

Financial Management Federal Shared Service Provider Screening Criteria

INSTRUCTIONS: There are two sets of questions: one for previously designated Financial Management Line of Business (FMLoB) providers seeking to remain a provider and a second for federal agencies interested in becoming a Federal Shared Service Provider (FSSP) for financial management.

Choose the applicable section and answer the questions by checking “yes” or “no”. Where requested, provide the applicable supporting reference materials or written explanations (100 words or less per question) in the form of an attachment (web links will not be reviewed).

A response of “no” to any of the screening criteria will automatically disqualify the Applicant from being selected as a FSSP.

Questions for previously designated FMLoB providers:

#	Information Requested	Response
Service Offerings and Technology Requirements		
1	Provides all of the <u>mandatory</u> financial management service offerings listed in <i>Supplemental Form A: Service Offerings</i> (definitions for the terms can be found in Appendix B)? To be considered to be a FSSP the Applicant must support both systems and transaction processing for the mandatory financial management service offerings.	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Is on the most current version of a supported financial system, or has an approved modernization plan that is currently being implemented?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Capital Requirement		
3	Has a revolving fund (e.g., franchise or working capital fund) in place that currently is used for providing the financial management service offerings? Provide the legal citation for the fund with your submission.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Compliance and Security Requirements		
4	<p>Meets all current OMB and Department of Treasury requirements related to financial management listed below, or is scheduled to comply by the required deadline? Identify the status of those initiatives currently under development with your submission. More information on many of the initiatives can be found at http://www.fms.treas.gov/CFO_letter041113.pdf.</p> <ul style="list-style-type: none"> • Provision of Treasury Accounting Symbol (TAS) / Business Event-Type Code (BETC) for all types of transaction, at time of transaction • Submission of Collections data in TAS/BETC format to Collections Information Repository (CIR) • Reporting to Central Accounting Reporting System (CARS) • Submission of payment data in standard format for Secure Payment System (SPS), Payment Automation Manager (PAM), International Treasury Services (ITS.gov), and the Automated Standard Application for Payments (ASAP) system • Implementation of the Do Not Pay standard business rules • Submission of bulk files to Government-wide Treasury Account Symbol Adjusted Trial Balance System (GTAS) • Submission of Intragovernmental Payment and Collections (IPAC) data in TAS/BETC format • Submission of payment data in TAS/BETC format to the Payment Information Repository (PIR) if a Non-Treasury Disbursing Office (NTDO) • Compliance with Federal Financial Management System Requirements (Treasury Financial Manual, Volume 1, Chapter 9500) • Compliance with Intragovernmental Business Rules (Treasury Financial Manual, Volume 1, Chapter 4700) 	<input type="checkbox"/> Yes <input type="checkbox"/> No

#	Information Requested	Response
5	Provides a SSAE 16 Type II on all systems within the offering for its external customers or will provide one by September 30, 2014?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6	Undergone a Federal Information Security Management Act (FISMA) review using NIST 800-53, Rev. 4, within the last 12 months without identification of significant deficiencies, or if significant deficiencies were identified they have been resolved or a plan is in place for them to be resolved? If applicable, describe the significant deficiencies and their resolution/plan for resolution.	<input type="checkbox"/> Yes <input type="checkbox"/> No
7	Received a Security Assessment and Authorization (SA&A), widely known as Risk Management Framework (RMF) Step 4 (Assess) and Step 5 (Authorize) as outlined within NIST SP 800-37, Rev. 1, on all systems within the offering within the last three years?	<input type="checkbox"/> Yes <input type="checkbox"/> No
8	Has a Continuity of Operations Plan (COOP) and successful Disaster Recovery Testing has been performed on all systems within the offering?	<input type="checkbox"/> Yes <input type="checkbox"/> No
9	Provides a formal Computer Security Incident Response Capability (CSIRC)? Provide the plan with the submission.	<input type="checkbox"/> Yes <input type="checkbox"/> No
10	Performs periodic testing and evaluation of information security controls? Summarize the type of testing and how often with your submission.	<input type="checkbox"/> Yes <input type="checkbox"/> No
11	Implemented a NIST SP 800-137 Continuous Monitoring Plan? Summarize the plan with your submission.	<input type="checkbox"/> Yes <input type="checkbox"/> No
12	Has an appointed information systems security officer (ISSO)? List their name, title and organization with your submission.	<input type="checkbox"/> Yes <input type="checkbox"/> No
13	Has coordinated contingency planning with the agency or agencies using its services? Provide the supporting artifact(s) with the submission (e.g., procedure).	<input type="checkbox"/> Yes <input type="checkbox"/> No
14	Has an interconnection security agreement and a Memorandum of Understanding (MOU) in accordance with NIST SP800-47?	<input type="checkbox"/> Yes <input type="checkbox"/> No
15	Does the data center proposed in the solution by the Applicant comply with all location and citizenship requirements of the agency?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Questions for federal agencies interested in becoming a federal shared service provider for financial management:

