Appendix 2 to
Second Amendment of
Master Service Agreement

June 25, 2012

Attachment to Data Center Services Service Component Provider Master Services Agreement

DIR Contract No. DIR-DCS-SCP-MSA-002

Between

The State of Texas, acting by and through the Texas Department of Information Resources

and

Xerox State & Local Solutions, Inc.

Attachment 3-B
SLA Definitions, Tools, Methodologies

June 25, 2012

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A.0 CRITICAL SERVICE LEVELS – SERVER

This Section sets forth qualitative descriptions of the Critical Service Levels for the Server Service Component. The numerical Minimum Service Levels, Expected Service Levels and commencement of obligations associated with such Critical Service Levels are set forth in **Attachment 3-A**.

A.1 Servers – Platinum Tier Availability

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Servers – Platinum Tier Availability	3-A	S1.1.1	0

SERVICE LEVEL TYPE	Critical Service Level	
CURRENTLY MEASURED	Yes, 12+ months data available	
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.1 Servers – Platinum Tier Availability
METRIC DESCRIPTION	The Service Level for "Servers – Platinum Tier Availability" measures the percentage of time the Applications residing on Platinum tier Server Instances are Available to the end-user during the applicable Measurement Window. If Downtime occurs for an Application, the Outage is counted against the Server Instance, and the Server Instance is considered unavailable for purposes of this Service Level. Downtime begins upon the Start Time of the Outage. If an Application is supported by multiple Server Instances, then only the Server Instances associated with the Downtime are considered unavailable. If a Server Instance itself appears to be operational, but the Application(s) running on the Server Instance is not Available, then the Server Instance is considered unavailable.	
METRIC INCLUSIONS and DATA SOURCES	Platinum tier Server Instances and related CIs supporting Applications are identified in the CMDB. Scheduled hours of operations and maintenance windows for each infrastructure element related to the Applications will be maintained in the SMM.	
METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.	
HOURS OF MEASUREMENT	24	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	99.90%	
EXPECTED SERVICE LEVEL	99.95%	
ALGORITHM	The Service Level calculation for "Servers – Platinum Tier Availability" is the sum of Actual Uptime for all Platinum tier Server Instances divided by the sum of Critical Uptime for all such Server Instances, with the result expressed as a percentage.	

COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The Server SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time, impacted CI name(s), actual outage start time, actual outage stop time, and outage duration ▪ MSI CMDB - server instances and related CIs supporting impacted application ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.2 Servers – Gold Tier Availability – Consolidated

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Servers – Gold Tier Availability – Consolidated	3-A	S1.1.2	0

SERVICE LEVEL TYPE	Critical Service Level	
CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.2 Servers – Gold Tier Availability – Consolidated
METRIC DESCRIPTION	The Service Level for "Servers – Gold Tier Availability – Consolidated" measures the percentage of time Applications residing on Gold tier Server Instances located within Consolidated Data Centers are Available to the end-user during the applicable Measurement Window. If Downtime occurs for an Application, the Outage is counted against the Server Instance, and the Server Instance is considered unavailable for purposes of this Service Level. Downtime begins upon the Start Time of the Outage. If an Application is supported by multiple Server Instances, then only the Server Instances associated with the Downtime are considered unavailable. If a Server Instance itself appears to be operational, but the Application(s) running on the Server Instance is not Available, then the Server Instance is considered unavailable.	
METRIC INCLUSIONS and DATA SOURCES	Gold Tier Consolidated Server Instances and related CIs are identified in the CMDB. Scheduled hours of operations and maintenance windows for each infrastructure element related to the Applications will be maintained in the SMM. Servers within the Consolidated Data Centers which do not have a tier specified are considered Gold Tier Consolidated and therefore are included in this Service Level; such Servers include: Email, Enterprise SMTP Relay, File and Print, Domain Services, Enterprise Security, Enterprise Backup, and Enterprise Scheduling.	
METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.	
HOURS OF MEASUREMENT	24	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	99.80%	
EXPECTED SERVICE LEVEL	99.90%	
ALGORITHM	The Service Level calculation for "Servers – Gold Tier Availability – Consolidated" is the sum of Actual Uptime for all Gold tier Server Instances located within Consolidated Data Centers divided by the sum of Critical Uptime for all such Server Instances, with the result expressed as a percentage.	

COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The Server SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time, impacted CI name(s), actual outage start time, actual outage stop time, and outage duration ▪ MSI CMDB - server instances and related CIs supporting impacted application ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.3 Servers – Silver Tier Availability – Consolidated

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Servers – Silver Tier Availability – Consolidated	3-A	S1.1.3	0
SERVICE LEVEL TYPE	Critical Service Level		

CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.3 Servers – Silver Tier Availability – Consolidated
METRIC DESCRIPTION	The Service Level for "Servers – Silver Tier Availability – Consolidated" measures the percentage of time Applications residing on Silver tier Server Instances located within Consolidated Data Centers are Available to the end-user during the applicable Measurement Window. If Downtime occurs for an Application, the Outage is counted against the Server Instance, and the Server Instance is considered unavailable for purposes of this Service Level. Downtime begins upon the Start Time of the Outage. If an Application is supported by multiple Server Instances, then only the Server Instances associated with the Downtime are considered unavailable. If a Server Instance itself appears to be operational, but the Application(s) running on the Server Instance is not Available, then the Server Instance is considered unavailable.	
METRIC INCLUSIONS and DATA SOURCES	Silver Tier Consolidated Server Instances and related CIs are identified in the CMDB. Scheduled hours of operations and maintenance windows for each infrastructure element related to the Applications will be maintained in the SMM.	
METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.	
HOURS OF MEASUREMENT	6AM - 9PM	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	99.75%	
EXPECTED SERVICE LEVEL	99.85%	
ALGORITHM	The Service Level calculation for "Servers – Silver Tier Availability – Consolidated" is the sum of Actual Uptime for all Silver tier Server Instances located within Consolidated Data Centers divided by the sum of Critical Uptime for all such Server Instances, with the result expressed as a percentage.	

COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The Server SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time, impacted CI name(s), actual outage start time, actual outage stop time, and outage duration ▪ MSI CMDB - server instances and related CIs supporting impacted application ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.4 Servers – Bronze Tier Availability – Consolidated

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Servers – Bronze Tier Availability – Consolidated		3-A	S1.1.4	0
SERVICE LEVEL TYPE	Critical Service Level			

CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.4 Servers – Bronze Tier Availability – Consolidated
METRIC DESCRIPTION	The Service Level for "Servers – Bronze Tier Availability – Consolidated" measures the percentage of time Applications residing on Bronze tier Server Instances located within Consolidated Data Centers are Available to the end-user during the applicable Measurement Window. If Downtime occurs for an Application, the Outage is counted against the Server Instance, and the Server Instance is considered unavailable for purposes of this Service Level. Downtime begins upon the Start Time of the Outage. If an Application is supported by multiple Server Instances, then only the Server Instances associated with the Downtime are considered unavailable. If a Server Instance itself appears to be operational, but the Application(s) running on the Server Instance is not Available, then the Server Instance is considered unavailable.	
METRIC INCLUSIONS and DATA SOURCES	Bronze tier Consolidated Server Instances and related CIs are identified in the CMDB. Scheduled hours of operations and maintenance windows for each infrastructure element related to the Applications will be maintained in the SMM.	
METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.	
HOURS OF MEASUREMENT	6AM - 6PM	
DAYS OF MEASUREMENT	Business Days	
MINIMUM SERVICE LEVEL	99.65%	
EXPECTED SERVICE LEVEL	99.75%	
ALGORITHM	The Service Level calculation for "Servers – Bronze Tier Availability – Consolidated" is the sum of Actual Uptime for all Bronze tier Server Instances located within Consolidated Data Centers divided by the sum of Critical Uptime for all such Server Instances, with the result expressed as a percentage.	

COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The Server SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time, impacted CI name(s), actual outage start time, actual outage stop time, and outage duration ▪ MSI CMDB - server instances and related CIs supporting impacted application ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.5 Servers – Gold Tier Availability – Non-Consolidated

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Servers – Gold Tier Availability – Non-Consolidated		3-A	S1.1.5	0
SERVICE LEVEL TYPE	Critical Service Level			

CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.5 Servers – Gold Tier Availability – Non-Consolidated
METRIC DESCRIPTION	The Service Level for "Servers – Gold Tier Availability – Non-Consolidated" measures the percentage of time Applications residing on Gold tier Server Instances located outside of Consolidated Data Centers are Available to the end-user during the applicable Measurement Window. If Downtime occurs for an Application, the Outage is counted against the Server Instance, and the Server Instance is considered unavailable for purposes of this Service Level. Downtime begins upon the Start Time of the Outage. If an Application is supported by multiple Server Instances, then only the Server Instances associated with the Downtime are considered unavailable. If a Server Instance itself appears to be operational, but the Application(s) running on the Server Instance is not Available then the Server Instance is considered unavailable.	
METRIC INCLUSIONS and DATA SOURCES	Gold Tier Non-Consolidated Server Instances and related CIs are identified in the CMDB. Scheduled hours of operations and maintenance windows for each infrastructure element related to the Applications will be maintained in the SMM. Servers in the Non-Consolidated locations which do not have a tier specified are considered Gold Tier Non-Consolidated and therefore are included in this Service Level; such Servers include: Email, Enterprise SMTP Relay, File and Print, Domain Services, Enterprise Security, Enterprise Backup, and Enterprise Scheduling.	
METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.	
HOURS OF MEASUREMENT	24	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	99.75%	
EXPECTED SERVICE LEVEL	99.85%	
ALGORITHM	The Service Level calculation for "Servers – Gold Tier Availability – Non-Consolidated" is the sum of Actual Uptime for all Gold tier Server Instances located outside of Consolidated Data Centers divided by the sum of Critical Uptime for all such Server Instances, with the result expressed as a percentage.	

COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The Server SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time, impacted CI name(s), actual outage start time, actual outage stop time, and outage duration ▪ MSI CMDB - server instances and related CIs supporting impacted application ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.6 Servers – Silver Tier Availability – Non-Consolidated

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Servers – Silver Tier Availability – Non-Consolidated		3-A	S1.1.6	0
SERVICE LEVEL TYPE	Critical Service Level			

CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.6 Servers – Silver Tier Availability – Non-Consolidated
METRIC DESCRIPTION	The Service Level for "Servers – Silver Tier Availability – Non-Consolidated" measures the percentage of time Applications residing on Silver tier Server Instances located outside of Consolidated Data Centers are Available to the end-user during the applicable Measurement Window. If Downtime occurs for an Application, the Outage is counted against the Server Instance, and the Server Instance is considered unavailable for purposes of this Service Level. Downtime begins upon the Start Time of the Outage. If an Application is supported by multiple Server Instances, then only the Server Instances associated with the Downtime are considered unavailable. If a Server Instance itself appears to be operational, but the Application(s) running on the Server Instance is not Available, then the Server Instance is considered unavailable.	
METRIC INCLUSIONS and DATA SOURCES	Silver tier Non-Consolidated Server Instances and related CIs are identified in the CMDB. Scheduled hours of operations and maintenance windows for each infrastructure element related to the Applications will be maintained in the SMM.	
METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.	
HOURS OF MEASUREMENT	6AM - 9PM	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	99.70%	
EXPECTED SERVICE LEVEL	99.80%	
ALGORITHM	The Service Level calculation for "Servers – Silver Tier Availability – Non-Consolidated" is the sum of Actual Uptime for all Silver tier Server Instances located outside of Consolidated Data Centers divided by the sum of Critical Uptime for all such Server Instances, with the result expressed as a percentage.	

COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The Server SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time, impacted CI name(s), actual outage start time, actual outage stop time, and outage duration ▪ MSI CMDB - server instances and related CIs supporting impacted application ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.7 Servers – Bronze Tier Availability – Non-Consolidated

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Servers - Bronze Tier Availability – Non-Consolidated		3-A	S1.1.7	0
SERVICE LEVEL TYPE	Critical Service Level			

CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.7 Servers – Bronze Tier Availability – Non-Consolidated
METRIC DESCRIPTION	The Service Level for "Servers – Bronze Tier Availability – Non-Consolidated" measures the percentage of time Applications residing on Bronze tier Server Instances located outside of Consolidated Data Centers are Available to the end-user during the applicable Measurement Window. If Downtime occurs for an Application, the Outage is counted against the Server Instance, and the Server Instance is considered unavailable for purposes of this Service Level. Downtime begins upon the Start Time of the Outage. If an Application is supported by multiple Server Instances, then only the Server Instances associated with the Downtime are considered unavailable. If a Server Instance itself appears to be operational, but the Application(s) running on the Server Instance is not Available, then the Server Instance is considered unavailable.	
METRIC INCLUSIONS and DATA SOURCES	Bronze tier Non-Consolidated Server Instances and related CIs are identified in the CMDB. Scheduled hours of operations and maintenance windows for each infrastructure element related to the Applications will be maintained in the SMM.	
METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.	
HOURS OF MEASUREMENT	6AM - 6PM	
DAYS OF MEASUREMENT	Business Days	
MINIMUM SERVICE LEVEL	99.60%	
EXPECTED SERVICE LEVEL	99.70%	
ALGORITHM	The Service Level calculation for "Servers – Bronze Tier Availability – Non-Consolidated" is the sum of Actual Uptime for all Bronze tier Server Instances located outside of Consolidated Data Centers divided by the sum of Critical Uptime for all such Server Instances, with the result expressed as a percentage.	

COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The Server SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time, impacted CI name(s), actual outage start time, actual outage stop time, and outage duration ▪ MSI CMDB - server instances and related CIs supporting impacted application ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.8 Federal Application Availability

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Federal Application Availability		3-A	S1.1.8	0
SERVICE LEVEL TYPE	Critical Service Level			

CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.8 Federal Application Availability
METRIC DESCRIPTION	The Service Level for "Federal Application Availability" measures the percentage of time programs with federally mandated 99.90% availability requirements are Available during the applicable Measurement Window. Actual Uptime shall mean the time the database is available for transactions. Downtime begins upon the Start Time of the Outage.	
METRIC INCLUSIONS and DATA SOURCES	Server Instances and related CIs supporting programs with federally mandated 99.90% availability requirements are identified in the CMDB. Scheduled hours of operations and maintenance windows for each infrastructure element related to programs with federally mandated 99.90% availability requirements will be maintained in the SMM.	
METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.	
HOURS OF MEASUREMENT	24	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	99.90%	
EXPECTED SERVICE LEVEL	99.90%	
ALGORITHM	The Service Level calculation for "Federal Application Infrastructure Availability" is the sum of Actual Uptime for the databases that support the programs with federally mandated 99.90% availability requirements divided by the sum of Critical Uptime for the databases that support the programs with federally mandated 99.90% availability requirements, with the result expressed as a percentage.	
COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The Server SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time, impacted CI name(s), actual outage start time, actual outage stop time, and outage duration ▪ MSI CMDB - server instances and related CIs supporting impacted application ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.	

REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.9 Resolution Time – Sev 1 – Server

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Resolution Time – Sev 1 – Server		3-A	R1.2.1S	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	Yes, 12+ months of data available			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.2.1E Resolution Time – Sev 1 – Enterprise		
METRIC DESCRIPTION	The Service Level for "Resolution Time – Sev 1 – Server" measures the percentage of time Service Provider Resolves Severity Level 1 Incidents within the applicable timeframes. If an Incident is escalated to Severity 1, then the Resolution Time clock restarts upon escalation to Severity 1. Upon escalation, a new ticket will be created and the original ticket will be cancelled. The cancelled ticket will be related to the new ticket.			
METRIC INCLUSIONS and DATA SOURCES	Includes all Server Service Component Severity 1 Incidents. The applicable resolution timeframes are listed below. Timeframe for Resolution shall be based on the tier designation for the highest Server Instance associated with the Incident. All Mainframe Incidents will be measured as the Gold Tier Consolidated. For any Incidents not associated with a Mainframe or specific Server designated in a tier, the resolution timeframe shall be measured as a Silver Tier Consolidated. Platinum ≤ 1 hour Gold ≤ 3 hours (located outside of Consolidated Data Centers) ≤ 2 hours (located in Consolidated Data Centers) Silver ≤ 5 hours (located outside of Consolidated Data Centers) ≤ 4 hours (located in Consolidated Data Centers) Bronze ≤ 8 hours (located outside of Consolidated Data Centers) ≤ 6 hours (located in Consolidated Data Centers)			
METRIC EXCLUSIONS	Incidents related to Mainframe Batch Job ABENDs, backups (in any Service Component), or Print-Mail Equipment.			
HOURS OF MEASUREMENT	24			
DAYS OF MEASUREMENT	365(366)			
MINIMUM SERVICE LEVEL	96.00%			
EXPECTED SERVICE LEVEL	97.50%			
ALGORITHM	The Service Level calculation for "Resolution Time – Sev 1 – Server" is the total number of Severity 1 Incidents for which the Resolution Time is less or equal to the relevant resolution timeframe, divided by the total number of Resolved Incidents plus the total number of open Incidents that have exceeded the relevant resolution timeframe, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if an Incident is opened within the current Measurement Window, but its relevant resolution timeframe extends beyond the end of the current			

	Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such Incident is actually Resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open Incident that has exceeded the relevant resolution timeframe is also carried forward into subsequent Measurement Windows until Resolved; it is counted as failed to meet the resolution timeframes in each subsequent Measurement Window's calculation until Resolved.
COLLECTION PROCESS	Incident tickets will be logged in the MSI ITSM system. Incidents will be categorized and assigned to resolver teams who will work to resolve the incident and progress the ticket through the incident management lifecycle. Incident data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter incident tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.10 Resolution Time – Sev 2 – Server

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Resolution Time – Sev 2 – Server			3-A	R1.2.2S	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes, 12+ months of data available				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.2.2E Resolution Time – Sev 2 – Enterprise			

METRIC DESCRIPTION	The Service Level for "Resolution Time – Sev 2 – Server" measures the percentage of time Service Provider Resolves Severity Level 2 Incidents within the applicable timeframes. If an Incident is escalated to Severity 2, then the Resolution Time clock restarts upon escalation to Severity 2. Upon escalation, a new ticket will be created and the original ticket will be cancelled. The cancelled ticket will be related to the new ticket.
METRIC INCLUSIONS and DATA SOURCES	Includes all Server Service Component Severity 2 Incidents. The applicable resolution timeframes are listed below. Timeframe for Resolution shall be based on the tier designation for the highest Server Instance associated with the Incident. All Mainframe Incidents will be measured as the Gold Tier Consolidated. For any Incidents not associated with a Mainframe or specific Server designated in a tier, the resolution timeframe shall be measured as a Silver Tier Consolidated. Platinum ≤ 2 hours Gold ≤ 4 hours (located outside of Consolidated Data Centers) ≤ 3 hours (located in Consolidated Data Centers) Silver ≤ 8 hours (located outside of Consolidated Data Centers) ≤ 6 hours (located in Consolidated Data Centers) Bronze ≤ 24 hours (located outside of Consolidated Data Centers) ≤ 16 hours (located in Consolidated Data Centers)
METRIC EXCLUSIONS	Incidents related to Mainframe Batch Job ABENDs, backups (in any Service Component), or Print-Mail Equipment.
HOURS OF MEASUREMENT	24
DAYS OF MEASUREMENT	365(366)
MINIMUM SERVICE LEVEL	96.00%
EXPECTED SERVICE LEVEL	97.50%
ALGORITHM	The Service Level calculation for "Resolution Time – Sev 2 – Server" is the total number of Severity 2 Incidents for which the Resolution Time is less than or equal to the relevant resolution timeframe, divided by the total number of Resolved Incidents plus the total number of open Incidents that have exceeded the relevant resolution timeframe, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if an Incident is opened within the current Measurement Window, but its relevant resolution timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such Incident is actually Resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open Incident that has exceeded the relevant resolution timeframe is also carried forward into subsequent Measurement Windows until Resolved; it is counted as failed to meet the resolution timeframes in each subsequent Measurement Window's calculation until Resolved.

COLLECTION PROCESS	Incident tickets will be logged in the MSI ITSM system. Incidents will be categorized and assigned to resolver teams who will work to resolve the incident and progress the ticket through the incident management lifecycle. Incident data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter incident tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.11 Resolution Time – Sev 3 and 4 – Server

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Resolution Time – Sev 3 and 4 – Server		3-A	R1.2.3S	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	Yes, 12+ months of data available			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.2.3E Resolution Time – Sev 3 and 4 – Enterprise		
METRIC DESCRIPTION	The Service Level for "Resolution Time – Sev 3 and 4 – Server" measures the percentage of time Service Provider Resolves Severity Levels 3 and 4 Incidents within the applicable timeframes. If an Incident is escalated to Severity 3, then the Resolution Time clock restarts upon escalation to Severity 3. Upon escalation, a new ticket will be created and the original ticket will be cancelled. The cancelled ticket will be related to the new ticket.			

