TxCPA

CAPPS Statewide Baseline: Consolidated Application Control Environment (CACE) Approach

V3.0

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Background

In 2012, the Comptroller of Public Accounts (CPA) modified the Enterprise Resource Planning (ERP) strategy of a central, or Application Service Provider, instance of the Centralized Accounting and Payroll/Personnel System (CAPPS) by approving a limited number of agencies (referred to as "CAPPS Hub Agencies") to run their own installations of the CAPPS PeopleSoft application(s).

The CAPPS application maintenance approach for CAPPS Hub Agencies is called the "CAPPS Consolidated Application Control Environment" (or CACE). The CACE approach provides a defined process for managing a single code line for the CAPPS Statewide Baseline. By implementing CACE, CAPPS Central Agencies and CAPPS Hub Agencies are using the same source baseline; adhering to the same statewide statutes and fiscal policies; leveraging the same modifications or fixes to the code line; considering the long term maintenance impacts of the modifications to the baseline; and sharing and maintaining system documentation (e.g., Functional Design Documents, Technical Design Documents and Installation documentation).

CPA recognizes that CAPPS Hub Agencies have unique requirements and CACE utilizes a monitored, flexible approach. For instance, while all CAPPS Hub Agencies are required to leverage the CAPPS Statewide Baseline, the CACE provides approved upgrade timeframes so that each CAPPS Hub Agency may manage the timing of its own upgrade activities. Also, the CACE approach allows for CAPPS Hub Agency participation in testing, similar to CAPPS Central Agencies, prior to fixes and enhancements moving in to the CAPPS Statewide Baseline.

CAPPS Statewide Baseline Defined

Definition:

The CAPPS Statewide Baseline is a compilation of all code deemed Mandatory by CPA. However, each Release provided by CPA will include code deemed Mandatory and/or Discretionary; refer to "FDD/TDD Categorization" within this document for code definitions.

CAPPS Hub Agencies are required to include all Mandatory code in the Hub's CAPPS production instance. The installation of Mandatory code can only be exempted by the documented exception process as defined in CAPPS Governance.

Options for Implementing:

The CAPPS Statewide Baseline can be accomplished by one of two methods:

Reimplementation: Take the CAPPS Statewide Baseline as delivered by CPA, install the delivered CAPPS Statewide Baseline in its entirety and apply CPA approved Hub agency modifications on top of the delivered code.

OR

Code Line Synchronization: Take the Hub's version of the existing baseline and apply all CAPPS Mandatory Code, except the CPA approved exemptions, on top of the Hub's existing baseline.

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Overview of Maintenance Approach for CAPPS Hub Agencies

The CACE is a set of expectations, procedures and software configurations that manage the application of Statewide CAPPS modifications and PeopleSoft modifications through the software development lifecycle as well as the separate environments for development, testing, and production.

The objectives of the CACE approach include the following:

- To ensure that only statewide application updates and customizations approved by CAPPS Governance are migrated to the CAPPS Statewide Baseline.
- To easily identify whether a problem is caused by a PeopleSoft delivered modification, a CAPPS Statewide delivered modification, CAPPS Hub Agency configuration or a CAPPS Hub Agency specific modification.
- To provide homogeneous environments for development, system testing, acceptance testing, production maintenance, and reporting that minimize contention for database objects, data, and hardware resources.
- To provide a mechanism for the CAPPS Central Application Service Provider (ASP) and CAPPS Hub Agencies to use the CAPPS Statewide Baseline.
- To provide the CAPPS Hub Agencies with a User Acceptance Test environment to view Statewide CAPPS modifications and PeopleSoft modifications prior to code migrating to the CAPPS Statewide Baseline.

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CACE Environments

The standard Application Control Environment (ACE) consists of a set of eight (8) databases for each application. The CAPPS Central system has three separate applications (and thus three instances of the standard ACE): CAPPS HR/Payroll, CAPPS Financials and CAPPS Enterprise Portal.

To support the CAPPS Hub Agencies, the standard ACE includes two (2) CAPPS Statewide Baseline databases bringing the number of databases per application installation in CACE to ten (10).

The Texas Comptroller's office creates and delivers Statewide Financials customizations to Agencies granted approval to be a Hub agency. The Texas Comptroller accomplishes this Texas Baseline delivery by maintaining a standard Application Control Environment which consists of customizations starting in either the PeopleSoft delivered Demo environment if it is baseline delivered functionality or PeopleSoft Development.