#	Information Requested	Response
Service Offerings and Technology Requirements		
1	Provides all of the <u>mandatory</u> financial management service offerings listed in <i>Supplemental Form A: Service Offerings</i> (definitions for the terms can be found in Appendix B)? To be considered to be a FSSP the Applicant must support both systems and transaction processing for the mandatory financial management service offerings.	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Is on the most current version of a supported financial system, or has an approved modernization plan that is currently being implemented?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Capital Requirement		
3	Has a revolving fund (e.g., franchise or working capital fund) in place that currently is, or can and will be, used for providing the financial management service offerings? Provide the legal citation for the fund with your submission.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Compliance and Security Requirements		
4	Meets all current OMB and Department of Treasury requirements related to financial management listed below, or is scheduled to comply by the required deadline? Identify the status of those initiatives currently under development with your submission. More information on many of the initiatives can be found at http://www.fms.treas.gov/CFO_letter041113.pdf . <ul style="list-style-type: none"> Provision of Treasury Accounting Symbol (TAS) / Business Event-Type Code (BETC) for all types of transaction, at time of transaction 	<input type="checkbox"/> Yes <input type="checkbox"/> No

#	Information Requested	Response
	<ul style="list-style-type: none"> • Submission of Collections data in TAS/BETC format to Collections Information Repository (CIR) • Reporting to Central Accounting Reporting System (CARS) • Submission of payment data in standard format for Secure Payment System (SPS), Payment Automation Manager (PAM), International Treasury Services (ITS.gov), and the Automated Standard Application for Payments (ASAP) system • Implementation of the Do Not Pay standard business rules • Submission of bulk files to Government-wide Treasury Account Symbol Adjusted Trial Balance System (GTAS) • Submission of Intragovernmental Payment and Collections (IPAC) data in TAS/BETC format • Submission of payment data in TAS/BETC format to the Payment Information Repository (PIR) if a Non-Treasury Disbursing Office (NTDO) • Compliance with Federal Financial Management System Requirements (Treasury Financial Manual, Volume 1, Chapter 9500) • Compliance with Intragovernmental Business Rules (Treasury Financial Manual, Volume 1, Chapter 4700) 	
5	Commits to providing a SSAE 16 Type II to its external customers by September 30, 2014?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6	Undergone a Federal Information Security Management Act (FISMA) review using NIST 800-53, Rev. 4, within the last 12 months without identification of significant deficiencies, or if significant deficiencies were identified they have been resolved or a plan is in place for them to be resolved? If applicable, describe the significant deficiencies and their resolution/plan for resolution.	<input type="checkbox"/> Yes <input type="checkbox"/> No
7	Received a Security Assessment and Authorization (SA&A), widely known as Risk Management Framework (RMF) Step 4 (Assess) and Step 5 (Authorize) as outlined within NIST SP 800-37, Rev. 1, on all systems within the offering within the last three years?	<input type="checkbox"/> Yes <input type="checkbox"/> No
8	Has a Continuity of Operations Plan (COOP) and successful Disaster Recovery Testing has been performed on all systems within the offering?	<input type="checkbox"/> Yes <input type="checkbox"/> No
9	Provides a formal Computer Security Incident Response Capability (CSIRC)? Provide the plan with the submission.	<input type="checkbox"/> Yes <input type="checkbox"/> No
10	Performs periodic testing and evaluation of information security controls? Summarize the type of testing and how often with your submission.	<input type="checkbox"/> Yes <input type="checkbox"/> No
11	Implemented a NIST SP 800-137 Continuous Monitoring Plan? Summarize the plan with your submission.	<input type="checkbox"/> Yes <input type="checkbox"/> No
12	Has an appointed information systems security officer (ISSO)? List their name, title and organization with your submission.	<input type="checkbox"/> Yes <input type="checkbox"/> No
13	Commits to putting in place coordinated contingency planning with the agency or agencies using its services?	<input type="checkbox"/> Yes <input type="checkbox"/> No
14	Commits to complete an interconnection security agreement and a Memorandum of Understanding (MOU) in accordance with NIST SP800-47 by September 30, 2104?	<input type="checkbox"/> Yes <input type="checkbox"/> No
15	Does the data center proposed in the solution by the Applicant comply with all location and citizenship requirements of the agency?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Supplemental Form A: Mandatory Service Offerings