METRIC INCLUSIONS and DATA SOURCES	Includes all Server Service Component Severity 3 and 4 Incidents. The applicable resolution timeframes are listed below. <u>Severity 3</u> • The Incident shall be Resolved within 3780 minutes (i.e. 63 hours or 7 Business Days) where such minutes shall be measured only between 8:00 AM and 5:00 PM inclusive on Business Days. <u>Severity 4</u> • The Incident shall be Resolved within 4860 minutes (i.e. 81 hours or 9 Business Days) where such minutes shall be measured only between 8:00 AM and 5:00 PM inclusive on Business Days.
METRIC EXCLUSIONS	Incidents related to Mainframe Batch Job ABENDs, backups (in any Service Component), or Print-Mail Equipment.
HOURS OF MEASUREMENT	8:00AM – 5:00 PM
DAYS OF MEASUREMENT	Business Days
MINIMUM SERVICE LEVEL	96.00%
EXPECTED SERVICE LEVEL	97.50%
ALGORITHM	The Service Level calculation for "Resolution Time – Sev 3 and 4 – Server" is the total number of Severity 3 and 4 Incidents for which the Resolution Time is less than or equal to relevant resolution timeframe, divided by the total number of Resolved Incidents plus the total number of open Incidents that have exceeded the relevant resolution timeframe, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if an Incident is opened within the current Measurement Window, but its relevant resolution timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such Incident is actually Resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open Incident that has exceeded the relevant resolution timeframe is also carried forward into subsequent Measurement Windows until Resolved; it is counted as failed to meet the resolution timeframes in each subsequent Measurement Window's calculation until Resolved.
COLLECTION PROCESS	Incident tickets will be logged in the MSI ITSM system. Incidents will be categorized and assigned to resolver teams who will work to resolve the incident and progress the ticket through the incident management lifecycle. Incident data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter incident tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.12 Service Request Fulfillment – Server

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Service Request Fulfillment – Server		3-A	R1.3.1S	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.1E Service Request Fulfillment – Enterprise		
METRIC DESCRIPTION	The Service Level for "Service Request Fulfillment – Server" measures the percentage of time Service Provider successfully completes "Service Requests" (which are defined as requests that do not require solution proposal development; examples of such requests include provisioning ID access, password resets, Service Catalog requests, etc.). Specific target timeframes are maintained in the SMM.			
METRIC INCLUSIONS and DATA SOURCES	Service Requests shall be an agreed upon set of service requests as specified in the SMM.			
METRIC EXCLUSIONS	Service Requests related to data recoveries.			
HOURS OF MEASUREMENT	As maintained in SMM			
DAYS OF MEASUREMENT	As maintained in SMM			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			

ALGORITHM	The Service Level calculation for "Service Request – Server" is the total number of Service Requests that are resolved within the committed timeframes, divided by the total number of resolved Service Requests plus the total number of open Service Requests that have exceeded the committed timeframes, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if a Service Request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such Service Request is actually resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open Service Request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until resolved; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until resolved.
COLLECTION PROCESS	Service Requests that do not require solution proposal development will be logged and tracked in the MSI ITSM System. Service Requests will be categorized and assigned to resolver teams who will work to fulfill the Service Request and progress the ticket through the service request management lifecycle. Service Request data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.13 Solution Proposal Delivery – Server

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Solution Proposal Delivery – Server	3-A	R1.3.2S	09/01/2012
SERVICE LEVEL TYPE	Critical Service Level		

CURRENTLY MEASURED	No	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.2E Solution Proposal Delivery – Enterprise
METRIC DESCRIPTION	The Service Level for "Solution Proposal Delivery – Server" measures the percentage of time Service Provider delivers a viable proposal to DIR Customers within the committed timeframes, in response to a solution request. Following receipt of requirements, the Service Provider shall deliver a proposal for each request within the timeframes as listed below: ▪ Small within 15 calendar days ▪ Medium within 30 calendar days ▪ Large within 45 calendar days ▪ Very Large within 60 calendar days When a proposal is delivered, it must include a committed timeframe for project implementation specified as Business Days from the time the project is assigned to the project pool to the implementation completion. This committed number of Business Days will be used in the "Solution Implementation" Service Level. Specific size criteria and guidelines shall be maintained in the SMM.	
METRIC INCLUSIONS and DATA SOURCES	Each proposal submitted to DIR Customers will be counted as a measurable event. If there are multiple proposals for one request due to requirements changes then subsequent iterations will be counted as another event. Each will count as an event and an opportunity to succeed or fail.	
METRIC EXCLUSIONS	Service Requests	
HOURS OF MEASUREMENT	24	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	
ALGORITHM	The Service Level calculation for "Solution Proposal Delivery – Server" is the total number of solution proposals that are delivered within the committed timeframes, divided by the total number of delivered proposals plus the total number of open proposals that have exceeded the committed timeframes, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if a solution proposal request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such request is actually delivered in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open solution proposal request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until delivered; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until delivered.	

COLLECTION PROCESS	Solution proposal requests will be logged and tracked in the MSI ITSM System. Solution proposal requests will be categorized and assigned to teams who will work to deliver a proposal and progress the ticket through the service request management lifecycle. Solution proposal data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.14 Solution Implementation – Server

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Solution Implementation – Server	3-A	R1.3.3S	0

SERVICE LEVEL TYPE	Critical Service Level	
CURRENTLY MEASURED	No	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.3E Solution Implementation – Enterprise
METRIC DESCRIPTION	The Service Level for "Solution Implementation – Server" measures the percentage of time Service Provider successfully implements a Solution Request within the committed timeframe. All phases of the Solution implementation process from DIR assignment of the project to the project pool through successful implementation (which requires DIR Customer acceptance) into production are included in this measure.	
METRIC INCLUSIONS and DATA SOURCES	The committed timeframe is that timeframe specified in the proposal (as further described in the "Solution Proposal Delivery" Service Level) or otherwise as agreed by the requester.	
METRIC EXCLUSIONS	Service Requests	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	

MINIMUM SERVICE LEVEL	90.00%
EXPECTED SERVICE LEVEL	95.00%
ALGORITHM	The Service Level calculation for "Solution Implementation – Server" is the total number of projects that are successfully implemented within the committed timeframes, divided by the total number of projects implemented plus the total number of projects that have passed the committed timeframe, with the result expressed as a percentage. Projects will be reported in the Measurement Window in which the associated Change ticket is closed, allowing sufficient time to determine if the project was successful. For purposes of clarity, note the following: (a) if a project is assigned within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such project is actually implemented in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an uncompleted project is also carried forward into subsequent Measurement Windows until implemented; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until implemented.
COLLECTION PROCESS	When a solution proposal is approved a Change ticket of type project will be automatically generated in the MSI ITSM system. Design requirements will be attached to the Change record. Final sign-off documents will be attached by the SCP when the project is accepted as complete. Upon completion of the post implementation review the MSI Change Manager will close the Change ticket. Solution implementation data will be uploaded from ITSM to ServiceFlow on a daily basis. ServiceFlow will filter change tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.15 CMDB Accuracy – Server