The standard ACE migration sequence is provided below:

- Step 1: PeopleSoft Delivered Demo environment (DMO), if applicable.
- Step 2: All customizations start in Development environment (DEV).
- Step 3: All customizations are tested by the CAPPS Support Team in the System Test environment (TST).
- Step 4: All CAPPS customizations are tested in the User Acceptance Test (UAT) environment by CAPPS agencies. Hub agencies can test simultaneously in their UAT environment (UAT2).
- Step 5: Once UAT is approved, all customizations are migrated to the Production environment (PRD) and the Texas Baseline environment (TXB) to be delivered to Hub agencies.

Statewide Hubs must keep two Statewide Baselines in synchronization monthly with the Texas Comptroller's office: the Hub PeopleSoft Demo and the Hub Statewide Baseline, which contains all State of Texas customizations. CPA also recommends a Hub agency to maintain an Application Control Environment to control their Hub customizations, which follows a similar environment sequence to the CPA environments listed above. An example of this HUB environment sequence might look like this:

- Step 1: Hub Development environment (HUBDEV)
- Step 2: Hub System Test environment (HUBTST)
- Step 3: Hub User Acceptance Test environment (HUBUAT)
- Step 4: Hub Production environment (HUBPRD)

Please note that these Hub environment names are only for explanation purposes only. A Hub agency may name these environments according to their Technical Naming standards. The Texas Comptroller's office will also maintain Release Packages for PeopleTools and Image upgraded for One year after CPA delivers the Baselines to Hubs.

The three environments maintained for Legislative changes are described below:

- Step 1: Legislative PeopleSoft Delivered Demo (DMOLEG) – houses the last prior major release version of PeopleTools and/or Image upgrade.

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- Step 2: Legislative Development environment (DEVLEG) – houses the prior major release version of PeopleTools and/or Image upgrade.
- Step 3: Legislative Texas Baseline environment (TXBLEG) – houses the last prior major release version of PeopleTools and/or Image upgrade (one major release prior to the current release).

Additional support databases may be created to prepare for a system release during initiatives, such as a PeopleTools upgrade, legislative change, or agency deployment/onboarding.   The additional databases created for these purposes are not part of the standard ACE but instead are used to support limited purpose activities such as conversions, security, upgrades, prototyping and other deployment activities.

When large initiatives such as a PeopleTools upgrade or PeopleSoft Image upgrade are delivered to CAPPS Hub Agencies, a set of ACE environments are setup for a limited period of time to support mandatory changes for CAPPS Hub Agencies.   The additional databases created for these purposes are not part of the standard ACE but are used to temporarily support the CAPPS Hub Agencies while the CAPPS Hub Agencies upgrade to the new version of CAPPS.

CAPPS Financials Environments

The environments indicated in the table below represent the current maintenance support model. (The actual names of the environments have been concealed for security purposes.)

CAPPS CACE Databases	CAPPS FIN Central (ASP) Environments	CAPPS FIN TX Baseline Environments	CAPPS FIN TX Baseline Sustaining Environments	CAPPS FIN Hub Environments Examples
PeopleSoft Baseline Database	FINDMO	Same as Central	FINDMOLEG	FINHUBDMO
Development Database	FINDEV	Same as Central	FINDEVLEG	FINHUBDEV
System Test Database	FINTST	n/a	n/a	FINHUBTST
Acceptance Test Database	FINUAT	FINTXBUAT2	n/a	FINHUBUAT
Production Database	FINPRD	n/a	n/a	FINHUBPRD
Reporting Database	FINRPT	n/a	n/a	n/a
Maintenance Database	FINMNT	n/a	n/a	n/a
Sandbox Database	FINSBX	n/a	n/a	n/a
CAPPS Statewide Baseline	n/a	FINTXB	FINTXBLEG	FINHUBTXB

The diagram below illustrates the consolidated migration sequence for the Financials environments, as detailed above.

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CAPPS HR/Payroll Environments

