

# **DAS Enterprise Goods and Services**

## **Financial Business Systems Program**

### **Service Level Agreement (SLA)**

# Name of document:

*Financial Business Systems- Service Level Agreement*

# Approved by:

## ***DAS Representative***

<b>Trudy Vidal</b> , DAS Financial Business Systems Program Manager	<b>Date</b>
	<b>4/15/2015</b>

## ***EGS Customer Utility Board***

<b>Ray Brixey</b> , EGS CUB Chair	<b>Date</b>
	<b>4/15/2015</b>

# Document Changes:

<b>Date of approval</b>	<b>SLA Version</b>	<b>DAS Representative</b>	<b>EGS CUB Representative</b>	<b>Description of changes</b>

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## **1. Introduction**

### **1.1. Background**

The Department of Administrative Services has four Service Enterprises, each governed by a Customer Utility Board (CUB). Each CUB acts as a governing board for the services provided by the associated Service Enterprise that have been designated as utility services.

The CUB's have four primary responsibilities:

- a) Approving general service level agreements.
- b) Approving rate-setting methodologies and resulting rates.
- c) Reviewing business plans and annual financial statements.
- d) Settling unresolved service complaints.

One of the key responsibilities assigned to CUB's is the approval of Service Level Agreement (SLA) documents. CUB's are responsible for reviewing and approving the content of these documents, ensuring the defined service levels are commensurate with the rates charged for each service.

CUB's are also responsible for approving the process to be followed for the development, approval and amendment of SLA documents. They assign members to specific workgroups created to conduct and oversee this work, and ensure participating representatives from customer agencies can clearly articulate the needs of the customers.

### **1.2. Objectives and purpose of SLA**

The objective of this Service Level Agreement document is to ensure both DAS Financial Business Systems (FBS) staff and customers understand and agree how the services will be performed and the responsibilities and expectations of each party.

The SLA will:

- a) Describe the services provided by DAS – Financial Business Systems.
- b) Identify service level objectives and performance targets for the services, agreed upon between DAS – Financial Business Systems and customers.
- c) Identify responsibilities of each party.
- d) Document the following service management processes agreed upon between DAS and customer representatives from all four CUB's:
  1. Performance tracking and reporting to customers.
  2. Review and amendment of the SLA document.
  3. Service-related dispute resolution.

This SLA document is not meant to be static, but a working document that will reflect the continuous change in services delivered by DAS, service delivery operating processes, and service level expectations agreed between DAS Financial Business Systems and customers.

### 1.3. Identification of DAS Financial Business Systems (FBS) Program

#### 1.3.1. Short description of DAS Financial Business Systems program mission

Financial Business Systems is responsible for the Statewide Financial Management Services (SFMS) and Application (SFMA); the Oregon Statewide Payroll Services (OSPS) and Application (OSPA); the Financial Datamart; DAS Centralized PERS Services; and Shared Payroll Services.

SFMS is responsible for operational support, control, training and improvements to SFMA. SFMS is comprised of SFMS Operations and SFMS Systems Management.

OSPS is responsible for agency support, training, system changes, manual checks, income tax payment and reporting, and the management of OSPA, which updates payroll data bimonthly. The shared payroll services is incorporated into OSPS and provides payroll services for DAS as well as client agencies.

FBS Administration is responsible for the overall management of the above units as well as the direct management of the Datamart, Quality Assurance, SPOTS Card Program and Administrative Support. The DAS Centralized PERS Services Team is managed by FBS Administration and is responsible for accurately reporting required information to PERS on behalf of the State of Oregon as a PERS employer and acts as a liaison between state agencies and PERS.

#### 1.3.2. Applicable statutes, rules and policies

Statute, Rule or Policy	Summary
<b>OAM Chapters 1-75</b>	The Oregon Accounting Manual (OAM) provides fiscal policies in accordance with GAAP, Federal, and IRS requirements. <a href="http://www.oregon.gov/DAS/CFO/SARS/pages/oam_toc.aspx">www.oregon.gov/DAS/CFO/SARS/pages/oam_toc.aspx</a>
<b>ORS 238.705</b>	Chapter 238 and 238a, Establishes responsibility of employer to remit contributions and reports <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors238.html">https://www.oregonlegislature.gov/bills_laws/ors/ors238.html</a>
<b>ORS 283.110</b>	Furnishing by state agency to another state agency of services, facilities and materials. <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors283.html">https://www.oregonlegislature.gov/bills_laws/ors/ors283.html</a>
<b>ORS 291.015</b>	Establishes authority to set fiscal direction for the State <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors291.html">https://www.oregonlegislature.gov/bills_laws/ors/ors291.html</a>
<b>ORS 291.100</b>	Sets responsibility for financial management <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors291.html">https://www.oregonlegislature.gov/bills_laws/ors/ors291.html</a>

ORS 291.405	Assessment of state agencies for mass transit purposes, rates <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors291.html">https://www.oregonlegislature.gov/bills_laws/ors/ors291.html</a>
ORS 291.407	Mass transit assistance account, source distribution, Oregon Department of Transportation (ODOT) assistance, etc. <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors291.html">https://www.oregonlegislature.gov/bills_laws/ors/ors291.html</a>
ORS 292.010	Defines the state's payroll schedule <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors292.html">https://www.oregonlegislature.gov/bills_laws/ors/ors292.html</a>
ORS 292.016	Provides for centralized payroll procedure <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors292.html">https://www.oregonlegislature.gov/bills_laws/ors/ors292.html</a>
ORS 292.018	Designates DAS as the state's payroll agent <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors292.html">https://www.oregonlegislature.gov/bills_laws/ors/ors292.html</a>
ORS 292.024	Authorizes the Joint Payroll Account <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors292.html">https://www.oregonlegislature.gov/bills_laws/ors/ors292.html</a>
ORS 292.026	Permits the issuance of payroll checks from the Joint Payroll Account <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors292.html">https://www.oregonlegislature.gov/bills_laws/ors/ors292.html</a>
ORS 292.033	Permits pay advances and off-cycle payments for termination checks <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors292.html">https://www.oregonlegislature.gov/bills_laws/ors/ors292.html</a>
ORS 292.034	Authorizes DAS to charge agencies for the centralized payroll services <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors292.html">https://www.oregonlegislature.gov/bills_laws/ors/ors292.html</a>
ORS 292.042, 292.067	Authorizes direct deposit of paychecks <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors292.html">https://www.oregonlegislature.gov/bills_laws/ors/ors292.html</a>
ORS 292.045, 292.065	Authorizes the deduction of insurances, union dues, parking fees, charitable fund contributions, etc. <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors292.html">https://www.oregonlegislature.gov/bills_laws/ors/ors292.html</a>
ORS 293.346	Authorizes drawing warrants against Treasury <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors293.html">https://www.oregonlegislature.gov/bills_laws/ors/ors293.html</a>
ORS 293.348	Authorizes charging agencies for warrants produced <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors293.html">https://www.oregonlegislature.gov/bills_laws/ors/ors293.html</a>
ORS 293.590	Sets responsibility to supervise state accounting <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors293.html">https://www.oregonlegislature.gov/bills_laws/ors/ors293.html</a>
ORS 293.595	Sets responsibility for supervising acquisition, installation, and use of computers for accounting processes <a href="https://www.oregonlegislature.gov/bills_laws/ors/ors293.html">https://www.oregonlegislature.gov/bills_laws/ors/ors293.html</a>

## 2. Service Catalog

The Service Catalog lists and describes the main services DAS FBS provides to its customers. The following criteria were considered in order to identify and describe the services included in the Service Catalog:

- The intent of the Service Catalog is to identify and describe services **from the customer's point of view**. This helps to emphasize and explain the **benefits, outcomes and deliverables that the customers receive** when purchasing a service, as opposed to describing the whole set of internal support processes and activities executed by DAS FBS

staff in order to deliver these services. As a result, business support processes and functions, such as database management, account management or helpdesk functions, are not captured or thoroughly explained in this catalog.

- The services included in this Service Catalog are those **available to DAS FBS customers today**. Service descriptions reflect the different features and options currently available to DAS FBS customers, enabling customers and FBS staff to know what to expect and not expect from a service. Clearly defined services inform customers about service offerings, including what each service does and does not include, service boundaries, how to request services, and how to get help, as well as other factors influencing the extent to which they can be currently enjoyed by DAS FBS customers. Consequently, all narrative about future service features and offerings has been purposefully removed from the description of services included in this Catalog.
- In order to identify and describe services with the right level of detail, consideration has been given to describing **services or offerings that can be purchased in stand-alone mode**. If a given service needs to be purchased as part of a packaged offering, the package will be described in its own Service Catalog sheet and the individual service will be described in the “What’s included” section of the packaged offering Service Catalog sheet.
- The purpose of the Service Catalog is to describe the **standard services and terms of service delivery**, not the exceptional services or service terms that can be offered to a given customer under special circumstances.

### 2.1. List of services provided by DAS FBS program

A brief description of each service is included in the section below. For detailed descriptions about the services available to DAS FBS customers, consult the Service Catalog sheets in appendix 8.1 of this SLA document.

Service	Summary
<p><b>1 - Access to Datamart</b></p>	<p>The Datamart is an electronic repository of data used for timely agency ad hoc reporting and decision support needs. The Financial Datamart contains data extracted from the following statewide information systems: financial (SFMA), payroll (OSPA), personnel (PPDB), position control (PICS) and budgeting (ORBITS) systems.</p>
<p><b>2 - Access to SFMA</b></p>	<p>DAS FBS provides access, maintenance, support and training services to state agencies using the Statewide Financial Management Application (SFMA) to ensure accuracy and accountability in state government accounting systems. SFMA serves as the centralized accounting system utilized by most Oregon state agencies. SFMA consists of two modules: The Relational Statewide Accounting and Reporting System (R*STARS) and the Advanced Purchasing and Inventory Control System (ADPICS).</p>

Service	Summary
<p><b>3 - Access to OSPA</b></p>	<p>DAS FBS provides access, maintenance, support and training services to state agencies using the Oregon Statewide Payroll Application (OSPA) to ensure accurate payment and reporting of income taxes for Oregon state agencies. Oregon Statewide Payroll Application serves as the centralized payroll system for Oregon State Government.</p>
<p><b>4 - Centralized PERS Services</b></p>	<p>The Centralized PERS Services Team provides technical assistance and data to the PERS retirement systems necessary for calculation of employee retirement benefits, ensuring state employees' retirement account and service time information are accurate and state employee data issues are resolved.</p> <p>This team represents the State of Oregon as a PERS employer by integrating and interfacing PPDB (personnel) and OSPA (payroll) system data to the PERS jClarety Retirement system, correcting any reporting errors caused by bad data, and coordinating the flow of required information related to PERS administration between PERS and state agencies.</p>
<p><b>5 - Access to SPOTS Program</b></p>	<p>DAS FBS provides access to state agencies to the <b>State P-Card of Oregon Transaction System (SPOTS) Program</b>. The SPOTS card program is a joint effort between DAS Financial Business Systems and DAS Procurement Services to provide state government agencies employees with a low cost way of purchasing and paying for purchases. Through an agreement with US Bank, state agencies receive the ability to issue VISA Corporate Purchase cards to state employees.</p>
<p><b>6 - Shared Payroll Services</b></p>	<p><b>Shared Payroll Services</b> provides accurate and timely full-cycle payroll, deduction and benefit services to client agencies, boards and commissions including DAS, Treasury, and the Governor's Office that don't have their own payroll staff. Currently there are 4 full-time payroll technicians to assist employees with their payroll needs. Agencies are assigned to a primary payroll technician who is available Monday through Friday, normal business hours.</p>

### 3. Service Level Expectations

#### 3.1. Performance metrics

This subsection identifies the metrics that will be used to track quality of service delivery along timeliness and other service related attributes.