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
CMDB Accuracy – Server		3-A	R1.3.4S	11/01/2012
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	Yes			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.4E CMDB Accuracy – Enterprise		
METRIC DESCRIPTION	The Service Level for "CMDB Accuracy – Server" measures the percentage of a random sample of Inventory Records that is determined to be Accurate.			
METRIC INCLUSIONS and DATA SOURCES	The sample for this Service Level must contain a number of randomly selected CMDB Inventory Records that is reasonably acceptable to DIR. The sample size parameters and methodology for sampling will be maintained in the SMM. Additionally, if DIR identifies any missing entries (e.g., a device in the environment with no record in the CMDB), then the missing record will be added to the statistical sample and will be counted as an inaccurate record. For example, if the statistical sample includes 150 randomly identified records, and DIR identifies three missing records, then the total pool for purposes of this calculation is 153. Definitions for purposes of this Service Level: "**Accurate**" means all Critical Inventory Attributes are correctly and completely populated in the CMDB Inventory of Record. "**Critical Inventory Attributes**" means those database fields in an Inventory Record that are essential for Service Provider's successful delivery of Service and necessary for DIR's successful performance of retained responsibilities, including architecture, IT planning, and reconciliation of invoices. The Critical Inventory Attributes are maintained in the SMM. "**CMDB Inventory of Record**" means the inventory of CIs, including all Equipment and Software, to be created and maintained by Service Provider in accordance with the SMM. "**Inventory Record**" means the record for a single item of Equipment or Software in the Inventory of Record, including all of the Critical Inventory Attributes for that item.			
METRIC EXCLUSIONS	N/A			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	95.00%			
EXPECTED SERVICE LEVEL	98.00%			

ALGORITHM	The Service Level calculation for "CMDB Accuracy – Server" is the total number of CMDB Inventory Records that are validated during the applicable Measurement Window and that are Accurate, divided by the total number of Inventory Records that are validated during the applicable Measurement Window, with the result expressed as a percentage.
COLLECTION PROCESS	The sample of inventory records will be pulled from the MSI CMDB using an approved random sampling method each month. Through standard reconciliation processes, the random sampling is compared with current electronically discovered data as provided by the Service Provider. Critical Inventory Attributes will be documented in the Service Management Manual. The number of accurate CMDB Inventory Records based on measurement criteria will be determined and entered into ServiceFlow by the MSI Asset Management Team, along with the total number of CMDB Inventory Records in the sample set, via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web Form data. Supporting documentation containing details of the assets validated will be attached to the Web Form.
REPORTING TOOLS	▪ SCP discovery tools ▪ MSI CMDB ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.16 License and Maintenance Renewal Timeliness – Server

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
License and Maintenance Renewal Timeliness – Server			3-A	R1.3.5S	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes: 12+ months of data available				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.5E License and Maintenance Renewal Timeliness – Enterprise			

METRIC DESCRIPTION	The Service Level for "License and Maintenance Renewal Timeliness – Server" measures the timeliness of all software license and hardware maintenance renewals and installs as appropriate managed by Service Provider. Expirations for software license and hardware maintenance are maintained in the MSI Contract Management Module.
METRIC INCLUSIONS and DATA SOURCES	This SLA includes the renewal and installation of software licenses (including infrastructure stack and DIR Customer SSC software) included in the Agreement and hardware maintenance agreements included in DIR Customer Hardware Service Charges (HSC).
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	98.00%
EXPECTED SERVICE LEVEL	99.00%
ALGORITHM	The Service Level calculation for "License and Maintenance Renewal Timeliness – Server" is the total number of license or maintenance renewals processed and installed as appropriate prior to their expiration divided by the total number of license or maintenance agreements scheduled to expire within the Measurement Window. For months in which the total volume of license renewals is low, such that missing three (3) renewals would result in a miss of a Minimum Service Level target or missing two (2) renewals would result in a miss of an Expected Service Level target, the following will apply: 1. If the Service Provider misses three (3) renewals, then the performance for this Service Level shall be deemed to equal the Minimum Service Level target (e.g., reported as 98%). 2. If the Service Provider misses two (2) or less renewals, then the performance for this Service Level shall be deemed to equal the Expected Service Level target (e.g., reported as 99%). 3. If the Service Provider misses four (4) or more renewals, then the standard calculation applies.
COLLECTION PROCESS	Service Provider will provide current proof of entitlements, license renewal dates, and maintenance renewal dates to the MSI. Data will be maintained in the MSI Contract Management Module. A License and Maintenance Renewal Report will compare renewals that are due in the Measurement Window against those that met or failed the target renewal date. Software and hardware renewals and software installations as appropriate will be logged and tracked in the MSI ITSM system. Service Provider will receive a Service Request to renew from the MSI ITSM system. When appropriate a Change Request will be issued to install software. Software renewal installations will be categorized and assigned to resolver teams who will work to fulfill the request. Software and hardware renewal data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter tickets based on appropriate measurement criteria.

REPORTING TOOLS	▪ MSI Contract Management Module ▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.17 Invoice Dispute Resolution – Server

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Invoice Dispute Resolution – Server	3-A	R1.3.6S	0

SERVICE LEVEL TYPE	Critical Service Level	
CURRENTLY MEASURED	No	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.6E Invoice Dispute Resolution – Enterprise
METRIC DESCRIPTION	The Service Level for "Invoice Dispute Resolution – Server" measures the percentage of invoice disputes that are resolved within twenty (20) Business Days.	
METRIC INCLUSIONS and DATA SOURCES	N/A	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	8:00 AM – 5:00 PM	
DAYS OF MEASUREMENT	Business Days	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	

ALGORITHM	The Service Level calculation for "Invoice Dispute Resolution – Server" is the total number of invoice disputes that are resolved within twenty (20) Business Days of submission, divided by the total number of resolved invoice disputes plus the total number of open invoice disputes that have exceeded twenty (20) Business Days, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if an invoice dispute is initiated within the current Measurement Window, but the twenty Business Days extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such dispute is actually resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open invoice dispute that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until resolved; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until resolved.
COLLECTION PROCESS	Invoice disputes will be logged and tracked in the MSI ITSM System. Invoice Disputes will be categorized and assigned to resolver teams who will work to research and resolve the dispute, and progress the ticket through the service request management lifecycle. Invoice Dispute data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter the service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.18 Successful Backups – Consolidated – Server

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Successful Backups – Consolidated – Server	3-A	U1.4.1S	0
SERVICE LEVEL TYPE	Critical Service Level		

CURRENTLY MEASURED	Yes	
SHARE TYPE and CORRESPONDING METRIC	U	N/A
METRIC DESCRIPTION	The Service Level for "Successful Backups – Consolidated – Server" measures the percentage of time Service Provider completes backup executions on systems located at Consolidated Data Centers successfully during the applicable Measurement Window in accordance with the relevant criteria specified in the Service Management Manual. Timeframes for backup executions are maintained in the SMM by Service Provider, to include the schedule, retention-periods and target directories.	
METRIC INCLUSIONS	Backup executions (including all backup objects and backup targets such as file systems, databases, application files, operating systems, applications and respective data) at the Consolidated Data Centers.	
METRIC EXCLUSIONS	(a) If there is an appropriate tool in use that captures open files, then the backup of open files are included as part of the backup. If there is not an appropriate tool in use for the capture of open files, then open files are skipped and not counted against this Service Level. (b) Backups of functionality exclusively for Service Provider are excluded.	
HOURS OF MEASUREMENT	24	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	97.00%	
EXPECTED SERVICE LEVEL	99.00%	
ALGORITHM	The Service Level for "Successful Backups – Consolidated – Server" is the number of times Service Provider completes backup executions successfully and within the specified timeframes during the applicable Measurement Window divided by the number of times Service Provider should have completed backup executions within the applicable Measurement Window, with the result expressed as a percentage.	
COLLECTION PROCESS	Incidents are created for backups that are not successfully completed. On a daily basis, Service Provider uploads files from the SCP backup management system(s) to the MSI designated file store that details information on all backup executions that were scheduled and indicates those that have and have not been successfully completed. The files will be imported into ServiceFlow daily.	
REPORTING TOOLS	▪ SCP backup management system(s) ▪ MSI ServiceFlow	
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR. Raw measurement data (e.g. backup logs) is available from the Service Provider backup management system(s) for at least the past 13 months.	
PERFORMANCE CATEGORY	Other Service Delivery	

METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.19 Successful Backups – Non-Consolidated – Server

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Successful Backups – Non-Consolidated – Server	3-A	U1.4.2S	0

SERVICE LEVEL TYPE	Critical Service Level	
CURRENTLY MEASURED	Yes	
SHARE TYPE and CORRESPONDING METRIC	U	N/A
METRIC DESCRIPTION	The Service Level for "Successful Backups – Non-Consolidated – Server" measures the percentage of time Service Provider completes backup executions on systems located at Non-Consolidated Service Locations successfully during the applicable Measurement Window in accordance with the relevant criteria specified in the Service Management Manual. Timeframes for backup executions are maintained in the SMM by Service Provider, to include the schedule, retention-periods and target directories.	
METRIC INCLUSIONS	Backup executions (including all backup objects and backup targets such as file systems, databases, application files, operating systems, applications and respective data) at Non-Consolidated Service Locations (i.e. all locations that are not the Consolidated Data Centers).	
METRIC EXCLUSIONS	(a) If there is an appropriate tool in use that captures open files, then the backup of open files are included as part of the backup. If there is not an appropriate tool in use for the capture of open files, then open files are skipped and not counted against this Service Level. (b) Backups of functionality exclusively for Service Provider are excluded.	
HOURS OF MEASUREMENT	24	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	95.00%	
EXPECTED SERVICE LEVEL	97.00%	
ALGORITHM	The Service Level for "Successful Backups – Non-Consolidated – Server" is the number of times Service Provider completes backup executions successfully and within the specified timeframes during the applicable Measurement Window divided by the number of times Service Provider should have completed backup executions within the applicable Measurement Window, with the result expressed as a percentage.	

COLLECTION PROCESS	Incidents are created for backups that are not successfully completed. On a daily basis, Service Provider uploads files from the SCP backup management system(s) to the MSI designated file store that details information on all backup executions that were scheduled and indicates those that have and have not been successfully completed. The files will be imported into ServiceFlow daily.
REPORTING TOOLS	▪ SCP backup management system(s) ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR. Raw measurement data (e.g. backup logs) is available from the Service Provider backup management system(s) for at least the past 13 months.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

A.20 Successful Recoveries – Server

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Successful Recoveries – Server		3-A	U1.4.3S	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	Yes, 12+ months of data available			
SHARE TYPE and CORRESPONDING METRIC	U	N/A		
METRIC DESCRIPTION	The Service Level for "Successful Recoveries – Server" measures the percentage of time Service Provider initiates data recoveries within the specified timeframe during the applicable Measurement Window. Specific target timeframes for each Service Tier are maintained in the SMM and as specified in the Service Tier Matrix.			
METRIC INCLUSIONS	Includes all Service Requests for file restores not related to an Outage.			
METRIC EXCLUSIONS	Recoveries of functionality exclusive for the Service Provider are excluded. Time waiting for DIR Customer to receive and mount media in Non-Consolidated locations is excluded as pending time. There is no pending time for data recoveries to server instances in Consolidated Data Centers.			
HOURS OF MEASUREMENT	24			

DAYS OF MEASUREMENT	365(366)
MINIMUM SERVICE LEVEL	98.00%
EXPECTED SERVICE LEVEL	99.00%
ALGORITHM	The Service Level calculation for "Successful Recoveries – Server" is the total number of service requests for data recovery that are initiated successfully and in the specified timeframes during the applicable Measurement Window, divided by the total number of service requests for data recovery that were scheduled to be initiated during the applicable Measurement Window, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if a service request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless the data recovery for a service request is actually initiated in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open service request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until the data recovery is initiated; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until initiated.
COLLECTION PROCESS	Data recovery requests are handled as service requests in the MSI ITSM. Service requests will be categorized and assigned to resolver teams who will work to fulfill the service request and progress the ticket through the service request management lifecycle. Service Provider will update service request to designate when the data recovery has been initiated. The service request is updated with success or failure, once the data recovery request has been fulfilled and approved for closure. Service Request data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

B.0 KEY MEASUREMENTS – SERVER

This Section sets forth qualitative descriptions of the Key Measurements for the Server Service Component. The numerical Minimum Service Levels, Expected Service Levels and commencement of obligations associated with such Key Measurements are set forth in **Attachment 3-A**.

B.1 Root Cause Analysis Delivery – Server

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Root Cause Analysis Delivery – Server	3-A	R2.1.1S	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.1.1E Root Cause Analysis Delivery – Enterprise
METRIC DESCRIPTION	The Service Level "Root Cause Analysis Delivery – Server" measures the percentage of time Service Provider delivers to DIR, via email, a Root Cause Analyses within (i) ten (10) Business Days from service restoration (for Severity 1), (ii) ten (10) Business Days from request, or (iii) otherwise as agreed upon by DIR.	
METRIC INCLUSIONS and DATA SOURCES	The RCA is documented and tracked within the Problem Management process, and upon completion, is presented by the Service Provider Problem Management Team to the affected DIR Customer and DIR for review and approval. Service Provider will provide Root Cause Analyses for all Severity 1 service restoral Incidents and as reasonably requested by DIR for all other Incidents.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	8:00 AM – 5:00 PM	
DAYS OF MEASUREMENT	Business Days	
MINIMUM SERVICE LEVEL	96.00%	
EXPECTED SERVICE LEVEL	98.00%	
ALGORITHM	The Service Level calculation for "Root Cause Analysis Delivery – Server" is the total number of Root Cause Analyses that are delivered to DIR within the required timeframe, divided by the total number of Root Cause Analyses delivered to DIR during the applicable Measurement Window, with the result expressed as a percentage.	

