Imperial College London

FINANCE SYSTEMS

SERVICE LEVEL AGREEMENT

JAN 2017

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Purpose and use of this document

The purpose of this document is to outline the service level agreement (SLA) between Finance Systems team and its customer base within Imperial College.

The aims of this agreement are to define:

- The products and services being provided, and the service standards Finance Systems has committed to meet.

- How to access the service – a description of the ways in which customers can access Finance Systems and the level of service they can expect.

- Governance and relationship management – outlines how the interface between Finance Systems and its customers is managed and how service levels, and performance standards are agreed.

- Performance reporting –the key performance indicators (KPIs) for this service

- Respective responsibilities – the specific responsibilities of Finance Systems to deliver the services required and the responsibilities of our customers to enable that delivery.

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Signatories, context and validity

In this service level agreement the following definitions shall apply:

Finance Systems- Finance Systems Team, part of Transformation Finance within Financial Services.

Customer –The College, and any employee thereof, being party to this Service Level Agreement.

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1. Introduction

This Service Level Agreement (SLA) is a formal document which describes the services which Finance Systems will deliver to our customers, the costs of these, how Finance Systems will interface with its customers and how the delivery of the service will be measured and managed.

2. Summary of Finance Systems Service provided

2.1. Service Specification

Finance Systems will provide a comprehensive service to our customers which comprises of:

1. Close Management & Data Integrity

To liaise across multiple Finance and non-Finance teams to own and manage the ICIS-related aspects of the month-end and year-end financial close, to ensure that any issues are appropriately resolved and ultimately that agreed timeliness and data integrity standards are met.

To ensure that the various supporting daily and weekly data processing jobs that the Finance Systems team is responsible for are completed to standard, and to work with ICT and other Finance teams to resolve any resulting issues.

2. Internal Controls & User Access Management

To provide senior oversight of Finance's overall Internal Controls Framework. To ensure that the appropriate control records are managed, monitored and maintained across Finance as a whole and that any proposed changes to that Framework are appropriately reviewed, approved and controlled.

To provide senior oversight of Finance's overall systems User Access Management environment. To process changes to individuals' and roles' General Ledger Security configuration in accordance with appropriately- approved business instructions.

3. User Acceptance Test Management

To provide specialist advice and guidance to the rest of Finance om the performance of user acceptance testing ("UAT") for significant system changes.

To manage cross-Finance UAT activity and perform selected functional testing.

4. Cross-Finance enabling Tools and Technology.

To act as the Finance Business System Owner for a number of cross-Finance enabling tools and technologies, including but not limited to

- Atlassian Confluence
- Oracle Business Intelligence (OBIEE, local known as "ICA")
- Oracle E-Business Suite Online Journals
- Oracle E-Business Suite Encumbrance Accounting
- Oracle Web Application Desktop Integrator (WebADI)
- TERMINALFOUR
- T-Plan

5. **Business Intelligence & Data Analytics**

To apply expertise in the College's core Finance Business Intelligence tools, Oracle Business Intelligence (ICA) and Hyperion Essbase/SmartView to perform manipulation, analyses and reasoned interpretation of complex data, and to prepare reports.

To use data analytics techniques to generate valuable business insight and identify opportunities to amend working methods, processes and procedures to ensure continuous improvement in Finance efficiency and service.

3. Working with you

We understand that each year your service priorities or requirements may change slightly, as part of agreeing this SLA we have agreed what can be provided within the this year's available resources.

The following additional customer requirements and priorities have been agreed for 2017:

- Actively contribute to design, development, testing and upgrades of ICIS.
- Ensure services are delivered efficiently and effectively to all customers and partners
- To provide excellence in Customer support and encourage Self-Service
- To support cross finance projects.
- To support the College's transformation activities
- To comply with legislative requirements
- To improve performance across the service

3.1. Service availability

Finance Systems Service is open Monday to Friday from 0900 to 1700 (excluding public holidays & college close days. Outside of these hours, customers calling Finance Systems may hear an automated response giving them:

- Finance Systems Service opening hours

- Details of how to email Finance Systems

- The option to leave a message detailing their customer query

Systems may also be shutdown exceptionally for some specific operations (e.g. migrations and installations). These operations will be scheduled and communicated to all customers in advance. The majority of scheduled systems shutdown will take place out of normal office hours or at weekends unless otherwise unavoidable.

