Finance and Procurement Systems SLE

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Finance and Procurement Systems Service Level Expectation

This document represents the Service Level Expectation (SLE) for the Washington University Information Technology (WashU IT) Finance and Procurement Systems Service. The purpose of this agreement is to ensure that this service meets customer expectations and to define the roles/responsibilities of each party. The SLE outlines the following:

- Service Overview
- Service Warranty
- Service Roles & Responsibilities
- Service Features (included & excluded)
- Service Reporting & Metrics
- Service Review, Bundles & Pricing

Each section provides service and support details specific to Finance and Procurement Systems, as well as outlining WashU IT’s general support model for all services and systems.

Service Overview

The Finance and Procurement Systems service is intended for use by Department Administrators, University Central Administration, and Faculty for the purposes of recording income and expenses, budgeting, financial tracking, asset tracking and purchasing of supplies. The service is comprised of the following features:

- General Accounting
- Accounting Operations
  - Accounts Payable
  - Plant and Property Accounting
- Procurement
- Asset Tracking
- Sponsored Projects Accounting
- Tax
- Financial Space Management
- Shared Business Services Hub
- HRMS Integration

Service Features

The table below is intended to provide a detailed look at each of the sub-services that comprise the Finance & Procurement Systems Service. Each section in the table defines the sub-service features that are included or excluded within each sub-service.

<table>
<thead>
<tr>
<th>Included in Service</th>
<th>Excluded from Service</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>General Accounting</strong></td>
<td>• Support of reports and programs within MS Access</td>
</tr>
<tr>
<td>• Creating and processing FIS documents – Budget Adjustments &amp; Journal</td>
<td>• Direct customer support of business processes</td>
</tr>
<tr>
<td>• Financial Account Setup and capture of basic demographic data about the account</td>
<td></td>
</tr>
<tr>
<td>• G/L transaction processing</td>
<td></td>
</tr>
<tr>
<td>• Processing and posting of online and batch modules for monthly and yearly closing</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Included in Service</th>
<th>Excluded from Service</th>
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</table>

2
### Accounting Operations
- **Cash and credit operations**
  - Procurement card transaction load from Visa into FIS
  - Batch ID load Integration
  - Creating and processing interdepartmental invoices, receipt vouchers
  - Load Barnes lab and non-lab invoices as ID documents in FIS for further processing
  - Provide travel data feed (via Focus) for travel reconciliation
  - Support and maintenance of CashNet data feeds to and from FIS
  - Data feed (via BIDW) for daily bank reconciliation
  - Month-end autopay processes
  - Daily bank ACH credit load into FIS as RV documents
  - Daily Student refund check processing via AP system

- **Accounts Payable**
  - Creating and processing AP documents – Check Requests, Travel Advance, Travel Expense Reports, Invoices, Credit memos, check cancels and redeposits, Encumbrance Maintenance documents
  - Invoice Imaging – KnowledgeLake Image scanning, indexing, Capture Server release to Sharepoint, AIS Sync to Sharepoint for CFU online document processing and departmental image viewing
  - Check Request imaging – departmental image upload into Sharepoint
  - Nightly processing of AP Checks
  - Distribution of encrypted payment data to banks (Vendor ACH, Employee ACH and PositivePay files)
  - Data feed via BIDW into MS Access for daily operational needs
- Vendor file address maintenance (mostly payment addresses)
- **Plant and Property Accounting**
  - Fixed Asset System maintenance
  - Daily batch data processing from AIS (Procurement, AP) into Fixed Asset System
  - Asset data feed to FOCUS for operational reporting, closing and reconciliation
  - Construction Accounting invoice entry into AP System (to be phased out by EOY)
  - Batch data feed and processing from PMWeb into AP (to begin early FY 17)
  - Support and maintenance of cross-reference table that links AIS accounts to PMWeb projects (also referred to as Accountinator)

  Programming resources for fixes and enhancements as prioritized by governance.

