

Interagency/Intra-agency Agreement			
Parties to the Agreement			
REQUESTING AGENCY/BUYER		SERVICING AGENCY/SELLER	
U.S. Consumer Product Safety Commission			
1A. Department		1B. Department	Department of Transportation
2A. Agency		2B. Agency	Federal Aviation Administration
3A. Office		3B. Office	Enterprise Services Center
4A. OBLIGATION NUMBER		4B. AGREEMENT NUMBER	FF-FM-ESCK-OCPS-16
5A. Agency Location Code (ALC)	61-00-0001	5B. Agency Location Code (ALC)	69001104
6A. Data Universal Numbering Sys. # (DUNS)	069287522	6B. Data Universal Numbering Sys. # (DUNS)	809772007
7A. Tax Identification # (TIN)	520978750	7B. Tax Identification # (TIN)	730588975
8A. Treasury Symbol	61-15-0100	8B. Treasury Symbol	69X4562
9A. AID&Main Acct Code	061-0100	9B. AID&Main Acct Code	069-4562
10A. Accounting Classification Code	0100A16DSE 2016 5445000000 EXFM002720 253NO	10B. Accounting Classification Code	

REQUESTING AGENCY/BUYER		SERVICING AGENCY/SELLER	
11A. Finance Point of Contact		11B. Finance Point of Contact	
Name	Priscila Susi	Name	Thu T. Nguyen
Address	4330 East-West Highway Bethesda, MD 20814	Address	PO Box 25082, AMK-13 Oklahoma City, OK 73125
Phone	301-504-7566	Phone	405-954-5594
E-mail	PSusi@cpsc.gov	E-mail	thu.t.nguyen@faa.gov
12A. Program Point of Contact		12B. Program Point of Contact	
Name	Priscila Susi	Name	Mike Upton
Address	4330 East-West Highway Bethesda, MD 20814	Address	PO Box 25082, AMK-1 Oklahoma City, OK 73125
Phone	301-504-7566	Phone	405-954-8980
E-mail	PSusi@cpsc.gov	E-mail	Mike.Upton@faa.gov
13. Period of Performance		14. Legal Authority	
From (mm/dd/yy)	To (mm/dd/yy)	Public Law 104-205 (110 Stat. 2957)	
10/1/2015	9/30/2016	AMC-1 Franchise Fund Policy Statement, FY 2010-01 4/9/2010	
15. Total Agreement Amount (estimate)		16. Payment Terms and Schedule	
\$	1,071,390.00	Advance Payment Required	

17. Brief Description of the Supplies, Services and Deliverables Required and Option Years, If Any:

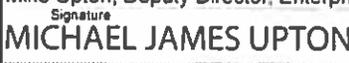
FY16 Financial Management Services:

Delphi Services	290,749.00
Accounting Services	726,419.00
R12	31,506.00
Accumulation	22,716.00
Total	\$ 1,071,390.00

Subject to Availability of Funding. Advances will be taken in accordance with continuing resolution guidelines. Upon approval of the DOT Appropriation, advances will be taken quarterly.

For Internal Use ONLY

Franchise Agreement Financial History (addendum)

Authorized Approvals			
REQUESTING AGENCY/BUYER		SERVICING AGENCY/SELLER	
18. Name and Title of Authorized Official		20. Name and Title of Authorized Official	
Eddie Ahmad, CPSC Contracting Officer		Mike Upton, Deputy Director, Enterprise Services Center, AMK-2	
Signature	Date	Signature	Date
	8/13/15		
19. Name and Title of Fund Certification Officer		21. Name and Title of Authorized Official	
Signature	Date	Signature	Date

**Enterprise Services Center (ESC)
Financial Management Program
Franchise Agreement**

PROVIDER: U.S. Department of Transportation
Federal Aviation Administration
Enterprise Service Center
Mike Monroney Aeronautical Center
P.O. Box 25082, Oklahoma City, OK 73125

CUSTOMER: U.S. Consumer Product Safety Commission
4330 East-West Highway
Bethesda, MD 20814

I. PURPOSE

- A. The Enterprise Services Center (ESC) will maintain for the U.S. Consumer Product Safety Commission (CPSC) a separate, complete and identifiably distinct set of books on the ESC's Oracle Federal Financial System. ESC will also provide accounting services as further described in the attached Service Level Agreement (SLA).
- B. CPSC identified above has requested that ESC provide the goods and services identified in IA above.

II. SCOPE AND DELIVERY

- A. ESC will provide information services and accounting services, as described in the SLA.
- B. This agreement and/or the attached SLA incorporated herein and the orders placed against this agreement provide the basis for funding, invoicing, and payment for transactions identified by this agreement and orders placed against this agreement. Additional funding commitments may be added to the agreement by modification, as a result of changes in the agreement and/or the SLA and the dollar amounts identified. Any such commitments shall be documented by a written modification to this agreement (See Article IV) and incorporated herein.

III. RESOURCE COMMITMENT

- A. ESC agrees that:
 - 1. Sufficient resources are available to provide the goods or services identified in I.A. above.
 - 2. FAA, MMAC, ESC will provide quarterly invoicing to CPSC reflecting dollars collected against funds allocated and identified on the attached DOT Form 2300.1A.

3. Status reports will be provided to CPSC as reasonably requested.

B. CPSC agrees that:

1. Funds equal to the amount listed on the attached DOT Form 2300.1A are available to ESC to carry out its obligations identified in this agreement.
2. A contact point and/or representative(s) will be designated, in writing at the time of the signing of this agreement, to coordinate activities including schedules, resource requirements, equipment needs, property requirements, etc., with ESC. The contact point/representative shall be authorized to, among other things, resolve issues relating to billings, transfers of funds, invoices, and any other dispute that may arise as a result of the performance of this agreement.
3. It will pay or cause to be paid to ESC, within 30 days of the invoice date, any and all amounts invoiced on behalf of ESC in accordance with this agreement and any modifications hereto. CPSC shall identify to ESC, within 60 days of its receipt of the invoice, any disputes regarding invoicing procedures and/or amounts. Any dispute(s) regarding invoicing shall be resolved in accordance with Article X of this agreement.
4. It will provide ESC with as much lead-time as reasonably practical regarding any additional anticipated resource requirements.
5. It will provide ESC with as much lead-time as reasonably practical regarding any anticipated reduction in requirements; provided further that, CPSC costs will be reduced at the point in time ESC is able to sever costs for CPSC requested reduced requirements.
6. It will provide reports and briefings, as reasonably requested, by ESC.
7. It will document, in writing, all requirements relative to this agreement, any order(s) placed in accordance with this agreement, and any modification(s) to this agreement.
8. It has the necessary and appropriate legal authority to enter into this agreement with ESC.
9. CPSC has made the determination that it is in the Government's best interest to fulfill or satisfy these requirements through the ESC IAW FAR 17.5.

IV. AMENDMENTS, CHANGES, MODIFICATIONS

- A. Any and all changes and/or modifications to this agreement shall be in writing and shall be signed by an appropriately designated and authorized representative of each respective party acting within the scope of his/her authority. No oral statement by any person shall be interpreted as modifying or otherwise affecting the terms of this agreement. Any and all requests for interpretation and/or modification shall be made in writing. Modifications shall be sequentially numbered.
- B. The approval authorities for ESC and CPSC relating to any such changes, modifications are the following:

Federal Aviation Administration,
Enterprise Services Center
Michael J. Upton, Deputy Director
PO Box 25082
Oklahoma City, OK 73125

U.S. Consumer Product Safety Commission
4330 East-West Highway
Bethesda, MD 20814

FY16 Franchise Agreement: FF-FM-ESCK-OCPS-16

- C. It is mutually understood and agreed by the parties that the dollar amount to be obligated by CPSC under this agreement is identified in the DOT Form 2300.1A attached. Any funds due and owed either party as a result of a modification shall be identified on the revised DOT Form 2300.1A and paid in a reasonable period of time.