COLLECTION PROCESS	Problem investigations (requests for Root Cause Analysis) will be logged and tracked in the MSI ITSM System. Problems will be categorized and assigned to teams who will analyze the request and perform and document the root cause analysis. The problem ticket will be progressed through the problem management lifecycle. Problem data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter Problem tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

B.2 Corrective Actions – Server

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Corrective Actions – Server			3-A	R2.1.2S	0
SERVICE LEVEL TYPE	Key Measurement				
CURRENTLY MEASURED	No				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.1.2E Corrective Actions – Enterprise			
METRIC DESCRIPTION	The Service Level "Corrective Actions – Server" measures the percentage of time Service Provider completes corrective actions within the committed timeframes.				
METRIC INCLUSIONS and DATA SOURCES AND DATA SOURCE	Corrective Actions associated with all Server Service Component Problem tickets.				
METRIC EXCLUSIONS	Corrective Actions internal to Service Provider.				
HOURS OF MEASUREMENT	N/A				
DAYS OF MEASUREMENT	N/A				
MINIMUM SERVICE LEVEL	90.00%				
EXPECTED SERVICE LEVEL	95.00%				

ALGORITHM	The Service Level calculation for "Corrective Actions – Server" is the total number of Corrective Actions that are completed within the required timeframe divided by the total number of Corrective Actions completed during the applicable Measurement Window, with the result expressed as a percentage.
COLLECTION PROCESS	Corrective Actions will be logged and tracked in the MSI ITSM System. Corrective Actions will be assigned to teams who will implement the Corrective Actions. The Corrective Actions will be progressed through the problem management lifecycle. Problem data, including Corrective Actions, will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter Problem tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

B.3 Change Management Effectiveness – Server

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Change Management Effectiveness – Server	3-A	R2.2.1S	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.1E Change Management Effectiveness – Enterprise
METRIC DESCRIPTION	The Service Level for "Change Management Effectiveness – Server" measures the percentage of time Service Provider successfully implements Changes to the Services.	

METRIC INCLUSIONS and DATA SOURCES	Includes all Server Service Component Changes. Changes are not successfully implemented if they: (i) do not comply with the Change Management procedures (including the Change Control Process), the SMM and, except as specified in clause (iii) to this sentence, any associated project plan, (ii) cause either a Severity 1 Incident or Severity 2 Incident, (iii) exceeded the change window, (iv) are backed out, or (v) partial success of change is backed out or unsuccessful.
METRIC EXCLUSIONS	Changes for high risk patches and updates.
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	93.00%
EXPECTED SERVICE LEVEL	96.00%
ALGORITHM	The Service Level calculation for "Change Management Effectiveness – Server" is the number of changes that are successfully implemented by Service Provider divided by the number of changes implemented by Service Provider, with the result expressed as a percentage. Changes will be reported in the Measurement Window that the Change ticket is closed, allowing sufficient time to determine if the Change was successful.
COLLECTION PROCESS	Change tickets will be logged in the MSI ITSM system. Changes will be documented, categorized, and assigned to implementer teams who will work to plan, review, obtain approvals, and progress the ticket through the change management lifecycle. Change data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter change tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

B.4 DR Test Report Delivery – Server

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
DR Test Report Delivery – Server	3-A	R2.2.2S	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	No	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.2E DR Test Report Delivery – Enterprise
METRIC DESCRIPTION	The Service Level "DR Test Report Delivery – Server" measures the percentage of time Service Provider delivers DR test reports within 30 calendar days of the scheduled DR test. The Disaster Recovery test schedule is documented by the Service Provider in the annual DR Test Plan, and may be modified prior to the test, per the rescheduling procedure maintained in the SMM.	
METRIC INCLUSIONS and DATA SOURCES	Includes DR tests for agency applications as well as Service Provider DR tests for infrastructure applications and data centers, as defined in the SMM.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	
ALGORITHM	The Service Level calculation for "DR Test Report Delivery – Server" is the total number of DR test reports timely delivered, divided by the total number of DR test reports due within the Measurement Window, with the result expressed as a percentage. A DR test report is deemed as not delivered timely if a DR test is not completed as scheduled or is not scheduled.	
COLLECTION PROCESS	Tracking and providing information regarding whether the Disaster Recovery (DR) tests were performed and DR test reports timely delivered will be the responsibility of the SCP with oversight provided by MSI. As part of the MSI's overall role in DR Planning, the MSI is responsible for the scheduling and execution of DR Tests. The Service Provider works with the MSI on the planning and execution of the tests and the MSI reports back to DIR and the Agencies on the DR Tests performed in scheduled testing window. The total number of DR test reports timely delivered and the total number of DR test reports due will be entered into ServiceFlow by the MSI via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web form data. Supporting documentation containing details of the data measured and validated will be attached to the Web Form.	
REPORTING TOOLS	▪ MSI ServiceFlow ▪ MSI DR plan management system	

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR. Data is available from the MSI DR plan management system for at least the past 13 months.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

B.5 DR Test Plan Objectives Met – Server

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
DR Test Plan Objectives Met – Server	3-A	R2.2.3S	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12+ months data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.3E DR Test Plan Objectives Met – Enterprise
METRIC DESCRIPTION	This Service Level "DR Test Plan Objectives Met – Server" measures the percentage of time Service Provider(s) successfully tests (as defined in the SMM) agency and Service Provider infrastructure. If a test is unsuccessful, Service Provider must remediate and successfully re-perform any failed test within ninety (90) days following the initially scheduled test (or such longer period as may be agreed upon by the Parties). The measurement is calculated based on successfully completing the overall test objectives, which must be defined before the test. For purposes of clarity, note that an objective may be met successfully even if issues are identified, provided that the overall objective is met.	
METRIC INCLUSIONS and DATA SOURCES	All DR tests scheduled and performed in the Measurement Window.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	
ALGORITHM	The Service Level calculation for "DR Test Plan Objectives Met – Server" is the total number of DR tests that are (i) successfully completed or (ii) successfully completed with issues, divided by the total number of DR tests performed during the applicable Measurement Window, with the result expressed as a percentage.	
COLLECTION PROCESS	Tracking and providing information regarding whether the Disaster Recovery (DR) test plan objectives were met will be the responsibility of the SCP with oversight provided by MSI. The total number of DR tests that are (i) successfully completed or (ii) successfully completed with issues, and the total number of DR tests performed, will be entered into ServiceFlow by the MSI via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web form data. Supporting documentation containing details of the data measured and validated will be attached to the Web Form.	
REPORTING TOOLS	▪ MSI ServiceFlow	

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

B.6 Off-Site Media Management – Server

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Off-Site Media Management – Server		3-A	U2.3.3S	0
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC	U	N/A		
METRIC DESCRIPTION	The Service Level for "Off-Site Media Management – Server" measures the accuracy of the Service Provider's management of off-site media, specifically the percentage of off-site media that is determined to be physically stored and electronically listed at the correct location. The measure entails a full annual physical inventory of tapes at Off-Site locations and a monthly sample against the logical information. Each DIR Customer's environment will be verified physically and logically at least once per year. Where there has been a physical inventory during the Measurement Window, a logical inventory is not required. The monthly sample of the logical information is a random set of records from the Service Provider Tape Library Management System that reflects all DIR Customers. The logical attributes to be electronically discovered are maintained in the SMM.			
METRIC INCLUSIONS	All physical backup media that (i) is created at select Business Offices (as identified by DIR) and all Legacy Data Centers and (ii) is or should have been transported offsite.			
METRIC EXCLUSIONS	Virtual tapes and tapes retained in the Consolidated Data Centers or Non-Consolidated Service Locations.			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			
ALGORITHM	The Service Level calculation for "Off-Site Media Management – Server" is (i) the number of tapes physically stored in the correct location and (ii) electronically listed in the correct location divided by the total number of tapes verified in the Measurement Window, with the result expressed as a percentage. For clarity, tapes that are not located at the correct location (either on-site or off-site) are counted as incorrect. Also, tapes that are without data to be retained and potentially restored (i.e. scratch volumes) that are incorrectly off-site count as incorrect.			