These metrics are agreed upon by DAS Financial Business Systems and customer representatives and approved by the EGS Customer Utility Board.

- 1) **Adherence to SFMA and OSPA Datamart download schedule.**
- 2) **Adherence to SFMA nightly batch schedule.**
- 3) **Compliance with mandatory OSPA system updates.**

- 4) **Timeliness of OSPS manual check processing.**
- 5) **Accuracy of employee records submitted to PERS.**
- 6) **Timeliness of SPOTS card incident notification.**
- 7) **Timeliness of Shared Payroll Services client agency paycheck processing.**

For detailed description about these performance metrics, consult the SLA measure dictionary sheets in appendix 8.2 of this SLA document.

### 3.2. Service levels/ performance targets

Measure Number	Metric Name	Metric Explanation	Key Quality Attribute	Target
1	Adherence to SFMA and OSPA Datamart download schedule	Percent of SFMA and OSPA downloads completed successfully (as per calendar).	Frequency and timeliness of Datamart data updates	97%
2	Adherence to SFMA nightly batch schedule	Percent of nightly batch cycles successfully completed.	Frequency and timeliness of SFMA batch data processing	97%
3	Compliance with mandatory OSPA system updates	Percent of compliance-related OSPA updates released before the mandated due date.	Proper compliance with mandatory payroll requirements	90%
4	Timeliness of OSPS manual check processing	Percent of checks delivered/processed within the same day.	Timeliness of manual check processing	99%
5	Accuracy of employee records submitted to PERS	Percent of PERS records suspended.	Accuracy of employee data submitted to PERS	3%
6	Timeliness of SPOTS card incident notification	Percent of unusual/potentially suspicious transactions notified to agencies within one business day.	Timeliness of incident notification	95%
7	Timeliness of Shared Payroll Services client agency paycheck processing	Percent of Shared Client Services' client agency paychecks that are delivered with the timeframe applicable to the circumstance.	Timeliness of employee paychecks	99%

## 4. Financial Processes

### 4.1. Billing

Agencies will be billed according to the Price List of Goods & Services, which can be accessed here: <http://dasapp.oregon.gov/pricelist/>

- Charges published on the Price List of Goods & Services will be billed quarterly after the services has been performed or purchased.

### 4.2. Billing disputes

In accordance with section 35.70.10 of the Oregon Accounting Manual, where there are billing disputes, the payer must make payment on the undisputed portion of the bill within 30 days of the billing date.

Agencies must present and resolve billing questions promptly so that the payer agency may make payment within 30 days. Where questions regarding the bill become disagreements, the payer agency must provide the FBS Program Manager a written email notification to [Trudy.Vidal@oregon.gov](mailto:Trudy.Vidal@oregon.gov) that explains the reason for the dispute. FBS will respond within 5 business days to clarify or resolve the payer agency's concerns.

All resolved disputed amounts must be paid by the customer or credited by FBS within 30 days.

### 4.3. Payment

A payer must make payment within 30 days of the billing date.

## 5. Service Management Processes

### 5.1. Performance measurement and reporting

DAS Financial Business Systems will be responsible for measuring service performance, as well as reporting on compliance with the agreed SLE's/performance targets.

At a minimum, DAS Financial Business Systems will develop and publish quarterly SLA performance reports tracking actual performance versus agreed service levels/performance targets for each measure identified in the SLA document.

These reports will be posted on DAS Financial Business Systems' website for all customers to review, and will be presented to the EGS CUB, providing CUB members with an opportunity to monitor and discuss DAS Financial Business Systems performance.

At a minimum, SLA quarterly performance reports will include the following information:

1. **A comparison of actual performance results versus performance targets for the current period and at least the two previous periods.**
2. **A report on customer-specific formal performance complaints received by DAS Financial Business Systems over the previous quarter.** This report will:

- a. Identify number of complaints received by type.
- b. Describe each complaint/associated performance incident and the affected customer(s).

SLA quarterly performance reports can include additional tables, graphs or detailed performance data along other dimensions relevant to DAS Financial Business Systems. This may include a breakdown of performance results per geographic area, customer group or other dimensions.

Upon review of the SLA quarterly performance report data, the EGS CUB may require the DAS FBS Program Manager to develop an action plan for **any measure out of compliance with the agreed service level expectations/performance targets**. At a minimum, an action plan will include:

- a. An analysis/statement of the **root causes/reasons** for not meeting the service level target(s).
- b. A description of **corrective actions identified and recommended** by the service provider in order to meet the agreed service level(s).
- c. A **timeframe** for the implementation of the corrective actions

Requested action plans will be developed and presented at the next CUB meeting after the request for an action plan is communicated by the EGS CUB, and will be captured as an action item on the CUB meeting minutes.

## **5.2. SLA review and amendment**

This Service Level Agreement is a living document, capable of being updated and amended over time with the agreement of both parties.

### **5.2.1. Ongoing SLA review**

**SLA document reviews or amendments** will be considered as a result of any of the following:

1. A new service or a service enhancement is incorporated into DAS Financial Business Systems catalog, allowing for new associated SLE's to be developed and added to the SLA document
2. Changes in DAS Shared Financial Business Systems' ability to perform as a result of:
  - a. Significant and sustained change in workload demands.
  - b. A significant and sustained increase or reduction in DAS Financial Business Systems resources.
  - c. A need to conform to other unforeseen organizational constraints within DAS or within state government.
3. When customer's expectations and/or performance service level needs have changed.
4. Evolution in DAS Financial Business Systems tools and processes, which allow for better metrics and/or evolved performance level targets.
5. Missing performance targets by 15% (whether actual performance is over or under the target) in more than 2 consecutive quarters.
6. When DAS Financial Business Systems' corrective action recommends a reassessment in the performance targets agreed for a service.

The **SLA amendment process** will be as follows:

1. The request to review and modify the SLA document can be initiated by DAS Financial Business Systems or any customer represented at the CUB.
2. Based on the nature or scope of the SLA modification request, the CUB and DAS Financial Business Systems may undertake the modification and approval of the amended SLA document in the course of a regular CUB meeting or choose to create a SLA review team/workgroup for this purpose.
3. If an SLA review team is created, the workgroup will review and draft the recommended changes/updates to the content of the SLA document.
4. The draft amended SLA document will be submitted to the CUB for review and approval.

### **5.2.2. Biennial SLA review**

**The Service Level Agreement will be reviewed** at least **once per biennium** to ensure service levels are adjusted and remain both appropriate for the services DAS Financial Business Systems delivers and commensurate with the rates charged for each service.

The **biennial SLA review process** will be as follows:

- The CUB and DAS Financial Business Systems will designate a SLA review team consisting of customer and DAS Financial Business Systems representatives. Customer representation will include, at a minimum, a member from the CUB.
- The SLA review team will conduct an analysis and evaluation of the SLA agreement and identify any potential amendments to the SLA document. To do so, the SLA review team will:
  - a. Review and update the Service Catalog as needed, removing information about services or service offerings that have been discontinued and adding information about new services, new service offerings, or service enhancements made by the service provider in the last biennium.
  - b. Conduct an analysis of the actual performance results achieved in the last two years, including a review of corrective actions implemented, and identify opportunities and/or needs to readjust service level expectations or performance targets.
  - c. Review all performance complaints received or issues that may affect service performance.
  - d. Conduct an evaluation of the success in the adoption, acceptance and commitment to the SLA by both parties:
    - i. How successful has the SLA been - has it made a difference?
    - ii. Has it been used by DAS Financial Business Systems staff, and if not, why?
    - iii. Has it helped manage customers' expectations?
    - iv. Have customers used it or adhered to it, and if not, why?
    - v. What barriers/problems have there been and what other feedback has the service provider received?
- The SLA team will review and make recommended changes/updates to the content of the SLA document
- The draft amended SLA document will be submitted to the CUB for review and approval.

### **5.2.3. Biennial SLA review.**

**The Service Level Agreement will be reviewed** at least **once per biennium** to ensure service levels are adjusted and remain both appropriate for the services DAS Financial Business Systems delivers and commensurate with the rates charged for each service.

The **biennial SLA review** will be as follows:

- The CUB and DAS Financial Business Systems will designate a SLA review team consisting of customer and DAS Financial Business Systems representatives. Customer representation will include at a minimum a member from the CUB.
- The SLA review team will conduct an analysis and evaluation of the SLA agreement and identify any potential amendments to the SLA document. To do so, the SLA review team will:
  - a. Conduct an analysis of the SLE's against the actual performance results achieved in the last two years, identifying opportunities and/or needs to readjust service level expectations or performance targets.
  - b. Conduct a review of previous and potential performance issues that may affect services.
  - c. Conduct an evaluation of the success in the adoption, acceptance and commitment to the SLA by both parties:
    - i. How successful has the SLA been - has it made a difference?
    - ii. Has it been used by DAS Financial Business Systems staff, and if not, why?
    - iii. Have customers used it or adhered to it, and if not, why?
    - iv. Has it helped manage customers' expectations?
    - v. What barriers/problems have there been and what other feedback has the service provider received?
- The SLA team will review and make recommended changes/updates to the content of the SLA document
- The draft amended SLA document will be submitted to the CUB for review and approval.

### **5.3. Incident management**

- In the event a customer wants to communicate a service incident or has concerns with the level of service received, the customer may contact FBS by email, phone, or in person.
- For Datamart incidents:
  - Phone: 503-373-0269 between 8:00 a.m. and 5:00 p.m. Monday through Friday
  - Email: [Datamart.Support@oregon.gov](mailto:Datamart.Support@oregon.gov)
- For SFMA incidents:
  - Phone: 503-373-0734 between 8:00 a.m. and 5:00 p.m. Monday through Friday
- For OSPA incidents:
  - Phone: 503-378-6777 option 0 between 8:00 a.m. and 5:00 p.m. Monday through Friday
  - Email: [OSPS.HELP@oregon.gov](mailto:OSPS.HELP@oregon.gov)
- When reporting an incident, the customer will need to provide a brief description of the problem, informing about the urgency of the issue. The customer will also need to provide a contact name, phone number and email address so DAS FBS staff can contact back or report on the resolution of the incident.
- The assigned staff member will contact the customer within one business day from receipt of the incident.

