENT 6
FUNCTIONAL REQUIREMENTS

6.6 Purchasing

| Functional Category: Purchasing | | | |
|--|---|----|---|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| PU 134.00 | System can have multiple line items per purchase order with capability for one / multiple delivery schedules per line printed on purchase order. | R | |
| PU 135.00 | Convert electronic purchase requisitions to purchase orders easily, subject to approval, with the ability to create multiple purchase orders from one requisition, and to consolidate line items from multiple requisitions into one order. | R | |
| PU 136.00 | Assign purchase order numbers automatically in a user defined format and allow purchase order numbers to be entered manually. | R | |
| PU 137.00 | Notify the requestor proactively if the estimated delivery date is later than the required date for a line item, and again if the estimated delivery date is changed. | F | Currently done manually |
| PU 138.00 | Designate line items as Minor Property or Fixed Assets, if appropriate. | R | |
| PU 139.00 | Maintain a register of purchase order numbers. | R | |
| PU 140.00 | Allow purchase orders issued previously to be changed and maintain a change history, including whether the change was initiated by the vendor or the Department, and whether the wrong item was delivered. | R | |
| PU 141.00 | Allow unlimited space for text descriptions of items, including automatic notes about shelf life that is taken from the data records. | R | |
| PU 142.00 | Define a replenishment path for each item, for example, through a particular vendor, direct delivery, central stores. | R | |
| PU 143.00 | Allow entry of already purchased items. | R | |
| PU 144.00 | Record the type of pricing on the purchase order, for example, delivered price, prepaid, collect, FOB vendor. | R | |
| PU 145.00 | Record and track vendor acknowledgements of orders. | F | |
| PU 146.00 | Track releases against a contract order, e.g. gasoline. | R | |
| PU 147.00 | Allow back ordered items to be cancelled and the vendor notified accordingly. | R | |
| PU 148.00 | Transmit orders to vendors electronically, by fax, EDI, Internet, email, or hardcopy. | R | |
| PU 149.00 | Provide pre-defined inquiries with drill down facilities as well as facilities for ad hoc user defined queries. | F | |
| PU 150.00 | Notify the requestor of the status of a purchase order on demand, and proactively when the delivery is overdue by a user defined number of days. | R | |
| PU 151.00 | Print bid labels with vendor names and addresses. | R | |
| PU 152.00 | Buy by description, cross referencing stock number, vendor(s). | R | |
| PU 153.00 | Open purchase order report lists all purchase orders by vendor name (alphabetical order), purchase order number, line item, description, quantity on order, quantity still open and interfaces with purchase order view screen. | R | |
| PU 154.00 | Accommodate tolerances for commitment control on REQs | F | |
| PU 155.00 | Automatically encumbers final purchase order amount interfacing with the General Ledger component – tracks differences and totals and releases differences back to remaining budget. | R | |
| PU 156.00 | Allow annual automatic processing or renewal of on-going blanket purchase orders. | R | |
| PU 157.00 | Track freight by line item or lump sum and divides by total estimated / actual. | F | |
| PU 158.00 | Account for multiple taxes (federal, state and local), sales tax, excise tax. | R | |
| PU 159.00 | Tax by line item and can mix taxable and non-taxable line items on same Purchase Order. | R | |
| PU 160.00 | Provide automatic or manual closing or adjustment of purchase order without receiving merchandise. | R | |
| PU 161.00 | Change purchase order item ordered – part, class, quantity, unit of measure, dollars, vendor, account. | R | |
| PU 162.00 | Allow purchase order to specify multiple divisions, delivery dates and locations. | R | |
| PU 163.00 | Allow one purchase order to be charged to multiple divisions/accounts / budgets. | R | |
| PU 164.00 | Allow confirming purchase order to be tracked and monitored by buyer, vendor, item, class budget, dollars. | F | |
| PU 165.00 | Trigger fixed asset process by analyzing purchase and making decision based upon the purchase price. | R | |
| PU 166.00 | Indicate and provide for manual or automatic purchase order or change order commitment. | R | |
| PU 167.00 | Split purchase requisitions | R | |
| PU 168.00 | Convert a requisition to an inventory withdrawal | F | |
| PU 169.00 | Distribute a purchase order total and/or line item over multiple divisions, accounts, project numbers. | R | |
| PU 170.00 | Adjust or correct purchase orders (with appropriate impact on encumbrances/commitments) | R | |
| PU 2019.10 | Notify buyers when REQs in queue | R | Deloted obsolete PU 171 & 172 |
| Material Receipt, Inspection, Acceptance, and Returns | | | |
| PU 173.00 | Provide for on-line receiving of entire purchase order or on an item-by-item basis. | R | |
| PU 174.00 | System provides three-way or four-way matching capabilities. | R | |
| PU 175.00 | Display and provide capability to print expected orders in receiving. | F | |
| PU 176.00 | Record interim receipt without completion of receipt and payment process while waiting for certifications, MSDS sheets, etc. | R | Currently not set up in ERP |
| PU 177.00 | Record interim receipt of damaged, defective, or unsatisfactory goods without completion of receipt and payment process while processing exchanges and returns to vendors. | F | Currently not set up in ERP |
| PU 178.00 | Cross-reference replacement items to the original items ordered, and allow for easy substitution and unit of measure conversion. | F | |
| PU 179.00 | Allow bar code scan receiving. Include recording of carrier's tracking or pro numbers for all shipments. Allow manual input of carrier identify and tracking numbers where bar codes are not provided. | R | Currently not using handheld devices for scanning |

ATTACHMENT 6
FUNCTIONAL REQUIREMENTS

6.6 Purchasing

| Functional Category: Purchasing | | | |
|--|---|----|----------------------------|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| PU 180.00 | Allow query capability for tracking receipts based on bill of lading, carrier assigned tracking number, or invoice/packing slip number exclusive of purchase order number. | R | |
| PU 181.00 | Allow input and maintenance of receipt file for materials received not from purchase orders. | R | |
| PU 182.00 | Notify requestor and buyer of receipts proactively including interim receipts that are rejected due to damage, short dating, defects, etc. Report shortages and backorders on all receipt reports to requestor or buyer. | R | |
| PU 183.00 | Allow cancellation of backorders at Warehouse with proactive notification to buyer and requestor when cancellation is processed. | F | |
| PU 184.00 | Notify Warehouse proactively according to purchase order priority when orders are overdue. Allow customization of overdue report for use by Warehouse. | F | |
| PU 185.00 | Allow on-line follow up via fax or inter-net on overdue orders. | R | |
| PU 186.00 | Provide for interactive follow up between Central Receiving and requestor to verify or report receipt of merchandise or services when delivery is not made to Central Receiving. | F | |
| PU 187.00 | Allow entry of delivery notes to purchase order file when partial receipts are processed to indicate the type of partial delivery (product without services, equipment without manuals, etc.) | F | |
| PU 188.00 | Allow assignment of Fixed Asset or Minor Property numbers during receipt processing, and tie numbers to property management. | R | |
| PU 189.00 | Account for inventory separately at multiple locations (using FIFO, average cost, weighted average, standard costs), including a damaged/rejected goods area. | R | |
| PU 190.00 | Maintain FIFO (first in first out) inventory records. | F | |
| PU 191.00 | Cross-reference replacement items to the original items. | F | |
| PU 192.00 | Track lots and shelf life items and provide appropriate expiry date and other information. | F | |
| PU 193.00 | Display or print expected orders for receiving. | R | |
| PU 194.00 | Print receiving documentation, with expiry date, as well as the number of cases, line items and pieces, if appropriate. | F | |
| PU 195.00 | Record receipt of items even if they are rejected on inspection. Record the reason for rejection. | F | |
| PU 196.00 | Print bar coded labels for individual items | R | |
| PU 197.00 | Receive deliveries with bar code scanning to allow "paperless" receiving. | R | |
| PU 198.00 | Notify the requestor and the buyer proactively if goods received are short, damaged, substituted or short-dated, outside tolerances. | R | |
| PU 199.00 | Notify Warehouse proactively according to the requestor's priority when orders are overdue. | R | Currently done manually |
| PU 200.00 | Allow for easy substitution of items when receiving, for example, when receiving an updated model of an item ordered. | R | |
| PU 201.00 | Receive in different units of measure from the purchase order. | R | |
| PU 202.00 | Print shipping documentation for returns to vendors, but allow recording of returns without documentation for items which are not returned through the central stores, with automatic debit of the appropriate projects and accounts. | F | |
| PU 203.00 | Record material safety data sheets. | F | |
| PU 204.00 | Receive partial deliveries. | R | |
| PU 205.00 | Enter drop ship receipts where the items have been delivered directly to the desk and not to Central Receiving. | R | |
| PU 206.00 | Allow notes of unlimited length to be added to items received. | F | |
| PU 207.00 | Allow adjustments to inventory with entry of reason subject to authorization. | R | |
| PU 208.00 | Provide for cycle counting. | R | |
| PU 209.00 | Identify potentially obsolete items by date of last receipt and issue, and ABC analysis. | R | |
| PU 210.00 | Maintain status codes for each item, for example, surplus, inactive, hold, replaced. | R | |
| PU 211.00 | Provide pre-defined reports as well as facilities for ad hoc user defined queries. | R | |
| PU 212.00 | Provide automatic match of vendor invoice, purchase order and purchase order receipt. | R | |
| PU 213.00 | Review vendors and outstanding purchase orders during the match process. | F | |
| PU 214.00 | Accommodate partial receipts. | R | |
| PU 215.00 | Trigger Accounts Payable process based upon receipt information. | R | |
| PU 216.00 | Detect and measure early / late and over / under shipments. | R | |
| PU 217.00 | Maintain discrepancy file by vendor, stock number, item, dates, control number, purchase order number. | F | |
| PU 218.00 | Override unmatched status with the proper security status. | F | |
| PU 219.00 | Flag purchases for fixed asset tables upon receipt of goods. | R | |
| PU 220.00 | Track Fixed Asset status - what is budgeted (encumbered) and actual purchased costs of Fixed Assets | F | |
| PU 221.00 | Provide credit / adjustment form and collects shipping data, costs and other budgetary data with the capability to print a credit / adjustment form. This form, when printed, should show quantity to pick up, cost of each unit, and extended cost | F | |
| Inventory Forecasting and Stock Control | | | |
| PU 222.00 | Maintain First In/First Out and shelf life inventory records. | R | Currently done manually |
| PU 223.00 | Allow storage in multiple warehouses and multiple bin locations | R | |
| PU 224.00 | Provide substitute and interchangeable item cross reference by stock number, manufacturer's number, product code, or industry codes (NDC, CFAS, or other). | R | |
| PU 225.00 | Track shelf life item lots by expiration date, shelf life code, shelf life action codes, or other appropriate information. | R | Currently tracked manually |
| PU 226.00 | Print bar coded labels for stock items received without bar codes. | R | Using Lotware interface |
| PU 227.00 | Allow specialized physical inventories by cycle, commodity type, stock class or group, high value, or user defined variable. | R | |

ATTACHMENT 6
FUNCTIONAL REQUIREMENTS

6.6 Purchasing

| Functional Category: Purchasing | | | |
|--|--|----|--|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| PU 228.00 | Print inventory count sheets in user selected sequence (stock number, location, etc.) with current inventory cut off tabs. | R | |
| PU 229.00 | Provide multi-count inventory and reconciliation process. | R | |
| PU 230.00 | Provide automated updating of stock high limit and reorder point based on user-defined calculation variables and stock categories. (economic reorder, past usage, other parameters). | R | |
| PU 231.00 | Display stock usage history in detailed and summary formats based on user-defined periods. | R | |
| PU 232.00 | Provide proactive notification to stock control clerk when stock items reach reorder point quantity or less. | R | Currently not set up |
| PU 233.00 | Allow backorder tracking and commitment of due stock for unfilled or short filled orders. | R | |
| PU 234.00 | Allow stock reorder analysis by stock group or class to maximize reorders of like materials during reorder processing. | R | Currently not set up |
| PU 235.00 | Calculate averages and moving averages | R | Currently not set up |
| PU 236.00 | Allow conversion from order unit to stock unit on receipt. | R | Currently done manually |
| PU 237.00 | Reserve on-hand stock prior to picking | R | Currently not set up |
| PU 238.00 | Adjust inventory based on physical counts. | R | |
| PU 2019.20 | Ability to create a kit pulled from same inventory (pre-populated) | F | Currently not set up or system limitation |
| Reporting/Inquiry | | | |
| PU 239.00 | Must be able to capture, maintain and report the necessary data elements involved in Purchasing. | R | |
| PU 240.00 | System's bids, purchase orders, receivers and pick ticket discrepancies can be printed immediately. | F | |
| PU 241.00 | Access on-line Administration Manuals – policies, procedure, ordinances: maintained on system. | R | |
| PU 242.00 | Display and/or print any / all reports and screens. | R | |
| PU 243.00 | Track and report on requisition, purchase order and receiving information. | R | |
| PU 244.00 | Track and report on bid transaction data. | R | |
| PU 245.00 | Track or report on contract data. | R | |
| PU 246.00 | Allow users to query all transactions for progress within the purchasing system. | R | |
| PU 247.00 | Can create purchasing output in PDF format for import/export. | R | |
| PU 248.00 | Inquire into the status of open and closed orders. | R | |
| PU 249.00 | Query history of all draw orders, receipts and payments made against a purchasing contract or blanket order | R | |
| PU 250.00 | Query the history of material receipts and usage. | R | |
| PU 251.00 | Search by vendor account #, Maintstar # to verify what is ordered, who ordered, and which vendor provided goods/services/materials | R | |
| PU 252.00 | Provide user defined reports | R | |
| PU 253.00 | Import/export data | R | |
| PU 254.00 | Generate MBE/WBE/OBE/SBE participation reports | R | |
| PU 255.00 | Review and sort open purchase orders by vendor name, PO number, or other data field. | R | |
| PU 256.00 | Encumbrance Detail Report | R | |
| PU 257.00 | Aging report on REQs | R | |
| PU 258.00 | PO Detail Agreement Report | R | |
| PU 259.00 | Provide on-demand reporting ability | F | |
| PU 260.00 | Ability to print out pick slip with user-defined attributes | R | |
| PU 261.00 | Ability to print out requisition with all pertinent information in one page | R | |
| PU 262.00 | Add a dedicated field to input Directive No. on Requisition Creation screen with validated format ability | R | |
| PU 263.00 | Add a check box to flag accrual attribute in REQ receiving screen | R | REQ Receiving screen - Janie |
| PU 264.00 | Flexibility on pagination of requisition list to access information faster | R | |
| Risk Management (Contract Admin) | | | |
| PU-RM 1.00 | During contract setup in ERP, ability to enter whether or not insurance is required. | R | See AP 68.00. A Yes or No option should be sufficient. If yes is selected, ERP would be triggered to request insurance status (expiration date) from Risk. |
| PU-RM 2.00 | Ability to enter insurance status (expiration date) for each contract requiring insurance. | R | Insurance status should only be entered by Risk. |
| PU-RM 2.01 | Ability to change insurance status (expiration date) at any time. | R | Insurance status should only be entered by Risk. |
| PU-RM 2.02 | Ability to delegate task items 2.00 and 2.01 to other Risk Management staff within ERP. | R | |
| PU-RM 3.00 | Ability for end users to search and view insurance status for each contractor | R | |
| PU-RM 4.00 | Automatically approve/reject requisition (on behalf of Risk) by cross referencing service dates with insurance status (expiration date). | R | End user who have to be required to enter service dates. Approval = Service dates would have to be on or prior to insurance status (expiration date). Rejection = service dates take place after expiration date |
| PU-RM 5.00 | Automatic notice to contract admins when insurance has expired. Trigger non-compliance notifications. | R | See AJ 68.00 |
| PU-RM 6.00 | Track and flag insurance status (expiration dates) | R | |
| PU-RM 7.00 | Reporting on insurance status | F | |
| PU-RM 8.00 | Reporting on which contract requires insurance | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.7 Debt Treasury

Functional Category: Debt & Treasury

| |
|---|
| Requirement Code (RC) R= Required N= Nice to Have |
|---|

Functional Category: Debt & Treasury

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|---|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| | General Design | | Comments |
| DT 1.00 | Provide revenue analysis database and tools: | R | Currently provided by KLEIN/ERP |
| DT 1.01 | - Record revenue tonnage by cargo type, including general cargo, liquid bulk, dry bulk, etc. | R | Currently provided by KLEIN/ERP |
| DT 1.02 | - Record shipping revenue per ton | R | Currently provided by KLEIN/ERP |
| DT 1.03 | - Record data across multiple fiscal and calendar years | R | Currently provided by KLEIN/ERP |
| DT 1.04 | - Record tonnage revenue by trade route (i.e. Far East, South America, Western Europe, etc. | R | Currently provided by KLEIN/ERP |
| DT 1.05 | - Record tonnage revenue by tenant | R | Currently provided by KLEIN/ERP |
| | - Record revenue by tenant | | Currently provided by KLEIN/ERP |
| DT 1.06 | - Record inbound and outbound volume of imports/exports | R | Currently provided by KLEIN/ERP |
| DT 2.00 | Provide the ability to calculate revenue totals, variances, to include: | R | Currently provided by KLEIN/ERP |
| DT 2.01 | - Calculate the percentage of increase and/or decrease in total revenue, or revenue by cargo type, trade route, tenant, tonnage etc. | R | Currently provided by KLEIN/ERP |
| DT 2.02 | - Calculate percentage difference between fiscal years, calendar years, or multiple fiscal/calendar years. | R | Currently provided by KLEIN/ERP |
| DT 2.03 | - Calculate revenue breakdown across multiple fiscal and calendar years including total shipping revenue per fiscal year, container shipping revenue, TEU, container and non-container shipping revenue and tonnage. (TEU= Twenty Foot Equivalent Units.) | R | Currently provided by KLEIN/ERP |
| DT 3.00 | Provide the ability to forecast revenue for future fiscal and/or calendar years, including tenant rental lease revenue. | R | Currently provided by KLEIN/ERP |
| DT 4.00 | Provide the ability to generate TEU related reports, such as TEUs by country of origin on an export and import basis for a fiscal and/or calendar year. | R | Currently provided by KLEIN/ERP |
| DT 5.00 | Provide tools to support forecasting of revenues, shipping volumes etc. | R | Currently provided by KLEIN/ERP |
| FINANCIAL STATEMENTS | | | |
| DT 6.00 | Support the production of annual financial statements. | R | in ERP |
| DT 7.00 | Capture and summarize current and historical revenue, expenses, debt service data such as: | R | Data in ERP |
| DT 7.01 | - Cargo tariff amounts for multiple fiscal and/or calendar years. | R | Interface with KLEIN |
| DT 7.02 | - Basic shipping services charges over multiple fiscal and/or calendar years. | R | Data in ERP |
| DT 7.03 | - Total operating revenues including Income from Investments in Joint Powers Authorities, Interest and Investment Income,, Grant Revenues, and other types of income and expenses. | R | Data in ERP |
| DT 7.04 | - Calculate both gross and net income | R | Data in ERP |
| DT 8.00 | Calculate and summarize data on total operating expenses including payroll, fringe benefits, payments to the City, with the ability to include and exclude other expenses such as an exclusion of depreciation expense. | R | Data in ERP |
| DT 9.00 | Calculate and summarize data to include interest and principal payments during a fiscal year on all senior debt including commercial paper and/or revolving line of credit, with the ability to exclude interest and principal payments on subordinate debt | R | Emphasys SymPro Debt Manager |
| DT 10.00 | Export data to Excel, Access | R | Emphasys SymPro Debt Manager |
| DT 11.00 | Ability to calculate operating ratio = total operating expenses/total operating revenues | R | |
| DT 12.00 | Provide the ability to track arbitrage | R | Emphasys SymPro Debt Manager/ & SymPro Investment Manager |
| DT 13.00 | Ability to compute and prepare bond amortization using effective interest rate method as well as straight line. | R | Emphasys SymPro Debt Manager |
| DT 14.00 | Ability to retire bonds prior to maturity date if refunded/ redeemed/or defeased | R | Emphasys SymPro Debt Manager |
| DT 15.00 | Ability to make edits on original bond issuance entry down the line when error is discovered after import. | R | Emphasys SymPro Debt Manager |
| DT 16.00 | Ability to delete/edit information on bond issues once entered and saved before import | R | Emphasys SymPro Debt Manager |
| DT 17.00 | Ability to change/edit journal entry actions down the line | R | Emphasys SymPro Debt Manager / Emphasys SymPro Investment Manager |
| DT 18.00 | Ability to calculate Days' Cash on Hand (DCOH) | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.7 Debt Treasury

Functional Category: Debt & Treasury

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|--|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| DT 19.00 | Ability to run report on outstanding bond series by maturity | R | Emphasys SymPro Debt Manager |
| DT 20.00 | Ability to run report on Cash Position | R | |
| DT 21.00 | Ability to run report on Principals Outstanding | R | Emphasys SymPro Debt Manager |
| DT 22.00 | Ability to run report on Investments of Funds (Transaction Listing) | R | Emphasys Investment Management system |
| DT 23.00 | Ability to have audit trails on transactions | R | Emphasys SymPro Debt Manager / Emphasys Investment Management system |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.8 Project Accounting

Functional Category: Project Accounting

| |
|---|
| Requirement Code (RC) R= Required N= Nice to Have F= Future |
|---|

Functional Category: Project Accounting

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|----------------------------------|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| | General Design | | Comments |
| PJ 1.00 | Record and maintain data at the following levels of detail: | | |
| PJ 1.01 | Project (including name, number, building number, equipment number, bid number) | R | |
| PJ 1.02 | Program | R | |
| PJ 1.03 | Work Breakdown Structure | R | |
| PJ 1.04 | Task | R | |
| PJ 1.05 | Activity or Sub-task | R | |
| PJ 1.06 | Organizational Unit | R | |
| PJ 1.07 | Account | R | |
| PJ 1.08 | Year/Month/Accounting Period | R | |
| PJ 1.09 | Function | R | |
| PJ 1.10 | Facility/Resource | R | |
| PJ 1.11 | Funding Source | R | |
| PJ 1.12 | Contract number | R | |
| PJ 1.13 | Work order | R | |
| PJ 1.14 | Job Series | R | |
| PJ 1.15 | User-Defined Fields | R | |
| PJ 1.16 | Location/Geographic area | R | New |
| PJ 2.00 | Add /edit/sort the project work breakdown structure detailed above using the GUI interface for move and copy functions. | R | |
| PJ 3.00 | Identify direct costs for each project by division, function and detailed account. | R | |
| PJ 4.00 | Assign indirect cost codes. | R | |
| PJ 5.00 | Generate indirect cost data based upon a cost allocation plan (i.e., communications billed, building services billed, and transportation billed). | R | |
| PJ 6.00 | Is integrated with HR/Payroll to determine all payroll wages, labor distributions, benefits, and tax distributions. | R | |
| PJ 7.00 | Can be interfaced with Synergen Maintenance Management to provide in-house job costing. | N | |
| PJ 8.00 | Provide the ability to separate billable and non-billable labor hours by task. | R | |
| PJ 9.00 | Provide the ability to restrict labor and material charges to specific tasks. | R | Currently not widely used in ERP |
| PJ 10.00 | Track online work authorizations by employee, project, project manager, etc. to allow managerial scheduling. | R | |
| PJ 11.00 | Track commodity and equipment usage to projects. | R | |
| PJ 12.00 | Track both contracts and in-house spending to a project. | R | |
| PJ 13.00 | Provide contract management tools to track multiple contractors and consultants. | R | |
| PJ 14.00 | Process multiple contracts against a single project, multiple projects, or functions. | R | |
| PJ 15.00 | Track retainage and release by user-defined percentages and parallel invoicing. | R | |
| PJ 16.00 | Track and separate capitalized and non-capitalized costs. | R | |
| PJ 17.00 | Accommodate workflow approvals. | R | Currently not set up in ERP |
| PJ 18.00 | Setup authorized users by job title or name to charge labor time on a project. | R | |
| PJ 19.00 | Provide the ability to determine and process reappropriations. | R | |
| PJ 20.00 | Provide the ability to identify inactive projects. | R | |
| PJ 21.00 | Track multiple fields for project status (i.e., proposed, completed, active, inactive). | R | |
| PJ 22.00 | Can interface with MS Project, Prolog or Primavera to upload/download project data. | N | |
| PJ 23.00 | Accommodate formal change order process for project contracts. | R | |
| PJ 24.00 | Track project budget which cover multiple years by: | | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.8 Project Accounting

| Functional Category: Project Accounting | | | |
|--|---|-----------|--|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| PJ 24.01 | Life to date | R | |
| PJ 24.02 | Item | R | |
| PJ 24.03 | Project | R | |
| PJ 24.04 | Activity | R | |
| Project Ledgers | | | |
| PJ 25.00 | Provide project costing and budget development. | R | |
| PJ 26.00 | Identify expenditures by grant number, project number, sources of revenue, expenditures, and outstanding encumbrances for specific project number. | R | |
| PJ 27.00 | Establish projects budgets (balanced) across funds. | R | |
| PJ 28.00 | Associate project budgets with budgetary control appropriations in the general ledger ensuring consistency across applications. | R | |
| PJ 29.00 | Associate multiple funding sources with projects and track the application of funding to actual expenditure. | R | |
| PJ 31.00 | Establish project accounts to record project budgets, contracts, budget transfers, encumbrances and expenditures. | R | Interface (to capture indirect and work order, equipment, material and labor costs.) |
| PJ 32.00 | Clone project accounts established from previous projects, then modify for a newly created project. | R | |
| PJ 33.00 | Code and track projects based on various criteria (environmental, etc.) | R | |
| PJ 34.00 | Calculate capitalized interest by project. | R | |
| Funding Source | | | |
| PJ 35.00 | Break out costs by funding source (i.e., Federal, Federal flow-through, State, and private funding source). | R | |
| PJ 36.00 | Track all necessary information (i.e., grant number, Federal Catalog number, expenses, revenue, beginning and ending account receivables, Federal, State, Federal Flow-through, private matching funds) if project is funded with grant moneys. | R | |
| PJ 37.00 | Identify and monitor matching funds. | R | |
| PJ 38.00 | Assign different funding sources to different tasks within a single project. | R | |
| PJ 39.00 | Utilize multiple funding or allocation percentages. | R | |
| PJ 40.00 | Provide a user defined "low funding" limit indicator to denote when there is a need for funds to be transferred to the project fund account. | R | |
| Budget | | | |
| PJ 41.00 | Accommodate project budgeting, modify the project budget, and print allocation schedules. | R | |
| PJ 42.00 | Prevent overcharge of project budget by overall project, phase or task. | R | |
| PJ 43.00 | Track project costs and commitments by equipment/asset categories. | R | |
| PJ 44.00 | Allocate and track budget dollars by selected user-defined levels | R | |
| PJ 45.00 | Support the development of a multi-year capital plan and the appropriation of a 1-year capital budget by project. | R | |
| PJ 46.00 | Accumulate both equipment costs and equipment usage. | R | |
| PJ 47.00 | Provide the ability to carry forward project budgets from current year. | R | |
| PJ 48.00 | Can selectively carry forward project costs at year-end. | R | |
| PJ 49.00 | Reconcile cost / project accounting and financial accounting records (these must balance). | R | |
| Contract Administration | | | |
| PJ 50.00 | Convert awarded bid to approved contract. | R | |
| PJ 51.00 | Create user-defined contract releases. | R | |
| PJ 52.00 | Accommodate contract payments by direct vouchering or by contract purchase order. | R | |
| PJ 53.00 | Budget and encumber contracts per line items and also assign project accounting data. | R | |
| PJ 54.00 | Track multiple encumbrances and payments against a single contract. | R | |
| PJ 55.00 | Allow multiple contracts per vendor, multiple items per contract and multiple dates. | R | |
| PJ 56.00 | Track and query a performance-based rating of each vendor. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.8 Project Accounting

| Functional Category: Project Accounting | | | |
|--|--|-----------|-----------------|
| Reference Number | Business Requirement | RC | Comments |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| PJ 57.00 | Provide the ability to import and export to or from MSWord, PDF, Excel and put into a contract window without loss of formatting. | R | |
| PJ 58.00 | Track contracts by vendor, date (starting, ending, etc.), dollars, item, class, DBE, budget, account, program, project/grant, renewals, cancellations, extensions, add/change, buying groups, commodity codes, or contract number(s). | R | |
| PJ 59.00 | Track several purchase orders or other reference documents within a single contract. | R | |
| PJ 60.00 | Close and reopen contracts including capital projects across fiscal years. | R | |
| PJ 61.00 | Support various contract periods, including multiple year contracts (i.e., those that span fiscal and/or calendar years). | R | |
| PJ 62.00 | Track and report contract operations over several different periods including District, federal, state, or other user defined fiscal year. | R | |
| PJ 63.00 | Record and track contract limits at user specified levels of detail over the life of the contract. | R | |
| PJ 64.00 | Maintain a real-time transaction listing of all contract change orders including date and source. (To understand why changes were made, what amount, who approved, etc.) | R | |
| PJ 65.00 | Interface with Grants Management to create contractual grant obligations and commitment of funds. | R | |
| PJ 66.00 | Encumber only a portion of a contract based on fiscal year. | R | |
| PJ 67.00 | Provide contract management tools to track multiple contractors and consultants. | R | |
| PJ 68.00 | Generate notifications to vendors, buyer, or project manager (in a user-defined format), when milestones or thresholds are met (e.g., tax exempt certification, insurance exp. date), and when not met, trigger exceptions and non-compliance notifications. | R | |
| PJ 69.00 | Track and flag contract expiration/extension dates. The System provides the ability to set flag timing to build in lead time to extend or re-bid the contract. | R | |
| PJ 70.00 | Automatically assign alphanumeric or numeric contract numbers to contracts, and provides for user-defined alphanumeric or numeric assignments. | R | |
| PJ 71.00 | Link contract numbers to bid and Request For Proposal (RFP) numbers. | R | |
| PJ 72.00 | Track and report, by account number, expenditures & revenue for each individual contract, including budget to actual comparisons by user-defined period (i.e., monthly, quarterly, daily, contract year, fiscal year, contract term, etc.). | R | |
| PJ 73.00 | Track all contract information required by District legal authority, including, but not limited to: notice of award, lien waivers, and notice to proceed. | R | |
| PJ 74.00 | Provide user defined contract periods that include contract year, fiscal year, and contract term for those contracts which span multiple fiscal years. | R | |
| PJ 75.00 | Support detailed contract performance analysis and generate performance reports, based on the following criteria: | R | |
| PJ 75.01 | Contract compliance (based on compliance criteria as defined by users). | R | |
| PJ 75.02 | Work completed to date in absolute and in percentage terms. | R | |
| PJ 75.03 | Payment schedules & payments made/received. | R | |
| PJ 75.04 | Timelines/deadline dates. | R | |
| PJ 75.05 | Contractor performance for vendor contracts. | R | |
| PJ 75.06 | User-defined milestones & thresholds. | R | |
| PJ 76.00 | Can track project activity by task or work breakdown structure. | R | |
| PJ 77.00 | Provide access to contract information on-line and in real time to central and remote users with appropriate security. | R | |
| PJ 78.00 | Attach comments and/or supporting files such as Word/Excel to each contract for users with proper security to view and update. Comments could be free-form or standard user-defined (selected from a menu or drop-down list). | R | |
| Transactions | | | |
| PJ 79.00 | Allow input, adjustments, and transfer of costs at the lowest level of account coding. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.8 Project Accounting

