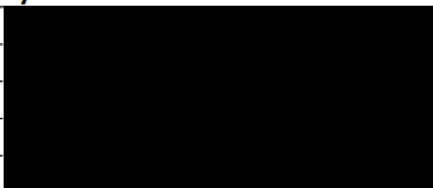


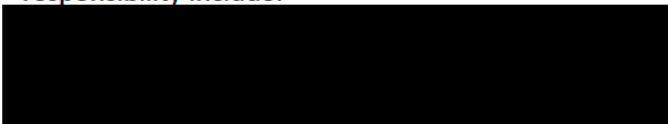


# Finance systems output specification

1. This document forms part of the Finance Output Specification. It specifies the outputs required from finance information systems to support the functions remaining with CSG and functions returning to the Authority. It focuses primarily on Integra.

## Principles and scope

2. The key principle is that the Service Provider will deliver the necessary information systems, in accordance with the requirements set out in this document, to enable the Authority to deliver the Returning Services, including as outlined at a high level in the Finance Output Specification 'Services Not In Scope'. The Service Provider will also deliver Integra in accordance with the requirements of the procurement output specification and method statement, through provision of a provider portal.
3. Some finance information systems are provided via managed or novated contracts and others are provided by Capita directly.
  - Future responsibilities for contract management are set out in the updated Schedule 24 of third party contracts.
  - Future responsibilities for systems are set out in the updated Schedule 11 of Software.
4. The Authority shall be responsible for information systems to deliver the following outputs only:

Output	System
Treasury management	
Pension fund performance analytics	
Retail payments service	
Historic mortgage lending	
Automated payment machines	

5. The Service Provider shall manage, fund and maintain systems as set out in the updated schedules 24 and 11 (or equivalents to achieve the same functionality), and provide licenses as part of the Services. The current information systems used, which are a continued CSG responsibility include:  

6. Where finance systems are no longer used, for example the legacy finance system , the Service Provider shall ensure appropriate read access to systems (including up to  licenses), including for data retention and audit purposes, and is responsible for system decommissioning.

## Functionality and service standards

7. The Service Provider shall ensure the continuing provision of finance information systems to enable the Authority and Capita to continue to deliver services in line with the finance output specification (noting clause 2 above), save for systems that will become an Authority responsibility.
8. Key functionality will include the following:

- Enable ability to pay Service Providers and clients accurately and in line with the key performance indicators below;
  - Enable ability to accurately generate invoices to individuals and organisations who consume Council services and collect associated revenues. The system has reasonable controls to prevent duplicate record entry and system-generated reconciliations.
  - Provide analysis and reporting capabilities to enable the Authority to monitor activity, exercise relevant financial controls and produce financial analysis and reporting;
  - Provide an accounting environment for provision of Pensions, through a secondary instance of Integra
  - Enable ability to manage and integrate financial systems with Council services including, but not exclusively: Revenues & Benefits, Mosaic, ContrOCC, Procurement, Treasury, Invoice & Cheque Printing. This also includes finance systems that are an Authority responsibility as listed above. Provision for Cheque printing (CSG Estates and CSG IS) Enable service users (including Authority staff and providers) to utilise the systems through provision of e-training
9. In relation to Integra, key functionality will also include, but not be limited to, the following modules:
- General Ledger
  - Creditors
  - Cash Management including Bank Reconciliation
  - Debtors
  - Budget Forecasting and Process Management (for revenue and capital)
  - Integration to the Purchasing System
  - Fully Integrated Crystal Reporting Suite with comprehensive library of reports
  - Fixed Assets
  - Provider portal
10. Key quality standards include the following:
- Accurately and securely hold financial information, including appropriate data validation at the point of entry;
  - Operate in-line with industry best practice, legislative, Council policies and audit requirements. This includes demonstrating compliance with ISAE 3402, ISO27001 and SAS70 and enabling approval processes in line with schemes of delegation and authorisation;
  - Application availability in line with performance/service indicators, and business continuity enabled through offsite backup and system restoration in line with Council disaster recovery plans;
  - Ensure that relevant information can be recorded and accessed by the Authority, including in line with Schemes of financial delegation and authorisation;
  - Interface processing to be undertaken in line with Council schedules;
  - Maintenance and support of Integra to ensure alignment with manufacturers specifications regarding security and version currency;
  - Provision of ongoing and up-to-date online training, enabling users to use systems effectively;
  - Helpdesk support and guidance to resolve issues;
  - Actively engage with service users, including through monthly reviews, to inform continuous improvement and ensure the ongoing effective operation of systems; and
  - Implementation of Service Change notifications in a timely manner

## **Performance Standards and Indicators**

11. Integra will meet the following performance standards, which will be incorporated into performance indicators.

### **Service Desk**

The Integra Service Desk operates [REDACTED]  
[REDACTED]

### **Coverage**

The periods during which Capita provides the managed services shall be from [REDACTED]  
[REDACTED]. Integra will be available [REDACTED]  
[REDACTED]

### **Service Level Indicators for Fault / Incident Remediation**

PRIORITY	DESCRIPTION	TARGET CONTACT TIMES	TARGET FIX TIME	Service Level TARGET
1	Service / system problems affecting many users which result in one or more of the customer sites being unable to function. Client or Contract Manager escalations.	Initial response within [REDACTED]	Within [REDACTED] from the time the call was taken	95% of all calls to be closed within [REDACTED]
2	Service / system problem affecting many users but is not business critical. Urgent accounts / cases as notified by a senior manager.	Initial response within [REDACTED]	Within [REDACTED]	75% of all calls to be closed within [REDACTED] 95% of all calls to be closed within [REDACTED] Remaining 5% to be closed within the timescales agreed with LBB Finance
3	Service / system problem affecting multiple users (up to 5 users). Non-urgent accounts / cases notified for priority by a senior manager/authorised site manager.	Initial response within [REDACTED]	Within [REDACTED]	75% of all calls to be closed within [REDACTED] 95% of all calls to be closed within [REDACTED] Remaining 5% to be closed within the timescales agreed with LBB Finance