- If the incident is not resolved or the staff member is not available, the customer will be contacted by the FBS Program Manager for resolution.
- If necessary, the incident will be reported to the Division Administrator for joint resolution.

## 5.4. Complaint Resolution and Remediation

### 5.4.1. Principles

Performance complaints should be addressed and resolved at the lowest common level, collaboratively between the customer and representatives of DAS FBS.

If performance is below customer's expectations, an informal approach often offers the quickest solution. If circumstances permit, DAS customers should talk with the DAS employee or unit involved in the situation to seek resolution to any performance dispute—explain the problem and ask for assistance. If this informal approach does not resolve the issue, or if at any given time DAS customers are not satisfied with the levels of utility services received, they may submit a formal performance complaint to DAS FBS via the formal complaint intake process described below.

Resolution of formal performance complaints raised by individual customers will be done in accordance with the following principles:

1. All complaints submitted using the process outlined below (section 5.4.2.) will be considered formal, and they will be logged, documented and published by the service provider.
2. Formal performance complaints shall only be considered resolved when:
  - a. DAS Financial Business Systems and the affected customer (s) **have agreed on an action plan to solve/ correct the problem;** and
  - b. **Applicable remedies** to compensate and/or exact reparation to the affected customer (s) **have been agreed** to the satisfaction of both parties.
3. In the event a customer is not satisfied with either the action plan or the remedies offered by DAS Financial Business Systems, complaints can be escalated by the customer to the next level in the escalation path within DAS for resolution.

### 5.4.2. Raising and recording formal complaints

Performance complaints will be submitted to the following email inbox established for this purpose: [FBS.CustomerComplaints@oregon.gov](mailto:FBS.CustomerComplaints@oregon.gov). All complaints submitted via this process will be considered formal complaints.

Formal complaints should include:

1. A summary description of the complaint. This description may include a customer's desired resolution of the matter.
2. Identification of affected customer (s).
3. If applicable, a description of aggravating circumstances (incident severity, repeated problems, estimated financial loss incurred or savings not materialized by the customer as a result of the performance incident, etc.)

All formal complaints received will be documented in a DAS Financial Business Systems' complaints log file, and responsibility will be assigned to staff within DAS Financial Business Systems to follow up and seek resolution.

The information in the complaints log file will be used to develop the customer-specific formal performance complaints report that will be published as part of DAS Financial Business Systems' quarterly performance report.

#### **5.4.3. Complaint escalation process**

In the first instance complaints will be assigned to a supervisor of the functional unit affected by the complaint. After investigation and consultation with the staff involved, the supervisor will seek resolution by offering the complainant both:

1. **An action plan to solve/ correct the problem**, which at a minimum will consist of:
  - a. A description of corrective actions identified and recommended by the service provider to solve/ correct the problem.
  - b. A timeframe for the implementation of the corrective actions.
2. **Applicable remedies** to compensate and/ or exact reparation to the affected customer.

A customer who has not obtained satisfactory resolution to their formal complaint can escalate the dispute to the next level in the escalation path within DAS, until an action plan and appropriate remedial measures to solve the performance issue are agreed to the satisfaction of both customer and DAS representatives. At each step in the escalation process, the customer needs to describe why the prior proposal by DAS was not satisfactory. The steps in the escalation path after seeking resolution with the unit directly involved in the problem are the following:

- DAS FBS Program Management. If unresolved, escalate to
- Enterprise Good and Services administrator. If unresolved, escalate to
- Deputy Director of DAS. If unresolved, escalate to
- EGS CUB.

At the end of the escalation process, the EGS CUB will provide a last resort resolution forum to discuss and settle unresolved performance complaints.

#### **5.4.4. Remedies**

As part of resolving performance complaints, the following remedial actions can be offered to the complainant by DAS Financial Business Systems

1. A clear explanation for the performance incident will be offered in all instances to any customer raising a complaint.
2. A credit / discount on the service charges corresponding to the period when the performance incident occurred may be awarded in appropriate circumstances (based on aggravating factors such as incident severity, financial losses incurred by the customer as a result of the performance issue, etc.).
3. A customer may be granted the ability to change providers for a specific service. This remedial measure will be reserved for exceptional circumstances in which resolution of a customer-specific performance issue has proved historically elusive, combining severe incompliance with agreed SLE's or performance targets and repeated failure to

implement corrective actions agreed between DAS FBS and customer to fix the underlying performance problem.

## 6. Glossary: Acronyms & Definitions

### 6.1. Acronyms

- **ACA:** Affordable Care Act
- **ACH:** Automated Clearing House
- **CSR:** Customer Service Request
- **CFO:** Chief Financial Office
- **COBRA:** Consolidated Omnibus Budget Reconciliation Act
- **CUB:** Customer Utility Board
- **DAS:** Department of Administrative Services
- **EGS:** Enterprise Goods and Services
- **EM:** Entrepreneurial Management
- **ETS:** Enterprise Technology Services
- **FAQ:** Frequently Asked Question
- **FBS:** Financial Business Systems
- **FMLA:** Family and Medical Leave Act
- **FTE:** Full-Time Equivalent (see 6.2 Definitions)
- **HEM:** Health Exchange Model
- **IR Studio:** Hyperion Interactive Reporting Studio
- **IAA:** Interagency Agreement
- **LWOP:** Leave Without Pay
- **OAM** Oregon Accounting Manual
- **OAR:** Oregon Administrative Rules
- **OFLA:** Oregon Family Leave Act
- **ODBC:** Open Data Base Connectivity
- **OSPA:** Oregon Statewide Payroll Applications (see section 6.2 Definitions)
- **ORS:** Oregon Revised Statutes
- **PERS:** Public Employee Retirement System
- **PPDB:** Position and Personnel Database (see section 6.2 Definitions)
- **RACF ID:** Resource Access Control Facility Identification
- **SAIF:** State Accident Insurance Fund
- **SFMA:** Statewide Financial Management Application (see 6.2 Definitions)
- **SLA:** Service Level Agreement
- **SLE:** Service Level Expectation
- **SPOTS:** State P-Card of Oregon Transaction System

### 6.2. Definitions

- **Automated Clearing House (ACH):** Payments made electronically to move money from one financial institution to another. This is a standard practice within banking.
- **Billing Dispute:** A customer billing dispute is any alleged inaccuracy, omission or error in relation to a service charge or reflected on a service bill.

- **Complaint (a.k.a. Performance or Service Complaint):** A formal expression of dissatisfaction with the quality of service received by a customer. See more information, see section 5.4 of this SLA document.
- **Datamart:** Data from various State subsystems used to generate reports.
- **Entrepreneurial Management:** Innovative public management model that uses customer choice, competition, and policy/service separation to increase service satisfaction.
- **ePayroll:** ePaystub and eTime are the two website versions of employee paystubs and time entry/supervisor approval screens.
- **Full-Time Equivalent (FTE):** This is the number of working hours that represents one full-time employee during a fixed time period, such as one month or one year.
- **Incident (a.k.a. Performance or Service incident):** Any event which is not part of the standard operation of a service which causes, or may cause, an interruption to, or a reduction in, the quality of that service. A service incident can be communicated by a customer or can be detected by the service provider.
- **Incident Management:** Process for dealing with service incidents and restoring normal service operation as quickly as possible, minimizing the adverse impact on business operations.
- **Internal Control:** A process designed to provide reasonable assurance that the objectives of reliable financial reporting, effective and efficient operations, and compliance with laws and regulations are achieved. Included is separation of duties which place key duties with different people to detect errors and prevent wrongful acts.
- **jClarety:** State of Oregon retirement system that maintains record of subject wages and hours and employer and employee contributions for PERS accounts used to calculate retirement benefits.
- **Oregon Administrative Rules Compilation (OAR):** Official compilation of agency rules and regulations, having the force of law in the state of Oregon.
- **Oregon Revised Statutes (ORS):** The codified laws of the State of Oregon. The ORS is published every two years and incorporates all laws, and changes to laws, enacted by the Legislative Assembly through the odd-numbers year regular session.
- **OSPA: (Oregon Statewide Payroll Application):** This is the payroll system used by all Executive Branch agencies, Legislature, Judicial as well as several semi-independent entities.
- **PPDB: (Position Personnel Data Base):** This is the Oregon state government Position Personnel Management System.

- **Rate (a.k.a. Service Rate):** A price that incorporates the costs of delivering the service at the service levels agreed to by both parties.
- **Remediation (a.k.a. Remedies or Remedial actions/ measures):** In the event of a formal complaint raised by a customer, remediation refers to the list of actions/ measures DAS or any of its service delivery units can take or offer to compensate and/or exact reparation to the affected customer(s) above and beyond agreeing on an action plan to correct the underlying service problem.
- **Service:** A bundle of activities and resources combined to provide a clear business outcome or output/ deliverable received by the customer.
- **Service Agreement:** A document, signed by service provider and a single customer, reflecting customer-specific information such as choice of services from service catalog, specific operational procedures between the parties, or contact information for critical information systems or processes, etc.
- **Service Catalog:** A description of the services and service offerings provided by a service provider. This can be a multi-level set of information with linked and discrete hierarchies of services, child services and specific 'offerings' (specific tasks) available for these services, and will typically describe service terms, standards, packages (if available), exclusions (if applicable), etc.
- **Service Level Agreement (SLA):** A document, specific per service provider, which includes the following core elements: (1) A service catalog; (2) A set of agreed SLE's (performance targets); (3) A statement of responsibilities of service provider and customers; and (4) A description of key service management processes. All of these elements help improve service delivery, manage expectations, clarify responsibilities and facilitate communication between the service provider and its customer base.
- **Service Level Expectation (SLE):** Written, measureable target for a service or a process performance agreed between service provider and customers.
  - a. For any given service with an SLE, service performance targets will be common to all customers (concept of utility services).
  - b. If a service offering includes different packages/ levels of service, different packages of the same service can have different performance targets but these will be common to all customers of the same package/ level of service.
- **Statewide Financial Management Application (SFMA):** The accounting IT system in use by most state agencies within Oregon state government. Also referred to as SFMS.
- **State Pcard of Oregon Transaction System (SPOTS):** A state sponsored credit card used to procure goods and services.