Functional Category: Project Accounting

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|--------------------------------------|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| PJ 80.00 | Generate on-line, user defined warning when project and phase expenditures nears or exceeds the original project estimates. | R | |
| PJ 81.00 | Enter a variety of descriptive information about a project, such as a narrative. | R | |
| PJ 82.00 | Provide an automated cross reference to all internal and external project numbers. | R | |
| PJ 83.00 | Maintain multiple types of project completions/status. For example, project may be complete from a performance viewpoint but still open for accounting purposes. | R | |
| PJ 84.00 | Prevent charges from being allocated to an inactive project, sub-project, or phase, (one which is either complete or that has not officially started.) | R | |
| PJ 85.00 | Provide an automated procedure to purge and archive data for closed projects. | R | |
| PJ 86.00 | Provide roll-up reporting structure based on the project numbering scheme for different managerial and phase levels. | R | |
| PJ 2019.10 | Record/Track project activity over multiple years. | R | |
| PJ 2019.11 | Allow internal requisition of items and supplies into projects. | R | |
| PJ 2019.12 | Allow approval of internal requisition based on a user-defined approval workflow | R | |
| PJ 2019.13 | Allow corrections or returns of items and supplies from projects. | R | |
| PJ 2019.14 | Ability to apply or copy project, task, expenditure org and expenditure item down to next and succeeding lines (rather than keying them in on every line). | R | |
| PJ 2019.15 | Enable fields to input Contact Name and Telephone, Payroll Division Number, MaintStar, and Shop Name. | R | |
| PJ 2019.16 | Ability to copy the fields with information on Contact Name and Telephone, Payroll Division Number, MaintStar, and Shop Name to multiple line items instead of having to input them line by line. | R | |
| Project Management | | | Currently not set up nor used in ERP |
| PJ 87.00 | Record project activity over multiple years. | R | |
| PJ 88.00 | Record project activity over multiple divisions. | R | |
| PJ 89.00 | Accommodate a variety of projects such as: | R | |
| PJ 89.01 | Small capital expenses (e.g., remodeling) | R | |
| PJ 89.02 | Large capital projects (e.g., buildings, infrastructure) | R | |
| PJ 89.03 | Routine work order(s) for non-capital expenditures | R | |
| PJ 90.00 | Classify the project by: | | |
| PJ 90.01 | Type of project (paving, building, etc.) | R | |
| PJ 90.02 | Location (to include user-defined building numbers as assigned) | R | |
| PJ 90.03 | Administering division | R | |
| PJ 90.04 | Track the following dates: | R | |
| PJ 90.05 | Planned start date | R | |
| PJ 90.06 | Actual start date | R | |
| PJ 90.07 | Planned completion date | R | |
| PJ 90.08 | Project completion date | R | |
| PJ 91.00 | Provide the ability to maintain a project address. | R | |
| PJ 92.00 | Associate work orders with projects and building numbers. | R | |
| PJ 93.00 | Associate freeform text with a project. | R | |
| PJ 94.00 | Track approval levels. | R | |
| PJ 95.00 | Provide a means for standard control and monitoring of projects. | R | |
| PJ 96.00 | Associate projects with other projects and programs in a hierarchical structure. | R | |
| PJ 97.00 | Classify project costs according to task (i.e., inspection, design). | R | |
| PJ 98.00 | Track dedicated funds set aside for selected activities in projects (e.g., set aside funds for planned activities as they become known). | R | |
| PJ 99.00 | Account for advance planning activities prior to the establishment of a project and transfer the costs to the project after it is established. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.8 Project Accounting

Functional Category: Project Accounting

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|----------|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| PJ 100.00 | Validate charges against project master files to determine if: | R | |
| PJ 100.01 | Charges are to open projects | R | |
| PJ 100.02 | Accounts charged are valid for specified projects (e.g., costs are valid or budgeted for the project. | R | |
| PJ 101.00 | Prevent entry to closed projects. | R | |
| PJ 102.00 | Obtain project titles online, primarily to assist in proper identification for data entry. | R | |
| PJ 103.00 | Allow allocating an amount by entered percentages to various projects. | R | |
| PJ 104.00 | Assign overhead/indirect cost allocations to projects, including the use of multiple overhead rates. | R | |
| PJ 105.00 | Drawdown from projects by purchase order releases. | R | |
| PJ 106.00 | Drawdown from Federal, State or other grant funding sources by percentage, schedule, etc. | R | |
| PJ 107.00 | Support GANTT charts. | R | |
| PJ 108.00 | Provide the ability to enter an amount or the current percent of completion and have the estimate additional amounts for finishing the project based on that system percentage. | R | |
| PJ 109.00 | Accrue project spending based on estimated costs. | R | |
| PJ 110.00 | Automatically calculate estimates to complete as budget minus actual. | R | |
| PJ 111.00 | Track multiple year expenditures. | R | |
| PJ 112.00 | Support project budgets by associating budget appropriations from the general ledger to user defined project accounts. | R | |
| PJ 113.00 | Accumulate projected or estimated balances for: | R | |
| PJ 113.01 | Actuals | R | |
| PJ 113.02 | Budgets | R | |
| PJ 113.03 | Contracts | R | |
| PJ 114.00 | Track change orders, budget transfers, budget supplementals, retainage, and inter-fund transfers. | R | |
| PJ 115.00 | Track project and contract milestones and deliverables. | R | |
| PJ 116.00 | Perform flexible budgeting for projects while adhering to level of budgetary controls established in the general ledger. | R | |
| PJ 117.00 | Program the calculation of projected final costs using various methods of computation. | R | |
| PJ 118.00 | Provide profit/ loss ratio analysis tools for projects in development | R | |
| Project Close | | | |
| PJ 119.00 | Allow the system administrator to specify and control the project closing process. | R | |
| PJ 120.00 | Close projects at a user specified date. | R | |
| PJ 121.00 | Allow the user to specify and control the project closing process through user tables and security. | R | |
| PJ 122.00 | Support multiple closing of projects at the user's options. | R | |
| PJ 123.00 | Close projects partially or completely. | R | |
| PJ 124.00 | System provides an automated procedure to purge and archive data for closed projects. | R | |
| PJ 125.00 | Identify inactive projects. | R | |
| PJ 126.00 | Close project at user specified date. | R | |
| PJ 127.00 | Close and capitalize or expense each project as completed and make required entries to the asset or expense accounts and work-in-progress accounts. | R | |
| PJ 128.00 | Re-open a closed project with proper security. | R | |
| PJ 129.00 | Support different closes for management and accounting purposes. | R | |
| PJ 130.00 | Transfer construction-in-progress accounts to fixed asset accounts at project close. | R | |
| Reporting/Inquiry | | | |
| PJ 131.00 | Provide the ability to generate reports from specific or ranges of all project levels including: | R | |
| PJ 131.01 | Project Numbers | R | |
| PJ 131.02 | Facilities | R | |
| PJ 131.03 | Divisions | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.8 Project Accounting

Functional Category: Project Accounting

| Reference Number | Business Requirement | RC | Comments |
|--|--|----|----------|
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | | |
| PJ 131.04 | Year/Month/Accounting Period | R | |
| PJ 131.05 | Funding Sources | R | |
| PJ 131.06 | Contract numbers | R | |
| PJ 131.07 | Output in various file format (pdf, excel, xml, rtf) | R | |
| PJ 132.00 | Allow users to produce queries/reports on any field of a project. | R | |
| PJ 133.00 | Produce variance reports according to the account ranges specified above. | R | |
| PJ 134.00 | Provide current cost value analysis of project progress. | R | |
| PJ 135.00 | Provide trend analysis reports based on project budgets. | R | |
| PJ 136.00 | Produce status reports for current month, YTD, inception-to-date, and other user-defined periods. | R | |
| PJ 137.00 | Provide the ability to generate statistical data reports. | R | |
| PJ 138.00 | Record non-financial (statistical) data without affecting financial accounts. | R | |
| PJ 139.00 | Provide a variable number of detail cost center reports within any organizational element. | R | |
| PJ 140.00 | Produce direct costs for each cost center by object and sub-object of expenditure. | R | |
| PJ 141.00 | Can "roll-up" or summarize expenditures to a higher budget level for managerial reporting. | R | |
| PJ 142.00 | Perform on-line inquiry on all fields. | R | |
| PJ 143.00 | Report a detailed audit trail of all entries. | R | |
| PJ 144.00 | Generate reports from specific or ranges of: | R | |
| PJ 144.01 | User-defined project/grant coding elements | R | |
| PJ 144.02 | Organizational units | R | |
| PJ 144.03 | Encumbrances (Commitments) | R | |
| PJ 145.00 | Report project status for current month, YTD and inception-to-date. | R | |
| PJ 146.00 | Report revenues and expenditures on the same report by program, lowest-level budget unit, division, or function areas. | R | |
| PJ 147.00 | Export reports to spreadsheets and provide pivot table analysis. | R | |
| PJ 148.00 | Generate statistical data in conjunction with financial reports. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.9 Grant Accounting

Functional Category: Grant Accounting

Requirement Code (RC)
R= Required N= Nice to Have F= Future

Functional Category: Grant Accounting

| Reference Number | Business Requirement | RC | Comments |
|--|---|----|--|
| Proposed system must provide, at a minimum, the following capabilities: | | | |
| | General Design | | Comments |
| GR 1.00 | Complete and accurate funds control at the expense object level. | R | |
| GR 2.00 | Complete, accurate, and prompt recording of encumbrances and pre-encumbrances. | R | Currently not used in ERP. Apply only on the work order level, not grant level |
| GR 3.00 | Complete, accurate, and prompt generation and maintenance of grant financial records and transactions. | R | |
| GR 4.00 | Timely and efficient access to complete and accurate information, without extraneous material, to those internal and external to the agency who require the information. | R | |
| GR 5.00 | Timely and proper interaction of the grant financial system with Core financial systems and other existing automated systems. | R | |
| GR 6.00 | Adequate internal controls to ensure that the grant financial system is operating as intended. | R | |
| GR 7.00 | Grant definition can mirror project structure or be used as funding source against a project. | R | |
| GR 2019.10 | Support Gantt Charts | R | |
| GR 8.00 | Provide the ability to track grant applications. | R | Currently not set up |
| GR 9.00 | Provide the ability to track the following grant information: | R | Currently using some manual processes for data consolidation |
| GR 9.01 | Grantor Name and Identifier | R | |
| GR 9.02 | Amount Requested | R | |
| GR 9.03 | Grantee Official Authorized to Submit Request | R | |
| GR 9.04 | Amount of Funds Authorized | R | |
| GR 9.05 | Amount Approved | R | |
| GR 9.06 | Amount Disallowed | R | |
| GR 9.07 | Program Funding Codes | R | |
| GR 9.08 | Appropriation Code(s) | R | |
| GR 9.09 | Project name (s) | R | |
| GR 9.10 | Work Order # | R | |
| GR 9.11 | Account codes | R | |
| GR 9.12 | CIP or operating fund | R | |
| GR 10.00 | Provide the ability to track grant expenditure activity. | R | |
| GR 11.00 | Charge to grants by flexible G&A factors. | R | |
| GR 12.00 | Track grant activity over multiple divisions and functions. | R | |
| GR 13.00 | Track grant activity over multiple fiscal years. | R | |
| GR 14.00 | Track grant activity over the grant fiscal year. | R | |
| GR 15.00 | Assign indirect cost codes. | R | |
| GR 16.00 | Allocate costs to multiple grants. | R | |
| GR 17.00 | Provide statistical tracking capabilities for certain grants. | R | Need Statical |
| GR 18.00 | Accommodate workflow approval processes. | R | |
| GR 19.00 | Account for grant revenues and expenditures for the fiscal year, grant year and the perpetual life of the grant—with breakdowns by period and in total (inception to date) for all prior years. | R | |
| GR 20.00 | Provide the ability to attach a document image of any grant related documentation (PDF, Excel, etc.). | R | |
| GR 21.00 | Documentation is provided for all grant processes. | R | |
| GR 22.00 | Flag grants with insufficient reappropriated revenues for reappropriated expenditures. | R | |
| Grant Ledgers | | | |
| GR 23.00 | Define the program or budget year of the grant/project differently than the system established fiscal year. | R | |
| GR 24.00 | Provide the ability to set up and report budget items based on multiple fiscal years and grant years. | R | |
| GR 25.00 | Track grant obligations and accruals, and schedule/forecast payments on each grant at both fixed and variable amounts. | R | Schedule/Forecast - currently done outside of ERP |
| GR 26.00 | Calculate on a user defined basis indirect costs associated with any grant and to provide system generated entries. | R | |
| GR 27.00 | Calculate on a user defined basis matching fund requirements associated with any grant and to provide system generated entries. | R | |
| GR 28.00 | Accommodate grant year accounting requirements and complies with both calendar year and fiscal year budgeting/reporting requirements. | R | |
| GR 29.00 | Provide the ability to carry forward appropriations at year end, especially for grants with fiscal year ends. | R | |
| GR 30.00 | Track contracts that span multiple years. | R | |
| Grant Applications | | | |
| GR 31.00 | Provide the ability to track the following grant application information: | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.9 Grant Accounting

Functional Category: Grant Accounting

| Reference Number | Business Requirement | RC | Comments |
|--|--|----|---|
| Proposed system must provide, at a minimum, the following capabilities: | | | |
| GR 31.01 | Grant (and sub-grant) number | R | |
| GR 31.02 | Grant project number | R | |
| GR 31.03 | Federal and state grant numbers | R | |
| GR 31.04 | Grant name | R | |
| GR 31.05 | Grant description | R | |
| GR 31.06 | Grantor | R | |
| GR 31.07 | Grantor's mailing address | R | |
| GR 31.08 | Grantor's phone number | R | |
| GR 31.09 | Date application submitted | R | |
| GR 31.10 | Date application approved | R | |
| GR 31.11 | Original grant approval amount | R | |
| GR 31.12 | Grant budgeted | R | |
| GR 31.13 | Cost Categories | R | |
| GR 31.14 | Grant amendment detail (including amounts, dates, and other user-defined criteria) with audit trails for all changes. | R | |
| GR 31.15 | Grant carryovers | R | |
| GR 31.16 | Grant fiscal calendar | R | |
| GR 31.17 | Grant beginning date | R | |
| GR 31.18 | Grant expiration date | R | |
| GR 31.19 | Key reporting/re-application dates | R | |
| GR 31.20 | Letter of credit/draw-down | R | |
| GR 31.21 | Amounts of Department matching funds | R | |
| GR 31.22 | Responsible division | R | |
| GR 31.23 | Responsible divisional contact | R | |
| GR 31.24 | Reimbursement and disbursement schedules and contacts | R | |
| GR 31.25 | User defined fields | R | |
| GR 31.26 | Narrative fields for miscellaneous information (comments) | R | |
| Grant Activity | | | |
| GR 32.00 | Capture all grant activity through the general ledger. | R | |
| GR 33.00 | Define and track in-kind services. | R | |
| GR 34.00 | Maintain record of employees who are working (or have worked) on a particular grant, identified by percentage of time or maximum time. | R | Currently details tracked by PICS & HDTIME, ERP - high level labor cost |
| GR 35.00 | Provide the ability to request reimbursement drawdowns online. | R | |
| GR 36.00 | Track and generate grant receivables through integration with AR. | R | |
| GR 37.00 | Capture grant expenditures and revenues by: | R | |
| GR 37.01 | General ledger account numbers (any segment of the account string). | R | |
| GR 37.02 | Grantor-defined categories or accounts | R | |
| GR 37.03 | Grant contracts, purchase orders and encumbrances, project/program number | R | |
| GR 37.04 | Grants status codes | R | |
| GR 37.05 | Grantor | R | |
| GR 37.06 | User defined fields | R | |
| GR 37.07 | Grant's conditions and restrictions | R | |
| GR 37.08 | Narrative fields for miscellaneous information (comments) | R | |
| GR 37.09 | Designation of "Federal" vs. "State" vs. "County" vs. "Local" | R | |
| GR 37.10 | Designation of "Capital" vs. "Operating" vs. "Passthrough" vs. "3rd Party" | R | |
| GR 38.00 | Provide the ability to interface with Payroll/HR System to capture all indirect labor costs for payroll taxes, benefits, vacations, etc. | R | |
| Processing Requirements | | | |
| GR 39.00 | Provide the ability to establish and adjust budgets for each grant. | R | |
| GR 40.00 | Assign multiple user defined categories for budget purposes. | R | |
| GR 41.00 | Duplicate preexisting grants to establish templates for new grants. | R | |
| GR 42.00 | Provide the ability to prioritize draw-downs (i.e., grant A first, grant B second, etc.). | R | |
| GR 43.00 | Provide the ability to choose drawdowns during expenditure transactions. | R | |
| GR 44.00 | Add, modify or delete grant information online with audit trail of all changes. | R | |
| GR 45.00 | Provide grant summary history online (dashboard format) | R | |
| GR 46.00 | Accept electronic wire transfers for draw-down/letters of credit. | R | |
| GR 47.00 | Provide the ability to "suspend" grant transactions based on user defined criteria (i.e., expiration date or grant status). | R | |
| GR 48.00 | Provides the ability to post the "suspended" grant transactions with supervisory control or post with supervisory override. | R | |
| GR 49.00 | Archive closed grants with no activity beyond a user defined time interval. | R | |

**ATTACHMENT 6
FUNCTIONAL REQUIREMENTS**

6.9 Grant Accounting

Functional Category: Grant Accounting

| Reference Number | Business Requirement | RC | Comments |
|--|--|----|--|
| Proposed system must provide, at a minimum, the following capabilities: | | | |
| GR 50.00 | Process data from purchasing system for contracts, purchase orders and encumbrances. | R | |
| GR 51.00 | Provide complete accounting in conformity with all federal and state requirements. | R | |
| GR 52.00 | Accommodate the following budget preparation capabilities: | R | |
| GR 52.01 | Budget by total grant amount | R | |
| GR 52.02 | Budget by year | R | |
| GR 52.03 | Grant receipt projections by fiscal year | F | |
| GR 53.00 | Make adjustments for any open accounting period in any fiscal year (with appropriate security). | R | |
| GR 54.00 | Roll-up grant to higher levels for internal and external reporting | R | |
| Reporting/Inquiry | | | |
| GR 55.00 | Produce all reports using both grantor-defined categories or the Department's chart of accounts. | R | |
| GR 56.00 | Produce all funding source reports using direct expenditures and G&A. | R | |
| GR 57.00 | Provide GAAP income statements by organization or business line. | R | |
| GR 58.00 | Provide Profit and Loss reporting and analysis by grant asset or group of assets. | R | |
| GR 59.00 | Provide the following reports: | R | |
| GR 59.01 | Expenditures and revenues | R | Needs to be able to compare fiscal years against each other (see GR 19.00) |
| GR 59.02 | Sources of revenues | R | |
| GR 59.03 | Reimbursed costs | R | |
| GR 59.04 | Budget vs. actual costs | R | |
| GR 59.05 | Combined grant revenue and expenditure reports | R | |
| GR 59.06 | Program Income | R | |
| GR 59.07 | Grant Matches & In-kind contributions | R | |
| GR 59.08 | Encumbrances and funds available for commitment | R | |
| GR 59.09 | Grants trial balance report | R | |
| GR 59.10 | Pending approval grant report | R | |
| GR 59.11 | Pending expiration or expired grant report | R | |
| GR 59.12 | Financial year end statements | R | |
| GR 59.13 | User defined queries | R | |
| GR 60.00 | Attach narrative information to reports | R | |
| GR 61.00 | Display the following on-screen: | R | This should be in "dashboard" format |
| GR 61.01 | Grant budget(s) | R | |
| GR 61.02 | Current year-to-date fiscal budget, revenues and expenditures | R | |
| GR 61.03 | Grant-to-date budget, revenues, expenditures | R | |
| GR 61.04 | Unexpended balance | R | |
| GR 61.05 | Special budget appropriations | R | |
| GR 61.06 | Carryover amounts from previous years | R | |
| GR 61.07 | Contracts | R | |
| GR 61.08 | Encumbrances (commitments) | R | |
| GR 61.09 | Appropriations | R | |
| GR 61.10 | Grant transaction detail | R | |
| GR 61.11 | Grant restrictions (i.e., overtime pay) | R | |
| GR 62.00 | Generate Schedule of Federal Expenditure | R | |
| GR 63.00 | Generate Schedule of State Expenditure | R | |

**ATTACHMENT 7
TECHNICAL REQUIREMENTS**

7.1 Interfaces

| Category: ERP INTERFACES | | |
|---|--|--|
| Reference Number | Business Requirement | ERP |
| Proposed system must provide, at a minimum, the following capabilities: | | |
| | INTERFACE | Concurrent Program Name |
| IN 1.00 | CITI AIR TRAVEL EXPENSE CREDIT CARD INBOUND INTERFACE | (Request Set) POLA CITI AIR Interface |
| IN 2.00 | CITI MC TRAVEL EXPENSE CREDIT CARD INBOUND INTERFACE | (Request Set) POLA CITI MC Interface |
| IN 3.00 | FMS CASH MANAGEMENT INBOUND INTERFACE | (Request Set) POLACE Bank Statement Loader |
| IN 4.00 | FMS PAYMENT OUTBOUND INTERFACE | (Request Set) POLA FMS OUTBOUND INTERFACE |
| IN 5.00 | FMS WARRANT INBOUND INTERFACE | (Request Set) POLA FMS INBOUND INTERFACE |
| IN 6.00 | HDTIME EMPLOYEE INFO INBOUND INTERFACE | (Request Set) POLAHR Employee Interface Set-HD |
| IN 7.00 | HDTIME PROJECT COSTING INBOUND INTERFACE | (Request Set) POLAPA Project Costing Interface Set -HD |
| IN 8.00 | HDTIME TASK DETAILS OUTBOUND INTERFACE | (Request Set) POLAPA P&G Task Details HD Time Outbound Interface set |
| IN 9.00 | HDTIME TO GL INBOUND INTERFACE | (Request Set) POLAGL HD Time to GL Inbound Interface |
| IN 10.00 | KLEIN AR CUSTOMER INBOUND INTERFACE | (Request Set) POLA AR Customer Inbound Interface |
| IN 11.00 | KLEIN AR INVOICES INBOUND INTERFACE | (Request Set) POLA AR Customer Inbound Interface |
| IN 12.00 | KLEIN-EBS OUTBOUND AR PENALTY INVOICE OUTBOUND INTERFACE | (Manual Export .csv to Klein) by EBS AR link 'Generate Late Charges' |
| IN 13.00 | LOCKBOX INBOUND INTERFACE | (Request Set) POLA WELLS FARGO LOCKBOX INBOUND INTERFACE |
| IN 14.00 | OPEN DATA OUTBOUND INTERFACE | (Concurrent Program) POLAAP INVOICE OPEN DATA (report sent via email) |
| IN 15.00 | PBCS DESKTOP INTERGRATION (INBOUND/OUTBOUND) | Inbound – intergrade ERP Budget with cloud-based PBCS platform using EBS Desktop Integrator Outbound – export budget data from ERP and load into PBCS |
| IN 16.00 | PCARD INBOUND INTERFACE | (Request Set) POLA US BANK INBOUND INTERFACE |
| IN 17.00 | PICS OUTBOUND INTERFACE | (Request Set) POLA PICS OUTBOUND INTERFACE |
| IN 18.00 | MAINTSTAR INBOUND INTERFACE | Not currently interfaced. |
| IN 19.00 | MAINTSTAR OUTBOUND INTERFACE | Not currently interfaced. |

| Category: ERP SYSTEM SUPPORT | | |
|---|---|--|
| Reference | Business Requirement | ERP |
| Proposed system must provide, at a minimum, the following capabilities: | | |
| | System Support | Category |
| SS 1.00 | Support SSO connecting ADFS for authentication using delivered native tools | SEC |
| SS 2.00 | View or obtain user authentication logs | Security |
| SS 3.00 | Manage users responsibility with ease (e.g. View the list of responsibilities for a specific user) and enable/disable new system feature/functionality as needed | |
| SS 4.00 | Support Identity and Access Management (IAM) at application level - manage access to application function and resource (including data) based on user responsibility and process permission streamlined by system. | AC Access Control |
| SS 5.00 | Support on-boarding and off-boarding process | |
| SS 6.00 | Allow authorized users to view audit trail of all transactions, screen, record updated, data import history and method (e.g. supplier creation) | |
| SS 7.00 | Provide data backup and recovery ability including: define and establish backup process/retention period onsite and remotely, establish restore plan for business continuity (RTO, RPO), perform data dump from the system, provide hourly transaction log data backup, daily replicate data to DR site, and roll back specific transactions. | DBR Data Backup and Recovery |
| SS 8.00 | Support segregation of duties throughout the system and perform system administration tasks such as admin workbench, run commands via terminal access, etc. | |
| SS 9.00 | Monitor system performance and health status including database, workflow, transaction, and scheduled jobs, and email failure/success notification for workflow, transaction and scheduled job with dedicated mailbox for workflow process | |
| SS 10.00 | Monitor and manage system activities in real-time including dashboard and response to critical system downtime incidents according to SLA (out of maintenance windows) | SA ERP System Administration and Monitoring |
| SS 11.00 | Provide logs including system logs, scheduled job logs and security logs on a granular level | |
| SS 12.00 | Log transaction purging and provide documentation of purging procedure, and search history of a transaction from end to end within seconds | |
| SS 13.00 | Selectively retrieve any electronic communication threads (by email, chat etc.) occurred within the system for California Public Record Act (CPRA) compliance | |
| SS 14.00 | Support FTP, SFTP | |
| SS 15.00 | Interface with systems such as FMS, KLEIN, HDTIME, MAINTSTAR, etc., and import/export data in the format such as csv, txt, xml etc. and perform system validation prior to data transaction and send notifications. Ensure data consistency and reliability between ERP system and interfaced system | DT Data Transaction |
| SS 16.00 | Create and schedule jobs including running stored procedures, executing custom Java programs, and sending reports via email | JOB Workflow/Job |
| SS 17.00 | Create, manage and monitor workflow and resolve approval issues with ease | |
| SS 18.00 | Refresh development and test instances from production environment | ENV Environment |
| SS 19.00 | Support electronic signature process and various web browsers including Firefox, Google Chrome, Safari, Microsoft Edge, and support | |
| SS 20.00 | Create custom reports, dashboards and charts using delivered tools with the ability to view data set, table relationships to generate reports/query and to map table/column in database to the field on a form | |
| SS 21.00 | Configure, customize and extend ERP for any non out-of-the-box features to add new functionality to system. | |
| SS 22.00 | Create API and consume native/delivered and third party API web services | DEV Development |
| SS 23.00 | Support and integrate with third party Software Barcode printing label software for warehouse inventory | |
| SS 24.00 | Support CC processing banks (Citi, Wells Fargo, US Bank etc.) industry standard file format for loading transactions | |
| SS 25.00 | Load Citibank credit card transactions directly to system without preprocessing existing Java preformat program. Reuse existing Java preformat program to preprocess Citibank CDF3 interface file or provide similar capability/tool to retrieve virtual card number, employee names in Citibank credit card transaction import/loading | |
| SS 26.00 | Monitor and manage the usage of application and responsibility license with ease | L License |
| SS 27.00 | Provide minimum 1TB of storage for both database and application | STO Storage |
| SS 28.00 | Design and implement solution for data archive and historical data access in order for end-users to run reports (Data archived from Mainframe stored in SQL Server database and current Oracle EBS data) | |
| SS 29.00 | Design and implement Data Migration solution | |