3.2. Customer contact

The main channel for our customers to contact Finance Systems will be by email. The table below provides details of this and the other contact channels available.

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Contact Channel	Contact Details
Online	www.imperial.ac.uk/finance/financial-services/finance-systems
Email	finance.systems@imperial.ac.uk
Letter	Finance Systems Team Level 3 Sherfield South Kensington Campus Imperial College SW7 2BX
Fax	Scanned and managed as per an email
Phone	

3.3. Finance Systems service standards

Provide an information and specialist guidance as required to all staff and respond to enquiries promptly in accordance with the College's policies:-

- Acknowledgement immediately by means of an auto response.
- Full response within 3 working days.

Calls that are not answered and subsequently leave a voicemail message will have their call returned

4. Key performance indicators definitions

The KPI's are defined as followed

Priority 1- Critical- Must be completed within 8 hours

Priority 2- High- Must be completed within 2 working days

Priority 3- Medium- Must be completed within 3 working days

Priority 4- Low- Must be completed within 7 working days or as agreed with customer

5. Key performance indicators

KPIs are monitored monthly by the Finance Systems Manager.
The KPIs for Finance Systems are as follows

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Ref. No.	Key Performance Indicator	Collection Annually/Monthly/Daily/Ad hoc	2017/18 Definition
01	Journal Posting	Daily	P1
02*	Create new segment values	Ad hoc	P2
03	Create new journal categories	Ad hoc	P4
04	Create new journal sources	Ad hoc	P4
05*	Create Cross-Validation Rules	Ad hoc	P2
06*	Cross Validation Rule Maintenance & Violation report	Daily	P2
07	Create GL accounts	Ad hoc	P1
08	Create new calendar periods	Ad hoc	P4
09	Account Closure Checks	Daily	P3
10	Disable Account Code GL	Daily	P1
11	Enable Account Code GL	Ad hoc	P1
12	Concurrent request admin – monitoring of concurrent manager processes to report on completed schedule processes and review log files of warnings etc.	Daily	P1
13	Reconciliation of AP Trial Balance	Daily	P1
14	Reconciliation of LD Control Account	Daily	P1
15	Reconciliation of Online Journals Control Account	Daily	P1
16	Reconciliation of Advancement Control Account	Monthly	P3
17	Essbase code upload	Daily	P1
18	Essbase - GL Reconciliation	Daily	P1
19	Essbase - User set up	Ad hoc	P3

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20	Essbase – FMR Changes	Ad hoc	P4
21	Essbase- Production of Budget Books/Walk through reports	Ad hoc	P4
22	Essbase End User Training	Monthly	P3
23	Oracle GL & Sub Ledgers Month End	Monthly	P1
24	Oracle GL & Sub Ledgers Year End	Annually	P1
25	Online Journal hierarchy amendments	Ad hoc	P3
26	Online Journal hierarchy report publishing	Monthly	P3
27	Payroll costing/forecasting/posting	Monthly	P1
28	Bacs C-Series Password resets	Monthly	P1
29	GL Securities set up	Daily	P3
30	Web ADI training	Ad hoc	P3
31	Bank audit change report audit check.	Daily	P1
32	Reviews of all finance user access.	Quarterly	P4
33	Various Internal User Groups chaired by FST	Quarterly	P4
34	Reviews of current procedures	Quarterly	P4
35	Encumbrance related queries.	Ad hoc	P3
36	Email Box – Any other request not specified elsewhere in this list.	Daily	P3

*   **Services expected to be provided late 2017**

6. Outside of key performance indicators

6.1.   Responsibilities outside of the SLAs

It is accepted that some of the duties of the Finance Systems Team fall outside of standard indicator measurements, primarily the team's involvement in projects. For all project related work, the delivery timeframe will be agreed in advance with the Project Manager. Any change to from either the Project Manager or the Finance Systems Team will be agreed in advance and via communication to or from the Finance Systems Manager.