## 7. Contact Data

Contact Name	Position/ Role	Contact Information
Trudy Vidal	FBS Program Manager	<a href="mailto:Trudy.Vidal@oregon.gov">Trudy.Vidal@oregon.gov</a> 503-373-0170
Sandy Ridderbusch	OSPS Manager	<a href="mailto:Sandy.Ridderbusch@oregon.gov">Sandy.Ridderbusch@oregon.gov</a> 503-373-0198
Michael Makelacy	SFMS Manager	<a href="mailto:Michael.Makelacy@oregon.gov">Michael.Makelacy@oregon.gov</a> 503-373-0734
Agency Specific Contacts	Shared Payroll Services  SFMS  Central PERS Team	<a href="http://www.oregon.gov/DAS/EGS/FBS/OSPS/Pages/index.aspx">http://www.oregon.gov/DAS/EGS/FBS/OSPS/Pages/index.aspx</a>  <a href="http://www.oregon.gov/DAS/EGS/FBS/SFMS/docs/resources/analyst_contact_list.pdf">http://www.oregon.gov/DAS/EGS/FBS/SFMS/docs/resources/analyst_contact_list.pdf</a>  <a href="http://www.oregon.gov/DAS/EGS/FBS/CPERS/Pages/teamassign.aspx">http://www.oregon.gov/DAS/EGS/FBS/CPERS/Pages/teamassign.aspx</a>

## 8. Appendixes

### 8.1. Service Catalog sheets

1- Access to Datamart	
1. What is the service?	Description
a. Service Summary	<p>The Datamart is an electronic repository of data used for timely agency ad hoc reporting and decision support needs. The Financial Datamart contains data extracted from the following statewide information systems: financial (SFMA), payroll (OSPA), personnel (PPDB), position control (PICS) and budgeting (ORBITS) systems.</p>
b. What is included?	<ul style="list-style-type: none"> <li>○ Daily management and monitoring including; ensuring that the availability of the platform is operational 24/7 (except during maintenance windows).</li> <li>○ Run downloads from statewide systems to ensure data is updated with the proper frequency:               <ul style="list-style-type: none"> <li>○ SFMA – Weekly, following the Friday night batch cycle</li> <li>○ OSPA – Monthly, the night after Run 2 payroll</li> <li>○ PPDB – Monthly, on the last calendar day of the month.</li> <li>○ PICS – Weekly, every Friday night</li> <li>○ ORBITS – Weekly, following the Friday night SFMA batch cycle.</li> </ul> </li> <li>○ Facilitate enhancements to software based on customer input and available industry upgrades. Through their participation in FBS-facilitated system user group workshops, customers can participate in the periodic identification, design and prioritization of system functionality enhancements.</li> <li>○ Develop new reports for agency use and provide support / consultation on “Datamart Repository”– The repository is a tool that currently includes 43 standard reports that agencies may use to query the Datamart and develop new reports for agency use. This service is available Monday through Friday, normal business hours.</li> <li>○ Provide support to 'Hyperion Interactive Reporting Studio' (a.k.a. IR Studio) desktop application end-user and agency IT staff, who use this application on their desktop for accessing the Datamart. This service is available Monday through Friday, normal business hours.</li> <li>○ Provide consulting services to statewide agency customers including assistance building specific queries to the Datamart.</li> <li>○ Develop, maintain, implement, and present Datamart training materials for various levels of statewide agency staff expertise in a computer lab environment fully equipped with Windows-based computers and presentation tools. Including Datamart E-News.</li> </ul>

c. What is not included in the service?	<ul style="list-style-type: none"> <li>o Direct entry of information into the Datamart (this is only a query tool)</li> <li>o Installation of agency user software. The initial setup performed by each agency can vary depending on agency IT resources.</li> </ul>
d. Offerings and options	<ul style="list-style-type: none"> <li>o Non-standard views of data, including access to agency-specific security level 3 (restricted) and level 4 (critical) information.</li> <li>o Other data query programs for accessing Datamart (any tool using ODBC such as Microsoft Excel and Access).</li> </ul>
e. Service Prerequisites	<ul style="list-style-type: none"> <li>o Must be an agency in one of the three branches of Oregon State Government (Executive, Judicial or Legislative) or a semi-independent agency using the payroll and personnel systems.</li> <li>o Users must be assigned a RACFID through the personnel system (PPDB).</li> <li>o SARS System Security must provide access through a request from the Agency Security Officer.</li> </ul>
f. (Service-specific) Customer and provider responsibilities	<p><b>Financial Business Systems responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Contract with Enterprise Technology Services to operate the Datamart hardware and software.</li> <li>• Purchase IR Studio enterprise maintenance support and provide for agency use.</li> <li>• Schedule, notify and provide computer lab training for agency staff.</li> <li>• Purge data based on archive retention requirements.</li> <li>• Facilitate security and password resets as needed.</li> <li>• Update in accordance with changes from downloading systems.</li> </ul> <p><b>Customer responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Attend provided training to efficiently and effectively utilize Datamart.</li> <li>• Provide feedback on system enhancements.</li> <li>• Request Datamart access for agency staff.</li> <li>• Request special views of sensitive data.</li> <li>• Perform initial setup on each machine for agency staff.</li> </ul>
<b>2. How is the service requested?</b>	<b>Description</b>
a. How is this service requested?	<ul style="list-style-type: none"> <li>• Each agency must perform a full user setup on each computer that will access the Datamart. The link for this installation information is located on the FBS website at:  <a href="http://www.oregon.gov/DAS/EGS/FBS/Pages/datamart.aspx#Datamart_Enterprise_Query_Tool_Software_IR_Studio">http://www.oregon.gov/DAS/EGS/FBS/Pages/datamart.aspx#Datamart_Enterprise_Query_Tool_Software_IR_Studio</a></li> </ul>
b. What forms are used/needed to request this service?	<ul style="list-style-type: none"> <li>• Agency Security Officers submit one of the forms found at the link below for each staff requesting access to the Datamart:  <a href="http://www.oregon.gov/DAS/EGS/FBS/Pages/datamart.aspx#Datamart_Security_Access_Forms">http://www.oregon.gov/DAS/EGS/FBS/Pages/datamart.aspx#Datamart_Security_Access_Forms</a></li> </ul>
c. When can you expect to have your	<ul style="list-style-type: none"> <li>• Most security requests for standard views can be accommodated within 24 hours of the submitted request, Monday through Friday, normal business hours.</li> </ul>

service request fulfilled?	
<b>3. How do I get help? How does DAS Financial Business Systems provide support to customers?</b>	<b>Description</b>
a. Self-service support	<p>Financial Business Systems Website:</p> <ul style="list-style-type: none"> <li>• General Information: <a href="http://www.oregon.gov/DAS/EGS/FBS/Pages/index.aspx">http://www.oregon.gov/DAS/EGS/FBS/Pages/index.aspx</a></li> <li>• Forms and Links: <a href="http://www.oregon.gov/DAS/EGS/FBS/Pages/datamart.aspx">http://www.oregon.gov/DAS/EGS/FBS/Pages/datamart.aspx</a></li> <li>• User Password Resets and Query Management: <a href="https://datamart.sdc.state.or.us/cgi-bin/login">https://datamart.sdc.state.or.us/cgi-bin/login</a></li> </ul>
b. How to request support	<ul style="list-style-type: none"> <li>• Phone: 503-373-0269</li> <li>• Fax: 503-378-8940</li> <li>• Help Desk Email: <a href="mailto:Datamart.Support@oregon.gov">Datamart.Support@oregon.gov</a></li> </ul>
c. When can you expect to get a response?	Monday through Friday, normal business hours, usually same day or within 24 hours.

<b>2- Access to SFMA</b>	
<b>1. What is the service?</b>	<b>Description</b>
a. Service Summary	DAS FBS provides access, maintenance, support and training services to state agencies using the Statewide Financial Management Application (SFMA) to ensure accuracy and accountability in state government accounting systems. SFMA serves as the centralized accounting system utilized by most Oregon state agencies. SFMA consists of two modules: The Relational Statewide Accounting and Reporting System (R*STARS) and the Advanced Purchasing and Inventory Control System (ADPICS).
b. What is included?	<ul style="list-style-type: none"> <li>• Daily management of the accounting system, running scheduled nightly batch cycles on normal business days to process accounting transactions, running daily expedite warrant cycles at noon and ensuring that it is operational during stated mainframe operational hours of 6:00am to 6:00pm Monday through Saturday.</li> <li>• Facilitate enhancements to software based on customer input and available industry upgrades. Customers may participate in the periodic identification, design and prioritization of system enhancements.</li> </ul>

	<ul style="list-style-type: none"> <li>• Provide consulting services to statewide agency customers on technical infrastructure and connectivity related to R*Stars and ADPICS.</li> <li>• Develop, maintain, implement, and present R*Stars and ADPICS training materials for various levels of statewide agency staff expertise.</li> <li>• Develop, update and distribute system policies, procedures, and documentation for R*Stars (accounting) and ADPICS (purchasing) users.</li> <li>• Payment Processing – Provide daily statewide vendor maintenance for over 125,000 vendors, Automated Clearing House (ACH) processing and vendor training for agency staff. Administer payment processing and related profiles. Perform warrant cancellation, stop payment and requests forgery reimbursement. Payments are produced daily during the regular nightly batch cycle and warrants can be produced daily during the noon expedite cycle.</li> <li>• SFMA agency system support, including: <ul style="list-style-type: none"> <li>○ Assign agency assistance to provide wide range of system guidance on-site, via e-mail and telephone providing daily support of operational use.</li> <li>○ Coordinate security, testing and migrations for new and existing agency interfaces from subsystems.</li> </ul> </li> <li>• Resolve problems and questions involving requested (generated by request of a user) and control reports and report distribution including printed and web based reports.</li> <li>• SFMA system maintenance and enhancements, keeping system updated and in compliance with all changes in national or international accounting regulations and generally accepted accounting standards.</li> <li>• Federal Compliance – Administer backup withholding, withholding tax, and 1099-MISC processing and training. FBS’s responsibilities include all correspondence and transmission of payments as well as required forms to IRS and Department of Revenue.</li> <li>• Perform system modifications to profiles to meet required accounting pronouncements and federal regulations. Provide system requirements for requested system changes.</li> <li>• Monthly statewide cash reconciliation of Joint Payroll Fund, General Fund and Lottery Fund with Treasury.</li> </ul>
<p>c. What is not included in the service?</p>	<ul style="list-style-type: none"> <li>• Manual data entry of accounting transactions for state agencies.</li> <li>• Guidance on proper accounting treatment for reporting purposes.</li> <li>• Processing of all 1099s with the exception of afore mentioned 1099-MISC.</li> <li>• Development of agency subsystem interfaces</li> </ul>
<p>d. Offerings and options</p>	<ul style="list-style-type: none"> <li>• Agency support outside of the standard: <ul style="list-style-type: none"> <li>○ Using macros to enter transactions</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>○ Assist agencies with cash reconciliations</li> <li>○ Delivering return to agency (RA) warrants produced during the daily noon expedite cycle in agency lockboxes located at DAS West available for agency pick-up the same day.</li> <li>● Choice of web or printed reports.</li> </ul>
e. Service prerequisites	<ul style="list-style-type: none"> <li>● Must be an agency in one of the three branches of Oregon State Government (Executive, Judicial or Legislative).</li> <li>● Users must be assigned a RACFID through the personnel system (PPDB).</li> <li>● SARS System Security must provide access through a request from the Agency Security Officer.</li> </ul>
f. (Service-specific) Customer and provider responsibilities	<p><b>Financial Business Systems responsibilities:</b></p> <ul style="list-style-type: none"> <li>● Contract with Enterprise Technology Services to operate the accounting system hardware and software.</li> <li>● Run annual programs necessary to comply with accounting standards.</li> <li>● Monitor system integrity and functionality.</li> <li>● Schedule, notify and provide computer lab and seminar style training for agency staff.</li> <li>● Purge data based on archive retention requirements.</li> <li>● Facilitate enhancements to software based on industry upgrades and customer requests.</li> <li>● Programming to add enhancements to system (i.e. screen formats, edits, help windows, etc.).</li> <li>● System testing prior to implementation of new SFMA enhancements.</li> </ul> <p><b>Customer responsibilities:</b></p> <ul style="list-style-type: none"> <li>● Attend provided training to efficiently and effectively utilize accounting system.</li> <li>● Provide feedback on system enhancements.</li> <li>● Request access for agency staff.</li> <li>● Load mainframe emulator software on each machine for agency staff.</li> <li>● Enter accounting profiles and transactions in system.</li> <li>● Develop agency specific interfaces from subsystems.</li> </ul> <p>SARS System Security must provide access through a request from the Agency Security Officer.</p>
<b>2. How is the service requested?</b>	
a. How is this service requested?	Agency IT staff load mainframe access on appropriate staff computers. The Agency Security Officer requests specific security based on the staff's position requirements.
b. What forms are used/ needed to	The Agency Security Officer fills out the following form: <a href="http://www.oregon.gov/DAS/CFO/SARS/pages/systems_security.aspx#Security_Access_Request">http://www.oregon.gov/DAS/CFO/SARS/pages/systems_security.aspx#Security_Access_Request</a>