**ATTACHMENT 7
TECHNICAL REQUIREMENTS**

7.2 System Support

| Category: ERP SYSTEM SUPPORT | | |
|--|---|--|
| Reference | Business Requirement | |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | |
| | System Support | Category |
| SS 1.00 | Support SSO connecting ADFS for authentication using delivered native tools | SEC Security |
| SS 2.00 | View or obtain user authentication logs | |
| SS 3.00 | Manage users responsibility with ease (e.g. View the list of responsibilities for a specific user) and enable/disable new system feature/functionality as needed | AC Access Control |
| SS 4.00 | Support Identity and Access Management (IAM) at application level - manage access to application function and resource (including data) based on user responsibility and process permission streamlined by system . | |
| SS 5.00 | Support on-boarding and off-boarding process | |
| SS 6.00 | Allow authorized users to view audit trail of all transactions, screen, record updated, data import history and method (e.g. supplier creation) | |
| SS 7.00 | Provide data backup and recovery ability including: define and establish backup process/retention period onsite and remotely, establish restore plan for business continuity (RTO, RPO), perform data dump from the system, provide hourly transaction log data backup, daily replicate data to DR site, and roll back specific transactions. | DBR Data Backup and Recovery |
| SS 8.00 | Support segregation of duties throughout the system and perform system administration tasks such as admin workbench, run commands via terminal access, etc. | SA ERP System Administration and Monitoring |
| SS 9.00 | Monitor system performance and health status including database, workflow, transaction, and scheduled jobs, and email failure/success notification for workflow, transaction and scheduled job with dedicated mailbox for workflow process | |
| SS 10.00 | Monitor and manage system activities in real-time including dashboard and response to critical system downtime incidents according to SLA (out of maintenance windows) | |
| SS 11.00 | Provide logs including system logs, scheduled job logs and security logs on a granular level | |
| SS 12.00 | Log transaction purging and provide documentation of purging procedure, and search history of a transaction from end to end within seconds | |
| SS 13.00 | Selectively retrieve any electronic communication threads (by email, chat etc.) occurred within the system for California Public Record Act (CPRA) compliance | |
| SS 14.00 | Support FTP, SFTP | DT Data Transaction |
| SS 15.00 | Interface with systems such as FMS, KLEIN, HDTIME, MAINTSTAR, etc., and import/export data in the format such as csv, txt, xml etc. and perform system validation prior to data transaction and send notifications. Ensure data consistency and reliability between ERP system and interfaced system | |
| SS 16.00 | Create and schedule jobs including running stored procedures, executing custom Java programs, and sending reports via email | JOB Workflow/Job |
| SS 17.00 | Create, manage and monitor workflow and resolve approval issues with ease | |
| SS 18.00 | Refresh development and test instances from production environment | ENV Environment |
| SS 19.00 | Support electronic signature process and various web browsers including Firefox, Google Chrome, Safari, Microsoft Edge, and support | DEV Development |
| SS 20.00 | Create custom reports, dashboards and charts using delivered tools with the ability to view data set, table relationships to generate reports/query and to map table/column in database to the field on a form | |
| SS 21.00 | Configure, customize and extend ERP for any non out-of-the-box features to add new functionality to system | |
| SS 22.00 | Create API and consume native/delivered and third party API web services | |
| SS 23.00 | Support and integrate with third party Loftware Barcode printing label software for warehouse inventory | |
| SS 24.00 | Support CC processing banks (Citi, Wells Fargo, US Bank etc.) industry standard file format for loading transactions | |
| SS 25.00 | Load Citibank credit card transactions directly to system without preprocessing existing Java preformat program. Reuse existing Java preformat program to preprocess Citibank CDF3 interface file or provide similar capability/tool to retrieve virtual card number, employee names in Citibank credit card transaction import/loading | L License |
| SS 26.00 | Monitor and manage the usage of application and responsibility license with ease | STO Storage |
| SS 27.00 | Provide minimum 1TB of storage for both database and application | |
| SS 28.00 | Design and implement solution for data archive and historical data access in order for end-users to run reports (Data archived from Mainframe stored in SQL Server database and current Oracle EBS data) | |
| SS 29.00 | Design and implement Data Migration solution | |

ATTACHMENT 7 TECHNICAL REQUIREMENTS

7.3 Network Security

| Category: Network Security | | |
|--|---|--|
| Reference Number | Business Requirement | |
| <i>Proposed system must provide, at a minimum, the following capabilities:</i> | | |
| | System Support | |
| NS 1.00 | Ability to view or obtain security logs | |
| NS 2.00 | Documentation of Network Diagram for POLA instance | |
| NS 3.00 | Security Controls for provisioning access into POLA resources | |
| NS 4.00 | Policy and process for data protection, retention and destruction | |
| NS 5.00 | Procedure and process for Incident management including data breach | |
| NS 6.00 | Provide access to certification marks ie. ISO27001, SOC1, SOC2, FedRamp | |
| NS 7.00 | Provide default SLA and/or enhanced SLA | |
| NS 8.00 | Provide location of data location | |
| NS 9.00 | Provide business continuity processes and recovery times | |
| NS 10.00 | Ability to utilize 2MFA | |
| NS 11.00 | SSL Encryption Enforced by Application | |
| NS 12.00 | Enfore MFA for Administrators and system administrators | |

ATTACHMENT 8 8.1 EBS Workflows

8.1 EBS WORKFLOWS

| ITEM_TYPE | ACTIVITY |
|-----------|-------------------------------|
| APCCARD | INFORM_INACT_EMP_MANAGER |
| APCCARD | OIE_PROCESS_INACTIVE_CARDS |
| APCCARD | PAYMENT_TO_EMP_BY_CHECK |
| APCCARD | UNSUBMITTED_CHARGES |
| APCCARD | VOID_PAYMENT_PROCESS |
| APEXP | AME_REQUEST_APPROVAL_PROCESS |
| APEXP | AP_EXPENSE_REPORT_PROCESS |
| APINVAPR | APPROVAL_MAIN |
| APWRECPT | ABORTED_PROCESS |
| APWRECPT | RECEIVED_PROCESS |
| AZNF003 | AZN_PR_EXGLBA |
| AZNM000 | AZN_PR_PROC_PAY |
| GLBATCH | GL_JE_APPROVAL_PROCESS |
| GMSWF | GMS_WF_PROCESS |
| HRSSA | OTA_LNR_TRNG_APPROVAL_JSP_PRC |
| HRSSA | OTA_LNR_TRNG_CANCEL_JSP_PRC |
| OTWF | OTA_CERTIFICATION_NTF_JSP_PRC |
| OTWF | OTA_CLASS_CANCEL_JSP_PRC |
| POAPPRV | POLA_POAPPRV_TOP |
| POERROR | DOC_MGR_ERROR |
| POREQCHA | MAIN_CHANGE_APPROVAL |
| PORPOCHA | INFORM_BUYER_PO_CHANGE |
| POWFPOAG | DEFAULT_ACCOUNT_GENERATION |
| POWFRQAG | DEFAULT_ACCOUNT_GENERATION |
| REQAPPRV | AME_PARALLEL_APPROVAL |
| REQAPPRV | MAIN_REQAPPRV_PROCESS |
| REQAPPRV | NOTIFY_RETURN_REQ |
| UMXLHELP | LOGIN_HELP |
| WFERROR | DEFAULT_ERROR |
| WFERROR | DEFAULT_EVENT_ERROR |
| WFTSTS | MAILER_TEST1 |

| | |
|------------------------------------|----|
| Total distinct workflow item type: | 20 |
|------------------------------------|----|

8.2 AME RULES

8.2 AME RULES

| RULE_ID | RULE_NAME | START_DATE | END_DATE | CONDITION | ACTION_TYPE | APPROVER_GROUP |
|---------|---|------------|------------|--|-----------------------------------|--|
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLA Requisition Approved by CFO/Deputy Exec. Dir. |
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLAPO_VALIDATE_DIVISION IS less than or equal to 1 | approval-group chain of authority | Require approval from POLA Requisition Approved by CFO/Deputy Exec. Dir. |
| 14001 | POLAAP Rule For Division Head | 4/6/2013 | 12/31/4712 | POLAPO_CHECK_DIVISION_HEAD IS greater than or equal to 1 | approval-group chain of authority | Require approval from POLA iExpense Approved by Executive Director |
| 14001 | POLAAP Rule For Division Head | 4/6/2013 | 12/31/4712 | POLA CHECK FOR GENE SEROKA in (N) | approval-group chain of authority | Require approval from POLA iExpense Approved by Executive Director |
| 15000 | POLA iExpense Rule for Gary Lee Moore only | 11/21/2013 | 12/31/4712 | EXPENSE_REPORT_TOTAL IS greater than 0,USD | approval-group chain of authority | Require approval from POLA iExpense Approved by CFO/Deputy Exec. Dir. |
| 15000 | POLA iExpense Rule for Gary Lee Moore only | 11/21/2013 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (N) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 22002 | DIVISION IS 7000 DIVISION HEAD APPROVE RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 21001 | POLA_DIVISION_0311_RULE_RISK_YES | 5/16/2017 | 12/31/4712 | POLA_CHECK_IF_GCC_SEG2_IS_0311 in (Y) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 18001 | POLA PR DUPLICATE DIVISION RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11006 | POLA PR RULE(TL, IOD, AFE) | 9/26/2012 | 12/31/4712 | POLAPO_DOC_TYPE in (AFE, IOD, TL) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11006 | POLA PR RULE(TL, IOD, AFE) | 9/26/2012 | 12/31/4712 | POLAPO_VALIDATE_DIVISION IS less than or equal to 1 | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION IS less than or equal to 1 | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (AG, Annual Agreement, Blanket Agreement, CON, One time Purchase Order, RES) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 21000 | POLA_DIVISION_0311_RULE_RISK_NO | 5/16/2017 | 12/31/4712 | POLA_CHECK_IF_GCC_SEG2_IS_0311 in (Y) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 14001 | POLAAP Rule For Division Head | 4/6/2013 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (N) | approval-group chain of authority | Require approval from Deputy Exec. Director Approver |
| 14001 | POLAAP Rule For Division Head | 4/6/2013 | 12/31/4712 | POLAAP_CHECK_DIVISION_HEAD IS greater than or equal to 1 | approval-group chain of authority | Require approval from Deputy Exec. Director Approver |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO PR APPROVER FOR CONVERTED |
| 21001 | POLA_DIVISION_0311_RULE_RISK_YES | 5/16/2017 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11010 | POLA PR CR RULE (ONE TIME, ANNUAL, BALANKET + RISK MANAGEMENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (AG, Annual Agreement, Blanket Agreement, CON, One time Purchase Order, RES) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (AFE, AG, Annual Agreement, Blanket Agreement, CON, IOD, One time Purchase Order, RES, SVC, TL) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 22004 | POLA PR RULE (SVC) RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 22004 | POLA PR RULE (SVC) RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (SVC) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLAPO_VALIDATE_DIVISION IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11013 | POLA PR CR RULE(TL, IOD, AFE) | 9/26/2012 | 12/31/4712 | POLAPO_CR_DOC_TYPE in (AFE, IOD, TL) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11011 | POLA PR CR RULE(ONE TIME, ANNUAL, BALANKET and RISK MANAGEMENT=N) | 9/26/2012 | 12/31/4712 | POLAPO_CR_VALIDATE_DIVISION IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11006 | POLA PR RULE(TL, IOD, AFE) | 9/26/2012 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11011 | POLA PR CR RULE(ONE TIME, ANNUAL, BALANKET and RISK MANAGEMENT=N) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 11011 | POLA PR CR RULE(ONE TIME, ANNUAL, BALANKET and RISK MANAGEMENT=N) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_RISK_FLAG IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 11010 | POLA PR CR RULE (ONE TIME, ANNUAL, BALANKET + RISK MANAGEMENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_VALIDATE_DIVISION IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 11008 | POLA PR CR Invalid Doc Type | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE IS greater than 1 | approval-group chain of authority | Require approval from POLAPO_INVALID_PO_APPROVER |
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLA EXEC DIR_CHECK in (Y) | approval-group chain of authority | Require approval from POLA Requisition Approved by CFO/Deputy Exec. Dir. |
| 16001 | POLA iExpense Rule for Executive Director | 7/14/2015 | 12/31/4712 | POLA CHECK FOR GENE SEROKA in (Y) | approval-group chain of authority | Require approval from POLA iExpense Approved by CFO/Deputy Exec. Dir. |
| 17001 | POLA iExpense PCards (not 0510 Const and Maint) | 1/6/2015 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (Y) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 17000 | POLA iExpense PCards (not Const and Maint) | 1/6/2015 | 12/31/4712 | POLA CHECK FOR ORG 0510 CONST MAINT in (N) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 16001 | POLA iExpense Rule for Executive Director | 7/14/2015 | 12/31/4712 | POLA CHECK FOR GENE SEROKA in (Y) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 10000 | POLAAP iExpense MAIN Rule | 9/24/2012 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (N) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 22003 | POLA PR INVALID DOC TYPE RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 22002 | DIVISION IS 7000 DIVISION HEAD APPROVE RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (Y) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 21000 | POLA_DIVISION_0311_RULE_RISK_NO | 5/16/2017 | 12/31/4712 | POLA_CHECK_IF_GCC_SEG2_IS_0311 in (Y) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11006 | POLA PR RULE(TL, IOD, AFE) | 9/26/2012 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 22001 | POLA PO CONVERTED RULE RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO PR APPROVER FOR CONVERTED |
| 21001 | POLA_DIVISION_0311_RULE_RISK_YES | 5/16/2017 | 12/31/4712 | POLA_CHECK_IF_GCC_SEG2_IS_0311 in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 18000 | DIVISION IS 7000 DIVISION HEAD APPROVE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11010 | POLA PR CR RULE (ONE TIME, ANNUAL, BALANKET + RISK MANAGEMENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_VALIDATE_DIVISION IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 22004 | POLA PR RULE (SVC) RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 22004 | POLA PR RULE (SVC) RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 21001 | POLA_DIVISION_0311_RULE_RISK_YES | 5/16/2017 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLA EXEC DIR_CHECK in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |

8.2 AME RULES

8.2 AME RULES

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| 11013 | POLA PR CR RULE(TL,DO,AFE) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11006 | POLA PR RULE(ETL,IDD,AFE) | 9/26/2012 | 12/31/4712 | POLAPO_VALIDATE_DIVISION is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11013 | POLA PR CR RULE(TL,IDD,AFE) | 9/26/2012 | 12/31/4712 | POLAPO_CR_DOC_TYPE in (AFE, IDD, TL) | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 10000 | POLAAP Expense MAIN Rule | 9/24/2012 | 12/31/4712 | POLAAP_CHECK_DIVISION_HEAD is less than or equal to 0 | approval-group chain of authority | Require approval from POLAAP_EXPENSE_DIV_HEAD |
| 10001 | POLAAP Approval | 9/24/2012 | 12/31/4712 | SUPPLIER_INVOICE_TYPE_LOOKUP_CODE in (AWT, CREDIT, Credit Memo, DEBIT, Debit Memo, Mixed, PAYMENT REQUEST, PREPAYMENT, Prepayment, RETAINAGE RELEASE, Retainage Release, STANDARD, Withholding Tax) | approval-group chain of authority | Require approval from POLAAP_INVOICE_APPROVER |
| 10000 | POLAAP Expense MAIN Rule | 9/24/2012 | 12/31/4712 | POLA CHECK FOR GENE SEROKA in (N) | approval-group chain of authority | Require approval from POLA Expense Approved by Executive Director |
| 17000 | POLA Expense PCards (not Const and Maint) | 1/6/2015 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (Y) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 14001 | POLAAP Rule For Divisin Head | 4/6/2013 | 12/31/4712 | POLAAP_CHECK_DIVISION_HEAD is greater than or equal to 1 | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 10000 | POLAAP Expense MAIN Rule | 9/24/2012 | 12/31/4712 | EXPENSE_REPORT_TOTAL is greater than 0,USD | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 18001 | POLA PR DUPLICATE DIVISION RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (AFE, AG, Annual Agreement, Blanket Agreement, CON, IDD, One time Purchase Order, RES, SVC, TL) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 18001 | POLA PR DUPLICATE DIVISION RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION is greater than 1 | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11006 | POLA PR RULE(ETL,IDD,AFE) | 9/26/2012 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11006 | POLA PR RULE(ETL,IDD,AFE) | 9/26/2012 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11006 | POLA PR RULE(TL,IDD,AFE) | 9/26/2012 | 12/31/4712 | POLA EXEC DIR_CHECK in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION is less than or equal to 1 | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION is greater than 1 | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 21000 | POLA DIVISION 0311 RULE RISK NO | 5/16/2017 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 14001 | POLAAP Rule For Divisin Head | 4/6/2013 | 12/31/4712 | POLA CHECK FOR GENE SEROKA in (N) | approval-group chain of authority | Require approval from Deputy Exec Director Approver |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION IS less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 22004 | POLA PR RULE (SVC) RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 21001 | POLA DIVISION 0311 RULE RISK YES | 5/16/2017 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 20000 | POLA PR RULE(ETL,IDD,AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 20000 | POLA PR RULE(ETL,IDD,AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLAPO_DOC_TYPE in (AFE, IDD, TL) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11012 | POLA PR CR RULE(SVC,AG,CON,RES) | 9/26/2012 | 12/31/4712 | POLAPO_CR_VALIDATE_DIVISION is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11011 | POLA PR CR RULE(ONE TIME,ANUAL,BALANKET and RISK MANAGEMENT=N) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11010 | POLA PR CR RULE (ONE TIME,ANUAL,BALANKET +RISK MANAGEMENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_VALIDATE_DIVISION is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (SVC) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11010 | POLA PR CR RULE (ONE TIME,ANUAL,BALANKET +RISK MANAGEMENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_DOC_TYPE in (Annual Agreement, Blanket Agreement, One time Purchase Order) | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 20000 | POLA PR RULE(ETL,IDD,AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA Requisition Approved by CFO/Deputy Exec. Dir. |
| 20000 | POLA PR RULE(ETL,IDD,AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA Requisition Approved by CFO/Deputy Exec. Dir. |
| 17001 | POLA Expense PCards (for 0510 Const and Maint) | 1/6/2015 | 12/31/4712 | POLA CHECK FOR ORG 0510 CONST MAINT in (Y) | approval-group chain of authority | Require approval from C&M Approver |
| 15000 | POLA Expense Rule for Gary Lee Moore only | 11/21/2013 | 12/31/4712 | EXPENSE_REPORT_TOTAL is greater than 0,USD | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 14001 | POLAAP Rule For Divisin Head | 4/6/2013 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (N) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 22003 | POLA PR INVALID DOC TYPE RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 18001 | POLA PR DUPLICATE DIVISION RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 18001 | POLA PR DUPLICATE DIVISION RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (AFF, AG, Annual Agreement, Blanket Agreement, CON, IDD, One time Purchase Order, RES, SVC, TL) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 22001 | POLA PO CONVERTED RULE RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_PR_APPROVER FOR CONVERTED |
| 22001 | POLA PO CONVERTED RULE RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLAPO_PR_APPROVER FOR CONVERTED |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 22004 | POLA PR RULE (SVC) RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 22004 | POLA PR RULE (SVC) RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 21001 | POLA DIVISION 0311 RULE RISK YES | 5/16/2017 | 12/31/4712 | POLA CHECK IF GCC SEG2 IS 0311 in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 21000 | POLA DIVISION 0311 RULE RISK NO | 5/16/2017 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 20000 | POLA PR RULE(ETL,IDD,AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11011 | POLA PR CR RULE(ONE TIME,ANUAL,BALANKET and RISK MANAGEMENT=N) | 9/26/2012 | 12/31/4712 | POLAPO_CR_DOC_TYPE in (Annual Agreement, Blanket Agreement, One time Purchase Order) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11011 | POLA PR CR RULE(ONE TIME,ANUAL,BALANKET and RISK MANAGEMENT=N) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_RISK_FLAG is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |

8.2 AME RULES

8.2 AME RULES

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|-------|---|------------|------------|--|-----------------------------------|--|
| 11010 | POLA PR CR RULE (ONE TIME,ANNUAL,BALANKET +RISK MANAGE MENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_DOC_TYPE in (Annual Agreement, Blanket Agreement, One time Purchase Order) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11006 | POLA PR RULE(TL,IOD,AFE) | 9/26/2012 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11006 | POLA PR RULE(TL,IOD,AFE) | 9/26/2012 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11011 | POLA PR CR RULE(ONE TIME,ANNUAL,BALANKET and RISK MANAGEMENT=N) | 9/26/2012 | 12/31/4712 | POLAPO_CR_VALIDATE_DIVISION is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 11010 | POLA PR CR RULE (ONE TIME,ANNUAL,BALANKET +RISK MANAGE MENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 17000 | POLA IExpense PCards (not Const and Maint) | 1/6/2015 | 12/31/4712 | POLA CHECK FOR ORG 0510 CONST MAINT in (N) | approval-group chain of authority | Require approval from POLAAP_IEXPENSE_DIV_HEAD |
| 10000 | POLAAP IExpense MAIN Rule | 9/24/2012 | 12/31/4712 | EXPENSE_REPORT_TOTAL is greater than 0,USD | approval-group chain of authority | Require approval from POLAAP_IEXPENSE_DIV_HEAD |
| 22005 | POLA PR FOR 2900000 to 2999999 | 11/25/2019 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (Y) | approval-group chain of authority | Require approval from Michael DiBernardo Approver |
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA Requisition Approved by CFO/Deputy Exec. Dir. |
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLA Requisition Approved by CFO/Deputy Exec. Dir. |
| 10000 | POLAAP IExpense MAIN Rule | 9/24/2012 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (N) | approval-group chain of authority | Require approval from POLA IExpense Approved by Executive Director |
| 17001 | POLA IExpense PCards (for 0510 Const and Maint) | 1/6/2015 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (Y) | approval-group chain of authority | Require approval from C&M Approver |
| 16001 | POLA IExpense Rule for Executive Director | 7/14/2015 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (N) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 14001 | POLAAP Rule For Division Head | 4/6/2013 | 12/31/4712 | EXPENSE_REPORT_TOTAL is greater than 0,USD | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 22003 | POLA PR INVALID DOC TYPE RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 22002 | DIVISION IS 7000 DIVISION HEAD APPROVE RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 18000 | DIVISION IS 7000 DIVISION HEAD APPROVE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11006 | POLA PR RULE(TL,IOD,AFE) | 9/26/2012 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11017 | POLA PR CR RULE(SVC,AG,CON,RES) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11006 | POLA PR RULE(TL,IOD,AFE) | 9/26/2012 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11006 | POLA PR RULE(TL,IOD,AFE) | 9/26/2012 | 12/31/4712 | POLAPO_DOC_TYPE in (AFE, IOD, TL) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11013 | POLA PR CR RULE(TL,IOD,AFE) | 9/26/2012 | 12/31/4712 | POLAPO_CR_VALIDATE_DIVISION is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 11007 | POLA PR CR Duplicate Division | 9/26/2012 | 12/31/4712 | POLAPO_CR_VALIDATE_DIVISION is greater than 1 | approval-group chain of authority | Require approval from POLAPO_INVALID_PO_APPROVER |
| 10000 | POLAAP IExpense MAIN Rule | 9/24/2012 | 12/31/4712 | POLA CHECK FOR GENE SEROKA in (N) | approval-group chain of authority | Require approval from POLAAP_IEXPENSE_DIV_HEAD |
| 14001 | POLAAP Rule For Division Head | 4/6/2013 | 12/31/4712 | EXPENSE_REPORT_TOTAL is greater than 0,USD | approval-group chain of authority | Require approval from POLA IExpense Approved by Executive Director |
| 16001 | POLA IExpense Rule for Executive Director | 7/14/2015 | 12/31/4712 | EXPENSE_REPORT_TOTAL is greater than 0,USD | approval-group chain of authority | Require approval from POLA IExpense Approved by CFO/Deputy Exec. Dir. |
| 15000 | POLA IExpense Rule for Gary Lee Moore only | 11/21/2013 | 12/31/4712 | TRANSACTION_REQUESTOR_PERSON_ID is Invalid: HR People: Moore, Gary | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 10000 | POLAAP IExpense MAIN Rule | 9/24/2012 | 12/31/4712 | POLAAP_CHECK_DIVISION_HEAD is less than or equal to 0 | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 21000 | POLA DIVISION 0311 RULE RISK NO | 5/16/2017 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 18001 | POLA PR DUPLICATE DIVISION RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 18000 | DIVISION IS 7000 DIVISION HEAD APPROVE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (Y) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLA_REQ DIVISION HEAD APPROVER |
| 21001 | POLA DIVISION 0311 RULE RISK YES | 5/16/2017 | 12/31/4712 | POLA CHECK IF GCC SEG2 IS 0311 in (Y) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 22001 | POLA PO CONVERTED RULE RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_PR_APPROVER_FOR_CONVERTED |
| 22001 | POLA PO CONVERTED RULE RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_PR_APPROVER_FOR_CONVERTED |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_PR_APPROVER_FOR_CONVERTED |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (CONVERTED) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11010 | POLA PR CR RULE (ONE TIME,ANNUAL,BALANKET +RISK MANAGE MENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_DOC_TYPE in (Annual Agreement, Blanket Agreement, One time Purchase Order) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11010 | POLA PR CR RULE (ONE TIME,ANNUAL,BALANKET +RISK MANAGE MENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_RISK_FLAG is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is greater than 1 | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION is greater than 1 | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 22005 | POLA PR FOR 2900000 to 2999999 | 11/25/2019 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 21000 | POLA DIVISION 0311 RULE RISK NO | 5/16/2017 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 21000 | POLA DIVISION 0311 RULE RISK NO | 5/16/2017 | 12/31/4712 | POLA CHECK IF GCC SEG2 IS 0311 in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |

8.2 AME RULES

8.2 AME RULES

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|-------|---|------------|------------|---|-----------------------------------|--|
| 11011 | POLA PR CR RULE(ONE TIME,ANUAL,BALANKET and RISK MANAGEMENT=N) | 9/26/2012 | 12/31/4712 | POLAPO_CR_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11010 | POLA PR CR RULE (ONE TIME,ANUAL,BALANKET +RISK MANAGEMENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11006 | POLA PR RULE(TL,IDO,AFE) | 9/26/2012 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11013 | POLA PR CR RULE(TL,IDO,AFE) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 11011 | POLA PR CR RULE(ONE TIME,ANUAL,BALANKET and RISK MANAGEMENT=N) | 9/26/2012 | 12/31/4712 | POLAPO_CR_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 11010 | POLA PR CR RULE (ONE TIME,ANUAL,BALANKET +RISK MANAGEMENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 11009 | POLA PR CR Invalid Risk Manager FLAG | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_RISK_FLAG is greater than 1 | approval-group chain of authority | Require approval from POLAPO_INVALID_PO_APPROVER |
| 14001 | POLAAP Rule For Divisin Head | 4/6/2013 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (N) | approval-group chain of authority | Require approval from POLA iExpense Approved by Executive Director |
| 10000 | POLAAP iExpense MAIN Rule | 9/24/2012 | 12/31/4712 | POLAAP_CHECK_DIVISION_HEAD is less than or equal to 0 | approval-group chain of authority | Require approval from POLA iExpense Approved by Executive Director |
| 10000 | POLAAP iExpense MAIN Rule | 9/24/2012 | 12/31/4712 | EXPENSE_REPORT_TOTAL is greater than 0,USD | approval-group chain of authority | Require approval from POLA iExpense Approved by Executive Director |
| 15000 | POLA iExpense Rule for Gary Lee Moore only | 11/21/2013 | 12/31/4712 | TRANSACTION_REQUESTOR_PERSON_ID is Invalid: HR People: Moore, Gary | approval-group chain of authority | Require approval from POLA iExpense Approved by CFO/Deputy Exec. Dir. |
| 16001 | POLA iExpense Rule for Executive Director | 7/14/2015 | 12/31/4712 | EXPENSE_REPORT_TOTAL is greater than 0,USD | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 22003 | POLA PR INVALID DOC TYPE RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 22003 | POLA PR INVALID DOC TYPE RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is greater than 1 | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 21001 | POLA DIVISION 0311 RULE RISK YES | 5/16/2017 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 21000 | POLA DIVISION 0311 RULE RISK NO | 5/16/2017 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 18001 | POLA PR DUPLICATE DIVISION RISK NO | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11006 | POLA PR RULE(TL,IDO,AFE) | 9/26/2012 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 21001 | POLA DIVISION 0311 RULE RISK YES | 5/16/2017 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 21001 | POLA DIVISION 0311 RULE RISK YES | 5/16/2017 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 21000 | POLA DIVISION 0311 RULE RISK NO | 5/16/2017 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (N) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from Janie Cardamone approver |
| 14001 | POLAAP Rule For Divisin Head | 4/6/2013 | 12/31/4712 | EXPENSE_REPORT_TOTAL is greater than 0,USD | approval-group chain of authority | Require approval from Deputy Exec Director Approver |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_PR_APPROVER_FOR_CONVERTED |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_PR_APPROVER_FOR_CONVERTED |
| 18000 | DIVISION IS 7000 DIVISION HEAD APPROVE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (SVC) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 22004 | POLA PR RULE (SVC) RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11013 | POLA PR CR RULE(TL,IDO,AFE) | 9/26/2012 | 12/31/4712 | POLAPO_CR_VALIDATE_DIVISION is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11010 | POLA PR CR RULE (ONE TIME,ANUAL,BALANKET +RISK MANAGEMENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (AG, Annual Agreement, Blanket Agreement, CON, One time Purchase Order, RES) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_VALIDATE_DIVISION is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11010 | POLA PR CR RULE (ONE TIME,ANUAL,BALANKET +RISK MANAGEMENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 20000 | POLA PR RULE(TL, IOD, AFE) for Exec Dir. | 9/16/2015 | 12/31/4712 | POLAPO_DOC_TYPE in (AFE, IDO, TL) | approval-group chain of authority | Require approval from POLA Requisition Approved by CFO/Deputy Exec. Dir. |
| 16001 | POLA iExpense Rule for Executive Director | 7/14/2015 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (N) | approval-group chain of authority | Require approval from POLA iExpense Approved by CFO/Deputy Exec. Dir. |
| 15000 | POLA iExpense Rule for Gary Lee Moore only | 11/21/2013 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (N) | approval-group chain of authority | Require approval from POLA iExpense Approved by CFO/Deputy Exec. Dir. |
| 17001 | POLA iExpense PCards (for 0510 Const and Maint) | 1/6/2015 | 12/31/4712 | POLA CHECK FOR ORG 0510 CONST MAINT in (Y) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 14001 | POLAAP Rule For Divisin Head | 4/6/2013 | 12/31/4712 | POLA CHECK FOR GENE SEROKA in (N) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 10000 | POLAAP iExpense MAIN Rule | 9/24/2012 | 12/31/4712 | POLA CHECK FOR GENE SEROKA in (N) | approval-group chain of authority | Require approval from POLA EXP RPT ACCTG APPROVER |
| 22003 | POLA PR INVALID DOC TYPE RISK NO | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 21001 | POLA DIVISION 0311 RULE RISK YES | 5/16/2017 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 18000 | DIVISION IS 7000 DIVISION HEAD APPROVE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11004 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK NO | 2/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (AG, Annual Agreement, Blanket Agreement, CON, One time Purchase Order, RES) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is greater than 1 | approval-group chain of authority | Require approval from POLA_REQ_DIVISION HEAD APPROVER |
| 22001 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (CONVERTED) | approval-group chain of authority | Require approval from POLAPO_PR_APPROVER_FOR_CONVERTED |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_PR_APPROVER_FOR_CONVERTED |
| 12000 | POLA PO CONVERTED RULE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (CONVERTED) | approval-group chain of authority | Require approval from POLAPO_PR_APPROVER_FOR_CONVERTED |
| 21001 | POLA DIVISION 0311 RULE RISK YES | 5/16/2017 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 18000 | DIVISION IS 7000 DIVISION HEAD APPROVE RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |

8.2 AME RULES

8.2 AME RULES

| | | | | | | |
|-------|---|-----------|------------|---|-----------------------------------|--|
| 11010 | POLA PR CR RULE (ONE TIME,ANUAL,BALANKET +RISK MANAGE MENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS CAPITAL PROJ in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11001 | POLA PR INVALID DOC TYPE RISK YES | 4/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG2 IS DIVISION 7000 in (N) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 11000 | POLA PR DUPLICATE DIVISION RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_RISK_MANAGER |
| 19001 | POLA PR FOR CAPITAL PROJECTS RISK NO | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG2 IS CAPITAL PROJ in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 19000 | POLA PR FOR CAPITAL PROJECTS RISK YES | 1/13/2015 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11012 | POLA PR CR RULE(SVC,AG,CON,RES) | 9/26/2012 | 12/31/4712 | POLAPO_CR_DOC_TYPE in (AG, CON, RES, SVC) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11010 | POLA PR CR RULE (ONE TIME,ANUAL,BALANKET +RISK MANAGE MENT) | 9/26/2012 | 12/31/4712 | POLAPO_CR_REQ_RISK_FLAG in (Y) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11006 | POLA PR RULE(TL,IDO,AFE) | 9/26/2012 | 12/31/4712 | POLA EXEC DIR_CHECK in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11005 | POLA PR RULE (SVC) RISK YES | 4/26/2018 | 12/31/4712 | POLAPO_MULTIPLE_DOC_TYPE is less than or equal to 1 | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLA CHECK IF GL SEG5 IS 2900000 TO 2999999 in (N) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11003 | POLA PR RULE (AG, ANNUAL, BLANKET, CON, ONE TIME, RES) RISK YES | 2/26/2018 | 12/31/4712 | POLAPO_DOC_TYPE in (AG, Annual Agreement, Blanket Agreement, CON, One time Purchase Order, RES) | approval-group chain of authority | Require approval from POLAPO_ACCOUNTING_APPROVER |
| 11011 | POLA PR CR RULE(ONE TIME,ANUAL,BALANKET and RISK MANAGEMENT=N) | 9/26/2012 | 12/31/4712 | POLAPO_CR_DOC_TYPE in (Annual Agreement, Blanket Agreement, One time Purchase Order) | approval-group chain of authority | Require approval from POLAPO_DIVISION_HEAD |
| 17000 | POLA IExpense PCards (not Const and Maint) | 1/6/2015 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (Y) | approval-group chain of authority | Require approval from POLAAP_IEXPENSE_DIV_HEAD |
| 10000 | POLAAP Ixpense MAIN Rule | 9/24/2012 | 12/31/4712 | POLA CHECK FOR PCARD TRANSACTION in (N) | approval-group chain of authority | Require approval from POLAAP_IEXPENSE_DIV_HEAD |

| | |
|---------------------------|----|
| Total Distinct AME Rules: | 33 |
|---------------------------|----|

ATTACHMENT 9 LAHD ERP CLOUD INTERFACE REQUIREMENTS

The following pages contain descriptions of the interfaces that will be required as a part of the ERP cloud implementation. Record layouts or table layouts have been provided where available.

Required Interfaces

1. Existing Interfaces

| Reference Number | Interface Name |
|------------------|--|
| IN-001 | CITI AIR TRAVEL EXPENSE CREDIT CARD INBOUND INTERFACE |
| IN-002 | CITI MC TRAVEL EXPENSE CREDIT CARD INBOUND INTERFACE |
| IN-003 | FMS CASH MANAGEMENT INBOUND INTERFACE |
| IN-004 | FMS PAYMENT OUTBOUND INTERFACE |
| IN-005 | FMS WARRANT INBOUND INTERFACE |
| IN-006 | HDTIME EMPLOYEE INFO INBOUND INTERFACE |
| IN-007 | HDTIME PROJECT COSTING INBOUND INTERFACE |
| IN-008 | HDTIME TASK DETAILS OUTBOUND INTERFACE |
| IN-009 | HDTIME TO GL INBOUND INTERFACE |
| IN-010 | KLEIN AR CUSTOMER INBOUND INTERFACE |
| IN-011 | KLEIN AR INVOICES INBOUND INTERFACE |
| IN-012 | KLEIN-EBS OUTBOUND AR PENALTY INVOICE OUTBOUND INTERFACE |
| IN-013 | LOCKBOX INBOUND INTERFACE |
| IN-014 | OPEN DATA OUTBOUND INTERFACE |
| IN-015 | PBCS DESKTOP INTERGRATION (INBOUND/OUTBOUND) |
| IN-016 | PCARD INBOUND INTERFACE |
| IN-017 | PICS OUTBOUND INTERFACE |

2. Future Enhancement

| | |
|--------|------------------------------|
| IN-018 | MAINTSTAR INBOUND INTERFACE |
| IN-019 | MAINTSTAR OUTBOUND INTERFACE |

CITIBANK INTERFACES INCLUDING:

- IN-001 CITI AIR TRAVEL EXPENSE CREDIT CARD INBOUND INTERFACE
- IN-002 CITI MC TRAVEL EXPENSE CREDIT CARD INBOUND INTERFACE

| CITIBANK INBOUND INTERFACES | |
|---|--|
| Receive charging information from Citibank (credit card service provider) | |
| Name of the System | Bank Data Transaction System |
| Vendor | Citibank Internal System |
| Name of Interface | CITI AIR TRAVEL EXPENSE CREDIT CARD INBOUND INTERFACE |
| Inbound | Loads the Airfare (AIR) transaction files received from Citibank into Oracle iExpense tables |
| Frequency of the inbound Interface | Two times, daily |
| Name of Interface | CITI MC TRAVEL EXPENSE CREDIT CARD INBOUND INTERFACE |
| Inbound | Loads the Corporate Card (MC) transaction files received from Citibank into Oracle iExpense tables |
| Frequency of the inbound Interface | Two times, daily |

Detail:

- CITI AIR/MC TRAVEL EXPENSE CREDIT CARD INBOUND INTERFACE
 - The transaction files received from Citibank are in CDF 3.0 format (MasterCard Common Data Format version 3.0) with file name indicating the corresponding interface (MC / AIR).
 - Citibank CDF3 xml should be reformatted prior to ERP to consume.
 - For AIR transactions, passenger related information such as Virtual CC number, employee first name, and last name should be extracted and imported into ERP.

FMS INTERFACES INCLUDING:

- IN-003 FMS CASH MANAGEMENT INBOUND INTERFACE
- IN-004 FMS PAYMENT OUTBOUND INTERFACE
- IN-005 FMS WARRANT INBOUND INTERFACE

| FMS INTERFACES | |
|---|--|
| City's Financial Management System (FMS) custom application | |
| Name of the System | City Financial Management System - FMS |
| Vendor | CGI AMS |
| Name of Interface | FMS CASH MANAGEMENT INBOUND INTERFACE |
| Inbound | Connect to FMS centralized repository database and extract the transactions for LAHD from City Controller's financial system (FMS) for reconciliation process. |
| Frequency of the inbound Interface | Daily |
| Name of Interface | FMS PAYMENT OUTBOUND INTERFACE |
| Outbound | Send approved AP invoices from AP tables to City Controller's financial system (FMS) |
| Frequency of the outbound interface | At transaction close or daily |
| Name of Interface | FMS WARRANT INBOUND INTERFACE |
| Inbound | Receive payment data from City Controller's financial system (FMS) and load into Oracle Accounts Payable tables for reconciliation process |
| Frequency of the inbound Interface | Daily |

Detail:

- IN-003 FMS CASH MANAGEMENT INBOUND INTERFACE

This interface provides the ability to connect to FMS centralized repository database and extract the transactions for LAHD into .CSV file and load into Oracle Cash Management interface tables for reconciliation process. This extract will be the official bank statement for this reconciliation process.

- IN-004 FMS PAYMEN OUTBOUND INTERFACE

AP invoices and payments will be maintained in Oracle EBS. Although LAHD maintains its own financial records, it must interface payment information with the City Controller's financial system (FMS) as the City will generate warrants (checks) from the City of Los Angeles to its vendors or employees.

- IN-005 FMS WARRANT INBOUND INTERFACE

All disbursements are made by the City Controller's financial system (FMS) which issues checks that need to be subsequently created in Oracle for reconciliation purposes. Payments are made in FMS based on the Payment vouchers sent by Oracle EBS (via the FMS PAYMENT OUTBOUND INTERFACE). In order to reconcile payments in Oracle EBS, FMS sends an inbound "Warrants" file with the payment and check details. This inbound interface loads payment data from City FMS to Oracle tables.

HDTIME INTERFACES INCLUDING:

- IN-006 HDTIME EMPLOYEE INFO INBOUND INTERFACE
- IN-007 HDTIME PROJECT COSTING INBOUND INTERFACE
- IN-008 HDTIME TASK DETAILS OUTBOUND INTERFACE
- IN-009 HDTIME TO GL INBOUND INTERFACE

| HDTIME INTERFACE | |
|---|---|
| LAHD HDTIME (Harbor Department Time Keeping System) is a third-party system developed and implemented specially for Harbor Department and is currently used by Harbor employees as the time keeping system. | |
| Name of the System | Harbor Department Time Keeping System – HDTIME |
| Vendor | Custom developed by Hess & Associates |
| Operation System | Virtual Window Server 2012 (on premise) |
| Database | Oracle 12c database |
| Data Format | .csv |
| Name of Interface | HDTIME EMPLOYEE INFO INBOUND INTERFACE |
| Inbound | Transfer new employee information from LAHD's current payroll system (HDTIME) to Oracle Human Resources (HR) module |
| Frequency of the inbound Interface | Daily |

| Name of Interface | HDTIME PROJECT COSTING INBOUND INTERFACE |
|-------------------------------------|--|
| Inbound | Transfer projects/grants related labor cost from LAHD's current payroll system (HDTime) to Oracle Projects/Grants module |
| Frequency of the inbound Interface | Bi-weekly |
| Name of Interface | TASK DETAILS OUTBOUND INTERFACE |
| Outbound | Send project task details from Oracle EBS to LAHD's current payroll system (HDTime) |
| Frequency of the outbound interface | Daily |
| Name of Interface | HDTIME TO GL INBOUND INTERFACE |
| Inbound | Transfer labor costs from LAHD's current payroll system (HDTime) to Oracle General Ledger (GL) module |
| Frequency of the inbound Interface | Bi-weekly |

Detail:

- N-006 HDTIME EMPLOYEE INFO INBOUND INTERFACE

This interface is to import new employee data from LAHD's current payroll system (HDTime) to Oracle Human Resources (HR). As part of this interface, only new employee data will be loaded from HDTime into Oracle HR using Oracle's available API's. Any updates to employee related data including employee terminations and employee assignments to Organizations, Locations, and Jobs etc. will be handled manually within Oracle by the LAHD ERP team.
- IN-007 HDTIME PROJECT COSTING INBOUND INTERFACE

This interface is to import projects/grants related labor costs from HD Time to Oracle projects/grants module using available open interface tables. This interface is to ensure that all the costs related to the project/grant are accurately reflected in the Oracle Projects/Grants module for reporting purposes.
- IN-008 HDTIME TASK DETAILS OUTBOUND INTERFACE

This interface transfers Oracle project related data from Oracle EBS into .CSV format and send data file to HDTime.

- IN-009 HDTIME TO GL INBOUND

Retrieves labor costs from HDTime to Oracle General Ledger module. Labor costs including project related costs will be summarized and loaded into the Oracle General Ledger using Oracle's available open interface tables.

- Notes: HRP Workday - City's new cloud-based system for services on payroll, HR, will replace original City Payroll System (PaySR) and HDTime system by December 2022. Hence, these interfaces will be updated accordingly to integrate with HRP Workday.

KLEIN INTERFACES INCLUDING:

- IN-010 KLEIN AR CUSTOMER INBOUND INTERFACE
- IN-011 KLEIN AR INVOICES INBOUND INTERFACE
- IN-012 KLEIN-EBS OUTBOUND AR PENALTY INVOICE OUTBOUND INTERFACE

| KLEIN INTERFACE | |
|--|--|
| LAHD Klein Port Billing System V 6.9.5.12458 | |
| Name of the System | Klein Port |
| Vendor | Saab Technologies Ltd. |
| Database | Microsoft SQL Server Version 2012 |
| Name of Interface | KLEIN AR CUSTOMER INBOUND INTERFACE |
| Inbound | Receive customer information from Klein to Oracle Account Receivables (AR) module |
| Frequency of the outbound Interface | Daily, Weekdays Only |
| Name of Interface | KLEIN AR INVOICES INBOUND INTERFACE |
| Inbound | Receive billing invoices information from Klein to Oracle Account Receivables (AR) module |
| Frequency of the inbound Interface | Daily, Weekdays Only |
| Name of Interface | KLEIN-EBS OUTBOUND AR PENALTY INVOICE OUTBOUND INTERFACE |
| Outbound | Extract Oracle Account Receivable late payment data from Oracle EBS to be manually imported into Klein |
| Frequency of the outbound Interface | Monthly (process initiated by AR staff within ERP application) |

Detail:

- IN-010 KLEIN AR CUSTOMER INBOUND INTERFACE

This interface transfers customer information from Klein to Oracle EBS Accounts Receivable (AR) module. Oracle EBS uses the interfaced data from Klein to create customer master data in Oracle.

- IN-011 KLEIN AR INVOICES INBOUND

This interface transfers all billing invoices data from Klein into Oracle Account Receivable. (AR). All the billing data received from Klein is needed for Oracle Receivables to successfully integrate invoicing transactions to Oracle General Ledger (GL) module.

- IN-012 KLEIN-EBS OUTBOUND AR PENALTY INVOICE OUTBOUND INTERFACE

This interface is initiated manually by running a concurrent program within Oracle EBS to calculate/generate the late payment data. Once this is done, the late payment data can be exported in .CSV format to the share drive within Oracle EBS. The data in the .CSV is imported manually into Klein by AR staff once the data has been reviewed and finalized.

3. IN-013 LOCKBOX INBOUND INTERFACE

| Name of Interface | LOCKBOX INBOUND INTERFACE |
|---|--|
| | Interface with Wells Fargo Bank on A/R cash receipts via lockbox. |
| Name of the System | Lockbox |
| Vendor | Wells Fargo Bank |
| Inbound | Import "Lockbox" file into Oracle to create receipts and apply these receipts to open invoices in Account Receivable (AR) module |
| Frequency of the inbound Interface | Daily |

Detail:

- Lockbox is a service offered by LAHD's bank in which LAHD receives payments from their customers by mail to a post office box and the bank picks up the payments and deposits it in LAHD's bank account. The bank informs LAHD of all the payments received by providing a flat file (text file) for LAHD to import into Oracle. This flat file is referred to as the Lockbox file. LAHD uses this Lockbox file in Oracle AR to create receipts and apply these receipts to the open invoices.
- Current bank service provider for this module is Wells Fargo and it is in the process of transition from Wells Fargo to JPMorgan Chase.

4. IN-014 OPEN DATA OUTBOUND INTERFACE

| Name of Interface | OPEN DATA OUTBOUND INTERFACE |
|---|--|
| This report is submitted to Controller's Office in relation to their Open Data Policy-the objective of which is to promote transparency and accountability for the use of public. | |
| Name of the System | Controller's Office Email System |
| Vendor | |
| Outbound | Extract the AP Payment data and send report as an email attachment from ERP to Controller's Office |
| Frequency of the outbound Interface | On demand |

Detail:

- ERP Open Data Interface is a custom concurrent program in EBS that extracts AP payment data into a CSV file and send as an email attachment to City's Controller's Office.

5. IN-015 PBCS DESKTOP INTERGRATION (INBOUND/OUTBOUND)

| Name of Interface | PBCS DESKTOP INTERGRATION (INBOUND/OUTBOUND) |
|---|--|
| PBCS is a subscription-based planning and budgeting solution built for and deployed on Oracle Public Cloud (non-govt cloud) | |
| Name of the System | Oracle PBCS |
| Vendor | Oracle |
| Inbound | Receive adopted budget information |
| Frequency of the inbound Interface | Yearly |
| Outbound | Export budgeting related information |
| Frequency of the outbound Interface | Monthly or on demand |

Detail:

- PBCS Inbound Interface – intergrade ERP Budget with cloud-based PBCS platform using EBS Desktop Integrator:
- PBCS Outbound Interface – export the following data from ERP then load / import into PBCS
 1. From EBS dimensions: Fund, Division, Account, Project, Program
 2. Actuals (monthly closed)
 3. Adjusted Budget (monthly closed)
 4. Adopted Adjusted (budget) (as needed: 2 dig and UB transfer)
 5. Encumbrance (monthly)
- Future enhancement: Implement direct interface with PBCS, as opposed to current flat file load. Interface will export chart of accounts, actuals, encumbrances, and adjusted budget info to PBCS, and import adopted budget info from PBCS.

6. IN-016 PCARD INBOUND INTERFACE

| Name of Interface | PCARD INBOUND INTERFACE |
|---|---|
| | Receive PCARD information from US Bank (PCARD service provider) |
| Name of the System | Bank Data Transaction System |
| Vendor | US Bank |
| Inbound | Import PCARD information into Oracle EBS iExpense module |
| Frequency of the inbound Interface | Monthly |

Detail:

- This interface is to load employee purchasing card (PCard) details into Oracle EBS iExpense module. The file from the Bank is in PREPOP format; this is the industry standard for the Bank transactions.

7. IN-017 PICS OUTBOUND INTERFACE

| Name of Interface | PICS OUTBOUND INTERFACE |
|--|--|
| Project Information Control System. | |
| Name of the System | PICS – Project Information Control System |
| Vendor | Access Database, custom application |
| Outbound | Send labor cost and payment data to PICS for Capital Project Management. |
| Frequency of the outbound Interface | Daily |

Detail:

- This interface is to transform AP payment information into .CSV format and send the data file to the PICS system.

- ❖ Future enhancement

8. MAINTSTAR INTERFACES INCLUDING:

- IN-018 MAINTSTAR INBOUND INTERFACE
- IN-019 MAINTSTAR OUTBOUND INTERFACE

| MAINTSTAR INTERFACE | |
|---|--|
| LAHD Construction and Maintenance Work Order Management System – MaintStar (Not currently interfaced) | |
| Name of the System | Computerized Maintenance Management System (CMMS) |
| Vendor | Maintstar |
| Name of Interface | MAINTSTAR INBOUND INTERFACE |
| Inbound | Receive Work Order information with MaintStar work order numbers, labor, allocated to work orders, job facility numbers, etc. |
| Frequency of the inbound Interface | At Transaction Close |
| Name of Interface | MAINTSTAR OUTBOUND INTERFACE |
| Outbound | Send labor cost including supplies, equipment costs, invoices, authority numbers, payment info, and the hours and corresponding labor rates based on when the charge occurs from ERP to CMMS to maintain consistency |
| Frequency of the outbound Interface | Periodically |

Detail:

- This interface provides the ability to import or export data from LAHD CMMS (Computerized Maintenance Management System) MaintStar system for work order tracking.
- Authority Numbers are purchase order or requisition numbers.
- Payment info includes the check number, check amount, and check date.