4	Service / system problem affecting 1 user. Issue affecting single account / case e.g. integrity error.	Initial response within [REDACTED]	Within [REDACTED] or as agreed with customers.	90% of all calls to be closed within [REDACTED] Remaining 10% to be closed within the timescales agreed with LBB Finance
5	Requests for advice and guidance regarding the systems and IT services.	Initial response within [REDACTED]	As agreed with Customer	

### Service Level Indicators for Change Requests -

14. Change Requests will be processed [REDACTED] or as otherwise agreed with the customer. The priorities are determined as per the priorities above for fault/remediation.

Call Type	Priority	Priority Description	Hours
CR - Change Request	0	None	0
CR - Change Request	1	Urgent	10
CR - Change Request	2	High	30
CR - Change Request	3	Medium	50
CR - Change Request	4	Normal	150
CR - Change Request	5	Project	1200

### Service Management Reporting

15. On a weekly basis Management Information will be provided to the Authority Client Lead along with a statement on the provision of service for the reporting period covering:
- Detailed report of calls outstanding
  - Summary report of calls raised during the reporting period
  - Totals of calls raised and their category
  - List of issues outstanding between the Service Provider and CIBS

### User Maintenance

16. User maintenance is a standard service deliverable

17. The Authority is responsible for the following: -

- Completing and authorising starter, leaver, mover and change forms fully and in line with that user's operational role prior to set up
- Provision of Authority Schemes of Financial Delegation

18. Capita is responsible for:

- Setting up new users and de-activating users correctly and in a timely manner, and advising the authorised parties once the work is complete

- Making user changes, including levels of authorisation and delegation upon receipt of such information from the Authority

19. Standard service levels for common user maintenance tasks are shown below:

Request Type	Time Frame	Levels
New User Creation <i>NB User will only be granted access to Integra once LBB confirm end user training completed</i>		100%
Password Reset/Account Unlock		80% 95%
Reactivate Account		100%
Additional Access		100%
Leaver Account Disabled		100%

## **System Performance**

20. Measurement will operate as follows:

$$\frac{(\text{Actual Hours} + \text{Planned Downtime Hours})}{\text{Accountable Hours}} \times 100 = \text{Actual System Availability \%}$$

Accountable Hours

### **Definitions**

*Actual Hours = The total amount of time, expressed in hours, that the System is available measured over the Service Cover Time (SCT)*

*Planned Downtime = Planned downtime shall be by Agreement at least 5 working days in advance. Annual upgrades will take place outside of working hours.*

*Accountable Hours = SCT*

## **Escalation process**

21. The service provider will provide an efficient and responsive escalation process for Integra only. Service users should have a clear point of telephone escalation for issues that are not fixed within the Performance Indicators for Fault / Incident Remediation above. A VIP escalation line should be available to the CFO and client lead.
22. For P1s and P2s, an update on progress is to be reported to the Finance Client Lead (or an officer designated by them) after 1 hour and each hour after this. If the P1 or P2 issue will not be fixed within the Performance Indicator time it should be escalated to S151 Officer.

## **Batch Processing**

23. The service provider shall provide batch processing in line with the frequency stated below. The Authority may make reasonable periodic changes to the time or day of the batch runs

	Mon	Tues	Wed	Thurs	Fri	Completion Deadlines
1. Submission of daily AUDDIS files						
2. Council Tax Cheque Run						
3. NNDR Cheque Run						
4. Running of Direct Debit Payment						
5. Bacs Payment Run - Company Code						
6. Cheque Payment Run - Company Code						
7. Bacs Payment Run - Company Code (8)						
8. CE BACS Payment Run – Company Code: 1						

Batch processing and schedule changes notified to the service desk by [REDACTED] are actioned for [REDACTED].

### System functions -Compatibility and inter-operability

24. Interfaces of data to and from third party systems for Integra will be maintained when supplied by 3<sup>rd</sup> Party providers. Subject to the data being issued in accordance with the Integra Input Specification (see Appendix to the Integra Method Statement). Any non-compliant data will not be accepted.

### System Management

25. System management will include the following; this is not an exhaustive list. The Service Provider will immediately inform the Authority of any failure to maintain these standards.

#### 26. Backup

- Back up procedures will be automated and should be run outside normal working hours to achieve a full backup of files.
- Procedures will be in line with the Authority's relevant policies and procedures at the time of the signing of this agreement. including for Business Continuity.

#### 27. Data security/Integrity

[REDACTED] Access to the system, both for enquiry and for update, will be strictly controlled. [REDACTED]

- The service provider will provide a Security Management Plan, which sets out how information is stored securely, including on the hosting infrastructure All passwords will be encrypted on the system.
- Integra modules will be updated to ensure currency with software releases and security patches.

#### 28. Business Continuity and Disaster Recovery

- The Authority's ability to make payments will not be impacted should Integra not be available due to a major incident.

- Regular testing of business continuity and disaster recovery plans (minimum annually) and Authority right to witness testing.
- Annual provision of Business Continuity and Disaster Recovery Plan

#### **Integra Interfaces appendix**