The environments indicated in the table below represent the current maintenance support model. (The actual names of the environments have been concealed for security purposes.)
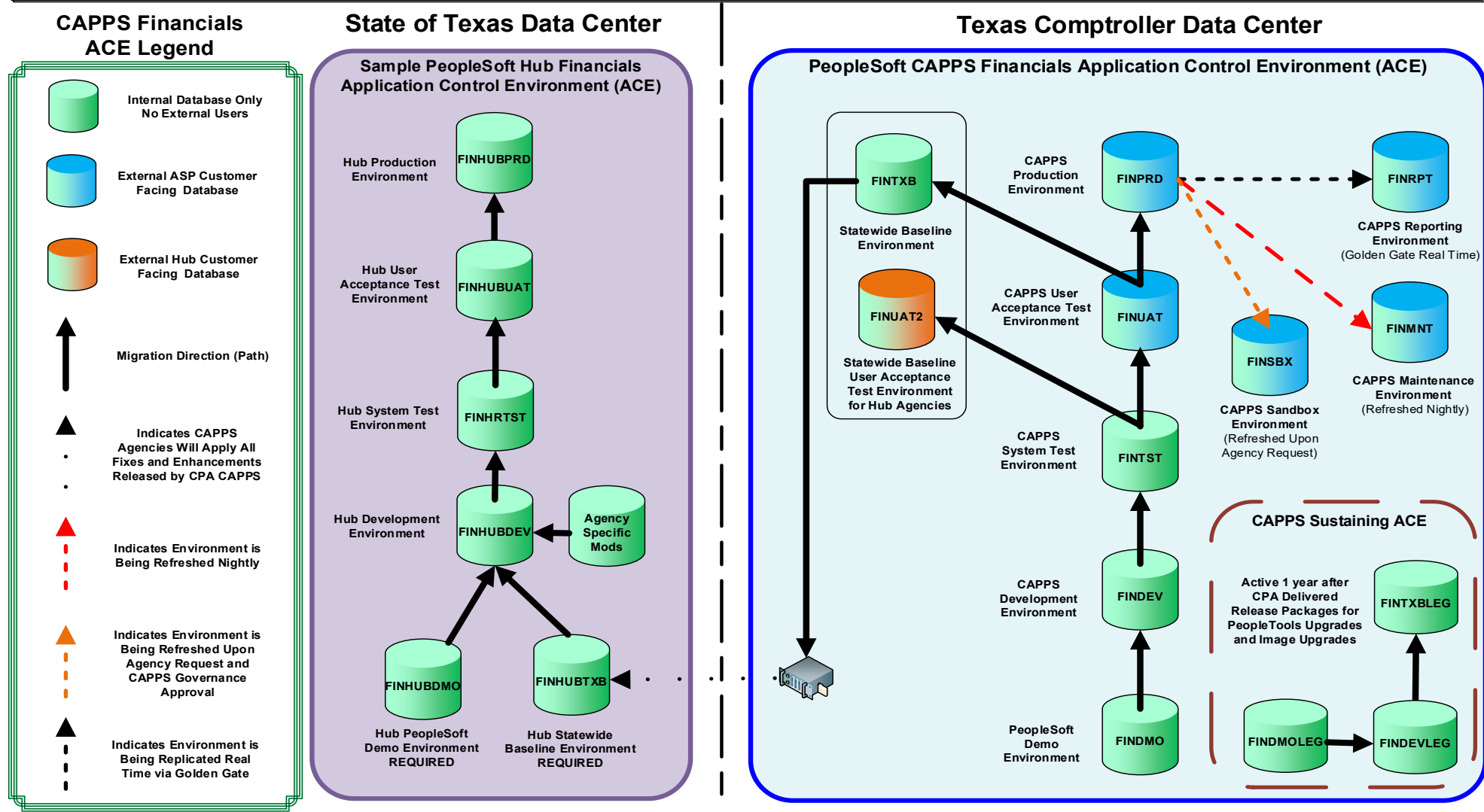
CAPPS CACE Databases	CAPPS HR Central (ASP) Environments	CAPPS HR TX Baseline Environments	CAPPS HR TX Baseline Sustaining Environments	CAPPS HR Hub Environments Examples
PeopleSoft Baseline Database	HCMDMO	Same as Central	HRDMOLEG	HRHUBDMO
Development Database	HCMDEV	Same as Central	HRDEVLEG	HRHUBDEV
System Test Database	HCMST	n/a	n/a	HRHUBTST
Acceptance Test Database	HCMUAT	HCMUAT2	n/a	HRHUBUAT
Production Database	HCMPRD	n/a	n/a	HRHUBPRD
Reporting Database	HCMRPT	n/a	n/a	n/a
Maintenance Database	HCMMNT	n/a	n/a	n/a
Sandbox Database	HCMSBX	n/a	n/a	n/a
CAPPS Statewide Baseline	n/a	HCMTXB	HRTXBLEG	HRHUBTXB

The diagram below illustrates the consolidated migration sequence for the HR/Payroll environments, as detailed above.