Attachment 10 EBS Lift & Shift RACI

| SQL-ARCH - Lift and Shift | OCI Architect | POLA SQL DBA | KPMG Tech Team | POLA Tech team | Comments |
|--|--------------------|---------------|----------------|----------------|--------------------------------|
| Lift and Shift to OCI | | | | | |
| BOM Delivery | R | I | I | C,I | Completed as pre requisities |
| SQL-Environment Setup | R | I | I | C,I | Completed as pre requisities |
| SQL Server Certification for the Version that is supported | R | I | I | C,I | Completed as pre requisities |
| Install and Smoke test for Windows SQL VM Infrastructure on to the OCI | R | I,R | I | C,I | Completed as pre requisities |
| Push SQL DB data from On-Prem to OCI including the Executables for Install | I | R | I | C,I | |
| Install SQL 2016 including SSRS Option (Upgrade from SQL 2008 to SQL 2019) | I | R | I | C,I | |
| Load the Data | I | R | I | C,I | |
| Smoke Test | I | R | I | C,I | |
| Business Users | I | R | I | C,I | |
| Backup Module SQL Server DB | I | R | I | C,I | |
| EBS-ARCH - Lift and Shift of Infrastructure | KPMG OCI Architect | POLA Apps DBA | KPMG Tech Team | POLA Tech team | Comments |
| Establish Compartment, Group, and User | R,A | | I | C,I | Completed as pre requisities |
| Establish a Virtual Cloud Network and Associated Network Resources | R,A | | I | C,I | Completed as pre requisities |
| Prepare the On-Premises Oracle E-Business Suite Application Tier | R,A | | I | C,I | |
| Create a Database Instance on the OCI DB System | R,A | | I | C,I | |
| Clone and Configure an Oracle E-Business Suite Database Tier on the DB System Instance | C,I | R,A | I | C,I | |
| Create an Instance to Host the Oracle E-Business Suite Application Tier | R,A | C,I | I | I | |
| Deploy and Configure an Oracle Cloud Infrastructure Load Balancer (Optional) | R,A | | I | C,I | This is optional |
| Configure Transport Layer Security and Web Entry Point Access if Not Using a Load Balancer (Conditional) | | | I | C,I | This is dependent on 25th step |
| Configure Secure Access for WebLogic Server Admin Port | C,I | R,A | I | C,I | |
| Configure Forms and Concurrent Processing for Oracle RAC (Conditionally Required) | I | R,A | I | C,I | |
| Apply Quarterly Database Release Update (Optional) | I | R,A | I | C,I | |
| EBS-ARCH - Security Enablement of Read-only Responsibilities | | | | | |
| Scope Confirmation - Meeting Session | I | R | I | A,C,I | |
| Validation session | I | R | I | R,A,C,I | |
| Detailed Design of EBS-ARCH Scope | I | R,A | I | C,I | |
| Approval of the design of EBS-ARCH Scope | I | C,I | I | R,A | |
| End the existing Responsibilities of EBS-ARCH | I | R,A | I | C,I | |
| Create and Configure Read-only Responsibilities (TBD) | I | R,A | I | C,I | |
| Test and Remediate EBS-Archive Solution (TBD) | I | R,A | I | R,A | |

Attachment 11

SQL Archive Reports Inventory

| Name | Path |
|------------------------------------|---|
| AR Customer Account List | /Mainframe Vendor/AR Reports/AR Customer Account List |
| AR Customer Closed Item Removal | /Mainframe Vendor/AR Reports/AR Customer Closed Item Removal |
| AR Customer Closed Items | /Mainframe Vendor/AR Reports/AR Customer Closed Items |
| AR Customer Information | /Mainframe Vendor/AR Reports/AR Customer Information |
| AR Customer Open Items | /Mainframe Vendor/AR Reports/AR Customer Open Items |
| AR Customer Open Items All | /Mainframe Vendor/AR Reports/AR Customer Open Items All |
| AR Customer Purged Item Removal | /Mainframe Vendor/AR Reports/AR Customer Purged Item Removal |
| AR Customer Purged Items | /Mainframe Vendor/AR Reports/AR Customer Purged Items |
| AST Supplier Errors | /Mainframe Vendor/AST Supplier Errors |
| DEX Accounting | /Mainframe Vendor/DEX Accounting |
| DEX Headers | /Mainframe Vendor/DEX Headers |
| DEX Vendors | /Mainframe Vendor/DEX Vendors |
| EWO | /Mainframe Vendor/EWO |
| FA Asset List | /Mainframe Vendor/FA Reports/FA Asset List |
| FA Asset Record Information | /Mainframe Vendor/FA Reports/FA Asset Record Information |
| FA Asset Tax and Manu List | /Mainframe Vendor/FA Reports/FA Asset Tax and Manu List |
| FA Policy Control Levels | /Mainframe Vendor/FA Reports/FA Policy Control Levels |
| Financial Controller Batch Headers | /Mainframe Vendor/Financial Controller/Financial Controller Batch Headers |
| Financial Controller Details | /Mainframe Vendor/Financial Controller/Financial Controller Details |
| Fleet Listing | /Mainframe Vendor/Fleet Listing |
| Fuel Truck | /Mainframe Vendor/Fuel Truck |
| GasBoy | /Mainframe Vendor/GasBoy |
| Gasboy Monthly Gasoline Usage | /Mainframe Vendor/Gasboy Monthly Gasoline Usage |
| GasBoy Usage | /Mainframe Vendor/GasBoy Usage |
| GL Menu | /Mainframe Vendor/GL Menu |
| GL Account Center Balance | /Mainframe Vendor/GL Reports/GL Account Center Balance |
| GL Account Center Balance 2 | /Mainframe Vendor/GL Reports/GL Account Center Balance 2 |
| GL Account Center Balances All | /Mainframe Vendor/GL Reports/GL Account Center Balances All |
| GL Account List | /Mainframe Vendor/GL Reports/GL Account List |
| GL Accounts by Center | /Mainframe Vendor/GL Reports/GL Accounts by Center |
| GL Budget Account Center Balance | /Mainframe Vendor/GL Reports/GL Budget Account Center Balance |
| GL By Acct Date | /Mainframe Vendor/GL Reports/GL By Acct Date |
| GL Center List | /Mainframe Vendor/GL Reports/GL Center List |

| | |
|--------------------------------|---|
| GL Centers by Account | /Mainframe Vendor/GL Reports/GL Centers by Account |
| GL Company Policy | /Mainframe Vendor/GL Reports/GL Company Policy |
| GL Transaction Detail | /Mainframe Vendor/GL Reports/GL Transaction Detail |
| GL Transaction Detail by Range | /Mainframe Vendor/GL Reports/GL Transaction Detail by Range |
| Legacy Mainframe Tape Data | /Mainframe Vendor/Legacy Mainframe Tape Data |
| Vendor Menu | /Mainframe Vendor/Vendor Menu |
| AP Paying Entities | /Mainframe Vendor/Vendor/AP Paying Entities |
| AP Use Tax | /Mainframe Vendor/Vendor/AP Use Tax |
| FMIS Check Lookup | /Mainframe Vendor/Vendor/FMIS Check Lookup |
| PaymentDetail | /Mainframe Vendor/Vendor/PaymentDetail |
| Payments | /Mainframe Vendor/Vendor/Payments |
| AP Payments | /Mainframe Vendor/Vendor/Payments Folder/AP Payments |
| AP Payments 2 | /Mainframe Vendor/Vendor/Payments Folder/AP Payments 2 |
| AP Payments 3 | /Mainframe Vendor/Vendor/Payments Folder/AP Payments 3 |
| PO Comments | /Mainframe Vendor/Vendor/PO Comments |
| PO Header General Information | /Mainframe Vendor/Vendor/PO Header General Information |
| PO Line Information | /Mainframe Vendor/Vendor/PO Line Information |
| PO List by Number | /Mainframe Vendor/Vendor/PO List by Number |
| PO List by Vendor | /Mainframe Vendor/Vendor/PO List by Vendor |
| Purchasing Buying Entities | /Mainframe Vendor/Vendor/Purchasing Buying Entities |
| Purchasing Ship To Codes | /Mainframe Vendor/Vendor/Purchasing Ship To Codes |
| PURWARE | /Mainframe Vendor/Vendor/PURWARE |
| Vendor 1099 List | /Mainframe Vendor/Vendor/Vendor 1099 List |
| Vendor Detail | /Mainframe Vendor/Vendor/Vendor Detail |
| Vendor Invoice Detail | /Mainframe Vendor/Vendor/Vendor Invoice Detail |
| Vendor Invoice Detail 2 | /Mainframe Vendor/Vendor/Vendor Invoice Detail 2 |
| Vendor Invoices | /Mainframe Vendor/Vendor/Vendor Invoices |
| Vendor Invoices By PO | /Mainframe Vendor/Vendor/Vendor Invoices By PO |
| Vendor List by Name | /Mainframe Vendor/Vendor/Vendor List by Name |
| Vendor List by Number | /Mainframe Vendor/Vendor/Vendor List by Number |
| Vendor Work Order Payments | /Mainframe Vendor/Vendor/Vendor Work Order Payments |
| WO JF Last Date Used | /Mainframe Vendor/WO JF Last Date Used |

| ID | Unique ID | % Complete | Task Mode | Task Name | Duration | Baseline Start | Start | Baseline Finish | Finish |
|------|-----------|------------|-----------|--|----------|----------------|--------------|-----------------|--------------|
| 1 | 1 | 55% | WBS | PORT OF LA - ORACLE CLOUD IMPLEMENTATION | 0d | Sat 6/18/22 | Mon 5/9/22 | Mon 11/4/24 | NA |
| 2 | 2 | 100% | WBS | VISION | 157d | Sat 6/18/22 | Sat 6/18/22 | Tue 1/24/23 | Tue 1/24/23 |
| 3 | 868 | 100% | WBS | Project Governance Plan (Vi-1) | 64d | Mon 7/11/22 | Mon 7/11/22 | Fri 10/7/22 | Fri 10/7/22 |
| 20 | 865 | 100% | WBS | Integrated Project Plan (Vision and Validate) (Vi-3) | 31d | Mon 7/11/22 | Mon 7/11/22 | Mon 8/22/22 | Mon 8/22/22 |
| 32 | 1520 | 100% | WBS | Software Procurement | 70d | Mon 7/11/22 | Mon 7/11/22 | Fri 10/14/22 | Fri 10/14/22 |
| 40 | 870 | 100% | WBS | Finance Data Model & Enterprise Financial Structure Strategy (Vi-10) | 86d | Mon 7/11/22 | Mon 7/11/22 | Mon 11/7/22 | Mon 11/7/22 |
| 149 | 871 | 100% | WBS | High Level Future State Vision & Roadmap (Vi-9) | 137d | Mon 7/18/22 | Mon 7/18/22 | Tue 1/24/23 | Tue 1/24/23 |
| 163 | 675 | 100% | WBS | Integrations, Data Archiving & Conversions | 90d | Sat 6/18/22 | Sat 6/18/22 | Fri 10/21/22 | Fri 10/21/22 |
| 218 | 718 | 100% | WBS | Environment Strategy & Plan (Vi-12) | 53d | Mon 7/11/22 | Mon 7/11/22 | Thu 9/22/22 | Thu 9/22/22 |
| 235 | 692 | 100% | WBS | Security & Controls Strategy (Vi-11) | 59d | Mon 7/11/22 | Mon 7/11/22 | Fri 9/30/22 | Fri 9/30/22 |
| 256 | 639 | 100% | WBS | Change Management (Vi-4, Vi-5, Vi-6, Vi-7, Vi-8) | 35d | Thu 7/14/22 | Thu 7/14/22 | Thu 9/1/22 | Thu 9/1/22 |
| 303 | 878 | 100% | WBS | Report Inventory (Vi-13) | 43d | Mon 7/25/22 | Mon 7/25/22 | Thu 9/22/22 | Thu 9/22/22 |
| 309 | 1519 | 100% | WBS | Kick-off Presentation (Vi-2) | 4d | Fri 9/9/22 | Fri 9/9/22 | Thu 9/15/22 | Thu 9/15/22 |
| 314 | 1607 | 100% | WBS | Vision - Confirm Phase Completion | 0d | Fri 8/19/22 | Fri 8/19/22 | Fri 8/19/22 | Fri 8/19/22 |
| 317 | 26 | 88% | WBS | VALIDATE | 0d | Thu 7/2/22 | Thu 7/2/22 | Thu 11/9/23 | NA |
| 318 | 880 | 100% | WBS | Integrated Project Plan (Construction and Deploy) (Va-1) | 206d | Thu 7/7/22 | Thu 7/7/22 | Thu 4/20/23 | Thu 4/20/23 |
| 327 | 1616 | 100% | WBS | DELIVERABLE - Integrated Project Plan (Va-1) | 100d | Mon 1/2/23 | Mon 1/2/23 | Fri 5/19/23 | Fri 5/19/23 |
| 331 | 988 | 99% | WBS | Integration Strategy (Va-10) | 0d | Thu 7/7/22 | Thu 9/29/22 | Mon 1/23/23 | NA |
| 344 | 1663 | 99% | WBS | Data Migration Strategy (Va-11) | 30d | Mon 4/3/23 | Mon 4/3/23 | Fri 5/12/23 | Fri 5/12/23 |
| 348 | 1668 | 100% | WBS | DELIVERABLE - Data Migration Strategy (Va-11) | 55d | Mon 1/30/23 | Mon 1/30/23 | Mon 4/17/23 | Fri 4/14/23 |
| 352 | 1686 | 99% | WBS | Global Finance Data Model & Enterprise Financial Structure (Va-7) | 30d | Mon 8/29/22 | Mon 8/29/22 | Fri 10/7/22 | Fri 10/7/22 |
| 357 | 1703 | 50% | WBS | DELIVERABLE - Finance Data Model & Enterprise Structure (Va-7) | 256d | Thu 7/7/22 | Thu 7/7/22 | Tue 4/25/23 | Mon 7/3/23 |
| 361 | 7115 | 92% | WBS | Review & Update ARIS Process Models | 263d | Fri 8/26/22 | Fri 8/26/22 | Mon 8/28/23 | Mon 8/28/23 |
| 397 | 996 | 89% | WBS | Target Operating Model (TOM) (Va-6) | 282d | Mon 8/22/22 | Mon 8/22/22 | Fri 6/9/23 | Tue 9/19/23 |
| 580 | 35 | 98% | WBS | Deviation List (Va-8) | 0d | Thu 7/7/22 | Thu 7/7/22 | Thu 10/26/23 | NA |
| 591 | 40 | 99% | WBS | Initial Configuration Workbooks | 0d | Mon 9/12/22 | Mon 9/12/22 | Mon 10/30/23 | NA |
| 599 | 45 | 100% | WBS | CHANGE MANAGEMENT (Va-2, Va-3, Va-4, Va-5) | 85d | Mon 8/15/22 | Mon 8/15/22 | Fri 12/9/22 | Fri 12/9/22 |
| 650 | 70 | 100% | WBS | Implement Environment Strategy | 253d | Mon 8/22/22 | Mon 8/22/22 | Tue 8/8/23 | Tue 8/8/23 |
| 660 | 82 | 100% | WBS | Define Test Strategy | 74d | Mon 8/1/22 | Mon 8/1/22 | Thu 11/10/22 | Thu 11/10/22 |
| 665 | 87 | 100% | WBS | CRP 0 | 82d | Mon 10/10/22 | Mon 10/10/22 | Tue 1/31/23 | Tue 1/31/23 |
| 697 | 107 | 44% | WBS | Development Object List (Va-9) | 448d | Mon 10/17/22 | Mon 10/17/22 | Fri 6/16/23 | Tue 7/9/24 |
| 708 | 123 | 26% | WBS | Reporting Strategy (Va-12) | 289d | Mon 10/3/22 | Mon 10/3/22 | Thu 11/9/23 | Thu 11/9/23 |
| 716 | 127 | 100% | WBS | Roles List and Data Security Requirements (Va-14) | 244d | Mon 8/22/22 | Mon 8/22/22 | Wed 7/26/23 | Wed 7/26/23 |
| 726 | 1645 | 100% | WBS | Draft Risk and Controls Matrix (Va-15) | 56d | Mon 8/22/22 | Mon 8/22/22 | Mon 11/7/22 | Mon 11/7/22 |
| 736 | 3418 | 41% | WBS | CONSTRUCT | 0d | Thu 7/7/22 | Mon 5/9/22 | Wed 2/21/24 | NA |
| 737 | 5063 | 95% | WBS | Project Management Track | 0d | Mon 1/9/23 | Tue 3/7/23 | Mon 4/3/23 | NA |
| 743 | 5064 | 17% | WBS | Change Management Track | 0d | Thu 7/7/22 | Thu 7/7/22 | Fri 1/5/24 | NA |
| 880 | 6333 | 61% | WBS | Business Transformation Track | 56d | Mon 7/10/23 | Wed 5/10/23 | Tue 7/25/23 | Tue 7/25/23 |
| 888 | 5136 | 81% | WBS | Technical Track | 297d | Tue 11/1/22 | Tue 11/1/22 | Fri 12/22/23 | Fri 12/22/23 |
| 1075 | 5559 | 38% | WBS | Application Configuration | 649d | Thu 7/7/22 | Mon 5/9/22 | Wed 2/21/24 | Wed 11/6/24 |
| 1913 | 8674 | 0% | WBS | SIT | 0d | Thu 7/7/22 | Mon 5/1/23 | Mon 12/18/23 | NA |
| 2048 | 488 | 0% | WBS | DEPLOY | 0d | Thu 7/7/22 | Fri 7/28/23 | Mon 7/1/24 | NA |
| 2049 | 6362 | 0% | WBS | Change Management | 171d | Fri 7/28/23 | Fri 7/28/23 | Fri 3/29/24 | Fri 3/29/24 |
| 2128 | 6418 | 0% | WBS | Business Transformation Track | 96d | Mon 12/4/23 | Mon 12/4/23 | Wed 4/17/24 | Wed 4/17/24 |
| 2252 | 6541 | 0% | WBS | Change Management | 0d | Thu 7/7/22 | Thu 1/18/24 | Tue 6/18/24 | NA |
| 2351 | 6595 | 0% | WBS | Technical Track | 125d | Tue 1/9/24 | Tue 1/9/24 | Mon 7/1/24 | Mon 7/1/24 |
| 2378 | 8636 | 0% | WBS | EVOLVE | 90d | Tue 7/2/24 | Tue 7/2/24 | Mon 11/4/24 | Mon 11/4/24 |
| 2379 | 8637 | 0% | WBS | Provide Post Go-Live Support | 90d | Tue 7/2/24 | Tue 7/2/24 | Mon 11/4/24 | Mon 11/4/24 |
| 2380 | 8638 | 0% | WBS | Manage Project Close and Transition | 90d | Tue 7/2/24 | Tue 7/2/24 | Mon 11/4/24 | Mon 11/4/24 |
| 2381 | 6055 | 61% | WBS | EPM | 0d | Thu 7/7/22 | Thu 7/7/22 | Fri 3/8/24 | NA |
| 2382 | 6056 | 79% | WBS | EPBCS & EPRCS | 0d | Thu 7/7/22 | Thu 7/7/22 | Fri 3/8/24 | NA |
| 2403 | 7754 | 0% | WBS | EPBCS CRP2 | 127d | Fri 5/26/23 | Sat 7/15/23 | Mon 1/15/24 | Mon 1/15/24 |
| 2433 | 8670 | 0% | WBS | LIFT AND SHIFT | 155d | Tue 7/18/23 | Tue 7/18/23 | Mon 2/26/24 | Mon 2/26/24 |
| 2434 | 5530 | 0% | WBS | Environments - Lift and Shift - EBS-SQL-ARCH | 34d | Tue 7/18/23 | Tue 7/18/23 | Fri 9/1/23 | Fri 9/1/23 |
| 2446 | 5541 | 0% | WBS | EBS-ARCH: Lift and Shift to OCI | 69d | Thu 11/16/23 | Thu 11/16/23 | Mon 2/26/24 | Mon 2/26/24 |
| 2464 | 6010 | 21% | WBS | Debt & Treasury (SYMPRO) | 82d | Thu 3/30/23 | Thu 3/30/23 | Thu 8/31/23 | Fri 7/21/23 |
| 2465 | 6011 | 99% | WBS | Phase 1: Project Initiation and Project Plan Development | 11d | Thu 3/30/23 | Thu 3/30/23 | Thu 4/13/23 | Thu 4/13/23 |
| 2469 | 6015 | 2% | WBS | Phase 2: Debt Management | 33d | Fri 4/14/23 | Fri 4/14/23 | Wed 5/31/23 | Wed 5/31/23 |
| 2484 | 6029 | 0% | WBS | Phase 3: Investment Management Implementation | 0d | Fri 6/16/23 | Mon 6/5/23 | Fri 6/30/23 | Mon 6/5/23 |
| 2493 | 6038 | 0% | WBS | Phase 4: GL Interface Implementation | 36d | Mon 7/3/23 | Mon 6/5/23 | Thu 8/31/23 | Fri 7/21/23 |
| 2504 | 6049 | 0% | WBS | Phase 4: User Acceptance Tests | 0d | Tue 7/11/23 | Mon 6/5/23 | Mon 8/7/23 | Mon 6/5/23 |
| 2508 | 6053 | 0% | WBS | Phase 5: Project Close Out | 0d | Tue 8/8/23 | Mon 6/5/23 | Tue 8/8/23 | Mon 6/5/23 |
| 2510 | 8384 | 0% | WBS | ENVIRONMENTS - MAINTENANCE & CLONES | 256d | Mon 3/27/23 | Mon 3/27/23 | Mon 3/25/24 | Mon 3/25/24 |
| 2511 | 8385 | 0% | WBS | Clone for SIT Testing Event: Oracle SaaS - DEV2 to TEST1 | 0d | Wed 5/31/23 | Wed 5/31/23 | Wed 5/31/23 | Wed 5/31/23 |
| 2512 | 8386 | 0% | WBS | Clone for SIT Testing Event: Oracle SaaS - PROD to DEV2 | 0d | Mon 5/8/23 | Mon 5/8/23 | Mon 5/8/23 | Mon 5/8/23 |
| 2513 | 8387 | 0% | WBS | Clone for SIT Testing Event: Oracle SaaS - TEST to DEV1 | 0d | Mon 3/27/23 | Mon 3/27/23 | Mon 3/27/23 | Mon 3/27/23 |
| 2514 | 8388 | 0% | WBS | Clone for UAT Testing Event: Oracle SaaS - PROD to TEST | 0d | Mon 9/25/23 | Mon 9/25/23 | Mon 9/25/23 | Mon 9/25/23 |
| 2515 | 8389 | 0% | WBS | Clone for UAT Testing Event: Oracle SaaS - DEV2 to DEV1 | 0d | Mon 9/18/23 | Mon 9/18/23 | Mon 9/18/23 | Mon 9/18/23 |
| 2516 | 8390 | 0% | WBS | Clone for Cutover and Go-Live Support: Oracle SaaS - PROD to DEV1 | 0d | Mon 3/4/24 | Mon 3/4/24 | Mon 3/4/24 | Mon 3/4/24 |
| 2517 | 8391 | 0% | WBS | Clone for Cutover and Go-Live Support: Oracle SaaS - PROD to DEV2 | 0d | Mon 3/4/24 | Mon 3/4/24 | Mon 3/4/24 | Mon 3/4/24 |
| 2518 | 8392 | 0% | WBS | Clone for Cutover and Go-Live Support: Oracle SaaS - PROD to TEST | 0d | Mon 3/25/24 | Mon 3/25/24 | Mon 3/25/24 | Mon 3/25/24 |
| 2519 | 8899 | 20% | WBS | Project Management | 320d | Thu 4/13/23 | Thu 4/13/23 | Tue 7/9/24 | Tue 7/9/24 |
| 2520 | 8900 | 20% | WBS | Maintain Project Plan | 320d | Thu 4/13/23 | Thu 4/13/23 | Tue 7/9/24 | Tue 7/9/24 |

| sK updates Pola IPP 5.17 | | | | | | | | | |
|--------------------------|-----------|------------|-----------|-------------------|----------|----------------|-------------|-----------------|------------|
| ID | Unique ID | % Complete | Task Mode | Task Name | Duration | Baseline Start | Start | Baseline Finish | Finish |
| 2521 | 8901 | 20% | | Schedule Meetings | 320d | Thu 4/13/23 | Thu 4/13/23 | Tue 7/9/24 | Tue 7/9/24 |

Attachment 13
Deliverable Expectation Documents (DEDs)

| | | | | | | | | | | | | | | | | | |
|---|---|--------------|--|-------------|-------------|--------|-------------|----------|------------|------------|----------|----------------------|---------------------|-------------------|------------------------------------|--|--|
| Deliverable Id | Va-1 | Name | Integrated Project Plan (Construct - Deploy) | | | | | | | | | | | | | | |
| Phase | 2 - Validate | Track | PMO | Type | Deliverable | | | | | | | | | | | | |
| Description | <p>Defines and outlines the project work schedule – including the task, task duration, task start/end dates, task dependencies (predecessor/successor), task owners, deliverables, and project milestones - for the Construct and Deploy phases. This plan includes all project tasks and dependencies regardless of which party is responsible for completing the task. The IPP will contain the following task fields:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">WBS ID</td> <td style="width: 50%;">Description</td> </tr> <tr> <td>Duration</td> <td>% Complete</td> </tr> <tr> <td>Start Date</td> <td>End Date</td> </tr> <tr> <td>Assigned Resource(s)</td> <td>Baseline Start Date</td> </tr> <tr> <td>Baseline End Date</td> <td>Dependency (predecessor/successor)</td> </tr> <tr> <td colspan="2">Constraints (start/finish dates, etc.)</td> </tr> </table> | | | | | WBS ID | Description | Duration | % Complete | Start Date | End Date | Assigned Resource(s) | Baseline Start Date | Baseline End Date | Dependency (predecessor/successor) | Constraints (start/finish dates, etc.) | |
| WBS ID | Description | | | | | | | | | | | | | | | | |
| Duration | % Complete | | | | | | | | | | | | | | | | |
| Start Date | End Date | | | | | | | | | | | | | | | | |
| Assigned Resource(s) | Baseline Start Date | | | | | | | | | | | | | | | | |
| Baseline End Date | Dependency (predecessor/successor) | | | | | | | | | | | | | | | | |
| Constraints (start/finish dates, etc.) | | | | | | | | | | | | | | | | | |
| Sub-Deliverables / Milestones | | | | | | | | | | | | | | | | | |
| Format | Microsoft Project (MPP) file | | | | | | | | | | | | | | | | |
| Customer Role / Responsibilities | 1. Provide input and review tasks in the project plan 2. Communicate to NITI new resources and designated percent of work for each task assign to be added to project plan | | | | | | | | | | | | | | | | |
| Systems Integrator Role / Responsibilities | 1. Update Integrated project plan task to include project work schedule , task duration, task start/end dates, task dependencies (predecessor/successor), task owners, deliverables, and project milestones, date, completion % and resources. | | | | | | | | | | | | | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | | | | | | | | | | | | | |
| Acceptance Criteria | All necessary task and dependencies are completed as specified by each party. | | | | | | | | | | | | | | | | |
| Deliverable/Milestone Assumptions: | | | | | | | | | | | | | | | | | |
| 1. IPP will be owned by the PMO | | | | | | | | | | | | | | | | | |
| 2. The IPP is a living document and, once baselined, will be updated weekly based on project progress | | | | | | | | | | | | | | | | | |

| | | | | | |
|---|---|--------------|---------------------------------------|-------------|-------------|
| Deliverable Id | Va-2 | Name | Value Management Governance Framework | | |
| Phase | 2 - Validate | Track | OCM | Type | Deliverable |
| Description | This framework is intended to ensure that key business decisions that could affect the course and outcome of the project align with the agreed upon expected benefits in the Value Charter. The framework is part of the key business decision process and as each key decision goes through the process of completion it helps confirm how the key decisions align with the identified expected benefits measures. | | | | |
| Sub-Deliverables / Milestones | For each design decision in JIRA a field was added to select which expected benefit(s) align with the decision | | | | |
| Format | Microsoft PowerPoint/PDF | | | | |
| Customer Role / Responsibilities | 1. Keep expected benefit(s) in mind when making key business decisions | | | | |
| Systems Integrator Role / Responsibilities | 1. Add field to JIRA to select expected benefit(s) 2. Keep expected benefits(s) in mind when making key business decisions 3. Select which expected benefit(s) are aligned with the decisions made | | | | |
| Entrance Criteria (predecessor deliverable) | Leadership to align on expected benefits in the Value Charter | | | | |
| Acceptance Criteria | Approval of framework of alignment for key business decisions and expected benefit(s) | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Agreement between Port and KPMG change impacts at said point in time | | | | | |
| 2. Confirms each key business decisions aligns with expected benefits(s) in the Value Charter | | | | | |
| | | | | | |
| | | | | | |

| | | | | | |
|---|--|--------------|-------------------------------------|-------------|-------------|
| Deliverable Id | Va-3 | Name | Change Management Strategy and Plan | | |
| Phase | 2 - Validate | Track | OCM | Type | Deliverable |
| Description | <p>Strategy and plan for addressing and executing change management (including Communications Strategy) throughout the program; establishes change activities, high-level timeline and techniques pertaining to stakeholder engagement, communications, and organization readiness.</p> <p>Note: Strategy should be iteratively built throughout Validate phase.</p> | | | | |
| Sub-Deliverables / Milestones | Communication Strategy | | | | |
| Format | Microsoft PowerPoint/PDF | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Stakeholder interviews 2. Make reasonable effort to participate in change activities and execute where necessary | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Develop strategy and plan to address and execute change management throughout the transformation 2. Establish change activities, stakeholder engagement techniques and timeline, communication vehicles, timing, key messages, etc., and determine how to gauge organizational readiness | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Agreed upon strategy to begin executing | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. LAHD leadership will proactively support and participate in the change mgmt. activities (as necessary) | | | | | |
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| Deliverable Id | Va-4 | Name | Change Impact Assessment | | |
| Phase | 2 - Validate | Track | OCM | Type | Deliverable |
| Description | Assesses the impact a change will have on departments and roles as a result of new and/or different processes, technology, policies, roles and responsibilities, decisions, or information. | | | | |
| Sub-Deliverables / Milestones | Stakeholder interviews, validate sessions | | | | |
| Format | Microsoft PowerPoint/PDF | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Inform of current business process if different from future business process 2. Determine how new roles map to current roles | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Track change impacts in JIRA if future business process is different from current 2. Work with BSAs to understand which roles will be impacted by the change 3. Determine which roles will have the most change impact and address accordingly | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Documented Change Impacts at said point in time | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Agreement between Port and KPMG change impacts at said point in time | | | | | |
| 2. This is a living document and will continue to be updated as business decisions are made which impact LAHD | | | | | |
| 3. LAHD to inform of other key change impacts not listed | | | | | |
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| Deliverable Id | Va-5 | Name | Communication Plan (Validation) | | |
| Phase | 2 - Validate | Track | OCM | Type | Deliverable |
| Description | Identifies key program communications required to enable Validate activities and includes a refined set of proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. | | | | |
| Sub-Deliverables / Milestones | Communication Tracker | | | | |
| Format | Microsoft Excel, PowerPoint/PDF | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Stakeholder interviews through meetings 2. Approve all communications for all audience groups 3. Deploy communications | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Learn LAHD's effective method(s) of communication 2. Determine key messages, determine audiences, determine timing 3. Draft all communications for each audience/stakeholder group | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Approval of audience groups, proposed messages, dates, & vehicles for validate phase | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Approved communications are deployed to appropriate audience/stakeholder groups | | | | | |
| 2. Key audience/stakeholder groups are listed in the communications plan | | | | | |
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| Deliverable Id | Va-6 | Name | Target Operating Model (TOM) | | |
| Phase | 2 - Validate | Track | Functional | Type | Deliverable |
| Description | An Operating Model is a conceptual representation of an organization's structures, capabilities, and processes. The Target Operating Model (TOM) deliverable describes the organization's desired future state across the six layers for each in-scope process (including the design requirements that will support the configuration of Oracle Fusion Applications): a new global solution design for an Operating Model that can achieve the desired business outcomes and strategic objectives. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft Power Point, PDF of ARIS Process Flows | | | | |
| Customer Role / Responsibilities | 1. Validate require information for design structure 2. Make reasonable effort to adopt the Powered solution. | | | | |
| Systems Integrator Role / Responsibilities | 1. Provide business transformations, future state and prioritized list of required changes to the environment and within the finance operations. 2. Utilize leading Powered Enterprise Process Taxonomy to review the Finance, EPM, Procurement and projects level 3 process that will lead to LAHD's transformed operations. 3. Execute validation workshops leveraging KPMG's Powered environments for demonstration purposes only | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Review all TOM components | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Business owners have reviewed sign off the TOM deliverables for their respective workstreams | | | | | |
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| Deliverable Id | Va-7 | Name | Global Finance Data Model & Enterprise Structure | | |
| Phase | 2 - Validate | Track | Functional | Type | Deliverable |
| Description | Defines the global data model required for the foundational application setup. This deliverable includes the structure for the chart of accounts and related segments, which drives the specific legal, managerial, and functional reporting for the enterprise as well as the enterprise structure. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft PowerPoint, Excel | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Provide COA Segments 2. Designate an individual who has the requisite skills, knowledge and/or experience to provide design feed back 3. Provide timely input for requests and design changes | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Provide workshops and deep dives to constitute in depth discussions of LAHD's COA 2. Design a COA structure that will provide efficient, and accurate operations of Accounts 3. Create and maintain an accurate COA Structure | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Initial COA design agreed upon by LAHD Core project leads and NITI/KPMG with understanding there could be continue adjustments when identified and necessary | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. COA structure is identified | | | | | |
| 2. Value for each segments is reviewed and initially approved | | | | | |
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| Deliverable Id | Va-8 | Name | Deviation List | | |
| Phase | 2 - Validate | Track | Functional | Type | Deliverable |
| Description | A prioritized list of LAHD specific functional requirements that will be used to baseline requirements (freezing) and agreeing on the purpose and scope of the solution at a level that allows for detailed investigation of what the deviation/requirement imply. The MoSCoW (Must have, Should have, Could have or Won't have) technique will be used to indicate what is inside or outside scope. | | | | |
| Sub-Deliverables / Milestones | Va - 8.1, Va - 8.2 | | | | |
| Format | Microsoft PowerPoint | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Port of Los Angeles provides a list of functional requirements 2. Review deviation list and provide feedback | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Compile Deviation List by documenting MoSCOW to identify what is inside/outside scope | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Review that majority of LAHD requirements are identified and in progress for MOSCOW rating and close out | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Spot check in time, additions may continue through CRP 2 | | | | | |
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| Deliverable Id | Va-9 | Name | Development Object List | | |
| Phase | 2 - Validate | Track | Technical | Type | Deliverable |
| Description | A prioritized list of LAHD specific development requirements e.g. reports, integrations and conversions that will be used to baseline the development scope (freezing) and agreeing on the purpose of each object at a level that allows for detailed investigation of what the requirements imply. The MoSCoW technique is used to indicate what is inside or outside scope. | | | | |
| Sub-Deliverables / Milestones | Va - 9.1, Va - 9.2 | | | | |
| Format | Microsoft Word, PowerPoint | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Provide development requirement 2. Provide information to determine what is inside and out of scope 3. Discuss MoSCoW items that are required by law and are must haves | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Compile Development Object List 2. Determine MoSCoW items that are in and out of scope 3. Communicate with LAHD the MoSCoW items and the effect/affect on the department processes. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Complete MoSCoW list compiled from workshops and deep dives. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Present to LAHD a complete MoSCoW list with the pos/neg effects to assist in acceptance or not accepting | | | | | |
| 2. Review and discussion of milestones to determine the impact of changes to specific processes. | | | | | |
| 3. Ensure Must Haves are addressed and enabled for LAHD's use | | | | | |