V. EFFECTIVE DATE AND PERIOD OF AGREEMENT

- A. The effective date of this Agreement will be the date of the last signature to this Agreement, or October 1, 2015, whichever is later. The base period of performance will end September 30, 2016.
- B. This agreement will result in a one (1) year base period of performance. This agreement includes four (4) option periods. The bilateral, written option exercise may extend the effective period of this agreement for a period of one (1) calendar year from the date of the exercise. In any event, this agreement shall have a maximum effective period of five (5) calendar years from the date the agreement is exercised. The parties agree to review the terms and conditions of the this agreement at least annually to determine whether the agreement should be amended, modified or terminated.
- C. The parties acknowledge that fund obligations accruing to the parties and both of them out of this Agreement shall be accomplished in accordance with attachment I, DOT F2300.1a, (Interagency/Intra-agency Agreement), and executed as between the parties. The parties acknowledge and mutually agree that that document as well as funding documents initiated by the customer in no way alters, amends, or modifies the obligations of the parties with respect to this Agreement. The parties further acknowledge and mutually agree that in the event of any conflict(s) between the document identified as an Interagency Agreement and this Franchise Agreement or other documents initiated by the customer, the terms and provisions of this Franchise Agreement shall be controlling and shall carry out the purpose(s) for which this Franchise Agreement is executed.
- D. In addition to the forgoing and subject to funding availability, the effective period of this agreement may be extended for a period of up to ninety (90) calendar days to bridge performance hereunder until the appropriate agreement documentation can be entered into by the parties.

VI. PROPERTY ACQUISITIONS

Unless otherwise specified by modifications, any property acquired by ESC to perform work under this agreement shall become the property of ESC.

VII. REASONABLE CARE AND PROTECTION

ESC and CPSC mutually agree to exercise reasonable and appropriate care to protect from unauthorized disclosure to any third parties all intellectual property, proprietary and/or sensitive information and data that become available while fulfilling duties and obligations under this agreement. No information, oral or written, concerning pricing and terms of this agreement shall be published or released to any non-party without prior written approval of ESC and CPSC, except as provided by law.

VIII. AUTHORITY

The FAA authorities by which ESC enters into this agreement are:

- Public Law 104-205 (110 Stat.2957)
- AMC-1 Franchise Fund Policy Statement, FY 2010-01 (April 09, 2010)

The authorities by which CPSC enters into this agreement are:

- The Economy Act (31 U.S.C. 1535)

IX. TERMINATION / REVOCATION

In addition to any other termination rights provided by this Agreement, either party may terminate this Agreement at any time prior to its expiration date, with or without cause, and without incurring any liability or obligation to the terminated party other than payment of amounts due and owing and performance of obligations accrued, in each case on or prior to the termination date by giving the other party at least 18 months prior written notice of termination. Payment of amounts due and owing may include all costs reimbursable under this Agreement, not previously paid, for the performance of this Agreement before the effective date of the termination; the total cost of terminating and settling contracts entered into by the CPSC for the purpose of this Agreement; and any other costs necessary to terminate this Agreement. Upon receipt of a notice of termination, the receiving party will take immediate steps to stop the accrual of any additional obligations, which might require payment. All funds due after termination will be netted against the advance payment and, as appropriate, a refund or bill will be issued.

X. DISPUTE RESOLUTION

Where possible, disputes will be resolved by informal discussion between the parties. If the parties are unable to resolve any disagreement through good faith negotiations, the dispute will be resolved pursuant to the procedures and standards of the Business Rules for Intragovernmental Transactions delineated in the Treasury Financial Manual, Volume 1, Part 2, Chapter 4700 Appendix 10.

XI. FUNDING AND PAYMENT

- A. The Service Level Agreements (SLA) clarifies the working relationship between the ESC and CPSC. The SLA clearly defines roles and responsibilities and the services covered under this Agreement.
- B. CPSC agrees to reimburse ESC for all reasonable costs incurred as a result of ESC performance and work required to service CPSC under the terms of this agreement. The estimated costs are identified on the attached DOT Form 2300.1A.
- C. If an issue arises that might affect accomplishing the service for the overall cost, the organization responsible for providing the service will notify and consult with CPSC in sufficient time for an efficient and effective decision to be made.
- D. All OAs will be notified in advance of planned upgrades, enhancements or changes to Delphi operations. The Delphi team will coordinate all changes to ensure that there will be minimal disruption to services.
- E. The Delphi team will also provide advance-testing time and take necessary steps to ensure that interfaces to feeder systems will not be adversely affected. All proposed enhancements or additional functionality added to Delphi or any shared financial system or service shall be reviewed and approved by OFM prior to implementation. Development and/or implementation costs for any enhancement or added functionality benefiting CPSC will be funded by CPSC

through an Amendment to this Agreement. Enhancements benefiting all OAs will be funded by all OAs.

- F. The DOT DCFO authorizes ESC to bill all OAs directly to recover total Program costs. In accordance with *Public Law 104-205*, ESC will process advances and render monthly bills and supporting documentation for annual Program obligations and expenditures. Advances will be taken in accordance with Continuing Resolution guidelines. Upon approval of the applicable appropriation, advances will be taken in accordance with this Agreement.
- G. Payment will be handled by an IPAC transaction. The billing contact for ESC is :

Mike Monroney Aeronautical Center
Office of Financial Services
General Accounting, AMK-320
P.O. Box 25760
Oklahoma City, Oklahoma 73125-4915A
405-954-4333 (fax 405-954-5322)

- H. The monthly bills will include 1/12 of the full annual expense for Delphi and Accounting operations for FY16 and all recurring expenses for additional shared financial systems and for any specific services that ESC or OFM performs for CPSC. Non-recurring expenses, such as license costs, will be earned in full when the expenses occur. Supporting documentation will identify costs incurred for each Program activity.

XII. APPROVALS

U.S. Consumer Product Safety Commission


Signature

8/13/15
Date

Mike Upton, Deputy Director, Enterprise Services Center

MICHAEL JAMES UPTON

Signature

Digitally signed by MICHAEL JAMES UPTON
DN: c=US, o=U.S. Government, ou=AMC, ou=AMC,
cn=MICHAEL JAMES UPTON
Date: 2015.07.31 12:31:45 -05'00'

Date



**U.S. Consumer Product Safety Commission
(CPSC)**

Operations & Maintenance

(Delphi, CSC, & Financial Services)

**Agreement Number: FF-FM-ESCK-OCPS-16
Version: 2.0**



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1. Executive Summary

Introduction

The purpose of this document is to detail the service levels to be provided by the Enterprise Services Center, to define the scope of services, and to identify the service measurements that are applied to the activities in order to monitor timeliness and quality of services provided.

The objectives of the Enterprise Services Center are to:

1. Produce improved financial information, accounting services, and system operations.
2. Realize cost savings across accounting and system operations.
3. Implement standardized practices through process improvements.