request this service?	
c. When can you expect to have your service request fulfilled?	Most access will be granted the same day or within 24 hours of submitted request Monday through Friday, during normal business hours.
<b>3. How do I get help? How does DAS Financial Business Systems provide support to customers?</b>	<b>Description</b>
a. Self-service support	<ul style="list-style-type: none"> <li>• General Information: Financial Business Systems Website: <a href="http://www.oregon.gov/DAS/EGS/ps/pages/index.aspx">http://www.oregon.gov/DAS/EGS/ps/pages/index.aspx</a></li> <li>• SFMS Specific Page: <a href="http://www.oregon.gov/DAS/EGS/FBS/SFMS/Pages/index.aspx">http://www.oregon.gov/DAS/EGS/FBS/SFMS/Pages/index.aspx</a></li> </ul>
b. How to request support	<ul style="list-style-type: none"> <li>• Telephone Number: 503-373-0751</li> <li>• Fax Number: 503-378-8940</li> <li>• Contact us for specific person: <a href="http://www.oregon.gov/DAS/EGS/FBS/SFMS/pages/contact_us_directory.aspx">http://www.oregon.gov/DAS/EGS/FBS/SFMS/pages/contact_us_directory.aspx</a></li> </ul>
c. When can you expect to get a response?	Monday through Friday, normal business hours, usually same day or within 24 hours.

<b>3- Access to OSPA</b>	
<b>1. What is the service?</b>	<b>Description</b>
a. Service Summary	DAS FBS provides access, maintenance, support and training services to state agencies using the Oregon Statewide Payroll Application (OSPA) to ensure accurate payment and reporting of income taxes for Oregon state agencies. Oregon Statewide Payroll Application serves as the centralized payroll system for Oregon State Government.
b. What is included?	<ul style="list-style-type: none"> <li>• Daily management of payroll system including ensuring that it is operational during stated business hours of 6:00am to 6:00pm Monday through Saturday.</li> <li>• Run nightly batch cycles to process payroll transactions. Run twice monthly batch cycles to process employee 1<sup>st</sup> &amp; 15<sup>th</sup> wage payments. Provide overview auditing and error checking for all OSPA twice monthly payroll/payment transactions.</li> </ul>

	<ul style="list-style-type: none"> <li>• Access to ePayroll application. This application provides employees with the ability to view their current pay stub information and up to 12 prior pay stubs and includes an electronic time entry system.</li> <li>• E-Paystub available 24/7 except during maintenance windows. Staff support for E-Paystub available Monday through Friday, normal business hours.</li> <li>• Facilitate enhancements to software based on customer input and available industry upgrades. Customers may participate in the periodic identification, design and prioritization of system enhancements.</li> <li>• Provide consulting and help desk services to statewide agency customers on issues related to the Payroll Application.</li> <li>• Develop, maintain, implement, and present OSPA training materials for various levels of statewide agency staff expertise in both a computer lab setting and seminar style.</li> <li>• OSPA System maintenance and enhancements: <ul style="list-style-type: none"> <li>○ Facilitate enhancements to software based on industry upgrades and in compliance with state/federal requirements, all changes in the enterprise classification system including liaison services (e.g., changes to compensation plans), collective bargaining contracts, HR policies or legislative requests (e.g. negotiated cost of living increases (COLA), etc.) and PEBB.</li> </ul> </li> <li>• OSPA system support, including: <ul style="list-style-type: none"> <li>○ Issue resolution/troubleshooting, including support to agency payroll staff with solutions/suggestions to meet user needs and technical support for agencies to: a) setup specific tables for distribution b) sorting c) printing of agency-specific OSPA documents.</li> <li>○ Coordinate security, testing and migrations for new and existing agency interfaces from subsystems.</li> <li>○ Processing daily employee return of overpayments for agencies (i.e. clear net pay negatives).</li> <li>○ Cancel and rewrite employee and vendor checks when necessary.</li> </ul> </li> <li>• Provide access to multiple standard enterprise-wide OSPA Agency Web Reports.</li> <li>• Leave accrual processing and tracking.</li> <li>• Reconcile, report, pay and file all payroll related taxes and assessments.</li> <li>• Provide statewide retention of 75 year archive required data detailed on Secretary of State Archive's website.</li> </ul>
<p>c. What is not included in the service?</p>	<ul style="list-style-type: none"> <li>• Agency employee payroll and benefit processing, this service is provided by Shared Payroll Services later in this document for those agencies that chose this service.</li> <li>• Employee collections.</li> <li>• Development of agency subsystem interfaces.</li> </ul>

<p>d. Offerings and options</p>	<ul style="list-style-type: none"> <li>• Agency specific training.</li> <li>• Time Keeping Data Entry Interface (E-payroll or Online Daily Time green screen).</li> <li>• Process daily manual checks to employees for agencies.</li> <li>• Assistance with calculations for Agency specific back-pay settlements.</li> </ul>
<p>e. Service prerequisites</p>	<ul style="list-style-type: none"> <li>• Must be an agency in one of the three branches of Oregon State Government (Executive, Judicial or Legislative) or semi-independent agencies using PPDB for employee HR record keeping.</li> <li>• Agency payroll staff must be assigned a RACFID through the personnel system (PPDB).</li> <li>• SARS System Security must provide access through a request from the Agency Security Officer.</li> </ul>
<p>f. (Service-specific) Customer and provider responsibilities</p>	<p><b>Financial Business Systems responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Contract with Enterprise Technology Services to operate the payroll system hardware and software.</li> <li>• Run year end programs necessary to comply with reporting requirements.</li> <li>• Monitor system integrity and functionality.</li> <li>• Schedule, notify and provide computer lab and seminar style training for agency staff.</li> <li>• Purge data based on archive retention requirements.</li> <li>• Programming to add enhancements to system (i.e. screen formats, edits, help windows, and “real time” interface to PPDB).</li> <li>• System testing prior to implementation of new OSPA enhancements and compliance related changes.</li> </ul> <p><b>Customer responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Attend provided training and use resource documents to efficiently and effectively utilize payroll system.</li> <li>• Provide feedback on system enhancements.</li> <li>• Request access for agency staff.</li> <li>• Load mainframe emulator software on each machine for agency staff.</li> <li>• Enter employee payroll information in system.</li> <li>• Agency ePayroll administration and employee support.</li> <li>• New hire onboarding.</li> </ul>
<p><b>2. How is the service requested?</b></p>	
<p>a. How is this service requested?</p>	<p>Agency IT staff load mainframe access on appropriate staff computers. The Agency Security Officer requests specific security based on the staff’s position requirements.</p>

b. What forms are used/ needed to request this service?	The Agency Security Officer fills out the following form: <a href="http://www.oregon.gov/DAS/CFO/SARS/pages/systems_security.aspx#Security_Access_Request">http://www.oregon.gov/DAS/CFO/SARS/pages/systems_security.aspx#Security_Access_Request</a>
c. When can you expect to have your service request fulfilled?	Most access will be granted the same day or within 24 hours of submitted request Monday through Friday.
<b>3. How do I get help? How does DAS Financial Business Systems provide support to customers?</b>	<b>Description</b>
a. Self-service support	<ul style="list-style-type: none"> <li>• General Information: Financial Business Systems Website: <a href="http://www.oregon.gov/DAS/EGS/ps/pages/index.aspx">http://www.oregon.gov/DAS/EGS/ps/pages/index.aspx</a></li> <li>• OSPS Specific Page: <a href="http://www.oregon.gov/DAS/EGS/FBS/OSPS/Pages/index.aspx">http://www.oregon.gov/DAS/EGS/FBS/OSPS/Pages/index.aspx</a></li> </ul>
b. How to request support	<ul style="list-style-type: none"> <li>• Telephone Number: 503-378-6777 option 0</li> <li>• Fax Number: 503-378-3518</li> <li>• Email: OSPS.HELP@oregon.gov</li> <li>• Contact information: <a href="http://www.oregon.gov/DAS/EGS/FBS/OSPS/Pages/contact_us.aspx">http://www.oregon.gov/DAS/EGS/FBS/OSPS/Pages/contact_us.aspx</a></li> </ul>
c. When can you expect to get a response?	Monday through Friday, normal business hours, usually same day or within 24 hours.