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| Deliverable Id | Va-10 | Name | Integration Strategy | | |
| Phase | 2 - Validate | Track | Technical | Type | Deliverable |
| Description | Defines the high-level integration requirements that will provide a baseline upon which to build an effective integration approach. This deliverable outlines the differing integration platform scenarios and how the various data objects could be addressed through each platform scenario. Additionally, it documents key architectural principles and the initial catalog of integrations required and volumetric information to inform the design going forward. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft Word, PowerPoint | | | | |
| Customer Role / Responsibilities | 1. Review integration strategy plan and provide feedback to System Integrator | | | | |
| Systems Integrator Role / Responsibilities | Develop, Document, and Implement the Integration strategy with the Integration approach by using different Integration patterns, a list of integrations, a future state diagram etc. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Discussion and review of multiple integration platforms with an understanding of the strategy to implement each. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Continue to be updated based on the change in the integration list and business decisions. | | | | | |
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| Deliverable Id | Va-11 | Name | Data Migration Strategy | | |
| Phase | 2 - Validate | Track | Technical | Type | Deliverable |
| Description | Defines the approach for performing the migration and conversion of data from the legacy system(s) to the Oracle Fusion Application system, including specific data objects, rationale, and sequence. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft Word | | | | |
| Customer Role / Responsibilities | 1. Review the data migration strategy, provide feedback | | | | |
| Systems Integrator Role / Responsibilities | 1. Identify requirements for data to include Legal or statutory purposes, historical reporting and audit purposes, and data no longer required. 2. Document and implement the data migration strategy with conversion approach by using the KPMG Cloud Conversion tool, list of conversions, listing out the assumptions and data migration approach | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | All data migration strategy with conversion approach are documented. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| All data migration and conversion approach will outline the strategy to be used. | | | | | |
| Ensure completeness and accuracy of data converted and continuity of data, tables, balances and their relationship. | | | | | |
| Make sure the completeness and accuracy of data, tables, values, balances are addressed. | | | | | |
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| Deliverable Id | Va-12 | Name | Reporting Strategy | | |
| Phase | 2 - Validate | Track | Technical | Type | Deliverable |
| Description | <p>Outlines the structural foundation to be further refined by LAHD and Team Niti, inclusive of key reporting elements for in-scope Oracle modules and processes as well as the framework for reporting from the people, process, organization, and systems perspective. Team Niti will consider multiple reporting options including BI Publisher, Oracle Transactional Business Intelligence (OTBI), Smart View, Financial Reporting Web Studio, and BI Cloud Connector (BICC). Team Niti will analyze the best tool to use for each report and will leverage the reports that are already part of the KPMG Powered Enterprise (KPE) methodology.</p> | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft Word, PowerPoint | | | | |
| Customer Role / Responsibilities | <p>To provide the current process for reporting in EBS To provide a list of current reports used by Port, and reporting needed by port.</p> | | | | |
| Systems Integrator Role / Responsibilities | <p>Business transformation and mitigation from on-premise EBS platform to future state Create and implement a new strategy in oracle cloud that will support current and future state reporting needs.</p> | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | <p>New reporting strategy created in Oracle cloud. LAHD will review and approve.</p> | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| A comprehensive reporting strategy that will identify/develop new reporting needs, and that will enhance or support current supproting need. | | | | | |
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| Deliverable Id | Va-14 | Name | Roles List and Data Security Requirements | | |
| Phase | 2 - Validate | Track | Technical | Type | Deliverable |
| Description | A list of all the powered applications roles and any custom roles including data security requirements identified during the Validate workshops | | | | |
| Sub-Deliverables / Milestones | Va - 14.1, Va - 14.2 | | | | |
| Format | Microsoft Excel | | | | |
| Customer Role / Responsibilities | Completed all validation process areas to define the roles require | | | | |
| Systems Integrator Role / Responsibilities | Through the validation process required roles and their abilities are defined, and implemented. | | | | |
| Entrance Criteria (predecessor deliverable) | Completing the validate sessions/workshops to determine any deviations from KPMG Powered | | | | |
| Acceptance Criteria | Security roles are aligned with business processes from the Target Operating Model. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| Following the validate sessions the system integrator assemble a list of roles linked to moscow tickets in the Jira system which make up the preliminary list and requirements for the build of roles from collaboration with LAHD. | | | | | |
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| Deliverable Id | Va-15 | Name | Draft Risk and Controls Matrix | | |
| Phase | 2 - Validate | Track | Functional | Type | Deliverable |
| Description | A spreadsheet containing list of risks and controls objectives mapped to the level 4 functional process including any gaps against powered risk and controls | | | | |
| Sub-Deliverables / Milestones | Va - 15.1, Va - 15.2 | | | | |
| Format | Microsoft Excel | | | | |
| Customer Role / Responsibilities | Provide business process/IT risk and controls matrix. | | | | |
| Systems Integrator Role / Responsibilities | Provide and implement KPMG Powered risk and control objectives as Defined in the Target Operating Model (GAP Analysis). | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Risks and controls objectives are aligned with the TOM process. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| Following the validate sessions they system integrator will map the recommended controls from the Niti team library to target operating model processes. Where LAHD is able to provide existing controls, the NITI team will map those to the control listing in collaboration with LAHD. | | | | | |
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| Deliverable Id | C-1 | Name | Integrated Project Work Plan (Deploy- Evolve) | | | | | | | | | | | | | | |
| Phase | 3 - Construct | Track | PMO | Type | Deliverable | | | | | | | | | | | | |
| Description | <p>Defines and outlines the project work schedule – including the task, task duration, task start/end dates, task dependencies (predecessor/successor), task owners, deliverables, and project milestones - for the Construct and Deploy phases. This plan includes all project tasks and dependencies regardless of which party is responsible for completing the task. The IPP will contain the following task fields:</p> <table border="0"> <tr> <td>WBS ID</td> <td>Description</td> </tr> <tr> <td>Duration</td> <td>% Complete</td> </tr> <tr> <td>Start Date</td> <td>End Date</td> </tr> <tr> <td>Assigned Resource(s)</td> <td>Baseline Start Date</td> </tr> <tr> <td>Baseline End Date</td> <td>Dependency (predecessor/successor)</td> </tr> <tr> <td>Constraints (start/finish dates, etc.)</td> <td></td> </tr> </table> | | | | | WBS ID | Description | Duration | % Complete | Start Date | End Date | Assigned Resource(s) | Baseline Start Date | Baseline End Date | Dependency (predecessor/successor) | Constraints (start/finish dates, etc.) | |
| WBS ID | Description | | | | | | | | | | | | | | | | |
| Duration | % Complete | | | | | | | | | | | | | | | | |
| Start Date | End Date | | | | | | | | | | | | | | | | |
| Assigned Resource(s) | Baseline Start Date | | | | | | | | | | | | | | | | |
| Baseline End Date | Dependency (predecessor/successor) | | | | | | | | | | | | | | | | |
| Constraints (start/finish dates, etc.) | | | | | | | | | | | | | | | | | |
| Sub-Deliverables / Milestones | None | | | | | | | | | | | | | | | | |
| Format | Microsoft Project (MPP) file | | | | | | | | | | | | | | | | |
| Customer Role / Responsibilities | 1. Provide input and review tasks in the project plan 2. Communicate to NITI new resources and designated percent of work for each task assign to be added to project plan | | | | | | | | | | | | | | | | |
| Systems Integrator Role / Responsibilities | <p>1. Update Integrated project plan task to include project work schedule , task duration, task start/end dates, task dependencies (predecessor/successor), task owners, deliverables, and project milestones, date, completion % and resources.</p> <p>2. Report and Mitigate Risks and Issues</p> | | | | | | | | | | | | | | | | |
| Entrance Criteria (predecessor deliverable) | VA-1 IPP Validate Phase | | | | | | | | | | | | | | | | |
| Acceptance Criteria | All necessary task and dependencies are completed as specified by each party. | | | | | | | | | | | | | | | | |
| Deliverable/Milestone Assumptions: | | | | | | | | | | | | | | | | | |
| 1. IPP owned by PMO | | | | | | | | | | | | | | | | | |
| 2. Communciation of new resources from Port as hired | | | | | | | | | | | | | | | | | |
| 3. IPP is a living document and updated based on project events | | | | | | | | | | | | | | | | | |
| 4. IPP will be updated based on changes within the project as necessary | | | | | | | | | | | | | | | | | |

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| Deliverable Id | C-2 | Name | Test Plan (CRP / SIT) | | |
| Phase | 3 - Construct | Track | Functional | Type | Deliverable |
| Description | <p>The Test Plan outlines the details and logistics to execute the respective testing iteration in terms of theme, objectives, entry and exit criteria, structure, schedule, and required resources. The document contains:</p> <ul style="list-style-type: none"> - An overview of the approach to be taken to prepare and execute the tests - A description of the roles and responsibilities for testing activities - A definition of the test cycles, test scripts, entry & exit criteria, and roles & responsibilities | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | MS Word | | | | |
| Customer Role / Responsibilities | 1. Availability of LAHD to provide feedback and approval of communicated test plan | | | | |
| Systems Integrator Role / Responsibilities | 1. Provide a comprehensive test plan to LAHD leadership team | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Written comprehensive Test plan in terms of theme, objectives, entry/exit criteria, schedule, and resources | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Presentation of a comprehensive test plan. | | | | | |
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| Deliverable Id | C-3 | Name | Communication Plan (Construct) | | |
| Phase | 3 - Construct | Track | OCM | Type | Deliverable |
| Description | Identifies key program communications required to enable Construct activities and includes a refined set of proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. | | | | |
| Sub-Deliverables / Milestones | Communication tracker | | | | |
| Format | Microsoft Excel, PowerPoint | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Stakeholder interviews through meetings 2. Approved all communications for all audience 3. Deploy communications | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Learning the Port effective method of communication 2. Determine key messages, determine audience and timing 3. Draft all communications for each audience/stakeholder | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Approval of audience group, proposed messages, dates and vehicles for construct phase. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Approved communications are deployed to appropriate audience/stakeholder groups | | | | | |
| 2. Key audience/stakeholder groups are listed in the communications plan | | | | | |

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| Deliverable Id | C-5 | Name | Role Impact Summaries | | |
| Phase | 3 - Construct | Track | OCM | Type | Deliverable |
| Description | The Role Impact Summary outlines changes by role to job tasks and processes between current and future state roles and enables users to start to understand the new ways of working. | | | | |
| Sub-Deliverables / Milestones | C - 5.1, C - 5.2 | | | | |
| Format | Microsoft PowerPoint | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Send document on the organization structure to provide division needs 2. Send current EBS Roles | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Mapping change impact to the future system roles that create the journey to show how the process will be impacted and new ways of working. | | | | |
| Entrance Criteria (predecessor deliverable) | TOM and Security Roles needs to completed and approved. Decision made on mapping of future roles | | | | |
| Acceptance Criteria | Review change impact per role | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Key change impacts are listed appropriately | | | | | |
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| Deliverable Id | C-6 | Name | Org Readiness Assessment | | |
| Phase | 3 - Construct | Track | OCM | Type | Deliverable |
| Description | Includes a baseline Organizational Readiness dashboard for applicable functions / stakeholder groups. Assesses readiness and necessary mitigation tactics. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft PowerPoint, Qualtrics | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Leadership to promote employees taking surveys. 2. Employees and stakeholders taking the surveys | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Creating surveys to gather feedback 2. Analyzing data from the surveys 3. Develop keep findings and recommendations | | | | |
| Entrance Criteria (predecessor deliverable) | Approve communication plan | | | | |
| Acceptance Criteria | Review key findings and recommendations | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. If necessary, recommendations for mitigations tactics are acted upon | | | | | |
| 2. Stakeholders will participate in the assessments and leaderships will proactively support the participation | | | | | |
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| Deliverable Id | C-7 | Name | End-User Training Needs Analysis | | |
| Phase | 3 - Construct | Track | OCM | Type | Deliverable |
| Description | Diagnostic framework used to identify process and technology capability gaps and determine how they can be addressed through training. Note: Skills/talent assessments are not in scope. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft PowerPoint | | | | |
| Customer Role / Responsibilities | 1. Organization structure and head count by new role | | | | |
| Systems Integrator Role / Responsibilities | 1. Leverage change impact capture to identify the learning needs by role across processes. | | | | |
| Entrance Criteria (predecessor deliverable) | TOM and Security Roles needs to completed and approved. Decision made on mapping of future roles | | | | |
| Acceptance Criteria | Acknowledgement of the learning needs by role | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Key change impacts are listed to address through training | | | | | |
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| Deliverable Id | C-8 | Name | End-User Training Strategy & Plan | | |
| Phase | 3 - Construct | Track | OCM | Type | Deliverable |
| Description | Based on the Training Need Analysis, identifies stakeholder groups that require training, the levels of training needed by each group, and the methods of training that should be utilized. Outlines accountability for developing, reviewing, and executing training | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft PowerPoint | | | | |
| Customer Role / Responsibilities | 1. Review of training method and needs of audience group | | | | |
| Systems Integrator Role / Responsibilities | 1. Developing training strategy methods and levels of training for each audience group 2. Development of accountability structure 3. Creating timeline for training execution 4. Execution of the end-user training strategy/plan | | | | |
| Entrance Criteria (predecessor deliverable) | TOM and Security Roles needs to be completed and approved. Decision made on mapping of future roles. Training need analysis complete | | | | |
| Acceptance Criteria | Review training method and needs of audience group | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Key audience/stakeholder groups are listed in plan | | | | | |
| 2. Accountability structure is agreed upon | | | | | |
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| Deliverable Id | C-9 | Name | End-User Training Curriculum | | |
| Phase | 3 - Construct | Track | OCM | Type | Deliverable |
| Description | Outlines proposed training topics and structure by role in order for users to learn new policies, systems, and processes. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft Excel, PowerPoint | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Validate curriculum, execute logistics 2. Schedule actual dates with end users | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Develop role based curriculum based on number of people and degree of change impact. 2. Develop learning course, dates, logistics and instructor details 3. Conduct the training sessions | | | | |
| Entrance Criteria (predecessor deliverable) | TOM and Security Roles needs to completed and approved. Decision made on mapping of future roles. Training need analysis complete | | | | |
| Acceptance Criteria | Review and acceptance of the curriculum | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Key audience/stakeholder groups are listed | | | | | |
| 2. Key processes are listed | | | | | |
| 3. Necessary individuals are invited to the appropriate trainings | | | | | |
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| Deliverable Id | C-10 | Name | Test Strategy | | |
| Phase | 3 - Construct | Track | Functional | Type | Deliverable |
| Description | Defines the approach to testing by examining the characteristics of the system to be built, approach, focus and entry/exit criteria for the testing iterations/events (e.g. CRP, SIT, UAT) | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | | | | | |
| Customer Role / Responsibilities | 1. Review, approve, and provide feedback of test strategy provided by Niti Team | | | | 2. Review and approve QA environment plans |
| Systems Integrator Role / Responsibilities | 1. Define the testing strategy approach and communicate with LAHD 2. Define the entrance/exit criteria iteration for CRP, SIT, and UAT 3. Identify and address any foreseeable problems in the testing strategy | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | A testing strategy that identifies and address system built approach, entrance /exit criteria | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. A comprehensive testing strategy that will allow for a thorough testing event | | | | | |
| 2. Communication of testing strategy to LAHD team | | | | | |

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| Deliverable Id | C-11 | Name | Functional Designs | | |
| Phase | 3 - Construct | Track | Functional | Type | Deliverable |
| Description | Detailed designs for specific Oracle Fusion Application development objects (e.g. reports, interfaces, and enhancements) which include a functional essay, business objectives, business requirements, definition of terms, reference to business scenario that the design is covering, examples of the desired business behavior, business rules that drive the use case behavior, assumptions that form the basis for the solution, details descriptions of the data and interface behavior. It should also include a detailed report layout and description for reporting requirements. | | | | |
| Sub-Deliverables / Milestones | C - 11.1, C - 11.2 | | | | |
| Format | Word, Excel, PowerPoint | | | | |
| Customer Role / Responsibilities | 1. Review all functional requirements documents developed by the Niti team | | | | |
| Systems Integrator Role / Responsibilities | 1. Develop Functional requirements documents, including conceptual, logical and physical data models for Enrichment services. | | | | |
| Entrance Criteria (predecessor deliverable) | Approve integration inventory, reporting development list and conversion list | | | | |
| Acceptance Criteria | | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1.Integration Inventory | | | | | |
| 2. Reporting Development list | | | | | |
| 3. Conversion list | | | | | |
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| Deliverable Id | C-12 | Name | Data Mapping Specifications | | |
| Phase | 3 - Construct | Track | Technical | Type | Deliverable |
| Description | Source and target system data dictionary that shows how data from source system maps to data in target system in an Oracle required format. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Confluence page as MS Word or PDF | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Provide the business requirements 2. Review the Functional specifications, and provide feedback and signoff | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Documenting the Functional specification for each Conversion separately to capture the business requirements, data mapping, and transformations. 2. Documenting the Functional specification for each Integration separately to capture the business requirements, data mapping, and transformations. 3. Apply Mapping to Data Extracts. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | All stated functional specifications for integration and conversion were captured. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Functional specification contains the business requirements and data mapping | | | | | |
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| Deliverable Id | C-13 | Name | Configuration Workbooks | | |
| Phase | 3 - Construct | Track | Functional | Type | Deliverable |
| Description | Workbooks containing the initial LAHD specific application configuration used to setup Oracle Fusion Application modules to meet the approved deviations. These Configuration Workbooks will be used to configure the Iteration 2 – SIT environment and transitioned to LAHD for final ownership and updates/maintenance going forward (i.e. UAT to Production) | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft Excel | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Review and approve design decisions 2. Provide data require for configuration (i.e. list of values) 3. Periodical review and provide feedback on configuration | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Capture end document configuration requirements | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Configuration Workbook with communciated and approved deviations documented | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| <ol style="list-style-type: none"> 1. Development of a completed Configuration workbook 2. Documentation of approved deviations | | | | | |

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| Deliverable Id | C-14 | Name | Functional Test Cases | | |
| Phase | 3 - Construct | Track | Functional | Type | Deliverable |
| Description | Test Case that includes test objectives and test scripts for functional system testing. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | | | | | |
| Customer Role / Responsibilities | 1. Review and Approve Test Cases | | | | |
| Systems Integrator Role / Responsibilities | 1. Prototype new scenarios in test environments to support design efforts 2. Develop, document and maintain Integration testing procedures in the Process and Procedures Manual | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Review by LAHD and Sign Off | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Test Cases will be developed and delivered specific to Ports processes | | | | | |

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| Deliverable Id | C-15 | Name | Data Conversion Test Plan | | |
| Phase | 3 - Construct | Track | Technical | Type | Deliverable |
| Description | Conversion testing guide per data load outlining the load and validation process. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft ;confluence | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Creation of legacy data extracts 2. Responsible for extracting legacy data from source systems into the provided file format 3. Validation of converted data objects loaded into Oracle Cloud back to legacy systems to confirm data quality. 4. Determine when and process to restrict access to the legacy system 5. Coordinate within departments and third parties required to conduct testing services. 6. Review testing results for compliance with policies, procedures, regulatory standards plans and test criteria and matrices. 7. Validate changes into cloud system for compliance with client security policies. | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Loading data objects into the Oracle Fusion Application 2. Handle Business rules, errors, and data discrepancies 3. Assist with the data cleansing approach 4. Perform assessment and implement a data archive solution for historical data 5. Conduct walk-throughs of applicable test results with client-appointed representatives 6. Work to correct defects found as a result of testing efforts | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Review by LAHD and Sign Off. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. A testing plan that outlines the load and validation process for data conversions. | | | | | |

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| Deliverable Id | C-16 | Name | Integration Architecture | | |
| Phase | 3 - Construct | Track | Technical | Type | Deliverable |
| Description | A detailed description of components of Oracle Platform as a service, cloud integration framework, technical architecture, deployment architecture and operational aspects. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | MS Word and Visio | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Provide feed back to the new integration architecture and operational plan 2. Provide knowledge of current oracle integrations architecture | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. To disclose and execute the components and services of the current Oracle Integration Cloud (OIC) framework, technical Architecture of the Oracle Cloud Infrastructure (OCI), deployment architecture, and operational aspects. 2. Coordinate cloud system testing configurations, including coordination with the client or client's vendor in regard to system software, network, capacity, and other requirements needed for testing. 3. Coordinate, develop, and maintain test data in client-approved repositories. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Review and acceptance by LAHD of all components discussed regarding the cloud integration framework. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| <ol style="list-style-type: none"> 1. Detail designed integration architecture. 2. All OCI configurations will be in compliance with LAHD Security and Network policies. | | | | | |

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| Deliverable Id | C-17 | Name | Technical Designs | | |
| Phase | 3 - Construct | Track | Technical | Type | Deliverable |
| Description | Technical design for specific Oracle Fusion Application development objects (e.g. reports, interfaces, workflows and enhancements) which include all the technical components required to satisfy the functional design including the interface designs, navigation logic, reporting designs, subject area designs, validation logic, SQL pseudo code, performance considerations, business rules, system flow diagram and installation considerations. | | | | |
| Sub-Deliverables / Milestones | C - 17.1, C - 17.2 | | | | |
| Format | Confluence page as MS Word or PDF | | | | |
| Customer Role / Responsibilities | 1. Will review the tech design and provide their feedback and signoff | | | | |
| Systems Integrator Role / Responsibilities | 1. Analyze and implement the business requirements and document the Technical design for each Conversion, integration separately on how its design to address the business requirements and transformations, flow diagram, object details, flow diagrams etc. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Business requirements and document technical design for each conversion. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Functional specification contains the business requirements and technical designs | | | | | |
| 2. All functional assumptions are capture as part of FDD | | | | | |
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| Deliverable Id | C-18 | Name | Security Workbook | | |
| Phase | 3 - Construct | Track | Technical | Type | Deliverable |
| Description | Security workbook will include all roles required to setup the production environment to meet the scope and requirements agreed to through the Validate and Construct phases. Design changes as a result of the SOD analysis will be incorporated in the security workbook deliverable. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft Excel | | | | |
| Customer Role / Responsibilities | 1. Review and provide feed back of design of roles | | | | |
| Systems Integrator Role / Responsibilities | 1. Design, Build and test application security roles as per the Va-14 requirements and document the detailed design as part of C-18 2. Perform Role level Segregation of Duties (SOD) Analysis and share observation and recommendations 3. Update SIT Test Scripts with Application Security Roles 4. Automate Security Provisioning for Roles and Data Access 5. Provide knowledge transfer to LAHD System Administrators | | | | |
| Entrance Criteria (predecessor deliverable) | VA-14 Roles List and Data Security Requirements | | | | |
| Acceptance Criteria | Cover all roles noted from VA-14. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Identify and develop application roles that covers validate and construct scope and requirements. | | | | | |

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| Deliverable Id | C-19 | Name | Data Archive Solution | | |
| Phase | 3 - Construct | Track | Technical | Type | Deliverable |
| Description | <p>Lift and shift of EBS (database and application layer) from on premise hardware to Oracle Cloud Infrastructure (OCI) on an IaaS cloud environment. EBS roles will be changed to "Read-only" to allow existing users access to run reports for historical purposes.</p> <p>Lift and shift of the SQL Archive from on premise hardware to OCI on an IaaS cloud environment, to include both Active Directory authentication and SQL Server Reporting Service (SSRS) utility and reports inventory.</p> <p>Following the implementation of the Data Archive Solution, LAHD will review the solution against requirements provided to ensure the solution meets expected needs and provide final approval in writing.</p> | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | N/A | | | | |
| Customer Role / Responsibilities | LAHD will review the solution against requirements provided to ensure the solution meets expected needs and provide final approval in writing. | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Design, Build, and test Data Archive Solution 2. Provide detailed documentation on the Data Archive Solution. This includes procedures: <ol style="list-style-type: none"> (a) How to configure the EBS "Read-Only" mode in OCI. (b) How to turn off the retired EBS application | | | | |
| Entrance Criteria (predecessor deliverable) | N/A | | | | |
| Acceptance Criteria | LAHD review and approval of EBS and SQL Archive Lift and Shift and testing of Data Archive Solution. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| Perform manual lift and shift approach for EBS data | | | | | |