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CAPPS HR/Payroll: Consolidated Application Control Environment
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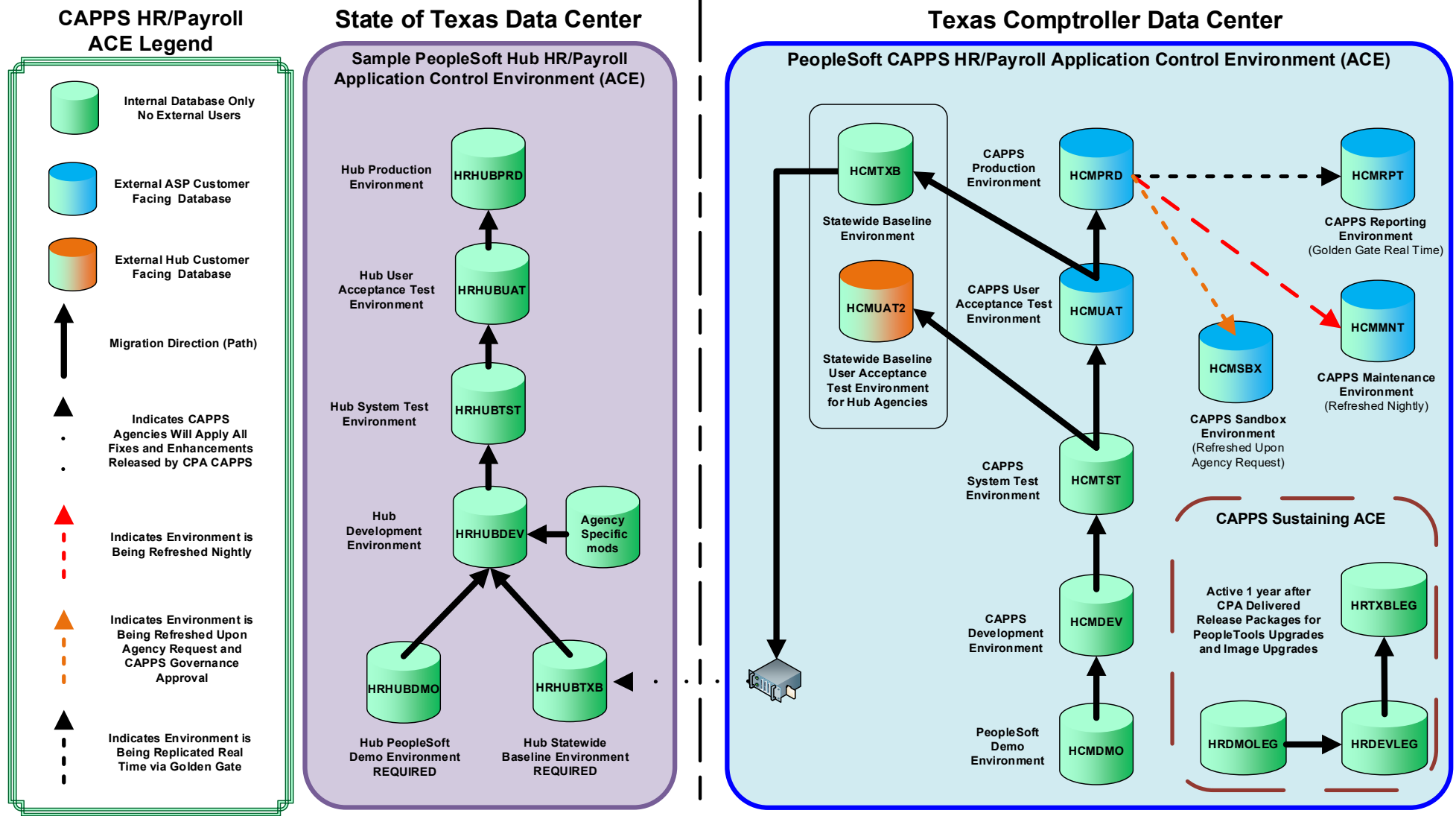
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Technology Standards

1. *Application Suites:* CAPPS Hub Agencies and CAPPS Central Agencies shall apply and implement the same CAPPS Statewide Baseline code line.

   a. Financials: CAPPS Financials Texas Baseline
   b. HR/Payroll: CAPPS HR/Payroll Texas Baseline

2. *Branding:* The CAPPS Hub Agency installation must contain the same headers and footers with CAPPS branding as delivered in the CAPPS Statewide Baseline.

3. *Platform/Operating System Compatibility:* The CAPPS Hub Agency's operating system must be an Oracle certified product for supporting PeopleSoft applications. The CPA technical support provided will be based on the CPA platform. The current standard Platform/Operating System is leveraged by CPA for the CAPPS Central installation.

   a. *Current CAPPS Central Platform/Operating System:* Redhat Linux.

4. *Database Compatibility:* The CAPPS Hub Agency must operate the same software product and version as the CAPPS Statewide Baseline: Oracle.