The Enterprise Services Center's philosophy is that teamwork, adaptability, responsiveness, and quality are fundamental to a successful business relationship.

Scope of Activities

All the activities listed below are functions that will be provided.

The standard financial services functions are:

1. Commercial and Administrative Payments
2. Travel
3. Grants
4. Other Accounting
5. Accounts Receivable
6. Property Accounting
7. Reimbursables
8. General Accounting
9. Reports, Analysis, and Generation
10. General Support

The standard information services functions are:

1. Enterprise Solutions
2. System Development Support
3. Systems Technical Support
4. Information Security
5. Communication Services - Telecommunications

Effective Date

This Performance Agreement is effective October 1, 2015 through September 30, 2016. Changes to the agreement must be mutually negotiated and agreed upon between the parties.



2. Global Services

2.1. Service Management

Financial Services

Ensure transactions are supported by adequate audit trails and are maintained in compliance with Government Accountability Office (GAO), Department of Treasury, Office of Management and Budget (OMB) regulations, and ESC policies and procedures.

Information Services

The ESC is International Standards Organization (ISO) 9001:2008 and adheres to Lean Six Sigma processes. In addition, the ESC Data Center is ISO (International Electrotechnical Commission (IEC) 20000-1:2005 certified and Information Technology Infrastructure Library (ITIL) compliant along with the Information Security Services group being certified under ISO 17020. The ESC Application Services adheres to Capability Maturity Model Integration (CMMI). The ESC shall provide effective support to meet or exceed the service levels defined within this SLA utilizing processes that align with the ISO 9001:2008, ISO/IEC 20000-1:2005, and ISO 17020 standards. These quality processes provide a management system, including policies and a framework, to enable the effective management and implementation of IT services and a basis for Continual Service Improvement.

Enterprise Service Desk

The Enterprise Services Center uses the Customer Service Center service desk as part of the global best practices that support the users of DELPHI. Any events or incidents that require notification and communication of status of DELPHI will be directed to the points of contact that are provided by the customer.

The customer shall provide ESC an email group name that contains the notification list that are to be contacted regarding status of the service. Maintenance of this email group is the responsibility of the customer.

2.1.1. Key Personnel

Key personnel, as specified below, are considered essential to the services being provided by this SLA.

Name	Title	Phone	Email
Robyn Burk	Director, Enterprise Services Center	405-954-8980	Robyn.Burk@faa.gov
Mike Upton	Deputy Director, Enterprise Services Center	405-954-8980	Mike.Upton@faa.gov



Shenandoah Speers	Deputy Program Director, Information Services	405-954-3201	Shenandoah.Speers@faa.gov
Steve Aube	Program Director, Financial Services	405-954-4333	Steve.Aube@faa.gov
Matt Taylor	Manager, Customer Relationship & Business Development Branch	405-954-4461	Matt.C.Taylor@faa.gov
Holly A Thompson	Manager, Financial Management Branch	405-954-6216	Holly.A.Thompson@faa.gov

2.1.2. Service Metrics & Reporting

All service level metrics and reporting will be defined in [Attachment 1](#). In addition, the ESC will conduct the following reviews and/or meetings with the Customer as described below:

Type and Definition	Interval	Responsible Individual
Performance Metrics: Meet with the Customer to discuss the following, for example: <ul style="list-style-type: none"> • upcoming events • new requirements • metrics • service level deficiencies 	Monthly/ Quarterly or as Needed	Key ESC Personnel and/or Customer Account Representative
Annual Review: Meet with the Customer to discuss the following, at a minimum: <ul style="list-style-type: none"> • Service Level Agreement • Performance and Customer satisfaction 	Annual	Key ESC Personnel and/or Customer Account Representative
Service Level Reports: Agreed upon reports provided to the Customer such as metric(s).	Monthly/ Quarterly or as Needed	Key ESC Personnel and/or Customer Account Representative

In order to monitor and evaluate the timeliness and quality of services provided by the Enterprise Services Center, performance metrics are listed for each applicable function. These metrics follow general accounting activity standards, studies from industry best practices, as well as industry standards. The Enterprise Services Center's ability to achieve these metric goals is dependent in part on other offices. The ESC shall report performance metric results to the customer CFO or designee, on a monthly basis not later than the 22nd calendar day of the month following the monthly period being reported. The Monthly Performance Report metric will include an explanation of cause of substandard performance,



including origin of problem, and recommended corrective action planned. When appropriate, the customer CFO or designee and the Enterprise Services Center will jointly review causes of sub-standard performance.

The term "business day" used in the metrics refers to normal business days (i.e. Monday to Friday). The term "calendar day" used in the metrics refers to Monday to Sunday. Financial management personnel have determined the percentages used in the metrics. These percentages suggest the target level of effort deemed appropriate for a particular activity.

2.2. Service Level Deficiency

The ESC shall provide resolution of service level deficiencies. Any activity effort that does not reach a performance metric target level must be evaluated within 30 days and corrected as agreed upon with the customer. Any problems or issues shall be directed to the Key ESC Personnel for resolution. Key ESC Personnel shall provide feedback and resolution within an agreed upon time acceptable to the Customer. If the Account Representative is unable to resolve the issue or problem within the agreed upon time, it is the responsibility of that individual to escalate the issue through management. The Customer does reserve the right to contact higher levels of management if they believe the issue warrants such escalation outside the normal resolution process.

2.3. Customer Responsibilities

2.3.1. General

The Customer shall:

- 2.3.1.1. Provide Customer-related information and applicable documents for this SLA.
- 2.3.1.2. Follow established help desk procedures as defined in the Delphi Online Helpdesk.
- 2.3.1.3. Schedule and pay for all requested training.
- 2.3.1.4. Participate in defining requirements for and testing of new reports.
- 2.3.1.5. Participate in semi-annual disaster recovery testing to ensure accessibility of disaster site and operation of all functions as usual.
- 2.3.1.6. Participate in testing upgrades and new development as requested.
- 2.3.1.7. Provide telecommunications access to the system.
- 2.3.1.8. Designate a security officer.
- 2.3.1.9. Provide funding for any security related travel expenses.
- 2.3.1.10. The customer will be responsible for patching any identified third party software that is used and required by their suite of applications, not identified as a defined part of the operating system. These products may include for example: Java, Adobe,



Flash, etc... (This is not an all-inclusive list of products that have been identified). The customer agrees to patch identified third party software on a reoccurring schedule that coincides with the defined ESC datacenter patching schedule in section 4.4.1.

- 2.3.1.10.1. In the case that the customer is unable to meet the patching schedule identified in section 4.4.1, the customer is responsible for coordinating with their ISSO to obtain the required Risk Acceptance.
- 2.3.1.10.2. In cases where a patch or recommended fix may cause or causes the application to fail or significantly degrade the function of the application, justifications and dates to mitigate the vulnerability will be coordinated by the customer, their ISSO, and ESC.

2.3.2. Security

The Customer shall:

- 2.3.2.1. Actively participate in Delphi's risk management program by evaluating risks identified by ESC and selecting and funding appropriate mitigation activities, compensating controls and/or considering Risk Acceptances or Deadline Extension approvals.

3. Financial Services (FS)

3.1. Commercial & Administrative Payments

3.1.1. Function Description:

The scope of the Commercial & Administrative Payments accounting function is the process of making payments to employees, vendors and federal entities for products and services not related to Grants or Travel and to provide service and support to customers for all Accounts Payable related activities.