<table>
<thead>
<tr>
<th>Procurement</th>
<th>Direct Customer Support of Business Processes</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Creating and maintaining procurement documents – Purchase Order, Change Order and Receiving document</td>
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</tr>
<tr>
<td>- Support and maintenance of WebMethods servers and services for Sciquest (Marketplace) integrations for:</td>
<td></td>
</tr>
<tr>
<td>- requisitions</td>
<td></td>
</tr>
<tr>
<td>- vendor data</td>
<td></td>
</tr>
<tr>
<td>- AIS account data</td>
<td></td>
</tr>
<tr>
<td>- Sciquest cxml invoices</td>
<td></td>
</tr>
<tr>
<td>- Advanced Dynamic workflow (for FIS security integration)</td>
<td></td>
</tr>
<tr>
<td>- Login XML for entry into Marketplace</td>
<td></td>
</tr>
<tr>
<td>- Vendor file maintenance</td>
<td></td>
</tr>
<tr>
<td>- Support and testing for ongoing Sciquest releases (thrice a year)</td>
<td></td>
</tr>
<tr>
<td>- Technical support, testing for vendor enablements (cXML PO and invoices)</td>
<td></td>
</tr>
<tr>
<td>- Programming resources for fixes and enhancements as prioritized by governance.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Tax</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Reportable income data capture</td>
</tr>
<tr>
<td>- Monthly reporting data</td>
</tr>
<tr>
<td>- Data for calendar year-end 1099 reporting</td>
</tr>
<tr>
<td>- Data for Form 990 FY-end reporting</td>
</tr>
</tbody>
</table>
- Vendor identity data maintenance (linking students, employees and AP vendor data)
- Data for adhoc / regulatory reporting, as needed
- Programming resources for fixes and enhancements as prioritized by governance.

<table>
<thead>
<tr>
<th>Sponsored Projects Accounting</th>
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</thead>
<tbody>
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<td></td>
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</table>

<table>
<thead>
<tr>
<th>Financial Space Management</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Shared Business Services Hub</th>
</tr>
</thead>
<tbody>
<tr>
<td>Daily feeds of FIS/AP data to load into their ServiceNow instance (AP Vendor Invoices, Procard transactions, Interdepartmental invoices &amp; completed AIS document data)</td>
</tr>
<tr>
<td>Support and maintenance of online function to onboard new departments into the Hub (so that the nightly feed can pick them up)</td>
</tr>
</tbody>
</table>

If your service includes tiers, then list the service tier above the table so that it is clear to the customer what features are included/excluded from each tier.
Service Warranty
This section describes the support structure in place for all WashU IT services and any unique warranties and specialized support associated with the <Insert Service Name> service.

Support Model
WashU IT has established technology services and systems to meet customer objectives in support of the University’s mission. To ensure IT services and systems meet customer needs, WashU IT has established the following support model:

General Support

1. **One Contact Point** - to initiate any support or service request call, email or make a web request.  
   Call: 314-933-3333 to initiate any support or service request.  
   Email: ithelp@wustl.edu initiate any support or service request.  
   Web Request: [http://it.wustl.edu](http://it.wustl.edu)

2. **All Requests Documented** – a support or service ticket is created for each customer request. All support and service requests are tracked in one service management system (called ServiceNow) for easy tracking and resolution across WashU IT.

3. **Virtual and Onsite Support** – standard support and service requests (85%) will be handled via routine procedures by service center staff via virtual support technologies like phone, remote desktop assistance and instant messaging. Standard support and service requests that cannot be resolved by the service center will be routed to technicians who will meet with the customer to bring the request to resolution. Non-standard support and service requests will be routed to WashU IT managers for consultation with the customer to address the request.

4. **Service and Process Owners** – individual WashU IT staff have been named as Service Owners or Process Owners to ensure accountability for WashU IT services and processes. Service Owners work with established WashU IT Governance committees and customers to ensure WashU IT services are scoped, resourced and supported in a manner that allows the service to stay healthy across the lifecycle of its use at the University. Process Owners work with WashU IT managers and Service Owners to ensure WashU IT has established procedures for meeting customer support and service requests.