5. *CAPPS Hub Agency Required Environments:*

   a. *CAPPS Statewide Baseline Environment:* CAPPS Hub Agencies are responsible for maintaining the most current CAPPS Statewide Baseline with all available modifications and fixes released by CPA. No agency-specific Customizations can reside in the agency's installation of the CPA's CAPPS Statewide Baseline environment. This requirement ensures that the environment can be used as a testing source to distinguish bugs that may originate in the CAPPS Statewide Baseline code from bugs caused by agency-specific modifications.
   b. *PeopleSoft Demo Environment*: CAPPS Hub Agencies are responsible for maintaining a PeopleSoft Demo environment for troubleshooting issues. CPA will provide the appropriate PeopleSoft Demo environment which will contain PeopleSoft Update Manager (PUMs) that CPA has determined are appropriate for the State of Texas. This requirement ensures that agencies are able to test and determine if bugs are part of the PeopleSoft delivered code line.
   c. *CAPPS Production Environment:* CAPPS Hub Agencies will have an official production instance of CAPPS for use by their end user community.

6. *Additional Best Practice Environments:*

   a. User Acceptance Test
   b. System Test
   c. Development

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CAPPS Statewide Baseline Code Line Delivery & Testing

Monthly Releases

CAPPS Hub Agencies will receive a copy of the applicable CAPPS Statewide Baseline(s), with associated migration instructions, on a monthly basis. Each CAPPS Statewide Baseline release will be an accumulation of all previous Release Packages.

1. *Monthly Release Package Contents:* The package delivered will be called a *Release Package*. In the package, CPA will deliver:

   a. Oracle's PeopleSoft Demo database containing the most current PeopleSoft release used in the CAPPS Statewide Baseline,
   b. The CAPPS Statewide Baseline code line,
      i. CAPPS PeopleSoft Client Software
      ii. CAPPS PeopleSoft Database Software
   c. CAPPS Code Inventory List – A list of Functional Designs and Technical Designs (spreadsheet),
   d. Redacted Functional Design documents (FDDs),
   e. Redacted Technical Design documents (TDDs),
   f. CAPPS Statewide Baseline Delivery Notes, and
   g. Technical Installation Instructions for the current Release Package.

2. *Naming Convention:* The CAPPS Statewide Baseline databases included in the Release Packages will be marked with a database stamp to indicate the version, such as "HR Payroll 9.2 TX Baseline 2017 v1" or "Financials 9.2 TX Baseline 2017 v3."

3. *Delivery:* The CAPPS monthly Release Packages will be delivered on or before the 10th business day of the month. Exceptions to the standard delivery date will be communicated in advance to the CAPPS Hub Agencies. The current delivery method for the CAPPS Statewide Baseline will be CPA's secure file transfer server. This method is subject to change with advance notification to the CAPPS Hub Agencies.

4. *Installation Timeline:* In order to stay in compliance and receive support, these monthly Baseline releases will need to be applied to the CAPPS Hub Agency's Production environment within three (3) months of availability from CPA and reflect intended functionality. A participating agency shall apply all required code from each monthly Release Package upon availability or choose to apply them at two or three month intervals as long as the agency adheres to the three (3) month requirement. Failure to do so will result in limited support from CPA and further action as described in the *CAPPS Governance* document.

Ad Hoc Releases

On occasion, CPA may provide CAPPS Hub Agencies with Ad Hoc Releases. The Ad Hoc Releases will be used when required deadlines cannot be met using the standard monthly Release Package window (e.g., Tax

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Updates). The Ad Hoc Releases will not contain the entire Release Package contents, but only those pieces necessary to implement the impacted code.

1. *Ad Hoc Release Package Contents:* The package delivered will be called an *Ad hoc Release* or *Project*. In the package, CPA will deliver:

    a. A piece of the CAPPS Statewide Baseline code line (with the impacted code), and
    b. Other documents, as applicable (e.g., FDDs, TDDs).

2. *Naming Convention:* The naming convention of the Project will depend on the content of the Ad Hoc request.

3. *Delivery:* The Ad Hoc Releases will be delivered on a varying schedule. The schedule will be communicated to the CAPPS Hub Agencies.

4. *Installation Timeline:* The installation timeline will be determined by the impacted change. The schedule will be communicated to the CAPPS Hub Agencies.

PeopleSoft Image & PeopleTools Upgrade Releases

CPA will apply cumulative PeopleSoft Images and PeopleTools upgrades from Oracle in order to take advantage of fixes, enhancements and version releases across each application.

