

014 - CAPS PROGRAM

Operational Summary

Description:

The CAPS Program agency was established by Board Minute Order dated November 1, 2005, for the purpose of controlling appropriations and expenditures relating to CAPS (County-wide Accounting and Personnel System.) The CAPS systems are the County's Financial, Purchasing, Human Resources and payroll information systems and are a vital component of the County's infrastructure. These systems are

required for County operations, such as financial planning and budget development, maintaining the County's financial records and the generation of financial statements, collecting costs for federal and state billings, procuring goods and services, making vendor payments, processing the County's payroll, and administering personnel records.

At a Glance:

| | |
|---|------------|
| Total FY 2006-2007 Projected Expend + Encumb: | 17,358,639 |
| Total Recommended FY 2007-2008 | 21,218,200 |
| Percent of County General Fund: | 0.705261% |
| Total Employees: | 0.00 |

Strategic Goals:

- **Continuous Improvement:** Keep improving the utility of CAPS, and related administrative practices, with the on-going expansion of features, functions and capabilities which demonstrate a clear return on investment.
- **Single-Source Solution:** Position CAPS to be the single source of "Corporate-Level" Financial, Purchasing, and Human Resources information within the County to minimize system redundancy, reduce related costs, and eliminate conflicting data.
- **Stay Current with Technology:** Keep the CAPS Systems at the leading edge of information technology in order to leverage the County's workforce and improve services to our constituents.

Key Outcome Indicators:

| Performance Measure | 2006 Business Plan | 2007 Business Plan | How are we doing? |
|---|---|---|--|
| | Results | Target | |
| MAINTAIN SYSTEM OPERATIONAL READINESS. What: Measures the availability of information systems resources to County staff. Why: CAPS is required for key administrative processes and its availability impacts staff productivity. | During this period, a one-time software conflict caused the Human Resources System to go offline for several days. While this did not affect overall operations, it did bring the online percentage slightly below the expected target. | On-line systems available and fully functional 99% of scheduled up-times and batch processing completed on time 99% of established schedules. | The twelve month rolling average, as of January, 2007, is being met at 99.8% for finance and purchasing. The human resources rolling average for the same time period is 98.8% and is trending upward. |

Key Outcome Indicators: (Continued)

| Performance Measure | 2006 Business Plan | 2007 Business Plan | How are we doing? |
|--|---|---|--|
| | Results | Target | |
| <p>MAINTAIN A HIGH QUALITY AND PRODUCTIVE SYSTEM MAINTENANCE PROGRAM.</p> <p>What: Maintenance is mandated changes to the systems or fixes for problems which are encountered.</p> <p>Why: Ensures technology compatibility as well as compliance with regulatory and policy changes.</p> | <p>The actual twelve month rolling average of tasks completed on time was 67%. During this period, an unanticipated rate of turnover among programming staff occurred, resulting in a loss of institutional expertise and the target objective not being met.</p> | <p>Complete 95% of planned maintenance tasks on time.</p> | <p>The twelve month rolling average, as of January, 2007, is below the target number at 70% but is trending upwards.</p> |
| <p>MAINTAIN A HIGH QUALITY SYSTEM USER SUPPORT PROGRAM.</p> <p>What: Training/documentation and assistance program for the CAPS user community.</p> <p>Why: Program is necessary to ensure the correct and effective use of the CAPS systems.</p> | <p>During this period, the program achieved better than a rating of 4.0 for training/documentation and user assistance, according to survey results.</p> | <p>Maintain a satisfaction rating of 4.0 or higher (scale of 1-5 with 5 the highest score) with student evaluations of training/documentation and user assistance survey ratings.</p> | <p>Satisfaction ratings of 4.0 or higher for student training/documentation and user support are being met.</p> |
| <p>COMPLETE MAJOR PROJECTS ON TIME AND WITHIN BUDGET.</p> <p>What: Measures project management effectiveness.</p> <p>Why: CAPS projects typically have county-wide impacts and compete for limited County funds.</p> | <p>During this period, the only major project planned for completion, Personnel Action Workflow, was implemented on time and under budget.</p> | <p>All major projects (\$250,000 or higher in total cost) completed within 15% of planned timeframes and budget.</p> | <p>Major projects continue to be monitored/analyzed monthly by the CAPS Program Management Office and reported to the Project Manager and the CAPS Steering Committee.</p> |
| <p>MAINTAIN A HIGH LEVEL OF SYSTEM USER SATISFACTION.</p> <p>What: Measures relative satisfaction with CAPS in meeting the County's business needs.</p> <p>Why: A formalized feedback mechanism is needed to ensure CAPS is meeting the needs of the County.</p> | <p>Due to other priorities, a system-wide user satisfaction survey was not disseminated during this period.</p> | <p>Maintain a minimum 4.0 (scale of 1-5 with 5 being highest rating) overall satisfaction rating.</p> | <p>Selective surveys in various areas of CAPS have met the target ratings. A system-wide survey process will be implemented during FY 2007-08.</p> |

FY 2006-07 Key Project Accomplishments:

- **Operations:** During the past year, processed over 765,000 financial transactions in support of a \$5.9 billion dollar County budget managed through more than 700 funds. During the same period processed over 52,000 personnel/payroll transactions and generated over 500,000 paychecks/EFT payments.
- **Maintenance:** During the past year, resolved 329 system problem tickets, completed 11 maintenance tasks, and implemented over 100 program fixes supplied by software vendors.
- **User Support:** During the past year training over 569 students in 11 subject areas, and resolved over 286 user helpline problems.
- **On-Going Enhancements:** During the past year, completed 31 enhancements to the systems.
- **Strategic Initiatives:** Met all major milestones for three major projects in progress: Advantage Finance/Purchasing Upgrade Fit Analysis; FRET Phase 2; and Payroll Adjustment Workflow rollout. In addition, the Human Resources/ Personnel Action Workflow rollout project was completed this fiscal year under budget and met all major scheduled milestones.