#### 4- Centralized PERS Services

1. What is the service?	Description
a. Service Summary	<p>The Centralized PERS Services Team provides technical assistance and data to the PERS retirement systems necessary for calculation of employee retirement benefits, ensuring state employees' retirement account and service time information are accurate and state employee data issues are resolved.</p> <p>This team represents the State of Oregon as a PERS employer by integrating and interfacing PPDB (personnel) and OSPAs (payroll) system data to the PERS jClarety Retirement system, correcting any reporting errors caused by bad data, and coordinating the flow of required information related to PERS administration between PERS and state agencies.</p>

<p>b. What is included?</p>	<ul style="list-style-type: none"> <li>• <b>Electronic PERS Reporting – Ensure the integrity of State of Oregon PERS reporting by managing the electronic reporting of required employee demographic and payroll data to PERS on a monthly basis.</b> This includes clearing records that have been suspended due to errors and resolving data discrepancies between the Oregon State Payroll Application (OSPA), the Position Personnel Database (PPDB) and the PERS jClarety Retirement system through a reconciliation process.</li> <li>• <b>Member Account Requests - Assist PERS and agencies with the resolution of specific individual employee issues, retirement plan compliance and determination of employee eligibility.</b> This includes researching and resolving issues related to non-routine processes including Uniformed Services Employment and Reemployment Rights Act (USERRA), arbitration and settlement agreements, police and fire units, and seasonal employment.</li> <li>• <b>Information Tracking/Coordination –</b> Coordinate the flow of PERS required forms and requested information between PERS and state agencies, ensuring compliance with data requirements and timeframes, and maintaining files.</li> <li>• <b>Agency Education/Outreach –</b> Provide leadership, technical advice and training to state agencies in the area of PERS administration and reporting. Disseminate information to agencies regarding changes and updates to PERS-related statutes, policies and system requirements. Perform agency reviews and develop customized training to address reporting issues.</li> <li>• <b>Administration –</b> Track PERS-related legislation for program impacts. Develop legislative concepts and propose changes to administrative rules, statewide policies and processes related to State of Oregon PERS reporting. Review electronic PERS invoices and forward to agencies for payment. Represent the State of Oregon at PERS Board meetings and on various employer advisory committees.</li> <li>• <b>Reconcile agency payroll and personnel information to PERS information for employees.</b></li> </ul>
<p>c. What is not included in the service?</p>	<ul style="list-style-type: none"> <li>• Guidance to state agencies or employees regarding individual employee retirement benefits.</li> </ul>
<p>d. Offerings and options</p>	<ul style="list-style-type: none"> <li>• Agency specific training.</li> <li>• Agency specific settlements: Determine if employee pay settlements are PERS subject, and ensure they are implemented in PERS systems (i.e. correct contribution start dates, etc.)</li> <li>• Special agency projects to clean up inaccurate setup and reporting.</li> </ul>
<p>e. Service prerequisites</p>	<p>Must be an agency in one of the three branches of Oregon State Government (Executive, Judicial or Legislative) or semi-independent agencies.</p>
<p>f. (Service-specific) Customer and</p>	<p><b>Financial Business Systems responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Contract with Enterprise Technology Services to compile state file for PERS to retrieve monthly.</li> </ul>

<p>provider responsibilities</p>	<ul style="list-style-type: none"> <li>Schedule, notify and provide seminar style training for agency staff.</li> </ul> <p><b>Customer responsibilities:</b></p> <ul style="list-style-type: none"> <li>Attend provided training to efficiently and effectively understand PERS reporting.</li> <li>Update payroll and personnel system with adjustments and corrections based on central guidance.</li> <li>Complete various verification request forms and return to central team.</li> <li>Perform status checks with PERS for accurate employee retirement plan setup in payroll and personnel systems.</li> </ul>
<p><b>2. How is the service requested?</b></p>	
<p>a. How is this service requested?</p>	<p>Contact FBS Manager for information regarding the Centralized PERS Services Team and file.</p>
<p>b. What forms are used/needed to request this service?</p>	<p>No forms are needed to request this service.</p>
<p>c. When can you expect to have your service request fulfilled?</p>	<p>Timing coordination with the Centralized PERS Services Team staff and FBS Manager is dependent on the agency using the payroll and personnel systems.</p>
<p><b>3. How do I get help? How does DAS Financial Business Systems provide support to customers?</b></p> <p style="text-align: center;"><b>Description</b></p>	
<p>a. Self-service support</p>	<ul style="list-style-type: none"> <li>General Information: Financial Business Systems Website: <a href="http://www.oregon.gov/DAS/EGS/ps/pages/index.aspx">http://www.oregon.gov/DAS/EGS/ps/pages/index.aspx</a></li> <li>Centralized PERS Services Team: <a href="http://www.oregon.gov/DAS/EGS/FBS/CPERS/Pages/index.aspx">http://www.oregon.gov/DAS/EGS/FBS/CPERS/Pages/index.aspx</a></li> </ul>
<p>b. How to request support</p>	<ul style="list-style-type: none"> <li>Telephone number: 503-378-3203</li> <li>Fax number: 503-378-4596</li> <li>Email box: <a href="mailto:Central.PERSServicesTeam@oregon.gov">Central.PERSServicesTeam@oregon.gov</a></li> <li>Contact information: <a href="http://www.oregon.gov/DAS/EGS/FBS/CPERS/Pages/contact_us.aspx">http://www.oregon.gov/DAS/EGS/FBS/CPERS/Pages/contact_us.aspx</a></li> </ul>
<p>c. When can you expect to get a response?</p>	<p>Monday through Friday, normal business hours, usually same day or within 24 hours.</p>

## 5- Access to SPOTS Program

1. What is the service?	Description
a. Service Summary	<p>DAS FBS provides access to state agencies to the <b>State P-Card of Oregon Transaction System (SPOTS) Program</b>. The SPOTS card program is a joint effort between DAS Financial Business Systems and DAS Procurement Services to provide state government agencies employees with a low cost way of purchasing and paying for purchases. Through an agreement with US Bank, state agencies receive the ability to issue VISA Corporate Purchase cards to state employees.</p>
b. What is included?	<ul style="list-style-type: none"> <li>• Act as state administrator for purchase card program.</li> <li>• Provide consulting services to agency SPOTS Coordinators and Approving Officers on issues related to and the appropriate use of purchase cards.</li> <li>• Develop, maintain, and present related training materials for SPOTS agency coordinators and SPOTS cardholders.</li> <li>• Provide statewide coordination and management of agency purchase card rebates from the contracted bank.</li> <li>• Facilitate the annual forum for agency SPOTS Coordinators and Approving Officers.</li> <li>• Coordinate with contracted bank for agency setup to use the purchase card program.</li> <li>• Create, maintain and update applicable purchase card policy.</li> <li>• Monitor for unusual purchases and notify affected agencies.</li> <li>• Approve high limit cards.</li> <li>• Provide weekly employee position change and termination report to agencies for employees with a SPOTS card.</li> </ul>
c. What is not included in the service?	<ul style="list-style-type: none"> <li>• Resolution of external fraudulent transaction(s) with contracted bank including investigations.</li> </ul>
d. Offerings and options	<ul style="list-style-type: none"> <li>• Account coding on contracted bank website.</li> <li>• Coordinate Merchant Category Code (MCC) changes with contracted bank based on specific agency requests.</li> <li>• Transaction interface from contracted bank website to accounting system.</li> <li>• Card management with contracted bank for very small agencies.</li> </ul>
e. Service prerequisites	<p>Must be an agency in one of the three branches of Oregon State Government (Executive, Judicial or Legislative).</p>

<p>f. (Service-specific) Customer and provider responsibilities</p>	<p><b>Financial Business Systems responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Schedule, notify and provide seminar style training for agency staff.</li> <li>• Maintain authorized contacts with contracted bank.</li> </ul> <p><b>Customer responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Attend provided training to efficiently and effectively understand the purchase card program.</li> <li>• Create and maintain internal policies governing the use of the purchase cards.</li> <li>• Select employees to use purchase cards.</li> <li>• Request actions on purchase cards through online access with contracted bank.</li> <li>• Train agency cardholders and supervisors on appropriate use of purchase cards.</li> <li>• Approve all purchases made on purchase cards.</li> <li>• Monitor purchases for appropriateness.</li> <li>• Download transaction reports from contracted bank.</li> </ul>
<p><b>2. How is the service requested?</b></p>	
<p>a. How is this service requested?</p>	<p>Contact FBS Manager for information regarding the purchase card program.</p>
<p>b. What forms are used/ needed to request this service?</p>	<p>The SPOTS forms are located at the following website:  <a href="http://www.oregon.gov/DAS/EGS/FBS/SFMS/Pages/forms.aspx#SPOTS_Forms_(pdf)">http://www.oregon.gov/DAS/EGS/FBS/SFMS/Pages/forms.aspx#SPOTS_Forms_(pdf)</a></p>
<p>c. When can you expect to have your service request fulfilled?</p>	<p>Timing coordination with the FBS staff and FBS Manager is dependent on working with each agency and the contracted bank. Length of time can vary depending on responsiveness of agency.</p>
<p><b>3. How do I get help? How does DAS Financial Business Systems provide support to customers?</b></p>	<p style="text-align: center;"><b>Description</b></p>
<p>a. Self-service support</p>	<ul style="list-style-type: none"> <li>• Description of SPOTS Card Program: <a href="http://www.oregon.gov/DAS/EGS/FBS/SFMS/pages/spots.aspx">http://www.oregon.gov/DAS/EGS/FBS/SFMS/pages/spots.aspx</a></li> <li>• Oregon Accounting Manual/ Description of SPOTS Card Program: <a href="http://www.oregon.gov/DAS/CFO/SARS/policies/oam/55.30.00.pdf">http://www.oregon.gov/DAS/CFO/SARS/policies/oam/55.30.00.pdf</a></li> </ul>
<p>b. How to request support</p>	<ul style="list-style-type: none"> <li>• Telephone Number: 503-373-0170</li> <li>• Fax Number: 503-378-8940</li> <li>• Email: <a href="mailto:Trudy.Vidal@oregon.gov">Trudy.Vidal@oregon.gov</a></li> </ul>

c. When can you expect to get a response?	Monday through Friday, normal business hours, usually same day or within 24 hours.
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<b>6- Shared Payroll Services</b>	
<b>1. What is the service?</b>	<b>Description</b>
a. Service Summary	<p><b>Shared Payroll Services</b> provides accurate and timely full-cycle payroll and benefit services to client agencies, boards and commissions including DAS, Treasury, and the Governor’s Office that don’t have their own payroll staff. Currently there are 4 full-time payroll technicians to assist employees with their payroll needs. Agencies are assigned to a primary payroll technician who is available Monday through Friday, normal business hours.</p>
b. What is included?	<ul style="list-style-type: none"> <li>• <b><u>Client Payroll Services</u></b> – Process timely and accurate monthly full cycle payroll for client agencies. Provide new hire and termination services. Process off-cycle client agency pay requests for pay advances, terminations, or pay corrections due to employee missed time entries including collecting employee overpayments. Review and process employee expense reimbursement payments, including travel. Advise and assist client agencies in processing and payment of employee settlements, back wages, garnishments, etc. Process schedule changes and answer questions for employees.</li> <li>• <b><u>Client Benefit Services</u></b> – Process insurance forms by reviewing for completeness and entering the data into the PEBB system and reviewing on OSPA for accuracy. Make appropriate entries in OSPA related to domestic partners, opting out, and HEM participation.</li> <li>• Review and activate PERS eligibility and respond to inquiries from PERS representatives for reporting of retirement benefits, to provide pay documentation, and to make PERS benefit related corrections when necessary.</li> <li>• <b><u>Client Training and Consulting</u></b> – Train client agency employees and supervisors on entry and approval of timesheets in OSPA. Provide interpretation and instruction on furlough leave, military leave, leave without pay, etc., FMLA/OFLA requirements, COBRA benefits, PEBB, PERS, Statewide payroll policies, and collective bargaining agreement language. Respond to employee/supervisor inquires on pay, benefit and deduction processes, OSPA and ePayroll.</li> <li>• <b><u>Reporting</u></b> – Track and audit SAIF, FMLA, OFLA, and leave and time entries for accuracy and compliance to report to or respond to inquiries by client agency human resource departments, employees, supervisors, DAS Chief Human Resources Office, and</li> </ul>