1. *Upgrade Timeline:* CPA anticipates performing cumulative PeopleSoft Image upgrades and PeopleTools upgrades together on a biennial basis. This schedule is subject to change based on Oracle's and CAPPS's release and project schedules. PeopleSoft Image and PeopleTools version upgrades may be applied on a more frequent basis depending on vendor support timelines, platform and application certifications, compatibility, outstanding bug fixes and security updates. The cycle of Image and PeopleTools upgrade dates will be made available through CAPPS Governance.

2. *Upgrade Package Contents:* PeopleSoft Image and PeopleTools upgrades will be provided to CAPPS Hub Agencies in a Release Package. In addition to all standard documentation provided with the monthly Release Package, CPA will deliver (as applicable):

    a. Oracle's PeopleSoft Demo database containing the most current PeopleSoft release used in the CAPPS Statewide Baseline,
    b. The CAPPS Statewide Baseline code line,
        i. CAPPS PeopleSoft Client Software
        ii. CAPPS PeopleSoft Database Software
    c. CAPPS Code Inventory List – A list of Functional Designs and Technical Designs (spreadsheet),
    d. Redacted Functional Design documents (FDDs),
    e. Redacted Technical Design documents (TDDs),
    f. CAPPS Release Notes (Current Version),

g. Oracle Release Notes (Current Version),

h. CAPPS Statewide Baseline Delivery Notes,

i. Accessibility Testing Plan,

j. Accessibility Custom Pages Testing Results,

k. New Accessibility PeopleSoft Cases,

l. CAPPS Reports Test,

m. CAPPS Testing Scripts,

n. Testing Defects List, and

o. Technical Installation Instructions for the current Release Package.

3. *Upgrade Package Delivery:* CAPPS Hub Agencies will receive the Image and PeopleTools upgrade package twenty (20) business days after the migration of the new PeopleSoft Image and PeopleTools to the CAPPS Statewide Baseline.

4. *Upgrade Installation Timeline:* In order to stay in compliance and receive support, the PeopleSoft Image and PeopleTools upgraded Baseline releases will need to be applied to the CAPPS Hub Agency's Production environment within fifteen (15) months of availability of the delivery from CPA and reflect intended functionality. Failure to do so will result in limited support from CPA and further action as described in the *CAPPS Governance* document.

Code Line Testing

1. *Testing of Code Line:* CAPPS Hub Agencies are responsible for applying and testing the statewide modifications and fixes received from CPA in order to maintain consistency with the CPA-delivered CAPPS Statewide Baseline code line. The CPA-delivered code should be applied to the agency copy of the CAPPS Statewide Baseline as well as the agency Production environment.

   a. In accordance with CAPPS Governance, modifications and fixes must be applied within three (3) months of being released unless a release contains modifications or fixes that address new or changed legislation or fiscal policy, security issues, or other mandatory or audit-related requirements which require the CAPPS Hub Agencies to implement on the timeline established by the legislation or policy.

   b. If a CAPPS Hub Agency identifies a conflict between agency-specific functionality or modification that impacts CPA-delivered code, it will follow procedures noted in the *Code Requirements and Governance* section of this document.

2. *Hub UAT:* CPA will host a *CAPPS Statewide Baseline User Acceptance Test (UAT) environment* (one for Financials and one for HR/Payroll). CAPPS Hub Agencies can validate the on-line functionality of a CAPPS modification or fix in the CAPPS Statewide Baseline UAT environment before it is migrated to CAPPS Central (ASP) Production and CAPPS Statewide Baseline.

a. The Hub UAT environment will only be available to support the current version of the CAPPS Statewide Baseline in use by the CAPPS Central Agencies. During a PeopleSoft Image upgrade, PeopleTools upgrade and agency Deployment, the Hub UAT environment will be upgraded in order to allow CAPPS Hub Agencies to test the new code that will be deployed. CAPPS Hub Agencies will have a window similar to the CAPPS Central agency UAT period.

b. Typically, CAPPS Central (ASP) Agencies and CAPPS Hub Agencies are provided ten (10) business days to test a modification or fix. Exceptions to this timeframe will be communicated by CPA based on the requirements and priority of the change. Upon CPA approval, the code change will be migrated to Central (ASP) Production and CAPPS Statewide Baseline during approved maintenance hours.

c. Code migrations to Central (ASP) Production and CPA's instance of CAPPS Statewide Baseline will be performed sequentially following CPA's established approval process.

d. Additional standards and guidelines for the Baseline UAT environments can be found in the *CAPPS Statewide Baseline UAT Environments Standards and Guidelines*.