6.2.   Customer requests outside of the SLAs

It is important that agreed Finance Systems processes, access points and targets are followed whenever possible. Customer requests outside of agreed SLAs should be an exception.

Exceptions for individual pieces of work will be managed pragmatically as described below.

Urgent Customer Queries

Any request for priority, emergency or urgent handling of customer queries will be managed through the following process:

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1. Customer contacts the Finance Systems Manager by phone/in person to transmit the urgent query. The Finance Systems Team Manager will then co-ordinate the response, determine the course of action and seek resolution. Should the Finance Systems Team

   Manager be unavailable then contact should be sought from the Senior Finance Systems Analyst.

2. The customer subsequently emails finance.systems@imperial.ac.uk to raise the ticket, even if this happens to be after resolution.

Request for larger pieces of work will need to be approved by the Head of Finance Transformation taking into account the required resources, their costs and impact on delivery of other services within the SLA.

7. Customer responsibilities

The delivery of SLA KPIs is based on mutual dependencies between Finance Systems and its customers. The customer responsibilities relating to this SLA are outlined below.

In order to enable the proper provision of a fully comprehensive service it is necessary for our customers to:

Customer responsibilities
• Access Finance Systems services using the defined contact channels and access points • Provide Finance Systems with the necessary (accurate) information and within the defined set time limits to enable a request to be resolved in line with the SLA KPIs • Inform Finance Systems in advance if there is any delay or problem in providing information to support the customer request • Inform Finance Systems immediately if there is a change to the customer query they have raised • Attend meetings with Finance Systems to review performance • Support continuous improvement activities and projects which impact on Finance Systems. • Adherence to the month end/year end timetable as dictated by Finance Systems Team

8. Finance Systems responsibilities

In summary Finance Systems has responsibility to:

Finance Systems Responsibilities
• Deliver the services specified in this Agreement
• Provide a primary point of contact to manage and review service levels with customers
• On an annual basis define and agree SLAs and KPIs with customers to enable objective measurement of customer service levels
• Provide reports and analytical reporting commentary on significant variances in customer services levels against agreed SLA KPIs and functional policies, processes and procedures
• Provide a variety of contact channels through which customers can efficiently and effectively access Finance Systems services
• Ensure the processing of all queries, requests, contracts, transactions and services including the provision of reports as agreed to the operating service levels and according to the agreed processes and controls
• Preserve data integrity, auditable standards and maintain required confidentiality
• Ensure accurate input of supplied data
• Actively seek customer feedback and deal constructively with the suggestions and recommendations made through all forums including the maintenance of a robust complaints process.
• Maintain and develop a continuous improvement capability in order to identify, log, prioritise and deliver small and medium sized changes to Finance System operations and services.
• Where appropriate, encourage the maximum utilisation of Finance Systems and processes to enable the realisation of targeted College benefits and efficiency savings

8.1. Changes to the SLA and to KPIs

The SLA and the associated KPIs are reviewed and updated on an annual basis through the customer relationship process. Any revisions to the SLA and/or KPIs should be based on:

- Changes to the College's Strategic objectives

- Changes in the priorities of Finance Systems customers – what they want to be tracked and reported

- Significant changes to the baseline of customer requirements e.g. a very large rise in service requirements

- Significant changes to Finance Systems customer base that change its economies of scale

- Significant changes to the services provided by Finance Systems Service

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- Changes to Finance Systems reporting resources and capabilities
- Changes to targets based on experience of what is realistically achievable and targeted improvements.