5. **Customer Relationship Management** – regular meetings will be established with each customer department by WashU IT’s Customer Relationship Management (CRM) team. These regular meetings will address quality of services provided, identify new customer projects/initiatives requiring WashU IT services and inform customers of any planned changes to existing IT services. Reports from these meetings are reviewed by WashU IT leadership on a regular basis to ensure customer satisfaction is met and to identify customer needs that should be addressed via new technology services or enhancement of existing services.
Support Hours and Initial Response Times

WashU IT has established the following general support hours and initial response times to meet customer support and service request needs. Note that CRITICAL support and service requests are defined as technology issues affecting the customer’s ability to perform urgent university business without an acceptable technology workaround in place.

Standard

**Business Hours**: 7 am – 5:30 pm (M – F) during regular campus business days

**Initial Response Times**: ANY support or service request will be responded to within the following times.

Calls to 933-3333 - 80% answered in 20 seconds or less

Emails sent to ithelp@wustl.edu will be responded to as outlined in the “Support Request Resolution Targets” section below.

Web Requests made via the ServiceNow “report an issue” form will be responded to as outlined in the “Support Request Resolution Targets” section below.

Extended

**After Hours**: any time or day not within standard business hours

**Initial Response Times**: CRITICAL support or service requests will be responded to within the following times.

Calls to 933-3333 after hour calls will be answered by the WashU IT Systems Operations Center (SOC). The SOC will either resolve the issue or page on call staff to resolve the issue. On call staff will respond to the after hour pager on average* within 30 minutes

Email to ithelp@wustl.edu with CRITICAL in the subject line will be responded to on average* within 30 minutes

Web Requests made via the ServiceNow “report an issue” form and include CRITICAL in the “short description” field will be responded to on average* within 30 minutes

*averages are calculated on a monthly basis
Support Request Resolution Targets

WashU IT has established the following general support escalation procedures and resolution targets to meet customer support request needs. Note that service request fulfillment is addressed in a latter section titled “Service Fulfillment Targets”. This section is only addressing support escalation and resolution.

**Support Escalation & Resolution Procedures** – all support requests will be escalated from the initial general support team to a specialized support team based on the priority of the support request or if the general support team cannot resolve the issue within 20 minutes. Once the request is escalated to a specialized support team, the customer will be notified and the specialized support team may contact the customer for further information and testing. Once the specialized support team resolves the request, the general support team will review the resolution to ensure quality control. Once the general support team confirms the resolution has met the customer’s needs, the request will be closed. Communication with the customer will be via email. If the customer does not reply within 3 business days, the ticket will be automatically closed.

**Prioritization** – all support requests will be given a medium priority unless the customer indicates an impact or urgency that requires a higher prioritization. Impact is defined as the affect to which a technology service or system is inhibiting the customer’s ability to conduct University business. Urgency is defined as the timeframe in which the customer needs the technology issues resolved or a workaround put in place.

WashU IT uses the following priority scale for systems and services not performing normally.

<table>
<thead>
<tr>
<th>Priority</th>
<th>Description</th>
<th>Response Target</th>
<th>Resolution Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Critical</td>
<td>Global Issues&lt;br&gt;Business critical issues – impacting ability to perform mission&lt;br&gt;Issues affecting multiple users unable to be productive</td>
<td>15 minutes</td>
<td>4 hours</td>
</tr>
<tr>
<td>High</td>
<td>Issues affecting individual or multiple users with no workaround available</td>
<td>1 hour</td>
<td>1 Business Day</td>
</tr>
<tr>
<td>Medium</td>
<td>Default priority assigned to all tickets.&lt;br&gt;Issues affecting multiple users with workaround available</td>
<td>1 Business Day</td>
<td>3 Business Days</td>
</tr>
<tr>
<td>Low</td>
<td>Issues affecting individual users with workaround available</td>
<td>2 Business Days</td>
<td>5 Business Days</td>
</tr>
</tbody>
</table>
Service Request Fulfillment Targets
WashU IT Service Owners work with customers to establish service fulfillment targets for each service request that comprise the Service Features listed in this document.