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| Deliverable Id | D-1 | Name | Hyper Care Plan | | |
| Phase | 4 - Deploy | Track | Functional | Type | Deliverable |
| Description | Postproduction support plan, procedures, resources identified and trained and ready for support | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | MS Word | | | | |
| Customer Role / Responsibilities | 1.Feedback of communciated Hypercare plan 2.Identify LAHD resources to support the Hypercare plan | | | | |
| Systems Integrator Role / Responsibilities | 1. Provide a plan a post production support plan that will address procedures, resources available for support; this should also include regression testing of Oracle Cloud Quarterly releases in the test/dev environment. 2. Provide post production support with the existing KPMG implementation team (as specified in the Project Organization Chart) 3. Provide trained resources | | | | |
| Entrance Criteria (predecessor deliverable) | Approval of Constuct Phase Stage Gate | | | | |
| Acceptance Criteria | Approval of Hypercare plan | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Post production support plan | | | | | |
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| Deliverable Id | D-2 | Name | Cutover Plan | | |
| Phase | 4 - Deploy | Track | Functional | Type | Deliverable |
| Description | Detailed step-by-step cutover execution plan that outlines the sequences of all necessary steps, processes, cutoffs, communications, and data migration activities. This will also include a Sunsetting Strategy for LAHD legacy systems. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft word; Powerpoint | | | | |
| Customer Role / Responsibilities | 1. Available for technical assistance during before, after, and during cutover execution | | | | |
| Systems Integrator Role / Responsibilities | 1. Finalize Production Cutover Plan prior to go live 2. Finalize production support plan and procedures Initiate cutover execution plan to begin go live activities 3. | | | | |
| Entrance Criteria (predecessor deliverable) | Approval of Construct Phase Stage Gate | | | | |
| Acceptance Criteria | <p>A detailed cutover plan describing each cutover task needed to complete the migration to production and operational support, and the sequence of events that must be followed to complete the migration successfully. The deliverable will include an MS Project schedule and/or excel spreadsheet. For all tasks required to complete the Go-Live, the schedule will include:</p> <ul style="list-style-type: none"> * Start date/time. * End date/time. * Primary resource assigned. * Secondary resource assigned. * Predecessor tasks. * Comments. | | | | |
| 1. Cutover plan that addresses all necessary steps, processes, cutoffs, communications, and data migration activities. | | | | | |

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| Deliverable Id | D-3 | Name | Knowledge Transfer Plan | | |
| Phase | 4 - Deploy | Track | Functional | Type | Deliverable |
| Description | Plan to document and communicate development knowledge to appropriate LAHD stakeholders | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Micorsoft Word | | | | |
| Customer Role / Responsibilities | 1. Review of communciated Knowledge Transfer plan | | | | |
| Systems Integrator Role / Responsibilities | 1. Develop Knowledge Transfer plan that can be used post production 2. Finalize and Execute Knowledge transfer plan 3. Knowledge Transfer will also include regression testing of Oracle Cloud Quarterly releases. | | | | |
| Entrance Criteria (predecessor deliverable) | Approval of Constuct Phase Stage Gate | | | | |
| Acceptance Criteria | Review and approval of Knoeweledge transfer plan | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. A documented plan to outline knowledge transfer of system funciton | | | | | |
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| Deliverable Id | D-4 | Name | UAT Test Plan | | |
| Phase | 4 - Deploy | Track | Functional | Type | Deliverable |
| Description | UAT test plan, a schedule with test scripts, entry and exit criteria that indicate what has to be completed successfully to exit UAT. The plan will also include regression testing of Oracle Cloud Quarterly releases in the test/dev environment. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft Word | | | | |
| Customer Role / Responsibilities | 1. Participate in test plan reviews, recommending appropriate test environments/configurations, and determining necessary test data. | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Develop UAT Test plan 2. Conduct UAT entry/readiness event 3. Manage UAT event 4. Support User Acceptance Testing, including identification and support for Authorized Users participating in the testing. | | | | |
| Entrance Criteria (predecessor deliverable) | <p>Completed CRP/SIT Testing</p> <p>Approval of Constuct Phase Stage Gate</p> | | | | |
| Acceptance Criteria | Approval by Port | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Test plan, scripts, and entry and exist criteria | | | | | |

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| Deliverable Id | D-5 | Name | Communication Plan (Deploy) | | |
| Phase | 4 - Deploy | Track | OCM | Type | Deliverable |
| Description | Identifies key program communications required to enable Deploy activities and includes a refined set of proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. | | | | |
| Sub-Deliverables / Milestones | Communication Tracker | | | | |
| Format | Microsoft PowerPoint and Excel | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Review communications for all audience groups 2. Approve communications for all audience groups 3. Deploy communications for all audience groups | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Draft communications by audience group 2. Determine communication messages, vehicles, audiences, and dates | | | | |
| Entrance Criteria (predecessor deliverable) | Approval of Construct Phase Stage Gate | | | | |
| Acceptance Criteria | Review and approve key messages and audience groups | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Approved communications are deployed to appropriate audience/stakeholder groups | | | | | |
| 2. Key audience/stakeholder groups are listed in the communications plan | | | | | |
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| Deliverable Id | D-6 | Name | Org Readiness Assessment | | |
| Phase | 4 - Deploy | Track | OCM | Type | Deliverable |
| Description | Organizational Readiness pulse checks and aggregate dashboard for applicable functions / stakeholder groups to assess readiness and any necessary mitigation tactics. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Qualtrics/PowerPoint | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Approve pulse check survey questions 2. Review suggested mitigation tactics (if necessary) | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Develop pulse checks 2. Analyze feedback 3. Identify mitigation tactics (if necessary) | | | | |
| Entrance Criteria (predecessor deliverable) | Approval of Construct Phase Stage Gate Completion of UAT | | | | |
| Acceptance Criteria | Review assessment and suggested mitigation tactics (if necessary) | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. If necessary, recommendations for mitigation tactics are acted upon | | | | | |
| 2. Stakeholder will participate in the assessments and leadership will proactively support the participation | | | | | |
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| Deliverable Id | D-7 | Name | Train the Trainer Sessions | | |
| Phase | 4 - Deploy | Track | OCM | Type | Deliverable |
| Description | Includes the materials and facilitation of (in partnership with functional leads) sessions to educate the designated trainers on how to deliver the system training to end users. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | Microsoft PowerPoint | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Determine who the Trainers will be 2. Schedule TTT sessions 3. Logistics for TTT sessions | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Develop TTT materials 2. Facilitate TTT sessions 3. Evaluate and provide feedback | | | | |
| Entrance Criteria (predecessor deliverable) | Training Strategy and Plan, Training Curriculum, & Training Analysis Approval of Construct Phase Stage Gate | | | | |
| Acceptance Criteria | Review and approve the TTT materials | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. TTT are selected and able to execute Training to end users | | | | | |
| 2. Trainers, back up trainers, SMEs and BSAs should attend TTT sessions | | | | | |
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| Deliverable Id | D-8 | Name | Executed & Accepted UAT (Exit) | | |
| Phase | 4 - Deploy | Track | Functional | Type | Deliverable |
| Description | The agreed upon User Acceptance Testing exit criteria has been met | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft Word | | | | |
| Customer Role / Responsibilities | 1. Coordinate/support business involvement in User Acceptance test results 2. Manage functional, integration and regression test environments and associated test data, including creation and maintenance during the testing period 3. Faciliate and support UAT 4. Participate in test plan reviews, recommending appropriate test environments/configurations and determining necessary test data | | | | |
| Systems Integrator Role / Responsibilities | 1. Develop document, and maintain integration testing procuedure in the process and procedures manual 2. Provide, document and maintain users final acceptance tests 3. Support User Acceptance Testing, including identification and support for Authorized Users participation in the testing. 4. Includes any needed regression testing of Oracle Cloud Quarterly releases in the test/dev environment. | | | | |
| Entrance Criteria (predecessor deliverable) | Approved UAT Test Plan Approval of Constuct Phase Stage Gate | | | | |
| Acceptance Criteria | The agreed upon User Acceptance Testing exit criteria has been met | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Delivery of acceptable User Acceptance Testing | | | | | |

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| Deliverable Id | D-9 | Name | Configuration Workbooks | | |
| Phase | 4 - Deploy | Track | Technical | Type | Deliverable |
| Description | Application configuration workbooks will include all configurations required to setup the production environment to meet the scope and requirements agreed to through Validate and Construct | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | MS Word and Excel | | | | |
| Customer Role / Responsibilities | Review and approval of final application configuration workbook | | | | |
| Systems Integrator Role / Responsibilities | 1. Provide and implement application configuration workbooks with all configurations required to set up the production environment to meet the scope and requirements agreed to through validate and construct. | | | | |
| Entrance Criteria (predecessor deliverable) | Approval of Construct Phase Stage Gate | | | | |
| Acceptance Criteria | A complete application configuration workbook with all agreed-upon requirements through validate and Construct. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Completed Configuration Workbook | | | | | |

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| Deliverable Id | D-10 | Name | Development Objects | | |
| Phase | 4 - Deploy | Track | Technical | Type | Deliverable |
| Description | Final version of the in-scope production ready development objects (e.g. reports, integrations, enhancements) are deployed and live in the production environment. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | | | | | |
| Customer Role / Responsibilities | 1. Review and approval of finalized Development objects list | | | | |
| Systems Integrator Role / Responsibilities | 1. Delivery of finalized version of the in-scope production ready development objects to include reports, integrations, enhancements are deployed and live in the production environment | | | | |
| Entrance Criteria (predecessor deliverable) | Approval of Construct Phase Stage Gate | | | | |
| Acceptance Criteria | A complete and agreed upon development object list. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Finalized Development object list | | | | | |

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| Deliverable Id | E-1 | Name | Project Acceptance | | |
| Phase | 5-Evolve | Track | Functional | Type | Deliverable |
| Description | Final acceptance and sign-off of the project | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft Word | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Acceptance of Deliverables 2. Final Acceptance and sign off of the project | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Completion of all Deliverables | | | | |
| Entrance Criteria (predecessor deliverable) | Stage Gate Acceptance of Deploy Phase | | | | |
| Acceptance Criteria | Completion of all deliverables | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| Completion of criteria for each deliverable determined by project plan | | | | | |

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| Deliverable Id | E-2 | Name | Organizational Adoption Assessment | | |
| Phase | 5-Evolve | Track | Functional | Type | Deliverable |
| Description | Organizational Adoption pulse check assesses user adoption and identifies any necessary mitigation tactics. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft Word | | | | |
| Customer Role / Responsibilities | 1. Assess user adoption of new system | | | | |
| Systems Integrator Role / Responsibilities | 1. Support organization adoption pulse check and any identified mitigation tactics | | | | |
| Entrance Criteria (predecessor deliverable) | Stage Gate acceptance of Deploy Phase | | | | |
| Acceptance Criteria | Desired Organizational efficacy | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Organizational efficacy achieved | | | | | |

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| Deliverable Id | EXT-1.1 | Name | PMO/OCM Extension | | |
| Phase | EXT-EXTENSION | Track | PMO | Type | Milestone |
| Description | Extension of Project Management Office (PMO) and Organizational Change Management (OCM) This interim milestone will represent initial extension of PMO and OCM resources with allowance of 50% of payment). | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft | | | | |
| Customer Role / Responsibilities | In collaboration of NITI Team assist in guiding the project forward to a successful implementation. | | | | |
| Systems Integrator Role / Responsibilities | Guide the project toward a successful implementation, providing full time project management resources. | | | | |
| Entrance Criteria (predecessor deliverable) | | | | | |
| Acceptance Criteria | Successful Exit of SIT with assigned resources | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| Upon Completion of SIT | | | | | |

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| Deliverable Id | EXT-1.2 | Name | PMO/OCM Extension | | |
| Phase | EXT-EXTENSION | | PMO | Type | Milestone |
| Description | This interim milestone will represent final extension of PMO and OCM resources with allowance of the remaining 50% of payment. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Assist in identifying and mitigating any foreseeable risk that would affect a successful Deploy phase. 2. Promptly communciate any foreseeable risk that would affect a successful Deploy phase | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Identify and Mitigate any foreseeable risk that could affect a sucessful implementation up to the Deploy phase 2. Promptly communciate any foreseeable risk that would affect a successful Deploy phase. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Completion of End User Training and UAT with identified resources | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| Completion of End User Training and UAT | | | | | |
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| Deliverable Id | EXT-2 | Name | CRP 1.2 Testing Event | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Deliverable |
| Description | 8 additional weeks added to schedule for configuration, testing and execution of additional Conference Room Pilot (CRP) event | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Scripts uploaded to Zephyr | | | | |
| Customer Role / Responsibilities | 1. Assist NITI team in the configuration, testing and execution of CRP events by identifying and having available the necessary resources and materials that would be necessary for a successful CRP event | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Provide the necessary configurations and testing as identified during previous workshops, deep dives, and milestone for additional CRP events. 2. Provide working Test Scripts specific to LAHD's processes, configuration, and data 3. Complete comprehensive CRP 1.2 testing and capture results 4. Provide functioning test scripts specific to LAHD's processes, configuration, and data 5. Provide detailed schedule and list of test scenarios to be tested and LAHD resources needed to participate. Include duration of each test scenario; detailed schedule and duration should include time to summarize the findings and issues identified during the session, and to update Zephyr. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | CRP1.2 completed and accepted | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Exit Approval of CRP 1.2 | | | | | |
| 2. Provide functioning Test Scripts specific to LAHD's processes, configuration, and data | | | | | |
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|---|--|--------------|---------------------|-------------|-------------|
| Deliverable Id | EXT-3 | Name | CRP 2/SIT Extention | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Deliverable |
| Description | 5 additional weeks added to schedule for additional System Integration Testing (SIT) and capture of feedback. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Scripts uploaded to Zephyr | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Provide access to necessary systems 2. Provide prompt feed back/response to SIT testing results | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Complete comprehensive CRP2/SIT testing and capture results 2. The NITI team will communciate feedback with LAHD Team 3. The NITI team will promptly reconcile any errors or negative testing results that could affect a sucessful implemetation 4. Provide functioning test scripts specific to LAHD's processes, configuration, and data 5. Provide detailed schedule and list of test scenarios to be tested and LAHD resources needed to participate. Include duration of each test scenario; detailed schedule and duration should include time to summarize the findings and issues identified during the session, and to update Zephyr. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Completed SIT testing and issue resolution | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Exit Approval or SIT | | | | | |
| 2. Provide working Test Scripts specific to LAHD's processes, configuration, and data | | | | | |
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| Deliverable Id | EXT- 4 | Name | UAT Extension | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Deliverable |
| Description | 4 additional weeks added to schedule for additional User Acceptance Testing (UAT) and capture of feedback. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Scripts uploaded to Zephyr | | | | |
| Customer Role / Responsibilities | 1. Review and approve testing scripts prior to testing. 2. Provide resources and access to necessary systems to conduct UAT testing 3. Provide prompt feed back/response to UAT testing results 3. | | | | |
| Systems Integrator Role / Responsibilities | 1. Complete comprehensive UAT testing and capture results 2. The NITI team will communciate feedback with LAHD Team 3. The NITI team will promptly reconcile any errors or negative testing results that could affect a sucessful implemetation 4. Provide functioning test scripts specific to LAHD's processes, configuration, and data 5. Provide detailed schedule and list of test scenarios to be tested and LAHD resources needed to participate. Include duration of each test scenario; detailed schedule and duration should include time to summarize the findings and issues identified during the session, and to update Zephyr. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Completed UAT testing and issue resolution | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Exit Approval of UAT | | | | | |
| 2. Provide working Test Scripts specific to LAHD's processes, configuration, and data | | | | | |
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| Deliverable Id | EXT- 5.1 | Name | Additional Integrations | | |
| Phase | EXT-EXTENSION | Track | Technical | Type | Deliverable |
| Description | 21 additional integrations captured during Validation workshops and Conference Room Pilot (CRP) 1 Testing event. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft | | | | |
| Customer Role / Responsibilities | 1. Review and provide necessary provision, access, and support for 21 additional integrations | | | | |
| Systems Integrator Role / Responsibilities | 1. Perform system integration on Oracle Platform as a service, cloud integration framework, technical architecture, deployment architecture, and operational aspects. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Development, SIT Testing, and Issue resolution of 21 Additional Integrations on Oracle Platform. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Exit Approval of SIT | | | | | |
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|--|---|--------------|-------------------------|-------------|-------------|
| Deliverable Id | EXT- 5.2 | Name | Additional Integrations | | |
| Phase | EXT-EXTENSION | Track | Technical | Type | Deliverable |
| Description | 21 additional integrations captured during Validation workshops and Conference Room Pilot (CRP) 1 Testing event. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft | | | | |
| Customer Role / Responsibilities | 1. Review and provide necessary provision, access, and support for 21 additional integrations | | | | |
| Systems Integrator Role / Responsibilities | 1. Perform system integration on Oracle Platform as a service, cloud integration framework, technical architecture, deployment architecture, and operational aspects. | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Development, UAT Testing, and Issue resolution of 21 Additional Integrations on Oracle Platform. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Exit Approval of UAT | | | | | |
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| Deliverable Id | EXT-6.1 | Name | Additional Reports #1 | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Deliverable |
| Description | Captured over 100 currently used reports and doubling report development effort from 20 (as specified in original scope) to 40 custom reports (medium/high complexity). The interim milestone (50% of payment) will represent initial design and testing of custom reports after CRP2/SIT. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft Word | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Review and provide feedback of the detail design for Oracle Fusion Application report development objects for currently used reports and custom developed reports 2. Review and provide feed back of detailed reprot layout and description for reporting requirements | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. The NITI team will provide detailed designs (functional and technical designs) for specific Oracle Fusion Application report development objects currently used reports and custom developed reports 2. Provide detailed report layout and description for reporting requirements | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Functional/Technical designs, completed development, testing and issue resolution of 20 additional custom reports. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. EXIT APPROVAL OF SIT | | | | | |
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|--|---|--------------|-----------------------|-------------|-------------|
| Deliverable Id | EXT-6.2 | Name | Additional Reports #2 | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Deliverable |
| Description | This final milestone payment (50% of payment) will represent full acceptance of custom reports after UAT. (medium/high complexity). The total number of custom reports is 40 with 20 from the original scope and additional 20 from the extension. | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft Word (FDDs and TDDs) | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Review and provide feedback of the detail design for Oracle Fusion Application report development objects for currently used reports and custom developed reports 2. Review and provide feed back of detailed reprot layout and description for reporting requirements | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. The NITI team will provide detailed designs (functional and technical designs) for specific Oracle Fusion Application report development objects currently used reports and custom developed reports 2. Provide detailed report layout and description for reporting requirements | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Functional/Technical designs, completed development, testing and issue resolution of 20 additional custom reports. LAHD will review and approve. | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. EXIT APPROVAL OF UAT | | | | | |
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| Deliverable Id | EXT-7.1 | Name | PBCS Change | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Deliverable |
| Description | Implementation of new COA and overall planning cube Conversion and validation of 5 years of history (Final versions only) Conversion/updating of existing forms and creation of new data entry forms Conversion/Creation of any Business Rule and Member Formulas Completion of data integrations (inbound/outbound) Implement Expenditure Management Plan within EPM and ERP | | | | |
| Sub-Deliverables / Milestones | Deliver, comprehensive functional/technical Expenditure Mangement Plan design document | | | | |
| Format | | | | | |
| Customer Role / Responsibilities | 1. Review COA and provide prompt feedback of any discrepancies found | | | | |
| Systems Integrator Role / Responsibilities | Provide a Complete COA that will include Conversion and validation of 5 years of history (Final versions only), conversion/updating of existing forms and creation of new data entry forms, Conversion/Creation of any Business Rule and Member Formulas, Completion of data integrations (inbound/outbound) | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | Completion of the COA conversion and updating of line item expense planning cube | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Completion of the conversion, updating, and implementation of line item expense planning cube | | | | | |
| 2. Completion of Expenditure Management Plan | | | | | |
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|--|--|--------------|-------------|-------------|-------------|
| Deliverable Id | EXT-7.2 | Name | PBCS Change | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Deliverable |
| Description | Implementation of new COA and creation of statical account for drivers/metrics Creation of Forms for Revenue Planning Creation of new Business Rule and Member formulas Adding of any new members necessary for Revenue planning Creation of Reports Completion of data integrations (inbound/outbound) | | | | |
| Sub-Deliverables / Milestones | Completion of a new COA revenue planning cube | | | | |
| Format | Microsoft | | | | |
| Customer Role / Responsibilities | 1. Review New COA implementation and promptly provide feedback of any discrepancies. | | | | |
| Systems Integrator Role / Responsibilities | 1. Provide Implementation of new COA and creation of statical account for drivers/metrics to include Creation of Forms for Revenue Planning ,Creation of new Business Rule and Member formulas , Adding of any new members necessary for Revenue planning , and Completion of data integrations (inbound/outbound) | | | | |
| Entrance Criteria (predecessor deliverable) | EXT-7.1 | | | | |
| Acceptance Criteria | Completion of a new COA revenue planning cube | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Completion of new Revenue Planning Cube | | | | | |
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|--|--|--------------|-------------|-------------|-------------|
| Deliverable Id | EXT-7.3 | Name | PBCS Change | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Deliverable |
| Description | Creation of driver accounts Development of approximately 45 allocations Completion of data integrations (inbound/outbound) of Custom Reports/P&L Statements | | | | Creation |
| Sub-Deliverables / Milestones | Deliver, comprehensive functional/technical PCMCS design document | | | | |
| Format | Microsoft | | | | |
| Customer Role / Responsibilities | 1. Review deliverable for completion of expense allocation PCMs for customer profitability | | | | |
| Systems Integrator Role / Responsibilities | 1. Provide the development of allocation, data integrations, and drivers accounts, and P&L statments. | | | | |
| Entrance Criteria (predecessor deliverable) | EXT-7.2 | | | | |
| Acceptance Criteria | Completion of expense allocations for customer profitability | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Completion of expense allocation (PCMCS) for customer profitability | | | | | |
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| Deliverable Id | EXT-7.4 | Name | PBCS Change | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Deliverable |
| Description | Development of any KPI's/Metrics Development of inbound integrations reports migrated from Lineltem Cube | | | | Rebuild |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft | | | | |
| Customer Role / Responsibilities | 1. Review KPI's/Metrics 2. Review Development of inbound integrations | | | | |
| Systems Integrator Role / Responsibilities | 1. Deliever KPI's/Metrics and development of inbound integrations | | | | |
| Entrance Criteria (predecessor deliverable) | EXT-7.3 | | | | |
| Acceptance Criteria | Development of KPI's/Metrics and inbound integrations developed | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Completion of Reporting Cube | | | | | |
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| Deliverable Id | EXT-8 | Name | Chart of Accounts | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Deliverable |
| Description | Extensive reviews and deep dives to redesign LAHD's chart of accounts structure and related values | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | Microsoft | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Active participation in COA deep dives with necessary resources and decision makers 2. Provide necessary documentation to assist in the development of a comprehensive COA 3. Communicate any issues with the COA design that could be detrimental to a successful Go Live | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. To redesign the COA that will transform the current operational COA to capturing the necessary information needed for reporting | | | | |
| Entrance Criteria (predecessor deliverable) | None | | | | |
| Acceptance Criteria | COA with relative structure and necessary values | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Approval COA Design | | | | | |
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| Deliverable Id | EXT-9.1 | Name | Functional Resource Extension | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Milestone |
| Description | Extension of project resources This interim milestone will represent initial extension of Functional resources (50% of payment). | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Communciate with the NITI Team any changes in functional resources 2. Provide the necessary resources with knowledge to support the project to completion 3. LAHD PMO Team will load/adjust their resources in the Project plan as resources roll on and off the project | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Communciate with LAHD any changes in functional resources 2. Provide the necessary resources with experience and knowledge to supprot the project to completion 3. KPMG PMO team will ensure their resources are loaded/adjusted in Project plan for resource as resources roll on and off the project. | | | | |
| Entrance Criteria (predecessor deliverable) | Approval of Construct Phase Stage Gate | | | | |
| Acceptance Criteria | Successful Exit of SIT with assigned resources | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| Upon Completion of SIT | | | | | |
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| Deliverable Id | EXT-9.2 | Name | Functional Resource Extension | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Milestone |
| Description | This interim milestone will represent final extension of Functional resources (50% of payment). | | | | |
| Sub-Deliverables / Milestones | | | | | |
| Format | | | | | |
| Customer Role / Responsibilities | <ol style="list-style-type: none"> 1. Communicate with the NITI Team any changes in functional resources 2. Provide the necessary resources with knowledge to support the project to completion 3. LAHD PMO Team will load/adjust their resources in the Project plan as resources roll on and off the project | | | | |
| Systems Integrator Role / Responsibilities | <ol style="list-style-type: none"> 1. Communicate with LAHD any changes in functional resources 2. Provide the necessary resources with experience and knowledge to support the project to completion 3. KPMG PMO team will ensure their resources are loaded/adjusted in Project plan for resource as resources roll on and off the project. | | | | |
| Entrance Criteria (predecessor deliverable) | Approval of Deploy Phase Stage Gate | | | | |
| Acceptance Criteria | Completion of End User Training and UAT with identified resources | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| 1. Exit Approval of UAT and End User Training | | | | | |
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| Deliverable Id | EXT- 10.1 | Name | Production System Go Live | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Milestone |
| Description | The <i>Production System Go-Live</i> milestone marks the execution and completion of each task identified in the D-2 <i>Production Cutover Plan</i> deliverable being required for Go-Live, and system users can log in, access data, and input data as required in the system. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | None | | | | |
| Customer Role / Responsibilities | Complete assigned tasks as defined by the D-2 <i>Production Cutover Plan</i> . | | | | |
| Systems Integrator Role / Responsibilities | Complete assigned tasks as defined by the D-2 <i>Production Cutover Plan</i> , and; Prepare, configure, and deliver the functioning Production System. | | | | |
| Entrance Criteria (predecessor deliverable) | Deploy Stage Gate review and acceptance Accepted D-2 Production Cutover Plan | | | | |
| Acceptance Criteria | Documented completion of each task in the corresponding D-2 <i>Production Cutover Plan</i> . Stage Gate Acceptance of Evolve Phase | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| Documented completion of each task in the corresponding D-2 <i>Production Cutover Plan</i> . | | | | | |
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| Deliverable Id | EXT- 10.2 | Name | Extension of Project Acceptance | | |
| Phase | EXT-EXTENSION | Track | Functional | Type | Milestone |
| Description | The Project Acceptance milestone memorializes final acceptance and sign-off of the project. | | | | |
| Sub-Deliverables / Milestones | None | | | | |
| Format | None | | | | |
| Customer Role / Responsibilities | Ensure that production system is live, and all deliverables have been reviewed and accepted. | | | | |
| Systems Integrator Role / Responsibilities | Complete all Deliverables and Milestones for the project. | | | | |
| Entrance Criteria (predecessor deliverable) | Deploy Stage Gate review and acceptance Accepted EXT-10.1 <i>Production System Go Live</i> | | | | |
| Acceptance Criteria | EXT-10.1 <i>Production System Go Live</i> is completed and accepted. All Deliverables and Milestones have been completed and accepted. Stage Gate acceptance of Evolve Phase | | | | |
| Deliverable/Milestone Assumptions: | | | | | |
| Complete all Deliverables and Milestones for the project. | | | | | |
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EXHIBIT B-1

Compensation Rates and Fees

As compensation for the satisfactory performance of the services required by this Agreement, City agrees to pay and Consultant agrees to accept in full satisfaction thereof, the following:

The Fees for Services shall not exceed the fixed fee unless LAHD requests a change in the scope of the project in connection with those phases and such a change is agreed to by the parties in accordance with the change control process.

Deliverables that will be modified or updated prior to Go-Live have been broken into milestone/interim deliverable payments to represent the nature of the evolution of the design deliverables.