	Secretary of State’s auditors. Review payroll exception reports for net pay negative balances, overpayments, unreported leave or work hours, and unapproved time entries for reporting to employees, supervisors and/or client agency HR departments.
c. What is not included in the service?	<ul style="list-style-type: none"> <li>• Onboarding/ orientation to new employees regarding: <ul style="list-style-type: none"> <li>○ Human resource policies.</li> <li>○ Access to IT systems other than payroll related systems.</li> </ul> </li> </ul>
d. Offerings and options	<ul style="list-style-type: none"> <li>• Manual entry of paper time sheets, online daily time entry, or eTime.</li> <li>• Agency access to web reports.</li> </ul>
e. Service prerequisites	Must be an agency in one of the three branches of Oregon State Government (Executive, Judicial or Legislative) or semi-independent agencies using PPDB for employee HR record keeping.
f. (Service-specific) Customer and provider responsibilities	<p><b>Financial Business Systems responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Enter employee direct deposit account information in OSPA.</li> <li>• Respond to PERS representative inquiries.</li> <li>• Track SAIF, FMLA, OFLA, LWOP, overpayments.</li> </ul> <p><b>Customer responsibilities:</b></p> <ul style="list-style-type: none"> <li>• Provide SPS with agency payroll coordinator contact.</li> <li>• Track and approve employee time either with paper time sheets or employee entry using online daily time or eTime.</li> <li>• Load mainframe emulator software on each machine for agency staff.</li> <li>• Notify SPS of employees in leave without pay status, garnishments, wage withholdings or levies.</li> </ul>
<b>2. How is the service requested?</b>	
a. How is this service requested?	Contact OSPS Manager for information regarding the Shared Payroll Service client services.
b. What forms are used/ needed to request this service?	No forms are needed to request this service.
c. When can you expect to have your service request fulfilled?	Coordination with the Shared Payroll Services staff and OSPS Manager can take up to a month or more depending on size and complexity of agency unless additional staff positions need to be authorized and recruited due to the current capacity of the unit.
<b>3. How do I get help? How does DAS Financial Business</b>	<b>Description</b>

Systems provide support to customers?	
a. Self-service support	<ul style="list-style-type: none"> <li>• General Information: Financial Business Systems Website: <a href="http://www.oregon.gov/DAS/EGS/ps/pages/index.aspx">http://www.oregon.gov/DAS/EGS/ps/pages/index.aspx</a></li> <li>• Shared Payroll Services: <a href="http://www.oregon.gov/DAS/EGS/FBS/OSPS/Pages/sps.aspx">http://www.oregon.gov/DAS/EGS/FBS/OSPS/Pages/sps.aspx</a></li> </ul>
b. How to request support	<ul style="list-style-type: none"> <li>• Telephone Number: 503-378-5091</li> <li>• Fax Number: 503-378-2901</li> <li>• Contact information: <a href="http://www.oregon.gov/DAS/EGS/FBS/OSPS/Pages/contact_us.aspx">http://www.oregon.gov/DAS/EGS/FBS/OSPS/Pages/contact_us.aspx</a></li> </ul>
c. When can you expect to get a response?	Monday through Friday, normal business hours, usually same day or within 24 hours.

## 8.2. SLA performance measure data dictionaries

### SLA Metric #1: Adherence to SFMA and OSPA Datamart download schedule.

- **Description:** Percent of Datamart downloads to SFMA and OSPA successfully completed (as per calendar).
- **Purpose:** This performance measure is aimed at tracking the frequency and timeliness of the Datamart downloads scheduled by FBS staff. Datamart updates job failures and data quality issues can arise for many reasons, including bad data from the source systems. Data cleansing, transforming, and maintaining of data integrity are critical activities to ensure quality of Datamart information. A delay in Datamart refresh can impact FBS customer agencies' ability to run Datamart reports at the right time for strategic business decisions.

Ultimately, this performance measure aims to ensure quality and usefulness of the information / data provided to FBS Datamart users by tracking whether the data on the Datamart is updated properly and is available for use.

It is expected that tracking and reporting on this measure will assist DAS FBS management and customer members of the EGS Customer Board to evaluate and make data-driven decisions regarding:

- FBS Datamart workflow / processes.
- Management of customer expectations.
- Resource/workload balancing.

FBS is able to influence the performance of this measure by:

- Performing ongoing quality assurance on the data residing on the source FBS systems (SFMA and OSPA).

- Working in conjunction with ETS to troubleshoot downloads if necessary (e.g., requesting re-loading of data, rolling back, etc.).
  - Communicating download schedule to ETS.
- **Comparability:** No reliable organization or data source for comparison has been identified at this time.
- **Measure calculation formula:**
  - **A = (B / C)\*100**
    - **B=** Number of scheduled SFMA and OSPA downloads completed successfully within the measurement period.
    - **C=** Total number of scheduled SFMA and OSPA downloads within the measurement period.
  - Quotient is multiplied by 100 to calculate the percent figure.
- **Detailed measure definition / clarification:**
  - **Denominator**
    - The Denominator includes all of the Datamart downloads scheduled within the measurement period from the following information systems:
      - SFMA, which is normally updated weekly, following the Friday night batch cycle (during month 13 this data is uploaded 3 times per week)
      - OSPA, updated monthly, the night after Run 2 payroll
  - **Numerator**
    - A Datamart download is considered successful if it meets all the following criteria:
      - It has been processed before 6am of the business day after the scheduled download.
        - Processed means SFMA & OSPA data is available for Datamart users by the agreed time (6am), and data does not need to be reloaded or rolled back after this time.
      - Information posted is complete. Unsuccessful Datamart downloads will be identified and tracked manually.
    - **Exclusions:**
      - Intermittent, non-calendared ad-hoc downloads will be excluded from both the numerator and denominator of this performance measure.
      - PICS, ORBITS, and PPDB Datamart downloads will be excluded from both the numerator and denominator of this performance measure.
- **Baseline:** 100% of downloads completed were successful within 2014.
- **Service Level Expectation (Quantitative performance target):** 97%.
- **Frequency of reporting:** Quarterly.
- **Attachments:** None

## SLA Metric #2: Adherence to SFMA nightly batch schedule.

- **Description:** Percent of SFMA nightly batch cycles completed successfully.
- **Purpose:** This measure is tracked to ensure appropriate processing of manual and interfaced accounting transactions on the SFMA system. Ultimately, this measure aims at ensuring integrity of transactions entered into the system, as well as customer access to SFMA information within the timeframes agreed upon by DAS FBS and its customer base. This was identified as an important quality attribute for the maintenance of the SFMA system.

FBS is able to influence performance tracked by this measure by:

- Monitoring batch and system control reports.
  - Verifying SFMA system updates are properly tested before they released into production.
  - Performing proper testing and migration for new or ongoing financial data / system interfaces.
  - Performing proper subsystem and SFMA data analysis to identify and correct agency production interface anomalies.
  - Communicating with ETS within a timely manner to trouble-shoot any batch cycle issues so that the refreshed data can be accessed by 6am the following business day.
- **Comparability:** None known at this time.
  - **Measure calculation formula:**
    - **A = (B/C) \*100**
      - **B** = Number of scheduled batch cycles successfully completed within the measurement period.
      - **C** = Total number of batch cycles scheduled within the measurement period.
    - Quotient is multiplied by 100 to calculate the percent figure.
  - **Detailed measure definition / clarification:**
    - **Denominator:**
      - The denominator includes all SFMA batch cycles scheduled within the measurement period.
    - **Numerator:**
      - A batch cycle is considered successfully completed if it meets all of the following criteria:
        - It has been processed before 6am of the next business day.
          - Processed means the data is available for use before 6am the next business day, and data does not need to be reloaded or rolled back after this time.
        - The batch cycle data on the SFMA system is complete.
          - A complete batch cycle will include customer manual accounting transactions incorrectly entered into SFMA. These will be processed into the SFMA system through the

- batch cycle but will not be released, and customer agency will be notified of the error through the 530 screen.
  - Failures to upload data from SFMA interface systems / sub-systems due to interface data files being incorrectly formatted (resulting in files getting kicked out of the system by batch cycle program/ routines) will NOT be considered batch cycle failures.
  - Unsuccessful batch cycles will be tracked manually.
- **Baseline:** 100% of batch cycles scheduled in 2014 ran successfully before 6am of the next business day.
- **Service Level Expectation (Quantitative performance target):** 97%.
- **Frequency of reporting:** Quarterly.
- **Attachments:** None.

### SLA Metric #3: Compliance with mandatory OSPA system updates.

- **Description:** Percent of compliance-related OSPA updates released before the mandated due date.
- **Purpose:** This measure is tracked to ensure timeframes to implement mandatory payroll updates are met by the OSPS unit.

A mandatory OSPA application update is defined as any modification to the OSPA system to comply with federal and state regulations and requirements.

Periodic tracking of payroll system compliance with mandatory system upgrade requirements provides a basis for transparency, helps ensure DAS accountability to federal agencies, Oregon State legislative and policy-making authorities, and the general public. Accurate and timely compliance is key to avoiding penalties and legal actions for noncompliance, which can be severe.

FBS is able to influence performance tracked by this measure by:

- Monitoring for regulation and requirement changes.
  - Planning timelines for projects as soon as they become aware of the requirement.
  - Coordinating with ETS staff to complete projects timely.
- **Comparability:** None known at this time.
- **Measure calculation formula:**
  - $A=(B/C)*100$

- **B (Numerator)** = Number of mandatory application updates completed in the 12 months prior to the last calendar day of the measurement period that have been implemented before or on the “due date”.
    - **C (Denominator)** = Total number of mandatory application updates that were due in the 12 months prior to the last calendar day of the measurement period.
  - “Actual implementation date” will be checked against “due date” for all mandatory application updates completed in the measurement period. Results will be tallied up and divided by the total number of mandatory application updates in the measurement period to calculate average compliance with mandatory updates (rolling average for the previous 12 months).
  - Quotient is multiplied by 100 to calculate the percent.
- **Detailed measure definition / clarification:**
    - This measure is tracked on a rolling 12 month basis, covering all mandatory application updates due in the 12 months before the last day of the measurement period.
    - **Denominator:**
      - The denominator includes all mandatory application updates that were due in the measurement period.
        - Mandatory application updates are defined as modifications to the OSPA system to comply with federal and state payroll tax and garnishment laws, regulations or requirements.
        - An update “due” in the measurement period means that the due date (the date before which the OSPA update should be implemented in OSPA) happens before or on the last day of the measurement period. This includes new due dates set for OSPA application updates that become retroactive during collective bargaining.
      - The denominator includes:
        - **“Normal” mandatory updates** “due” in the measurement period (e.g., a change in a tax table), which means that the due date (the date before which the OSPA update should be implemented in OSPA) happens before or on the last day of the measurement period.
        - **Past due updates:** Past due updates include any update that was not implemented by the mandated “due date” in previous measurement periods and are carried forward to the current measurement period.
        - **Retroactive updates “due” in the measurement period.** These include any updates (e.g., payroll changes negotiated in collective bargaining) that need to be retroactively implemented before the last day of the measurement period.
          - FBS must implement retroactive updates before the last day of the next pay cycle after a notification (in writing) is received from DAS -Office of the CHRO.
          - If an update becomes retroactive a new due date will be established once the collective bargaining contract is signed.
    - **Numerator**



- **Detailed measure definition / clarification:**
  - **Denominator:**
    - The denominator includes all manual checks that are requested before 11:00am (daily cut off time) in the measurement period.
  - **Numerator:**
    - The numerator tracks the number of manual checks requested before 11:00am (daily cut off time) in the measurement period that FBS is able to process and deliver within the same business day of the request.
      - Delivered means that manual checks will be available for pick-up by requesting customer agency from the designated agency box at the DAS Executive Building by 3:00 pm.
  - **Exclusions:**
    - Any manual checks requested after the 11:00am deadline will be excluded from the denominator and the numerator of this performance measure.
- **Baseline:** FBS reported that 99.9% of manual checks requested before the cut-off time were delivered within the same day in 2014.
- **Service Level Expectation (Quantitative performance target):** 99%
- **Frequency of reporting:** Quarterly.
- **Attachments:** None.