The following table lists the service fulfillment target for each service request:

Note: There is a freeze on all enhancement work during Fiscal Year end beginning mid-June thru the 2nd week of July.

<table>
<thead>
<tr>
<th>Service Request</th>
<th>Fulfillment Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID Enablements</td>
<td><strong>Response</strong>&lt;br&gt;2 business days</td>
</tr>
<tr>
<td></td>
<td><strong>Fulfillment:</strong>&lt;br&gt;Requests will be taken to AIS Updates committee for prioritization/authorization of work. This committee meets the second Tuesday of each month.</td>
</tr>
<tr>
<td></td>
<td>Once prioritized/authorization of the work has occurred, within 3 business days WUIT will follow up with the requestor in order to schedule the necessary work.</td>
</tr>
<tr>
<td>Data Requests</td>
<td><strong>All requests must come from a manager within the department.</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Response</strong>&lt;br&gt;2 business days after receipt of the request.</td>
</tr>
<tr>
<td></td>
<td><strong>Fulfillment</strong>&lt;br&gt;Data requests with a large scope will be escalated to the AIS Updates committee for prioritization/authorization prior to any work being done. The AIS Committee will be made aware of all requests for informational purposes.</td>
</tr>
<tr>
<td></td>
<td>If approved by either the AIS Updates Committee or WUIT Management in charge of the Finance and Procurement Systems support team for smaller scope requests, the data will be provided within 5 business days of approval.</td>
</tr>
<tr>
<td></td>
<td>The AIS Updates Committee meets monthly on the 2nd Tuesday.</td>
</tr>
</tbody>
</table>
Security of the requestor will be reviewed to ensure that they have the appropriate access to receive the requested data.

All requests will additionally be forwarded along to the Business Intelligence Data Warehouse group for assessment of availability of the data within the Data Warehouse.

<table>
<thead>
<tr>
<th>MarketPlace Vendor Enablements 1 vendor enablement will be fulfilled at a time (This could include both CXML Purchase orders and CXML Invoicing)</th>
<th>CXML Purchase Order Response</th>
<th>2 Business Days</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fulfillment</strong></td>
<td>Work will be scheduled after coordination between WUIT, SciQuest, Vendor and Procurement.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>CXML Invoicing Response</th>
<th>2 Business Days</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fulfillment</strong></td>
<td>Work will be scheduled after coordination between WUIT, SciQuest, Vendor, Procurement and Accounts Payable.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Punch-Out Catalog Enablement Response</th>
<th>2 Business Days</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fulfillment</strong></td>
<td>Work will be scheduled after coordination between WUIT, SciQuest, Vendor, and Procurement.</td>
<td></td>
</tr>
</tbody>
</table>

| Enhancement/Integration requests | Will be responded to within 2 business days to schedule a follow up meeting to gather requirements. All requests must be presented to the AIS Updates Committee for prioritization or referral to the AIS Domain Governance Committee depending on the scope of the request. |
Service Availability

Monday - Friday  
7:00 am - 9:00 pm

Saturday  
9:00 am - 5:00 pm

Service Reliability, Performance & Continuity

Service Reliability and Performance

The Finance and Procurement Systems service has an expected uptime percentage of 100% during all times noted above under the Service Availability section. The service will handle up to 3000 concurrent.

Service Continuity

Washington University IT will be responsible for providing a highly available environment to host the Finance and Procurement Systems Service that will fail over to a secondary data center in the case of loss of service from the primary data center and will be fully functional with some exceptions noted below within 10 minutes. This loss of service could be caused by many different events such as power outage, fire, flood, tornado, and etc. In the case of an unplanned outage to the service, Washington University IT will maintain customer contacts initially within the first 30 minutes of the outage, and hourly updates after that.