3.1.2. Activities:

3.1.2.1. Credit Card Payment Processing (CCPMT)

- 3.1.2.1.1. Make Daily Bank Card Payment(s) (BCPYMT)
- 3.1.2.1.2. Process Bank Card Interface (BCIFACE)
- 3.1.2.1.3. Manual Processing of Bank Statements (CCMANUAL)

3.1.2.2. Payments (PYMTS)

- 3.1.2.2.1. Process Inter/Intra Governmental Payments (GOVPYMT)
- 3.1.2.2.2. Process Commercial Vendor Payments (COMMVEND)
- 3.1.2.2.3. Process Miscellaneous Payments (MISCPYMT)
- 3.1.2.2.4. Process All Payables Interfaces (PAYFACE)
- 3.1.2.2.5. Verification of 1099/1042 Data (TAXFORM)

Note: This function is provided to customers that receive full accounting services



3.1.2.3. Payroll Processing (PYRL)

3.1.2.3.1. Import Payroll Interface file (PYRLFACE)

3.1.2.3.2. Process Manual Payroll Corrections (PAYMANUL)

3.2. Travel

3.2.1. Function Description

The scope of the Travel accounting function is the process of reimbursing travelers for authorized business-related events and to provide customer service.

3.2.2. Activities

3.2.2.1. E- Travel (ETRVL)

3.2.2.1.1. Process Interface Files (ETRVFACE)

3.2.2.1.2. Post audit vouchers (EPOST)

3.2.2.2. Permanent Change of Station (PCS)

3.2.2.2.1. Process PCS Orders and Vouchers; and provide consultation relating to PCS (PCSPYMT)

3.2.2.3. Travel Credit Card (TRVCC)

3.2.2.3.1. Provide Credit Card Service to Travelers (TRVCARD)

3.2.2.4. Travel Processing (TDY)

3.2.2.4.1. Process Manual TDY Obligations and Vouchers (TDYPYMT)

3.2.2.5. Centrally Billed Account Processing (CBA)

3.2.2.5.1. Reconcile Monthly Statements and make Payments (CBARCON)

3.3. Grants

3.3.1. Function Description

The scope of the Grants accounting function is the process of allocating funds for a specific project and making payments to grantees within the agency's guidelines.

3.3.2. Activities

3.3.2.1. Grant Payments (GRNTPAY)

3.3.2.1.1. Process Manual Grant Obligations and Payments (GRNTMAN)

3.3.2.1.2. Process Automated Grant Obligations and Payments (GRNTAUTO)

3.3.2.1.3. iSupplier Grants Help Desk Support (ISGRNTHD)

3.4. Other Accounting

3.4.1. Function Description

The scope of the Other Accounting function is the process of performing accounting activities that do not fall within the first three accounting



function categories listed above but this function resides within the Commercial and Administrative Payments Division.

3.4.2. Activities

3.4.2.1. Payments Validation/Previewing (PREVIEW)

3.4.2.1.1. Preview invoices for data entry accuracy prior to sweeping them to Treasury

3.4.2.2. Payments Sweeping (PYMTSWP)

3.4.2.2.1. Sweep Payments to Treasury (SWP)

3.4.2.2.2. Provide Payment Certification (CERT)

3.4.2.3. Supplier Setup (SUPPLIER)

3.4.2.3.1. Set up new Suppliers and update existing supplier records (SET-UP)

3.4.2.4. Scanning Services (SCANNING)

3.4.2.4.1. Perform Scanning Services (SCAN)

3.4.3. Internal Control

3.4.3.1. Ensure accurate status is maintained for all advanced balances for each customer.

3.4.3.2. Ensure all cash transactions for the OA are supported by adequate audit trails and are maintained in compliance with GAO, Department of Treasury, OMB regulations, and ESC policies and procedures.

3.4.3.3. Ensure control setups are supported by documented requests and requirements and are consistent with GAO, Treasury, OMB, and ESC policies and procedures.

3.5. Accounts Receivable

3.5.1. Function Description

The scope of the Accounts Receivable (A/R) accounting function is the receipt of money that is owed to the OA by customers or business parties from the public sector for products and services provided.

3.5.2. Activities

3.5.2.1. Accounts Receivable (AR)

3.5.2.1.1. Process Accounts Receivable Transactions (AR-MISC)

3.5.2.1.2. Prepare Treasury Report on Receivables (AR-TROR)

3.5.2.2. Collections (COLL)

3.5.2.2.1. Process Collections (SF 215s) (CL)

3.6. Property Accounting

3.6.1. Function Description

The scope of the Property Accounting function is the process of properly recording, monitoring, and reviewing all inventory and property.



3.6.2. Activities

3.6.2.1. Property (PROP)

- 3.6.2.1.1. Process Fixed Assets transactions with receipt of complete capitalization package (FA-PKG)

3.7. Reimbursables

3.7.1. Function Description

The scope of the Reimbursables accounting function is the processing of Reimbursable Agreements (RA) for the customer.

3.7.2. Activities

3.7.2.1. Projects Accounting (PA)

- 3.7.2.1.1. Process Seller Reimbursable Agreements (REIMB)
- 3.7.2.1.2. Process Manual RAs and Billings (RA)

3.8. General Accounting

3.8.1. Function Description

The scope of the General Accounting function is the process of validating financial documents and performing accounting activities that do not fall within the scope of other accounting functions previously discussed in this document.

3.8.2. Activities

3.8.2.1. Cash Operations (CASH)

- 3.8.2.1.1. Perform 224 Reconciliation (224)
- 3.8.2.1.2. Research and Clear Statement of Difference (non-ESC created) (RESEARCH)
- 3.8.2.1.3. Perform Treasury Confirmations (TREAS)

3.8.2.2. Reconciliation (RECON)

- 3.8.2.2.1. Perform Month-end Close Processes and Procedures (MTEND)
- 3.8.2.2.2. Perform reconciliation of subsidiary ledgers to the General Ledger (RCON)

3.9. Reports, Analysis, & Generation

3.9.1. Function Description

The scope of the Reports Analysis accounting function is the process of providing reports in response to unique request of management.

3.9.2. Activities

3.9.2.1. Financial Reporting (FINRP)

- 3.9.2.1.1. Prepare and submit Financial Statements and related notes and checklist (FINRPT)
- 3.9.2.1.2. Input Budget information into the Budget Execution Module (FINRPT)



3.10. General Support

3.10.1. Function Description

In addition to the services described above, ESC also supports our customers with request to provide documentation in support of internal as well as external audit reviews.

4. Information Services (IS)

4.1. Enterprise Solutions

The ESC shall provide support to include the life cycle management of the Delphi application. The ESC is responsible for developing/testing and transitioning of the application into the Production environment.

4.1.1. Development/Test System Change Requests (SCR Management) Services

The ESC shall:

- 4.1.1.1. Provide Project Management for System Change Requests (SCRs) that are very large or of sufficient complexity to require the introduction of project management skills. Examples include SCRs that involve multiple core functions, interfaces to other systems, require extensive coordinated integration testing, or have very high political visibility. In these cases, the ESC will provide support, schedules, documentation, project meetings, tracking, and budget oversight.
- 4.1.1.2. Provide service transition or deployment. Implementation into production with proper documentation and processes to ensure integrity and performance of the system in the production infrastructure.
- 4.1.1.3. Provide documentation. The creation of documentation for a specific system, including hard copy and on-line media.
- 4.1.1.4. Provide support and maintenance as requested, including month/year end, system interfaces, reporting (Discoverer, web reports, and application reports), and applications. Including analysis, design, documentation, testing, deployment, and verification.
- 4.1.1.5. Supports OMB/Financial mandated reporting and coding modifications.
- 4.1.1.6. Provides comprehensive best practice release management for projects, development, emergency changes, and major system release updates.
- 4.1.1.7. Supports all Certification and Accreditation (C&A) activities.