3. *Issue Reporting:* Prior to reporting baseline issues to CPA, CAPPS Hub Agencies are required to replicate the issue in the most recent version of the CAPPS Statewide Baseline delivered from CPA. As a part of any Service/Support Request ticket submitted to CPA, the CAPPS Hub Agency will provide documentation and screenshots of the fix within the CAPPS Hub Agency's *CAPPS Statewide Baseline Environment*.

Hub Support Model

The Hub Support Model details the support expectations from the CAPPS Hub Agency and CPA based on the status of the system.

Standard Support

Hub Standard Support is the primary type of support that the CAPPS Support Help Desk will offer. The CAPPS Support Help Desk will be available to CAPPS Hub Agencies when they are on the same version of PeopleSoft Image and PeopleTools as the CAPPS Central Agencies.

1. *Help Desks:*

    a. *CAPPS Hub Agencies:* In order to support their installation of CAPPS, CAPPS Hub Agencies are responsible for providing a Level 1 and Level 2 Help Desk at their agencies.
        i. A *Level 1 Help Desk* is defined as providing system end users with security, training and basic system functionality assistance.
        ii. A *Level 2 Help Desk* is defined as providing system core users with more advanced system functionality assistance.
    b. *CAPPS Support Help Desk:* CPA will provide Level 3 Help Desk assistance to CAPPS Hub Agencies.

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i. A *Level 3 Help Desk* is defined as technical assistance or highly advanced functional assistance. This support will be specific to CAPPS Statewide Baseline inquiries and not assistance for the CAPPS Hub Agency's Production instance of CAPPS.

2. *CAPPS Hub Agency Support Staff:* Each CAPPS Hub Agency will designate the staff (not to exceed the CPA-established cap) that are authorized to escalate requests for modifications or fixes to the CPA's CAPPS Level 3 Help Desk. The designation of a limited number of CAPPS Hub Agency support staff will ensure that (1) only agency-authorized contacts can escalate issues and request changes on behalf of the CAPPS Hub Agency, (2) the security of the ticketing system is maintained, and (3) licensing costs of the ticketing system are controlled.

3. *Issue Reporting:* CAPPS Hub Agencies will report issues through CPA's CAPPS Help Desk Ticketing Tool, CAPPS Help Desk Phone line or CAPPS Help Desk Email address. Emails, phone calls or other communication methods that do not utilize the Help Desk will not be considered official requests to CPA for support.

4. *Issue Resolution:* Issues reported to CPA by CAPPS Hub Agencies that result in a fix or an enhancement to the CAPPS Statewide Baseline will be developed on the most current CAPPS Statewide Baseline code line. These changes will then be distributed in a future Release Package.

   a. For example, the CAPPS Statewide Baseline is on Release Package dated "HR Payroll 9.2 TX Baseline 2017 v1." The fix will be developed on this code line and distributed in "HR Payroll 9.2 TX Baseline 2017 v2" or later Release Package.
   b. All fixes will migrate through the ACE into CAPPS Central (ASP) Production and the CAPPS Statewide Baseline prior to being distributed in a Release Package.
   c. Fixes and modifications requested by the CAPPS Hub Agencies will be worked along with requests from the CAPPS Central Agencies.

Hub Sustaining Support

During the time period that CAPPS Hub Agencies are allotted for upgrading to the latest PeopleSoft Image and PeopleTools CAPPS Statewide Baseline Release, CAPPS Hub Agencies will receive *Hub Sustaining Support.* This *Hub Sustaining Support* will be limited to technical assistance for the prior PeopleSoft Image or PeopleTools version.

1. *Supported Issues:* Only those issues related to *Mandatory* code changes (see *FDD/TDD Categorization: 1. Mandatory*) will be supported.
   a. Note: The CAPPS Statewide Baseline(s) will incur a code freeze one to two months prior to a PeopleSoft Image upgrade, PeopleTools upgrade or agency Deployment in order to stabilize the code line.

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Code Requirements and Governance

FDD/TDD Categorization

There are two categories that will be used in the FDD/TDD listing to designate code changes: Mandatory and Discretionary.

1. *Mandatory*: Indicates a change that CAPPS Hub Agencies are required to implement in their CAPPS Hub Production instance. These items relate to:
    a. Federal or State House Bill (HB) or Senate Bill (SB) or Regulation (e.g., SB20 or Affordable Care Act);
    b. Federal or State Policy, Rule or Requirement (e.g., Tax Update or CPA Rule xyz);
    c. Required Core module functionality (fixes and enhancements); or
    d. A patch or bug fix impactful to basic system functionality or processing.