The following Finance and Procurement Systems Services are currently not considered highly available and further planning and project work will need to be completed in order to obtain a 100% highly available environment if deemed a priority:

- Batch Processing – This is currently at a level in which up to a day may be needed in order to recover, and therefore, overnight processing may be delayed or skipped for one evening. This would affect the ability to run certain processes that execute periodically during the day as well.
  - Processes of Note that may be affected
    - Check Processing and Printing
    - Market Place Invoice Integrations
    - Batch ID Integrations
    - Focus Data Feeds
  - MarketPlace Integration with AISSystem for processing of Purchase Orders would be back available within 2 hours. Purchases would still be able to be entered within MarketPlace during this time, but may not show up in AIS until up to 2 hours after the initial outage. Additionally, purchase orders approved within AISystem may not be faxed out to the vendors from MarketPlace until up to two hours after the initial loss of the primary data center.
- AP Imaging is currently at a level in which up to a day may be needed in order to recover.
Change Management and Service Reviews
WashU IT has established a change management and service review process to ensure changes and enhancements of services and systems are done in a controlled manner to prevent unintended consequences and to confirm that changes and updates are implemented according to an approved framework.

Change Management
The complete change management process is documented in the WashU IT Change Management Charter, but the following highlights from this charter are worth noting.

Changes and updates to systems and services fall into one of three general categories:

- **Standard** – changes and updates that are considered routine, well documented and of low risk to the University.
- **Normal** – changes and updates that require scheduled review and approval by the Change Advisory Board (CAB) to ensure mitigation of risk to the University.
- **Emergency** – changes and updates that cannot wait until the next scheduled CAB meeting for approval and must be reviewed by the CAB to address a CRITICAL incident or upgrade.

All non-standard changes will be communicated to customer according to established customer communication channels.

All customer requests for a non-standard change or upgrade to a WashU IT supported service or system must follow the WashU IT change management process.

General Maintenance Windows
Non-standard changes approved by the CAB will occur during the following maintenance windows:

- M – Sat: 6pm – 6am
- Sunday: Anytime of the Day

Regularly Scheduled Maintenance for Finance and Procurement Systems

- Server Patching will occur the 2nd Tuesday of each month from 6pm – 10pm and may result in servers being unavailable for some periods of time. Testing will occur during this time to ensure functionality.
- Finance and Procurement Systems will have monthly releases occurring on the 3rd Tuesday of each month in which new features or fixes will be installed. These releases will occur at 5:00 pm and will generally not result in any outage.
Roles and Responsibilities

The following roles and responsibilities between WashU IT and the customer are called out to highlight the important partnership that must exist between WashU IT as the service provider and WashU departments as the consumers of existing services and systems. Both parties play an important role in ensuring the overall health of services.

WashU IT Responsibilities

- Provide qualified support personnel to support WashU IT services and systems.
- Document specific features and warranties of each service provided by WashU IT
- Produce metrics that demonstrate the health of each service.
- Provide customers with appropriate communication and governance channels to effect change to WashU IT services and systems in a way that furthers the University’s mission without posing significant risks.

Customers Responsibilities

- Provide an ongoing point of contact within their department with which WashU IT can interface to ensure support and service requests are addressed in a timely manner.
- Make support and service requests as outlined in this document.
- Use WashU IT established communication and governance channels to request changes to existing services and systems.

Service Reporting & Metrics

WashU IT will provide the customer with a quarterly report that documents key support and service metrics. Customers may request additional metrics and reporting schedules by contacting their CRM representative.

Review and Revision Timeline

WashU IT SLEs will be reviewed each year during the month of April. Revisions to these documents will be distributed to all customers by May 1st of each year. Customer feedback regarding changes to the SLEs must be submitted to their CRM representative by June 1st of each year. After mutual agreement is reached, the final updated SLEs will be posted to [http://it.wustl.edu/services](http://it.wustl.edu/services) by July 1st of each year.