4.1.2. Continuity of Operations (COOP)/Disaster Recovery Activities

The ESC shall:



- 4.1.2.1. Support Continuity of Operations (COOP) and Disaster Recovery (DR) meetings and testing (2 per year).

4.1.3. Development and Test Application Administration Services

The ESC shall:

- 4.1.3.1. Perform maintenance, security, standardization, and separation of duties setup.
- 4.1.3.2. Administer user IDs for system access to development and test environments and act as subject matter experts (SMEs) (level 3 support) to aid production services as required in the event of access management incidents that occur in the production environment.
- 4.1.3.3. Provide new user IDs, including communications with Customer security officers for Production, Development, and Test environments.
- 4.1.3.4. Perform user password resets and security controls.
- 4.1.3.5. Provide printer setup and maintenance.
- 4.1.3.6. Provide system wide lockouts.
- 4.1.3.7. Verify and communicate with developers via module design (MD) 120 documentation.
- 4.1.3.8. Ensure appropriate roles and responsibilities are established.
- 4.1.3.9. Provide disaster recovery set up.
- 4.1.3.10. Support and perform quarterly review of user access.
- 4.1.3.11. Monitor and manage business-critical nightly batch processing.
- 4.1.3.12. Monitor performance and availability of concurrent managers.

4.1.4. Development/Test Database Instance or Data Administration Services

The ESC shall, in coordination with production support and hosting services:

- 4.1.4.1. Perform backups, restores and overlays of database instances and general database administration for development and test instances. Including tuning, resolution actions, and security scanning.
- 4.1.4.2. Engage in optimization and sizing efforts of the system development/test database.
- 4.1.4.3. Accomplish critical patch updates (CPU)/patch set updates (PSU) patching.
- 4.1.4.4. Accomplish application patching to maintain software compatibility and supportability with hardware and software environments.
- 4.1.4.5. Perform maintenance of tables, i.e., changes including addition, deletion and modification to custom and core tables in the development and test environments.



- 4.1.4.6. Provide analysis and resolution to vulnerabilities and POA&Ms identified during security scans.

4.1.5. Change/Release/Configuration Control Services

The ESC shall, in coordination with production support and hosting services:

- 4.1.5.1. Provide disciplined change management to ensure all changes that can affect the system are captured, reviewed, tracked, properly implemented, and fully documented.
- 4.1.5.2. Perform migration of programs/modules from test to production environment, i.e., configuration management, change control, etc.

4.1.6. Audit Support Services

The ESC shall:

- 4.1.6.1. Assist customer and auditors with audits.
- 4.1.6.2. Prepare audit responses.
- 4.1.6.3. Perform audit support tasks not covered above that are independent of C&A.
- 4.1.6.4. Provides assistance to the Information System Security Officer (ISSO) in evaluating security control deficiencies by supporting plan of action and milestones (POA&Ms).

4.2. Systems Development Support

The scope of the Functional Systems Support function is the process of supporting the technical and operational communities in ensuring adequate systems performance.

4.2.1. Delphi Customer Services

The ESC shall:

- 4.2.1.1. Provide production system support.
- 4.2.1.2. Provide level 2 Delphi help desk for recurring projects.
- 4.2.1.3. Provide systems audit support.
- 4.2.1.4. Provide production system user documentation.
- 4.2.1.5. Provide business process support.

4.2.2. Delphi Operational Support

The ESC shall:

- 4.2.2.1. Provide systems development support.
- 4.2.2.2. Provide Delphi operational support.
- 4.2.2.3. Provide federal reports project.
- 4.2.2.4. Provide functional testing/support.
- 4.2.2.5. Provide release migration support.



4.2.3. Control Setups

The ESC shall:

- 4.2.3.1. Perform all setups (with the exception of Financial Statements).
- 4.2.3.2. Perform setup/maintenance of Financial Statements.

4.2.4. Year End Processing

The ESC shall:

- 4.2.4.1. Provide Delphi year end.
- 4.2.4.2. Perform execution of Year end closing process.

4.2.5. 1099 and 1042 Processing

The ESC shall:

- 4.2.5.1. Transmit electronic files to the Internal Revenue Service (IRS).

4.3. Systems Technical Support

4.3.1. Basic Hosting Services

The ESC shall:

- 4.3.1.1. Provide hosting of the Delphi application in a controlled environment, including a secure facility per DOT security policies, dual power feeds supplied through a system of fault-tolerant uninterruptible power supplies (UPSes) and generators, and fault tolerant cooling and environmental controls. Secure high-speed connectivity to the DOT Inter-modal Data Network (IDN) and the FAA Wide Area Network (FTI) shall be provided. Access from the public Internet is protected by a firewall system to prevent unauthorized activity.
- 4.3.1.2. Provide physical security to include limiting the number of personnel with unescorted access to the facility, providing and monitoring security cameras, and ensuring adequate access controls are maintained.
- 4.3.1.3. Provide escorted access to the SMF/ESC Data Center for authorized personnel within business hours. Access required outside of business hours shall be scheduled in advance and coordinated by SMF/ESC Data Center personnel.
- 4.3.1.4. Provide the following services in support of the Delphi application for all environments, as applicable:
 - 4.3.1.4.1. System administration to include but not limited to Operating System (OS)/Secure Socket Layer (SSL) installation and maintenance, preventive diagnostics, OS hardening and security and security controls management.
 - 4.3.1.4.2. Storage and Storage Area Network (SAN) management to include but not limited to SAN design and configuration.



- storage device hardware support, storage utilization monitoring and scaling, redundancy for loss and unavailability prevention and preventative diagnostics.
- 4.3.1.4.3. Database Administration to include but not limited to database installation and configuration, security controls management, database hardening and security management, performance tuning and monitoring, tablespace management and data integrity.
- 4.3.1.4.4. Middle Tier Administration to include but not limited to installation of Oracle Middleware products, deploying application BPEL processes, security controls management, Oracle Middleware hardening and security management and SSL installation and maintenance.
- 4.3.1.4.5. Patch Management to include but not limited to applying hardware firmware updates, OS security patches/service packs and database security patches/upgrades within established timeframes, see [Attachment 2](#).
- 4.3.1.4.6. Backup, Restore and Media Management to include but not limited to:
 - 4.3.1.4.6.1. Automated systems to perform data backup.
 - 4.3.1.4.6.2. Backup data encryption.
 - 4.3.1.4.6.3. On-site and off-site management and access control of all media.
 - 4.3.1.4.6.4. Secure storage of all backup data each day to provide an optimal Recovery Point Objective (RPO) and then transfer to a secure off-site facility.
- 4.3.1.4.7. Production Control to include but not limited to:
 - 4.3.1.4.7.1. Continuous monitoring of the hardware system using automated tool(s) that specify predefined thresholds to ensure maximum availability, report and troubleshoot the hardware and when established thresholds are reached provide automatic notification to the technicians for problem resolution and report on up-time, memory, Central Processing Unit (CPU), disk, etc., to determine service level availability of the system.
 - 4.3.1.4.7.2. File transfer configuration and support (e.g., SSH, SSL, Secure File Transfer Program (SFTP).
 - 4.3.1.4.7.3. Interface services to schedule, monitor, test, and diagnose system interfaces.
 - 4.3.1.4.7.4. Application processing.
- 4.3.1.4.8. Disaster Recovery to include but not limited to:
 - 4.3.1.4.8.1. System recovery at the primary or alternate facility within agreed upon timeframes with minimal data loss.
 - 4.3.1.4.8.1.1. Hot Site (i.e., computer system is located in a secure computer room at the disaster recovery facility and maintained in a state of readiness. Databases are



mirrored between the SMF/ESC Data Center and the disaster recovery facility).