Fixed Price Deliverables:

Shall be invoiced and payable upon successful completion of each item and/or deliverable as agreed upon by the Consultant and LAHD:

Phase 0 Deliverables

| Deliverable Number | Deliverable Name | Description | Cost |
|--------------------|---------------------------------|--|---------|
| | Program Management | Phase 0 begins the business transformation and set the project forward toward a successful implementation. | No Cost |
| | Business Transformation Scoping | | |
| | Change Management | | |
| | Technology and Data | | |

EXHIBIT B-1

Vision Phase Deliverables

| Deliverable Number | Deliverable Name | Description | Cost |
|--------------------|---|---|----------|
| Vi-1 | Project Governance Plan | A Confluence page, which can be extracted into a PDF or Word document that describes the specific processes and procedures and resources necessary for the fulfilment of the project according to LAHD's stated requirements. These procedures should be established when the project is set up and ready to be executed. | \$61,640 |
| Vi-2 | Kick off presentation | Presentation used for project kick off session | \$30,820 |
| Vi-3 | Integrated Project Plan (Vision – Validate) | Defines and outlines the project work schedule – including the task, task duration, task start/end dates, task dependencies (predecessor/successor), task owners, deliverables, and project milestones for the Vision and Validate phases of the project. This plan includes all project tasks and dependencies regardless of which party is responsible for completing the task. | \$29,587 |
| Vi-4 | Consolidated List of Potential Benefits | The potential benefits are collected during the stakeholder interviews. The benefits are then consolidated from the various interview results and compiled into a list that is confirmed with project leadership and the project sponsor(s). The list will be included as part of the Value Charter deliverable. | \$34,518 |
| Vi-5 | Value Charter/Value Case | The Value Charter is an addendum to the Case for Change document. In keeping with the integrated nature of the program delivery approach the Value Charter will be integrated with the view on change and how change will be executed. | \$29,587 |
| Vi-6 | Case for Change | Outlines the rationale for undertaking a transformation, with a summary of the current state, desired future state, benefits of the transformation, and LAHD defined success criteria based on findings from the interviews and the Alignment/Visioning experiences. This document will be used as the foundation for future project communications. | \$61,640 |
| Vi-7 | Stakeholder Assessment | Documents key stakeholders' perspectives including definitions of program success, concerns, existing pain points, and expected impact. Provides an overview of the program's stakeholder landscape, anticipated impacts to certain demographics, and potential change or adoption risks by stakeholder group. | \$46,230 |
| Vi-8 | Communication Plan (Vision) | Identifies key program communications required to enable Vision activities (e.g. Visioning workshop invites and follow-up) and tentatively outlines the proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. | \$29,587 |

EXHIBIT B-1

| Deliverable Number | Deliverable Name | Description | Cost |
|----------------------------|--|---|------------------|
| Vi-9 | High Level Future State Vision and Roadmap | Outlines the organizational Vision, business operations and supporting systems with a clearly stated organizational and functional strategy and outlines supporting rationalized initiatives in a roadmap to transform current state to future state, including quick-win area identification. Also identifies and quantifies key value drivers of the project to track value realization (e.g. key benchmarks for cycle times, # of team members supporting processes, performance metrics, etc.). | \$30,820 |
| Vi-10 | Finance Data Model & Enterprise Structure Strategy | Defines the data model strategy required by the foundational application setup. This deliverable includes the strategy and structure for the chart of accounts and related segments, which drives the specific legal, managerial, and functional reporting for the enterprise as well as the strategy for the enterprise structure. | \$80,131 |
| Vi-11 | Security & Controls Strategy | Define the project strategy for integrating Cloud application controls, designing application roles, and user access management processes. | \$46,230 |
| Vi-12 | Environment Strategy & Plan | Maps out the approach and plan for the required application environments needed for the validation, construct and deploy phases and how they are used and evolve through-out the engagement. | \$43,148 |
| Vi-13 | Report Inventory | Provides listing of all of LAHD's current, active financial and operational reports and data sources. | \$92,459 |
| Vision Phase Total: | | | \$616,397 |

EXHIBIT B-1

Validate Phase Deliverables

| Deliverable Number | Deliverable Name | Description | Cost |
|--------------------|--|--|-----------|
| Va-1 | Integrated Project Plan (Construct – Deploy) | Defines and outlines the project work schedule – including the task, task duration, task start/end dates, task dependencies (predecessor/successor), task owners, deliverables, and project milestones - for the Construct and Deploy phases. This plan includes all project tasks and dependencies regardless of which party is responsible for completing the task | \$69,512 |
| Va-2 | Value Management Governance Framework | This framework is intended to ensure that key business decisions that could affect the course and outcome of the project align with the agreed upon expected benefits in the Value Charter. The framework is part of the key business decision process and as each key decision goes through the process of completion it helps confirm how the key decisions align with the identified expected benefits measures. | \$48,658 |
| Va-3 | Change Management Strategy and Plan | Strategy and plan for addressing and executing change management (including Communications Strategy) throughout the program; establishes change activities, high-level timeline and techniques pertaining to stakeholder engagement, communications, and organization readiness. <i>Note: Strategy should be iteratively built throughout Validate phase.</i> | \$55,609 |
| Va-4 | Change Impact Assessment | Assesses the impact a change will have on departments and roles as a result of new and/or different processes, technology, policies, roles and responsibilities, decisions, or information. | \$48,658 |
| Va-5 | Communication Plan (Validation) | Identifies key program communications required to enable Validate activities and includes a refined set of proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. | \$48,658 |
| Va-6 | Target Operating Model (TOM) | An Operating Model is a conceptual representation of an organization's structures, capabilities, and processes. The Target Operating Model (TOM) deliverable describes the organization's desired future state across the six layers for each in-scope process (including the design requirements that will support the configuration of Oracle Fusion Applications); a new global solution design for an Operating Model that can achieve the desired business outcomes and strategic objectives. | \$139,023 |
| Va-7 | Global Finance Data Model & Enterprise Structure | Defines the global data model required for the foundational application setup. This deliverable includes the structure for the chart of accounts and related segments, which drives the specific legal, managerial, and functional reporting for the enterprise as well as the enterprise structure. | \$278,046 |

EXHIBIT B-1

| Deliverable Number | Deliverable Name | Description | Cost |
|--------------------|-------------------------|--|-----------|
| Va-8.1 | Deviation List | <p>A prioritized list of LAHD specific functional requirements that will be used to baseline requirements (freezing) and agreeing on the purpose and scope of the solution at a level that allows for detailed investigation of what the deviation/requirement imply. The MoSCoW (Must have, Should have, Could have or Won't have) technique will be used to indicate what is inside or outside scope.</p> <p>This interim deliverable will be considered to represent 85% of known deviations. Va – 8.2 will represent a complete list of Deviations once confirmed after CRP 2.</p> | \$118,170 |
| Va-8.2 | Deviation List | <p>A prioritized list of LAHD specific functional requirements that will be used to baseline requirements (freezing) and agreeing on the purpose and scope of the solution at a level that allows for detailed investigation of what the deviation/requirement imply. The MoSCoW (Must have, Should have, Could have or Won't have) technique will be used to indicate what is inside or outside scope.</p> <p>This final deliverable will represent 100% of known Deviations prior to User Acceptance Testing.</p> | \$20,853 |
| Va-9.1 | Development Object List | <p>A prioritized list of LAHD specific development requirements e.g. reports, integrations and conversions that will be used to baseline the development scope (freezing) and agreeing on the purpose of each object at a level that allows for detailed investigation of what the requirements imply. The MoSCoW technique is used to indicate what is inside or outside scope.</p> <p>This interim deliverable will be considered to represent 85% of known development objects. VA 9.2 will represent a complete list of Development Objects once confirmed after CRP2.</p> | \$224,563 |
| Va-9.2 | Development Object List | <p>A prioritized list of LAHD specific development requirements e.g. reports, integrations and conversions that will be used to baseline the development scope (freezing) and agreeing on the purpose of each object at a level that allows for detailed investigation of what the requirements imply. The MoSCoW technique is used to indicate what is inside or outside scope.</p> <p>This final deliverable will represent 100% of known Development Objects prior to User Acceptance Testing.</p> | \$39,629 |
| Va-10 | Integration Strategy | <p>Defines the high-level integration requirements that will provide a baseline upon which to build an effective integration approach. This deliverable outlines the differing integration platform scenarios and how the various data objects could be addressed through each platform scenario. Additionally, it documents key architectural principles and the initial catalog of integrations required and volumetric information to inform the design going forward.</p> | \$83,414 |

EXHIBIT B-1

| Deliverable Number | Deliverable Name | Description | Cost |
|------------------------------|---|---|--------------------|
| Va-11 | Data Migration Strategy | Defines the approach for performing the migration and conversion of data from the legacy system(s) to the Oracle Fusion Application system, including specific data objects, rationale, and sequence. | \$84,414 |
| Va-12 | Reporting Strategy | Outlines the structural foundation to be further refined by LAHD and NITI, inclusive of key reporting elements for in-scope Oracle modules and processes as well as the framework for reporting from the people, process, organization, and systems perspective. NITI will consider multiple reporting options including BI Publisher, Oracle Transactional Business Intelligence (OTBI), Smart View, Financial Reporting Web Studio, and BI Cloud Connector (BICC). NITI will analyze the best tool to use for each report and will leverage the reports that are already part of the KPMG Powered Enterprise (KPE) methodology. | \$75,112 |
| Va-14.1 | Roles List and Data Security Requirements | A list of all the powered applications roles and any custom roles including data security requirements identified during the Validate workshops This interim deliverable will represent 85% of known roles and data security requirements. Va-14.2 will include updates from CRP 2 and segregation of duties confirmation. | \$35,450 |
| Va-14.2 | Roles List and Data Security Requirements | A list of all the powered applications roles and any custom roles including data security requirements identified during the Validate workshops This final deliverable will represent 100% of known roles and data security requirements needed for Go Live. | \$6,256 |
| Va-15.1 | Draft Risk and Controls Matrix | A spreadsheet containing list of risks and controls objectives mapped to the level 4 functional process including any gaps against powered risk and controls This interim deliverable will represent 85% of known risks and mitigation control requirements. Va-15.2 will include updates from CRP 2 and final list of controls needed for Go Live. | \$64,993 |
| Va-15.2 | Final Risk and Controls Matrix | A spreadsheet containing list of risks and controls objectives mapped to the level 4 functional process including any gaps against powered risk and controls This final deliverable will represent 100% of known risk and control requirements needed for Go Live. | \$11,470 |
| Validate Phase Total: | | | \$1,452,488 |

Construct Phase Deliverables

| Deliverable Number | Deliverable Name | Description | Cost |
|--------------------|--|--|-----------|
| C-1 | Integrated Project Work Plan (Deploy - Evolve) | Defines and outlines the project work schedule – including the task, task duration, task start/end dates, task dependencies (predecessor/successor), task owners, deliverables, and project milestones - for the Deploy and Evolve phases. | \$199,842 |

EXHIBIT B-1

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|-------|--|---|-----------|
| C-2 | Test Plan | Outlines the details and logistics to execute the respective testing iteration in terms of theme, objectives, entry and exit criteria, structure, schedule, and required resources. This will also include testing types (end to end), test cycles, and use of Zephyr. | \$119,905 |
| C-3 | Communication Plan (Construct) | Identifies key program communications required to enable Construct activities and includes a refined set of proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. | \$199,842 |
| C-4 | Change Champion Network Launch Materials | Includes documentation related to the approach and stand-up of the Change Champion Network (e.g. Change Champion Network structure, resourcing, and meeting/activity plan). | \$79,937 |
| C-5.1 | Role Impact Summaries | The Role Impact Summary outlines changes by role to job tasks and processes between current and future state roles and enables users to start to understand the new ways of working. This interim deliverable will represent 75% of known Role Impact summaries following CRP 2. | \$59,953 |
| C-5.2 | Role Impact Summaries | The Role Impact Summary outlines changes by role to job tasks and processes between current and future state roles and enables users to start to understand the new ways of working. This final deliverable will represent 100% of known Role Impact summaries following UAT. | \$19,984 |
| C-6 | Org Readiness Assessment | Includes a baseline Organizational Readiness dashboard for applicable functions / stakeholder groups. Assesses readiness and necessary mitigation tactics. | \$119,905 |
| C-7 | End-User Training Needs Analysis | Diagnostic framework used to identify process and technology capability gaps and determine how they can be addressed through training. Note: Skills/talent assessments are not in scope. | \$119,905 |
| C-8 | End-User Training Strategy & Plan | Based on the Training Need Analysis, identifies stakeholder groups that require training, the levels of training needed by each group, and the methods of training that should be utilized. Outlines accountability for developing, reviewing, and executing training. | \$119,905 |
| C-9 | End-User Training Curriculum | Outlines proposed training topics and structure by role in order for users to learn new policies, systems, and processes. | \$119,905 |
| C-10 | Test Strategy | Defines the approach to testing by examining the characteristics of the system to be built, approach, focus and entry/exit criteria for the testing iterations/events (e.g. CRP, SIT, UAT). | \$319,747 |

EXHIBIT B-1

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|----------|-----------------------------|--|-----------|
| C-11.1 | Functional Designs | <p>Detailed designs for specific Oracle Fusion Application development objects (e.g. reports, interfaces, and enhancements) which include a functional essay, business objectives, business requirements, definition of terms, reference to business scenario that the design is covering, examples of the desired business behavior, business rules that drive the use case behavior, assumptions that form the basis for the solution, details descriptions of the data and interface behavior. It should also include a detailed report layout and description for reporting requirements.</p> <p>This interim deliverable will represent 75% of functional designs finalization required for preparation of CRP 2.</p> | \$455,644 |
| C – 11.2 | Functional Designs | <p>Detailed designs for specific Oracle Fusion Application development objects (e.g. reports, interfaces, and enhancements) which include a functional essay, business objectives, business requirements, definition of terms, reference to business scenario that the design is covering, examples of the desired business behavior, business rules that drive the use case behavior, assumptions that form the basis for the solution, details descriptions of the data and interface behavior. It should also include a detailed report layout and description for reporting requirements.</p> <p>This final deliverable will represent 100% of functional designs after UAT.</p> | \$151,881 |
| C-12 | Data Mapping Specifications | Source and target system data dictionary that shows how data from source system maps to data in target system in an Oracle required format. | \$199,842 |
| C-13 | Configuration Workbooks | <p>Workbooks containing the initial LAHD specific application configuration used to setup Oracle Fusion Application modules to meet the approved deviations. These Configuration Workbooks will be used to configure the Iteration 2 – SIT environment and transitioned to LAHD for final ownership and updates/maintenance going forward (i.e. UAT to Production).</p> <p>Final configuration workbooks are represented as Deliverable D-9.</p> | \$479,620 |
| C-14 | Functional Test Cases | Test Case that includes test objectives and test scripts for functional system testing. | \$199,905 |
| C-15 | Data Conversion Test Plan | Conversion testing guide per data load outlining the load and validation process. | \$199,842 |
| C-16 | Integration Architecture | A detailed description of components of Oracle Platform as a service, cloud integration framework, technical architecture, deployment architecture and operational aspects. | \$479,620 |

EXHIBIT B-1

| | | | |
|-------------------------------|-----------------------|--|--|
| C-17.1 | Technical Designs | <p>Technical design for specific Oracle Fusion Application development objects (e.g. reports, interfaces, workflows and enhancements) which include all the technical components required to satisfy the functional design including the interface designs, navigation logic, reporting designs, subject area designs, validation logic, SQL pseudo code, performance considerations, business rules, system flow diagram and installation considerations.</p> <p>This interim deliverable will represent 75% of functional designs finalization required for preparation of CRP 2.</p> | \$245,810 |
| C-17.2 | Technical Designs | <p>Technical design for specific Oracle Fusion Application development objects (e.g. reports, interfaces, workflows and enhancements) which include all the technical components required to satisfy the functional design including the interface designs, navigation logic, reporting designs, subject area designs, validation logic, SQL pseudo code, performance considerations, business rules, system flow diagram and installation considerations.</p> <p>This final deliverable will represent 100% of functional designs after UAT.</p> | \$81,937 |
| C-18 | Security Workbook | <p>Security workbook will include all roles required to setup the production environment to meet the scope and requirements agreed to through the Validate and Construct phases. Design changes as a result of the SOD analysis will be incorporated in the security workbook deliverable.</p> | \$119,905 |
| C-19 | Data Archive Solution | <p>Lift and shift of EBS (database and application layer) from on premise hardware to Oracle Cloud Infrastructure (OCI) on an IaaS cloud environment. EBS roles will be changed to "Read-only" to allow existing users access to run reports for historical purposes.</p> <p>Lift and shift of the SQL Archive from on premise hardware to OCI on an IaaS cloud environment, to include both Active Directory authentication and SQL Server Reporting Service (SSRS) utility and reports inventory.</p> <p>Following the implementation of the Data Archive Solution, LAHD will review the solution against requirements provided to ensure the solution meets expected needs and provide final approval in writing.</p> | Included as part of other Construct milestones |
| Construct Phase Total: | | | \$4,092,836 |

EXHIBIT B-1

Deploy Phase Deliverables

| Deliverable Number | Deliverable Name | Description | Cost |
|----------------------------|--------------------------------|--|--------------------|
| D-1 | HyperCare Plan | Post production support plan, procedures, resources identified and trained and ready for support | \$32,059 |
| D-2 | Cutover Plan | Detailed step-by-step cutover execution plan that outlines the sequences of all necessary steps, processes, and cutoffs, communications, and data migration activities. | \$101,657 |
| D-3 | Knowledge Transfer Plan | Plan to document and communicate development knowledge to appropriate LAHD stakeholders. | \$71,813 |
| D-4 | UAT Test Plan | UAT test plan, a schedule with test scripts, entry and exit criteria that indicate what has to be completed successfully to exit UAT. | \$194,920 |
| D-5 | Communication Plan (Deploy) | Identifies key program communications required to enable Deploy activities and includes a refined set of proposed communications for subsequent phases of the program (to be adjusted as needed). The plan includes proposed messages, vehicles/forums, senders, audiences, dates, dependencies, approvals, etc. | \$92,330 |
| D-6 | Org Readiness Assessment | Organizational Readiness pulse checks and aggregate dashboard for applicable functions / stakeholder groups to assess readiness and any necessary mitigation tactics. | \$17,568 |
| D-7 | Train the Trainer Sessions | Includes the materials and facilitation of (in partnership with functional leads) sessions to educate the designated trainers on how to deliver the system training to end users. | \$185,943 |
| D-8 | Executed & Accepted UAT (Exit) | The agreed upon User Acceptance Testing exit criteria has been met. | \$335,857 |
| D-9 | Configuration Workbooks | Application configuration workbooks will include all configurations required to setup the production environment to meet the scope and requirements agreed to through Validate and Construct | \$20,518 |
| D-10 | Development Objects | Final version of the in-scope production ready development objects (e.g. reports, integrations, enhancements) are deployed and live in the production environment. | \$239,673 |
| Deploy Phase Total: | | | \$1,292,338 |

EXHIBIT B-1

Evolve Phase Deliverables

| Deliverable Number | Deliverable Name | Description | Cost |
|----------------------------|------------------------------------|---|------------------|
| E-1 | Project Acceptance | Final acceptance and sign-off of the project | \$276,856 |
| E-2 | Organizational Adoption Assessment | Organizational Adoption pulse check assesses user adoption and identifies any necessary mitigation tactics. | \$101,362 |
| Evolve Phase Total: | | | \$378,218 |

Based on Updates to Exhibit and an extension of the Project Go Live to 7/1/24 the following Payment milestones have been added:

Extension Deliverables

| Deliverable Number | Summary | Milestone | Description | Cost |
|--------------------|-------------------------|--|--|-------------|
| EXT-1.1 | PMO/CM Extension | Exit Approval of CRP2/SIT | Extension of Project Management Office (PMO) and Change Management (CM); This interim milestone will represent initial extension of PMO and CM resources (50% of payment). | \$362,801 |
| EXT-1.2 | PMO/CM Extension | Exit Approval of UAT and End User Training | This interim milestone will represent final extension of PMO and CM resources (50% of payment). | \$82,801 |
| EXT-2 | CRP 1.2 Testing Event | Exit Approval of CRP 1.2 | 8 additional weeks added to schedule for configuration, testing and execution of additional Conference Room Pilot (CRP) event | \$1,103,256 |
| EXT-3 | CRP 2 / SIT Extension | Exit Approval of SIT | 5 additional weeks added to schedule for additional System Integration Testing (SIT) and capture of feedback. | \$521,102 |
| EXT-4 | UAT Extension | Exit Approval of UAT | 4 additional weeks added to schedule for additional User Acceptance Testing (UAT) and capture of feedback. | \$432,781 |
| EXT-5.1 | Additional Integrations | Exit Approval of SIT | 23 additional integrations captured during Validation workshops and Conference Room Pilot (CRP) 1 Testing event. This will represent 50% of the extension payment. | \$610,277 |
| EXT-5.2 | Additional Integrations | Exit Approval of UAT | 23 additional integrations captured during Validation workshops and Conference Room Pilot (CRP) 1 Testing event. This will represent 50% of the extension payment. | \$610,277 |

EXHIBIT B-1

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|---------|-------------------------------|--|--|-----------|
| EXT-6.1 | Additional Reports | Exit Approval of SIT | Captured over 100 currently used reports and doubling report development effort from 20 (as specified in original scope) to 40 custom reports (medium/high complexity). The interim milestone (50% of payment) will represent initial design and testing of custom reports after CRP2/SIT. | \$245,203 |
| EXT-6.2 | Additional Reports | Exit Approval of UAT | This final milestone payment (50% of payment) will represent full acceptance of custom reports after UAT. (medium/high complexity). The total number of custom reports is 40 with 20 from the original scope and additional 20 from the extension. | \$245,202 |
| EXT-7.1 | PBCS Change | Completion of the conversion and updating of line item expense planning cube | <ul style="list-style-type: none"> • Implementation of new COA • Conversion and validation of 5 years of history (Final versions only) • Conversion/updating of existing forms and creation of new data entry forms • Conversion/Creation of any Business Rule and Member Formulas • Completion of data integrations (inbound/outbound) • Creation and Implementation of Expenditure Management Plan | \$202,657 |
| EXT-7.2 | PBCS Change | Completion of new Revenue planning cube | <ul style="list-style-type: none"> • Implementation of new COA and creation of statistical account for drivers/metrics • Creation of Forms for Revenue Planning • Creation of new Business Rule and Member formulas • Adding of any new members necessary for Revenue planning • Completion of data integrations (inbound/outbound) • Creation of Reports | \$202,656 |
| EXT-7.3 | PBCS Change | Completion of expense allocation (PCMS) for customer profitability | <ul style="list-style-type: none"> • Creation of driver accounts • Development of approximately 45 allocations • Completion of data integrations (inbound/outbound) • Creation of Reports and P&L Statements • Deliver comprehensive functional/technical PCMS design document. | \$202,656 |
| EXT-7.4 | PBCS Change | Completion of Reporting Cube | <ul style="list-style-type: none"> • Development of any KPI's/Metrics • Development of inbound integrations • Rebuild reports migrated from line-item cube. | \$202,656 |
| EXT-8 | Chart of Accounts | Approval COA Design | Extensive reviews and deep dives to redesign LAHD's chart of accounts structure and related values | \$946,023 |
| EXT-9.1 | Functional Resource Extension | Exit Approval of SIT | Extension of project resources This interim milestone will represent initial extension of Functional resources (50% of payment). | \$478,242 |

EXHIBIT B-1

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|-------------------------|---------------------------------|---|---|--------------------|
| EXT-9.2 | Functional Resource Extension | Exit Approval of UAT | This interim milestone will represent final extension of Functional resources (50% of payment). | \$478,242 |
| EXT-10.1 | Production System Go Live | Executed Cutover Plan and Go Live | Successful execution of all tasks in the Cutover Plan; Production Go Live | \$915,075 |
| EXT-10.2 | Extension of Project Acceptance | Extension of Final acceptance and sign-off of the project | Final acceptance of all deliverables and milestones | \$1,118,425 |
| EXT - 11 | As Needed Development | N/A | As needed development support for extension support work. | \$280,000 |
| Extension Total: | | | | \$9,240,332 |

Cloud Managed Basic Services Support

| Service | Description | Fixed Cost |
|---------|--------------------------------------|---|
| CBS-1 | Cloud Managed Basic Services Support | <p>The coverage start date will be after post Go-Live Hyper Care period. Invoices will be billed to LAHD monthly after the service is rendered. Services will be provided up to two (2) years of L2/L3 support including:</p> <p>Base services: Case management, quarterly update support, patch management, knowledge management, service desk, operations management, and testing.</p> <p>Governance: Release planning and management, change management and reporting.</p> |
| | | <p>\$60,000 / month</p> <p>(Not-to-exceed \$1,440,000)</p> |

As- Needed Services:

As-needed services for development, support, and related services shall be compensated solely on the hourly rates set for Table - Hourly Rates below and in accordance with the approved service order.

| No. | Service | Description | Not-to-Exceed |
|----------------------------------|--|---|--------------------|
| AN-1 | As-Needed Development | Provide as-needed design, development, implementation, and other related tasks during implementation (1 year). Documentation and knowledge transfer based on related tasks, including a tracking log of tasks and hours. | \$650,000 |
| AN-2 | As-Needed Level 1 Helpdesk Cloud Support | Estimated 3000 hours at a blended hourly rate of \$180. | \$1,080,000 |
| AN-3 | EBS Support Services | Until end of stabilization period estimated December 2024. | \$755,000 |
| AN-4 | Cloud Managed Enrichment Services | After post Go-Live Hyper Care, Cloud enrichment services including configuration changes, developments and enhancements, security and controls, data integration, interface services and report writing. | \$777,600 |
| As-Needed Services Total: | | | \$3,262,600 |

EXHIBIT B-1

Table - Hourly Rates:

| Role | Rate |
|--|-------|
| Oracle Cloud Fusion Solution Architect | \$275 |
| Oracle Cloud Fusion Implementation Project Manager | \$210 |
| Oracle Cloud Fusion Technical Lead | \$208 |
| Oracle Cloud Fusion Functional Lead | \$208 |
| Oracle Cloud Fusion Configuration Specialist | \$180 |
| Oracle Cloud Interface and Conversion Developer | \$150 |
| Senior EBS Support Specialist | \$140 |
| EBS Support Specialist | \$125 |

For any change to NITI's resources required during the project, approval from the City of Los Angeles Harbor Department's Project Manager is required.

LAHD Project Manager reserves the right to reallocate funding within as-needed items.

Travel Expenses

As a result of COVID-19, NITI would work with LAHD to determine an appropriate and safe travel schedule for NITI teams. NITI is committed to delivering the project as outlined and are prepared to deliver many aspects of the project remotely. Particularly, Phase 0 can be completed with a combination of local resources in Los Angeles and remote team members that will have minimal travel expenses. As the project ramps up, there will be situations where an on-site presence will benefit the project (e.g. Conference Room Pilots, OCM activities, etc.).

In addition to the fixed price deliverables as listed in the previous section, travel expense will be billed at the actual amounts incurred but are estimated not to exceed \$349,560.

Any necessary travel expenses shall be in accordance with the City of Los Angeles Travel Policy and shall be invoiced in accordance with Los Angeles Harbor Department guidance.

**HARBOR DEPARTMENT
CONTRACTS AND PURCHASING DIVISION (CPD)
APPROVAL OF FINAL AGREEMENT - AMENDMENT**

Project Title: Oracle ERP Cloud Implementation Services

Originating Division: Information Technology

Contact Person: Hoa Nguyen **Extension:** 0436

Contract Administrator: Felicia Ansley

Agreement # 22-9854

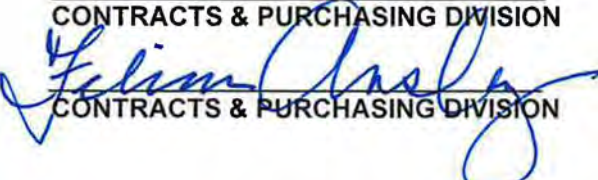
Amendment # 1

Firm: NITI Systems Consultants (Subs: KPMG LLP and Aslan Consulting LLC)

| | |
|------------|---|
| <u>FA</u> | GREEN SHEET COMPLETED AND SIGNED |
| <u>N/A</u> | INSURANCE ASSESSMENT (CHANGE IN SCOPE OF WORK) |
| <u>FA</u> | REQUIRED INSURANCE IN PLACE |
| <u>FA</u> | POLA FUSION ERP VERIFICATION |
| <u>FA</u> | CONTRACTOR AND ALL SUBS ARE REGISTERED WITH RAMP (REGISTRATION CONFIRMATION ON FILE) |
| <u>FA</u> | VALID BTRC NUMBER VERIFICATION |
| <u>FA</u> | SBE/VSBE VERIFICATION |

FOR CPD USE ONLY:

Reviewed by: CONTRACTS & PURCHASING DIVISION **DATE** _____

Verified by:  CONTRACTS & PURCHASING DIVISION **DATE** May 10, 2023