2. *Discretionary:* Indicates a change that CAPPS Hub Agencies may choose to implement in their CAPPS Hub Production instance. *Discretionary* code changes are those that do not impact the Core module functionality (e.g., fixes and enhancements) or a change that is only relevant to the CAPPS Central Agencies (e.g., Security Shell Roles, Deployment Conversions, Production SQL's). It is the responsibility of the CAPPS Hub Agency to determine if the *Discretionary* code changes should be implemented in its Production instance.
    a. *Note:* Discretionary *changes may be re-categorized as* Mandatory *at a future date if they meet the requirements of a Mandatory item.*

Baseline Code Requirements

CAPPS Hub Agencies shall report to CPA when the delivered code has been applied to the CAPPS Hub Agency's CAPPS Production instance. CPA and the CAPPS Hub Agencies will follow Governance processes for managing the outcomes of these reports.

1. *Code Acceptance Requirements:* CAPPS Hub Agencies will accept and implement all *Mandatory* code changes in their Hub installation.

2. *Code Validation Report & Attestation:* CAPPS Hub Agencies will validate and attest, using a CAPPS Statewide Baseline Code Validation Report & Attestation Form, the status of all code provided via the Release Packages.

    a. *Report Timing:* Reports will be due by the last day of the month in January, April, July and October. CAPPS Hub Agencies may opt to provide the Report at more frequent intervals.
        i. January reports will be expected to include information on all changes submitted for October, November and December.
        ii. April reports will include information on all changes submitted for January, February and March.

iii.   July reports will include information on all changes submitted for April, May and June.

iv.   October reports will include information on all changes submitted for July, August and September.

b. *Part 1: CAPPS Statewide Baseline Code Validation Report*

   i.   Perform a validation of all CPA delivered, baseline code and provide confirmation that each *Mandatory* coding change has been implemented in the CAPPS Hub Agency's CAPPS Production instance or provide a planned implementation date.

   ii.   Indicate whether the CAPPS Hub Agency has modified any of the CPA-delivered code. In this circumstance, CAPPS Hub Agency will also indicate the Support Request number that includes the Functional Design Document submitted for CPA review.

   iii.   Indicate whether the CAPPS Hub Agency has applied an alternate code design to any of the CPA delivered code. In this circumstance, the CAPPS Hub Agency will also indicate the Support Request number that includes the Functional Design Document submitted for CPA review.

c. *Part 2: CAPPS Statewide Baseline Code Validation Report Attestation Form*

   i.   Include an Attestation form signed by the CAPPS Hub Agency's Chief Financial Officer or Agency Head. This form attests that the CAPPS Hub Agency has implemented all CAPPS Statewide Baseline changes or intends to do so at a future date.

3. *Completion of Upgrade*: Upon completion of a PeopleSoft Image and PeopleTools upgrade, CAPPS Hub Agencies will be required to provide an updated CAPPS Statewide Baseline Code Attestation Form.

4. *Hub Installation Modifications:* The CACE Approach allows CAPPS Hub Agencies the flexibility to implement agency-specific changes to their Production instance.

   a. To verify CAPPS Hub Agencies remain in compliance with statewide requirements, participating CAPPS Hub Agencies must submit to CPA detailed functional descriptions of all change requests to Core modules or changes to non-Core modules impacting Core. (Reference: *CAPPS Governance*)

   b. In some instances, CPA and CAPPS Hub Agencies may need to simultaneously develop code changes to accommodate required or mandated deadlines (e.g., Affordable Care Act). In these cases, CAPPS Hub Agencies will not be required to remove their code upon receipt of CPA delivered code; however, the CAPPS Hub Agency will take on all responsibility for any future maintenance of the CAPPS Hub Agency-specific code. CPA will only build future changes based on the CAPPS Statewide Baseline.

5. *Audit:* Additional audit inquiries may be requested by CPA of a CAPPS Hub installation. These additional requests may require the CAPPS Hub Agency to run technical scripts or provide other information from the CAPPS Hub Agency's CAPPS installation.

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Governance

The CAPPS Governance process applies to both CAPPS Central Agencies and CAPPS Hub Agencies.

1. *Enhancement Requests:* CAPPS Hub Agencies may request modifications to the CAPPS Statewide Baseline. The CAPPS Hub Agencies must follow the CAPPS Governance process of approval and prioritization to be implemented as a CAPPS Statewide Baseline modification. Approved fixes and modifications (enhancements) will be developed for the platform, operating system (O/S) and database currently utilized by the CPA-supported CAPPS Statewide Baseline.

2. *Timelines:* The CAPPS Governance process will be used as a vehicle to discuss coordination of upgrades to the platforms, operating system (O/S) and databases to facilitate easy, more efficient implementations of CAPPS modifications and fixes.