- 4.3.1.4.8.1.2. Ensure that the disaster recovery system is up and available within a Recovery Time Objective (RTO) of 72 hours of a declared disaster with a goal of no more than a Recovery Point Objective (RPO) of one hour of data loss, in the event of a disaster.
- 4.3.1.4.8.2. Bi-annual disaster recovery tests.
- 4.3.1.4.9. Provide the level of availability to the Customer and its end users to satisfy their business needs. System availability for end users shall be by joint agreement between the ESC and the Customer. On-site technical support will be available to the Customer during business hours. System availability required outside of on-site technical support hours will be handled by ESC call back procedures to meet agreed upon system availability.
- 4.3.1.4.10. Respond to technical support requests within established timeframes such as network port, Storage Area Network (SAN) connectivity, additional storage, data fix, new account and printer add. Requests shall be directed to the ESC Customer Service Center (help desk) to be logged into the service management tool.
- 4.3.1.4.11. Notify the Customer by telephone and/or e-mail when unscheduled facility and system events occur such as an outage, system failure, security incident, etc., so that appropriate notification and/or contingency procedures can be executed. Service related events and incidents will be logged into the service management tool.
- 4.3.1.4.12. Notify the customer in advance prior to facility/system maintenance and system patching to permit the Customer time to evaluate the impact. Change requests will be created in the service management tool and reviewed and approved at the Change Control Board (CCB) meetings, which customers are invited and encouraged to attend.

4.4. Information Security

4.4.1. Information Security Operations Services

The ESC shall:

- 4.4.1.1. Assign a dedicated primary and alternate ISSO for Delphi in accordance with the National Institute of Standards and Technology (NIST) SP 800-100, NIST SP 800-115, NIST SP 800-42, and National Security Telecommunications & Information Systems Security Instruction (NSTISSI) No. 4014.
- 4.4.1.2. Provide coordination of Plan of Action & Milestones (POA&M) mitigation activities. Submit POA&M proof documentation to the



- ESC Security Assessment group to solicit closure to mitigation activities.
- 4.4.1.3. Maintain and or create security documents.
- 4.4.1.4. Observe two Disaster Recovery exercises, create the exercise reports and submit for Authorizing Official (AO) approval.
- 4.4.1.5. Travel included for Disaster Recovery exercises.
- 4.4.1.6. Perform monthly Vulnerability 'default' scans. High and Medium vulnerabilities will be tracked. ESC will coordinate with the system's ISSO and System Administrators to ensure the vulnerabilities are remediated in a timely manner. If a scan identifies a vulnerability that is believed to be inaccurate, assistance will be provided to create any required document(s).
- 4.4.1.7. Perform monthly Database scans on the (51) database instances. High and Medium vulnerabilities will be tracked. ESC will coordinate with the system's ISSO and Database Administrators to ensure the vulnerabilities are remediated in a timely manner. If a scan identifies a vulnerability that is believed to be inaccurate, assistance will be provided to create any required document(s).
- 4.4.1.8. Perform (2) Web Application scans on the (4) websites. High and Medium vulnerabilities will be tracked. ESC will coordinate with the system's ISSO and Web Administrators to ensure the vulnerabilities are remediated in a timely manner. If a scan identifies a vulnerability that is believed to be inaccurate, assistance will be provided to create any required document(s).
- 4.4.1.9. Provide reporting of all security incidents in a timely manner, in coordination with the ISSO, to adhere to DOT/FAA Incident Response policies.
- 4.4.1.10. As requested, provide status reports on security related activities (e.g., POA&M mitigation, upcoming unfunded FISMA requirements, etc.) to keep management informed.
- 4.4.1.11. Travel not required for scanning services.
- 4.4.2. **Information Security Assessment Services**
The ESC shall:
- 4.4.3. Conduct independent assessments of Delphi to help the system attain/maintain Federal Information Security Management Act (FISMA) compliance.
- 4.4.4. Assessment deliverables for Delphi system:
 - 4.4.4.1. Executive Summary (including Signature Pages).
 - 4.4.4.2. Security Assessment Memos.
 - 4.4.4.3. Security Assessment Report (SAR).
 - 4.4.4.4. Risk Assessment Report (RAR; based on weaknesses identified).
 - 4.4.4.5. Plan of Action & Milestones (POA&M) with Mitigation Recommendations.
 - 4.4.4.6. Status Reports (distributed weekly to System POCs).



- 4.4.4.7. Out-brief telecom (as coordinated by System POCs).
- 4.4.5. Maintain points-of-contact (POC), POA&M, and general status information in DOT's Cyber Security Management System (CSAM).
- 4.4.6. Provide security consultation to Delphi's Information Systems Security Manager (ISSM) and Authorizing Official (AO) in matters pertaining to Delphi.
- 4.4.7. Provide consultation and feedback on security documentation created by other entities, to include other ESC organizations, in preparation for approval by Delphi's Authorizing Official.
- 4.4.8. Create and disseminate monthly security status reports detailing the FISMA compliance, mitigation status trends and overall security posture of Delphi.
- 4.4.9. Coordinate monthly meetings with ESC management, as availability permits, to review Delphi-related security activities.
- 4.4.10. Provide (28) Interface Memorandum of Understanding (MOU) compliance reviews.
- 4.4.11. Travel included to Kansas City, MO and William J Hughes Technical Center (WJHTC), Atlantic City, NJ for assessment services.

4.5. Communication Services - Telecommunications

The ESC shall:

- 4.5.1. Maintain an inventory and control of all circuits initiating from or terminating at the SMF/ESC Data Center (to Delphi).
- 4.5.2. Serve as point of contact (POC) for the DOT Cyber Security Management Center (CSMC) at the SMF/ESC Data Center.
- 4.5.3. Support firewall appliances and firewall management server at SMF/ESC Data Center including installation, configuration, and maintenance.
- 4.5.4. Maintain and store all firewall traffic and create reports in support of streamlining the firewall rule-base.
- 4.5.5. Provide firewall logs and other security data to DOT/FAA security offices and other appropriate personnel as required.
- 4.5.6. Serve as an Internet Access Point (IAP) for SMF/ESC Data Center facility hosting Delphi.
- 4.5.7. Provide network support and network security for systems located in the SMF/ESC Data Center.
- 4.5.8. Maintain interface connectivity to all server(s).
- 4.5.9. Provide termination point equipment at ESC Demarc. This includes necessary Channel Service Unit/Data Service Unit (CSU/DSU) router and switches.
- 4.5.10. Provide continuous monitoring of the network using automated tools that specify predefined thresholds to ensure maximum availability. These types of tools allow the ESC staff to correlate real-time system and network status data to optimize service performance and availability and receive



proactive alerts based on individual criteria and to monitor network devices and provides standard configuration control across the network.