INSTRUCTIONS: In the table below, select the checkbox(s) next to each service offering that you provide and, where applicable, indicate whether it is offered in the form of systems support, transaction processing or both. Note that to be designated a FSSP for financial management an applicant must provide both systems support and transaction processing for all of the service offerings listed. Definitions for each service offering are provided in Appendix B: Financial Management Products & Services Catalog.

Grouping	Service Offering	Support Provided	
Financial Management Services	Budget Execution	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	General Ledger Accounting	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	Financial Reporting	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	Accounts Payable	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	Accounts Receivable	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	Intra-Governmental Accounting	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	Grants Accounting	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	Property Accounting	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	Travel Accounting	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	Cost Accounting	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	Charge Card Accounting	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
	Audit Support	<input type="checkbox"/> System	<input type="checkbox"/> Transaction Processing
Technology Hosting and Administration	IT Hosting	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	IT Administration Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	IT Security Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Authorization and Accreditation	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Information System Security	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Customer Support Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Network Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Application Management Services	Application Software Management	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Application Performance Management	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Continuity Planning	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Application Security Administration	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Application Software Development	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Application Data Management	<input type="checkbox"/> Yes	<input type="checkbox"/> No
System Implementation Services	Interfaces Supported	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Project Management Support	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Requirements Analysis	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Business Process Management	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	System Migration Management	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	System Conversions	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Testing	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Training Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Change Management	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Supporting Information for Financial Management Federal Shared Service Provider Screening Criteria Administrative Resource Center

Question #3 – Legal Citation

31 U.S.C. 322, note

Question #4 – OMB and Treasury Requirements

All current initiatives are on schedule to be completed on or before the effective date of the requirement.

Question #10 – Information Security Controls Testing

Type	Frequency
FISMA Review	Annual
SA&A	Annual
SSAE 16 (Type II) @ FSSP	Annual
SSAE 16 (Type II) @ Commercial Hosting Provider	Annual
A-123 Audit	Annual

Question #11 – Summary of Continuous Monitoring Plan

ARC has a continuous monitoring plan that meets the requirements of NIST 800-37. The plan identifies items to be reviewed on a quarterly basis, with the total controls being evaluated at least once in a three-year cycle. There exist volatile controls that we review on an annual basis. All reviews are documented at the time the review is completed.

Question #12 – Information System Security Officer (ISSO)

Helen Reilly, Director
Department of the Treasury
Bureau of the Fiscal Service
Fiscal Accounting Office
Business Technology Division