CAPS Program - Includes Operations and Maintenance; User Support; On-going Minor Enhancements; and Strategic Initiatives.

Operations and Maintenance: Provides support for the operations of the systems according to established schedules, processing deliverables, and service levels. It also provides software maintenance to ensure the timely and accurate processing of finance, purchasing and human resources information.

User Support: Provides system documentation, training and assistance for the CAPS user community.

On-Going Minor Enhancements: Provides on-going improvements to the CAPS systems which improve the utility of the system, enhances staff productivity, and demonstrate a clear return on investment.

Strategic Initiatives: Encompasses all major CAPS enhancement projects (over \$250,000 in total cost.)

Budget Summary

Plan for Support of the County's Strategic Priorities:

There are two Strategic Priorities associated with CAPS: CAPS Replacement and Process Re-engineering. The replacement effort addresses the need to upgrade the existing systems to newer technology. The Board of Supervisors approved the upgrade of the Financial and Purchasing System to the new web-based version of CGI/AMS Advantage software. Also, received Board of Supervisor approval to conduct a strategic evaluation of Orange County's HR and Payroll business functions, provide recommendations for improvement of the business processes and assist the County with sourcing a best practices solution. The process re-engineering strategic priority continues to be addressed with a series of in-progress, and soon-to-be-started workflow projects which will improve and automate the County's current business processes.

Requested Budget Augmentations and Related Performance Results:

| Unit Amount | Description | Performance Plan | BRASS Ser. |
|--|---|--|------------|
| Increase Net County Cost to Support Auditor Controller Cost Apply of 5 New CAPS Positions Amount:\$ 630,486 | An increase in NCC is required to fund cost applies from A/C. | Fund cost applies from A/C. | 2685 |
| Increase Net County Cost to Support CEO Purchasing Addition of 3 New CAPS Positions Amount:\$ 312,678 | An increase in NCC is required to fund cost applies from CEO. | Fund cost applies from CEO/Purchasing. | 2686 |

Proposed Budget History:

| Sources and Uses | FY 2005-2006 Actual | FY 2006-2007 | FY 2006-2007 | FY 2007-2008 Recommended | Change from FY 2006-2007 | |
|--------------------|------------------------|-------------------------|--|-----------------------------|--------------------------|---------|
| | | Budget As of 3/31/07 | Projected ⁽¹⁾ At 6/30/07 | | Projected | |
| | | | | | Amount | Percent |
| Total Requirements | 0 | 18,758,300 | 17,358,639 | 21,218,200 | 3,859,561 | 22.23 |
| Net County Cost | 0 | 18,758,300 | 17,358,639 | 21,218,200 | 3,859,561 | 22.23 |

(1) Requirements include prior year encumbrance and expenditures. Therefore, the above totals may not match FY 2006-07 projected requirements included in "At a Glance" (Which exclude these).

Columns may not total correctly due to rounding.

Detailed budget by expense category and by activity is presented for agency: CAPS Program in the Appendix on page A516

Highlights of Key Trends:

- County business needs are driving an increasing demand for more information capabilities. Examples are the need for additional automated work to increase

transaction productivity to keep up with increasing workload and the need for more ad-hoc capabilities to access information for analysis and trending purposes.



014 - CAPS Program

Summary of Proposed Budget by Revenue and Expense Category:

| Revenues/Appropriations | FY 2005-2006 | | FY 2006-2007 | | FY 2007-2008 | | Change from FY 2006-2007 | |
|---------------------------|--------------|---------------|--------------------------|--------------------------|---------------|--------------|--------------------------|---------|
| | Actual | Budget | Projected ⁽¹⁾ | Projected ⁽¹⁾ | Recommended | Projected | Amount | Percent |
| Services & Supplies | \$ 0 | \$ 18,483,300 | \$ 17,133,639 | \$ 17,133,639 | \$ 21,019,200 | \$ 3,885,561 | 22.68% | |
| Fixed Assets | 0 | 275,000 | 225,000 | 225,000 | 199,000 | (26,000) | -11.56 | |
| Total Requirements | 0 | 18,758,300 | 17,358,639 | 17,358,639 | 21,218,200 | 3,859,561 | 22.23 | |
| Net County Cost | \$ 0 | \$ 18,758,300 | \$ 17,358,639 | \$ 17,358,639 | \$ 21,218,200 | \$ 3,859,561 | 22.23% | |

(1) Requirements include prior year encumbrance and expenditures. Therefore, the above totals may not match FY 2006-07 projected requirements included in "At a Glance" (Which exclude these).

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