- 4.5.11. Manage and provide support for the load balancing and SSL acceleration in the Delphi environment.
- 4.5.12. Manage efforts associated with the required data circuit(s) for DR unless Customer provided.

4.6. Customer Service Center

The Customer Service Center (CSC) provides 24x7x365/366 service desk support (Level 1) managed through Information Technology System Management (ITSM) tool set, first point-of-contact, service desk management support and consultation conforming to Information Technology Infrastructure Library (ITIL) best practices. Staffing consisting of Help Desk Institute (HDI) certified CSC Agents and ITIL certified support personnel.

4.6.1. Foundation Administration Support:

- 4.6.1.1. Automated Call Distribution (ACD) and Interactive Voice Recognition (IVR) Administration.

4.6.2. ITSM System Administration

- 4.6.2.1. Configuration and Maintenance
- 4.6.2.2. System Security Certification
- 4.6.2.3. Disaster Recovery
- 4.6.2.4. Knowledge Base Management

4.6.3. Reporting

A standard set of reports is provided to the customer which is negotiable prior to go-live. Changes after implementation must go thru the Change Management process.

- 4.6.3.1. Development and Publication - Report Access Control through Account Management.

4.6.4. Service Desk Implementation

Provide customer facing team to gather requirements and plan out infrastructure in ITSM System.

- 4.6.4.1. Project Management Support
- 4.6.4.2. Business Process Engineering Support for ITIL Compliance

4.6.5. ITSM Functionality :

- 4.6.5.1. Incident Management
- 4.6.5.2. Change Management
- 4.6.5.3. Service Level Management

**4.6.6. Prime Service Desk Support:**

- 4.6.6.1. Provide support 24x7x365; Core Support hours 0500-2000 CST.
- 4.6.6.2. Primary Help Desk I and II agent(s).
- 4.6.6.3. Average Call Duration five to ten minutes.
- 4.6.6.4. Call/Event Logging – Tickets logged into ITSM system.
- 4.6.6.5. Password Reset Resolution, Application Support, System Monitoring.
- 4.6.6.6. Attempt to resolve every call by performing general support utilizing all provided knowledge base documentation.
- 4.6.6.7. Call Escalation – if not resolvable to CSC, the call or event gets routed appropriately.
- 4.6.6.8. Voice Mail Monitoring with Callback and event logging.
- 4.6.6.9. Email Inbox Monitoring with event logging.
- 4.6.6.10. Incident Life Cycle Management following ITIL Best Practice – Events logged by Service Desk are monitored and tracked thru resolution.
- 4.6.6.11. End User Notification through use of Customized Message Recording (CMR) via the ACD and phone tree.
- 4.6.6.12. Review all verbiage located on web sites that reference Service Desk and provide feedback prior to publishing.

5. Reference Documents

Service	Reference	Description
Global	Attachment 1	Service Metrics & Reporting
IS	Attachment 2	Change Criteria

6. Document Control

Version	Date	Comments	Edited By
1.0	6/4/12	Initial Creation	H. Thompson
1.1	6/15/12	Updated with Review Comments	H. Thompson
1.2	8/7/12	Added "Delphi Only" to cover page	H. Thompson
1.3	8/20/12	Added 3.4.3.3 & Grants in Exec Summary & Paired down Travel section 3.2.1 & updated POC list	H. Thompson
1.4	6/10/13	Updated with FY-14 information	H. Thompson
	6/17/13	Updated with IS verbiage	H. Thompson
	6/25/13	Updated formatting per peer review	H. Thompson
	6/27/13	Made final changes to format and content	H. Thompson
1.5	6/12/14	Updated with FY-15 information	H. Thompson
2.0	6/24/15	Updated branding.	M. Taylor

Attachment 1 - Service Metrics and Reporting (Delphi & CSC Support)			
Metric	Definition	Reporting Frequency	Performance Target
Commercial & Administrative Payments			
Invoice Paid Timeliness	In accordance with the Prompt Pay Act and OMB requirements, 98% of commercial payments (non-credit card) are paid by Treasury within 30 calendar days of receipt by the accounting office. "Days of receipt" refers to either the system date stamp OR the date stamp indicated on the document when it arrived at the accounting office, whichever is later. #	Monthly	98.0%
EFT Usage	96% of all vendor payments are paid via EFT. #	Monthly	96.0%
Interest Paid	Interest penalties paid are less than or equal to .02% of total invoices paid. Payments for these penalties are subject to the terms described in the Prompt Payment Act. #	Monthly	100.0%
Travel			
Travel EFT Usage	95% of payments to travelers are sent via EFT	Monthly	95.0%
Travel Payment Timeliness	95% of travel payments are made within 8 calendar days of receipt in the travel office or approved by approving official in e-Travel System	Monthly	95.0%
Grants			
Grants Interface Processing Timeliness	95% of transaction data is validated and entered into DELPHI within 7 calendar business days of the Grant system transaction's date	Monthly	95.0%
Other Accounting			
Supplier Input Timeliness	100% of supplier records shall be updated within 2 business days of receipt from customer. "Days of receipt" refers to the KINTANA system date stamp. If supplier information is received by 2:00 p.m. EST, the table is updated by Close of Business (COB) the next day. If supplier information is received after 2:00 p.m. EST, the table is updated by COB two business days out.	Monthly	100.0%
Accounts Receivable			
Sent to Treasury Timeliness	95% of all overdue accounts (i.e. accounts that are late in payment of 180 calendar days or more) are sent to Treasury within 30 calendar days of the delinquent date.	Monthly	95.0%
A/R over 180 Days	Delinquent accounts receivable from the public over 180 calendar days and eligible to be referred to Treasury are less than or equal to 10% of the total public accounts receivable balance.	Monthly	90.0%
Property Accounting			
N/A			
Reimbursables			

OMB Performance Metric

SLA Metrics

Attachment 1 - Service Metrics and Reporting (Delphi & CSC Support)			
Metric	Definition	Reporting Frequency	Performance Target
Federal Accounts Receivable Aging	Open Federal Accounts receivables should not exceed 90 days in age.	Monthly	59 days
General Accounting			
Amount in Suspense Greater than 60 Days	Amount in suspense accounts will be less than 60 calendar days reported in Net dollars.	Monthly	29 days
224 Cash Reconciliation	100% of the DELPHI cash activity on the SF-224 Statement of Transactions is reconciled with the FMS Goals System and provided to the customer points of contact for correction within 15 calendar days of the FMS Goals System report date.	Monthly	100.0%
224 Cash Reconciliation Correction	Identified differences are corrected at the subsidiary transaction level within 45 days of notification	Monthly	15 days
Fund Balance with Treasury	Sustain less than a 2% fund balance net difference between customer and Treasury financial reports.*	Monthly	98.0%
Month End Processing Timeliness	Ensure completion of month end close activities within established timeframes 100% of the time.	Monthly	100.0%
Reports, Analysis, & Generation			
Financial Statements Timeliness	Submit Financial Statements 100% on time with approved schedules.	Quarterly	100.0%
Reconciliation Reports Timeliness	Provide detailed reconciliation reports within 20 calendar days following audit month to customer points of contact.	Monthly	100.0%
Treasury Report Timeliness	Submit Treasury reports 100% of the time within established timeframes.	Monthly	100.0%
Financial Statements System Support	Ensure the Financial Statements are produced in the system in accordance with OMB Circular A-136 and Treasury requirements, and are produced in the system in compliance with established timeframes 100% of the time.	Monthly	100.0%
Functional Systems Support			
Systems Help Desk Ticket Timeliness	Resolve issue or respond to user with estimated completion date within 5 business days 95% of the time.	Monthly	98.0%
Year End Processing	Ensure the SGL accounts are closed and carried forward to the new year in accordance with Treasury requirements and the processing completed with established timeframes 100% of time.	Annually	100.0%