#### **SLA Metric #5: Accuracy of employee records submitted to PERS.**

- **Description:** Percent of records sent to PERS that are suspended due to inaccurate information.
- **Purpose:** This measure is tracked to ensure the accuracy of the records sent by the FBS Centralized PERS unit to PERS, which in turn is considered a reflection of the FBS Program' ability to educate state agencies about the importance and the key requirements in data entry processes (e.g., timely entry of personnel actions and name & address changes into PPDB) in order to ensure accuracy of state employee records so that employees' accounts are accurate when they request benefits from PERS.

FBS is able to influence performance tracked by this measure by:

- Education state agency staff on the proper coding of employee information related to retirement benefits.
- Monitoring the accuracy of the file format that is created and sent to PERS containing all current state employee wage information each month.
- Timely clearing suspended records to alleviate future month records from suspending.
- **Comparability:** None identified at this time.

- **Measure calculation formula:**
  - **A = (B/C)\*100**
    - **B (Numerator)** = Number of records sent to PERS that are suspended within the measurement period.
    - **C (Denominator)** = Total number of records sent to PERS within the measurement period.
  - Quotient is multiplied by 100 to calculate the percent figure.
- **Detailed measure definition / clarification:**
  - **Denominator:**
    - Total number of records contained in the monthly State of Oregon Employer PERS Reporting Files submitted to PERS by DAS FBS within the measurement period.
  - **Numerator:**
    - Number of records contained in the monthly State of Oregon Employer PERS Reporting Files submitted to PERS by DAS FBS within the measurement period that have a mistake that causes the record to be suspended by PERS.
  - **Exclusions:**
    - Any manual entries made by the Centralized PERS team will be excluded from the denominator and numerator of this measure.
- **Baseline:** FBS reported that an average 3.5% of records sent to PERS were suspended in 2014.
- **Service Level Expectation (Quantitative performance target):** 3%
- **Frequency of reporting:** Quarterly.
- **Attachments:** None.

**SLA Metric #6: Timeliness of SPOTS card incident notification.**

- **Description:** Percent of SPOTS transactions, determined to be suspicious, that are communicated to customer agencies within 1 business day from the date/time the SPOTS cards transaction reports were run.
- **Purpose:** This measure is tracked to ensure that FBS will notify the agency of any kind of suspected improper use (misuse, abuse or fraudulent use) of a SPOTS card in a timely manner.

Timely communication of potentially fraudulent transactions helps strengthen regulatory compliance and stop improper activity (fraud, waste, or abuse) before the customer agency's ability to achieve its operational objectives are materially affected.

- FBS will run reports periodically throughout the month and will communicate any transactions that are determined to be suspicious in nature to customer agencies'

SPOTS coordinators. Agencies will only be notified if any transactions were determined to be suspicious. Agencies will not be notified if there were no suspicious transactions detected.

FBS is able to influence performance tracked by this measure by:

- Staffing at an appropriate level to report to agencies suspicious transactions.
  - Ensuring a backup staff is trained to help during absences.
- 
- **Comparability:** None identified at this time.
  - **Measure calculation formula:**
    - **A = (B/C)\*100**
      - **B** = Number of suspicious transactions discovered in SPOTS card reports ran within the measurement period that were communicated to the agency within 1 business day from the date/ time the SPOTS reports were ran.
      - **C** = Total number of suspicious transactions in SPOTS card reports ran within the measurement period.
    - Quotient is multiplied by 100 to calculate percent figure.
  - **Detailed measure definition / clarification:**
    - **Denominator:**
      - The total number of suspicious transactions that are discovered in SPOTS reports ran in the measurement period.
        - FBS staff will periodically obtain SPOTS card transaction reports through Access Online (US Bank's proprietary portal/ system used for SPOTS card management).
    - **Numerator:**
      - The number of suspicious transactions discovered in SPOTS card reports ran within the measurement period that are reported to the client agency within 1 business day from the date/time the SPOTS reports are ran.
        - Reporting will be done via email to the agency designated SPOTS' coordinator.
    - **Exclusions:**
      - Notifications about other SPOTS card events tracked by DAS FBS, such as dormant cards and SPOTS cardholders changing positions, are excluded from both the denominator and numerator of this performance measure.
  - **Baseline:** None.
  - **Service Level Expectation (Quantitative performance target):** 95%
  - **Frequency of reporting:** Quarterly.
  - **Attachments:** None.

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**SLA Metric #7: Timeliness of Shared Payroll Services client agency paycheck processing.**

- **Description:** Percentage of Shared Payroll Services client agencies paychecks that are delivered within the timeframe applicable to each paycheck.
- **Purpose:** This measure is tracked to ensure that FBS is delivering paychecks in a timely manner. Timeliness of paychecks was identified by FBS customers as one of the most important quality attributes associated with the delivery of payroll services to DAS client agencies.

FBS is able to influence performance tracked by this measure by:

- Staffing at an appropriate level to handle the workload.
  - Ensuring sufficient number of backup staff are trained to help during large volumes of requests.
- 
- **Comparability:** None identified at this time.
  - **Measure calculation formula:**
    - **A = (B/C)\*100**
      - **B** = Number of paychecks requested within the measurement period by Shared Payroll Services client agencies that were processed within the applicable timeframe.
      - **C** = Total number of paychecks requested within the measurement period by Shared Payroll Services client agencies.
    - Quotient is multiplied by 100 to calculate the percent figure.
  - **Detailed measure definition / clarification:**
    - **Denominator:**
      - All paychecks requested by Shared Payroll Services client agencies within the measurement period. This includes system and manual checks such as:
        - Regular employees' paychecks.
        - Paychecks for employees who have retired.
        - Paychecks for terminated employees.
        - Paychecks for new employees hired within the measurement period.
        - Manual checks.
        - Pay draw requests.
    - **Numerator:**
      - All paychecks requested by Shared Payroll Services client agencies within the measurement period that were processed and delivered within the applicable time frame of the request. The target timeframes are:

Type of paycheck request		Target Timeframe
Regular employees' paychecks		Scheduled pay dates.
Paychecks for employees who have retired		Next scheduled pay date.
Paychecks for new employees hired within the measurement period		Next scheduled pay date after hire date.
Manual checks	Paychecks for terminated employees	<ul style="list-style-type: none"> <li>• Same business day if request from agency HR office is received by cutoff time (10:00am).</li> <li>• Next business day in all other cases.</li> </ul>
	Pay draw requests	<ul style="list-style-type: none"> <li>• Same business day if request from agency HR office is received by cutoff time (10:00am).</li> <li>• Next business day in all other cases.</li> </ul>
	All other manual checks	<ul style="list-style-type: none"> <li>• Same business day if request from agency HR office is received by cutoff time (10:00am).</li> <li>• Next business day in all other cases.</li> </ul>

- **Baseline:** 99.5% of paycheck requests received by FBS in 2014 were delivered within the applicable timeframe.
- **Service Level Expectation (Quantitative performance target):** 99%
- **Frequency of reporting:** Quarterly.
- **Attachments:** None

### 8.3. Rate methodologies

DAS Financial Business Systems (FBS) is self-funded through user fees that are designed to recover the costs incurred to deliver the services provided by the Program. These costs include personnel services, services and supplies including the acquisition/depreciation and maintenance costs for software applications provided by the Program, and overhead costs including Program Management, EGS Division management and DAS overhead charges. The services provided by FBS are as follows:

- **Statewide Financial Management Services (SFMS):** The SFMS rate is a cost per accounting transaction rate. The program costs include the agency support analysts and the accounting and programming staff to maintain and improve the functionality of the Statewide Financial Management Application (SFMA), as well as a portion of the Program and Division management. Transactions counted are based on the current

definition of accounting records which includes each line of data on the following accounting system tables: Accounting Event, Document Financial, Grant and Recurring Transaction Index.

- Datamart - Accounting and Payroll: The Datamart rate is a cost per accounting transaction rate, calculated using the same transaction data used for the SFMS rate. The costs used to calculate the rate include the cost of downloading and storing accounting and payroll data from the mainframe applications to the data warehouse and vendor support, as well as staff costs associated with agency support, training, developing and consultation, as well as a portion of the Program and Division management.
- PERS Reconciliation: This rate is a cost per Standard PERS Action rate. The Unit reconciles each PERS members' account information. Quarterly charges are based on the number of state employees reported (current and retired).
- Oregon Statewide Payroll Services (OSPS): The OSPS rate is a cost per Standard Payroll Check or Manual Paycheck. This unit is responsible for maintaining the state's payroll system, ensuring the OSPS properly generates and reports employees' salary and benefits.
- Shared Payroll Services (SPS): The SPS rate is a cost per employee per month. This unit is responsible for providing the required payroll services for Client Agencies on a monthly basis.
- SFMA Warrants, Return to Agency Warrants: The rate for these services is a cost per Warrant/Return to Agency Warrant issued. The costs and counts for Warrants and Return to Agency Warrants have been combined and a combined average unit cost calculated.
- ACH (Automated Clearing House): The rate for ACH services is a cost per ACH transaction processed. The program costs include the program staff, related services and supplies, as well as a portion of the Program and Division management cost.
- SFMA Generated Payment File for Vendor Payment Services: Vendor Payment Service charges will be invoiced to agencies when an agency contracts with a third party to provide payments to vendors and SFMA is responsible for providing vendor information and creating the 1099-MISC filing. The generation of this payment file incorporates many of the services of an ACH file including maintenance of the vendor file, vendor withholding, problem resolution, 1099 training and filing. The cost charged for this service is the same per record cost charged for the ACH process. It does not include fees negotiated between the third party provider and the initiating agency, which will be the responsibility of the initiating agency.
- Training - No Show Fee: There is a no-show-fee for FBS training. To maximize the value of training for all agencies, there will be a dollar fee charged for all OSPS and SFMS computer-based training if the agency does not fill the training request and does not cancel within 48 hours of the training. This is a token fee and not expected to cover all costs required to carry out any particular training session.

Link to the published price list of Goods and Services for updated detailed rate information:

<http://dasapp.oregon.gov/pricelist/>