OMB Performance Metric

SLA Metrics

Attachment 1 - Service Metrics and Reporting (Delphi & CSC Support)			
Metric	Definition	Reporting Frequency	Performance Target
1099/1042 Processing Timeliness	Ensure 1099/1042 reports are produced in the system in accordance with Internal Revenue Service requirements, and are produced, transmitted and mailed to the vendors and customers within established legal timeframes 100% of the time.	Annually	100.0%
Customer Service Satisfaction	Achieve 90% favorable response on the customer satisfaction survey after Tier 2 Help Desk ticket is closed.	Monthly	90.0%
General Support			
N/A			
Data Center Services			
System Availability	Maintain overall system availability during core business hours listed in the SLA (6.2.9). System outages will only be counted against the SLA metric if the outage occurs during core business hours. The system will remain available during non core support hours; however, any outage whether scheduled or unscheduled will not be counted in the SLA metric. Maintenance will be performed during non-core support hours with prior notification and approval from the Customer. Critical patches for security vulnerabilities will be performed after Customer approval and 24 hour notification. Outages that occur during this time will count as scheduled downtime.	Monthly reports with a accumulative summary for the year.	99.5%
Power	Maintain availability of power to all servers 24 x 7.	Monthly reports with a accumulative summary for the year.	99.9%
Cooling	Maintain temperature of 75 degrees or less for the facility 24 x 7.	Monthly reports with a accumulative summary for the year.	99.9%
Application Services			
Application Platform Online Response Time	On line response time for critical online applications and financial systems. Formula: Performance = Transactions completed within Performance Target / Total Transactions.	Measure Daily at 30 minute intervals and report Monthly	
Online Response Time - Login	Login Completed on average < 3.0 seconds or less		100.0%

OMB Performance Metric

SLA Metrics

Attachment 1 - Service Metrics and Reporting (Delphi & CSC Support)			
Metric	Definition	Reporting Frequency	Performance Target
Online Response Time - Web Reports	Web reports run time is 10.0 seconds or less.		75.0%
Password Resets (Normal/High)	Ensure password resets are completed within 1 hour.		95.0%
Password Resets (Critical/Emergency)	Ensure password resets are completed immediately.		95.0%
Access Request (Normal)	Ensure access requests are completed within 3 days		95.0%
Access Request (Critical/High)	Ensure access requests are completed within 1 day.		95.0%
Access Request (Emergency)	Ensure access requests are completed immediately.		95.0%
Customer Service Center			
Calls Offered to Answered Ratio	Measures calls offered to the ACD system and compares to actual calls answered by a Service Desk agent	Monthly reports with a accumulative summary for the year.	85.0%
Abandoned Call Rate	Takes into consideration the number of callers that hang up before getting to a Service Desk agent.	Monthly reports with a accumulative summary for the year.	6% or less
Average Speed to Answer	Average time it takes for an agent to answer a call after the call is placed in the hold queue	Monthly reports with a accumulative summary for the year.	26 Seconds or Less

OMB Performance Metric

SLA Metrics

Attachment 2 – Change Criteria

Change Criteria

The priorities below indicate the current priority of a System Change Request. This can be set by the requestor and updated by the analysts examining the Request.

1. Low - An enhancement request has been or should be submitted to Oracle.

2. Normal - Items that allow for correction of erroneous entries such as accounting adjustments (unless they are required for one of the items in the emergency category). Also included are any items for which there is an acceptable workaround. Resolution - over 30 days.

3. High - Items that prevent timely recording of accounting transactions such as interfaces, billings, obligations, etc. Also in this category is user documentation. Resolution - within 30 days.

4. Critical - Items that fall into the emergency category but there is a workaround. However the workaround is unacceptable and a resolution is required. If a SR is logged it should be P2. Resolution - 2 - 3 days.

5. Emergency - The only items that should be logged as emergency are items that cause a work stoppage (prevent payments from getting processed, prevent closing of month or year, or that prevent producing mandated reports (SF224, FACTS I and II, etc.). They require 24 X 7 support until they are resolved. If a SR is logged it should be P1. Resolution - ASAP.

Weekly Scheduled Migrations

The Weekly Migrations of Modules not associated with the announced Release Schedules are determined by the following circumstances;

- All items with a priority set as Critical. The priority of these items will be validated by CM.
- All Discoverer Reports, Folders, and/or Views.
- Request that are created by the Customer Services Team (Bug-Fixes) or the Operations Team (Set-ups) and are not included in the Release Schedule. Requests created by the Projects Team are considered enhancements and will be assigned to a Release.
- Requests for Weekly migrations must be ready for CM Sign-off at Start of Business on the day preceding the scheduled migration. *(This will usually be on Monday, with migrations scheduled for Tuesday. When holidays fall on Monday, the*

Attachment 2 – Change Criteria

<p><i>schedule may be delayed one day.)</i></p>
<ul style="list-style-type: none">• A Migration Review meeting will be held each Monday (or Tuesday, if Monday is a holiday) to consider each of the modules being migrated.
<p>If the Migration is for a Discoverer Request that has an associated Package; i.e., view, it is a SCR and the migration exclusions listed below apply.</p>
<p>Requests to correct Productions Issues; Data Corruption and SPII Issues for example, need to be migrated <i>As Soon As Possible</i> to minimize the impact they may cause. Grave, but correctable, performance issues will be considered to be in this class of issues.</p>
<ul style="list-style-type: none">• Emergency SCR's will be migrated to PROD on 'ASAP' basis. Emergency SCR's must follow 'Priority Definitions' defined and documented by Delphi. Written justification from the ESC Delphi Owners, AMK-212 and AMK-214 or their designees, and CM Approval will be required before migration to Production.
<p>All Patches and/or Data Fixes associated with Help Desk Tickets and have a working Oracle SR (TAR).</p>
<h3>Migration Timing Exclusions</h3>
<p>No migrations may be scheduled and performed during the periods listed below except as stated:</p>
<ul style="list-style-type: none">• MONTH-END: No migrations will be made into PROD within seventy-two (72) hours of the announced start of, or during, Month-end processing, except if the migration is specifically to solve a known problem with the Month-end process. The Month-end process is complete when the final 224 and Financial Statement processing is finished.
<ul style="list-style-type: none">• YEAR-END: No migrations will be made into PROD within one hundred-twenty (120) hours of the announced start of, or during, Year-end processing, except if the migration is specifically to solve a known problem with the Year-end process. The Year-end process is complete when the final 224 and Financial Statement processing is finished.
<ul style="list-style-type: none">• Normal PROD migration procedure will return when the above processes have ended and the return to normal Production activities has been announced by the sending of the Official Notice by the Delphi Staff.
<ul style="list-style-type: none">• In each of the exceptions to this policy noted above, migrations into PROD must be associated with an Emergency SCR, and must have the sign-off of the appropriate Functional Team Lead and appropriate Development Team Lead, and must adhere to the Configuration Management processes.