COLLECTION PROCESS	Off-site media management accuracy is measured in two ways: (a) The annual physical verification measures the full active inventory of the Service Provider Tape Library Management System against what is discovered in the physical Off-Site location. (b) The monthly logical verification measures a random sample from the Service Provider Tape Library Management System against the Off-Site location's tape library management system. Through standard reconciliation process, the random sampling is compared with current electronically discovered. The number of tapes physically stored and electronically listed in the correct location, along with the number of tapes verified, will be determined and entered into ServiceFlow Web Form by the Service Provider. ServiceFlow will calculate the SLA result based on the Web Form data. Supporting documentation containing details of the tapes verified will be attached to the Web Form.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ MSI ServiceFlow ▪ SCP Tape Library Management System ▪ SCP Webscan, inventory reconciliation worksheets ▪ Off-site Vendor systems
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

C.0 CRITICAL SERVICE LEVELS – DATA CENTER

This Section sets forth qualitative descriptions of the Critical Service Levels for the Data Center Service Component. The numerical Minimum Service Levels, Expected Service Levels and commencement of obligations associated with such Critical Service Levels are set forth in **Attachment 3-A**.

C.1 Data Center Availability

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE

Data Center Availability		3-A	S1.1.11	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.11 Data Center Availability		
METRIC DESCRIPTION	The Service Level for "Data Center Availability" measures the percentage of time the Data Center is Available during the applicable Measurement Window.			
METRIC INCLUSIONS and DATA SOURCES	This measurement includes all services provided by devices or software in the Consolidated Data Centers. Downtime begins upon the Start Time of the Outage. Scheduled hours of operations and maintenance windows for the Consolidated Data Centers will be maintained in the SMM.			
METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.			
HOURS OF MEASUREMENT	24			
DAYS OF MEASUREMENT	365(366)			
MINIMUM SERVICE LEVEL	99.75%			
EXPECTED SERVICE LEVEL	99.90%			
ALGORITHM	The Service Level calculation for "Data Center Availability" is the sum of Actual Uptime for all server instances located within Consolidated Data Centers divided by the sum of Critical Uptime for all such server instances, with the result expressed as a percentage.			
COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time ▪ MSI CMDB - CIs supporting impacted application ▪ MSI ServiceFlow – downtime to be entered by SCP via Web Form. Supporting documentation containing detail on the outage will be attached to the Web Form. ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.			

REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

C.2 Resolution Time – Sev 1, 2, 3 and 4 – Data Center

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Resolution Time – Sev 1, 2, 3 and 4 – Data Center			3-A	R1.2.4D	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes, 12+ months of data available				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.2.1E Resolution Time - Sev 1 – Enterprise R1.2.2E Resolution Time - Sev 2 – Enterprise R1.2.3E Resolution Time - Sev 3 and 4 – Enterprise			
METRIC DESCRIPTION	The Service Level for "Resolution Time – Sev 1, 2, 3 and 4 – Data Center" measures the percentage of time Service Provider Resolves Incidents within the applicable timeframes. If an Incident is escalated to a higher Severity Level, then the Resolution Time clock restarts upon escalation to the higher Severity Level. Upon escalation, a new ticket will be created and the original ticket will be cancelled. The cancelled ticket will be related to the new ticket.				

METRIC INCLUSIONS and DATA SOURCES	Includes all Data Center Service Component Incidents. The applicable resolution timeframes are listed below. Timeframe for Resolution shall be based on the tier designation for the highest Server Instance associated with the Incident. All Mainframe Incidents will be measured as the Gold Consolidated Tier. For any Incidents not associated with a Mainframe or a specific Server designated in a tier, the resolution timeframe shall be measured as a Silver Consolidated Tier. <u>Severity 1</u> • Platinum ≤ 1 hour • Gold ≤ 3 hours (located outside of Consolidated Data Centers) ≤ 2 hours (located in Consolidated Data Centers) • Silver ≤ 5 hours (located outside of Consolidated Data Centers) ≤ 4 hours (located in Consolidated Data Centers) • Bronze ≤ 8 hours (located outside of Consolidated Data Centers) ≤ 6 hours (located in Consolidated Data Centers) <u>Severity 2</u> • Platinum ≤ 2 hour • Gold ≤ 4 hours (located outside of Consolidated Data Centers) ≤ 3 hours (located in Consolidated Data Centers) • Silver ≤ 8 hours (located outside of Consolidated Data Centers) ≤ 6 hours (located in Consolidated Data Centers) • Bronze ≤ 24 hours (located outside of Consolidated Data Centers) ≤ 16 hours (located in Consolidated Data Centers) <u>Severity 3</u> • The Incident shall be Resolved within 3780 minutes (i.e. 63 hours or 7 Business Days) where such minutes shall be measured only between 8:00 AM and 5:00 PM inclusive on Business Days. <u>Severity 4</u> • The Incident shall be Resolved within 4860 minutes (i.e. 81 hours or 9 Business Days) where such minutes shall be measured only between 8:00 AM and 5:00 PM inclusive on Business Days.
METRIC EXCLUSIONS	Incidents related to Mainframe Batch Job ABENDs, backups (in any Service Component), or Print-Mail Equipment.
HOURS OF MEASUREMENT	Sev 1 and Sev 2: 24 Sev 3 and Sev 4: 8:00 AM – 5:00 PM
DAYS OF MEASUREMENT	Sev 1 and Sev 2: 365(366) Sev 3 and Sev 4: Business Days

MINIMUM SERVICE LEVEL	96.00%
EXPECTED SERVICE LEVEL	97.50%
ALGORITHM	The Service Level calculation for "Resolution Time – Sev 1, 2, 3 and 4 – Data Center" is the total number of Incidents for which the Resolution Time is less than or equal to the relevant resolution timeframe, divided by the total number of Resolved Incidents plus the total number of open Incidents that have exceeded the relevant resolution timeframe, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if an Incident is opened within the current Measurement Window, but its relevant resolution timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such Incident is actually Resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open Incident that has exceeded the relevant resolution timeframe is also carried forward into subsequent Measurement Windows until Resolved; it is counted as failed to meet the resolution timeframes in each subsequent Measurement Window's calculation until Resolved.
COLLECTION PROCESS	Incident tickets will be logged in the MSI ITSM system. Incidents will be categorized and assigned to resolver teams who will work to resolve the incident and progress the ticket through the incident management lifecycle. Incident data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter incident tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

C.3 Service Request Fulfillment – Data Center

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE

Service Request Fulfillment – Data Center	3-A	R1.3.1D	0
SERVICE LEVEL TYPE	Critical Service Level		
CURRENTLY MEASURED	No		
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.1E Service Request Fulfillment – Enterprise	
METRIC DESCRIPTION	The Service Level for "Service Request Fulfillment – Data Center" measures the percentage of time Service Provider successfully completes "Service Requests" (which are defined as requests that do not require solution proposal development; examples of such requests include provisioning ID access, password resets, Service Catalog requests, etc.). Specific target timeframes are maintained in the SMM.		
METRIC INCLUSIONS and DATA SOURCES	Service Requests shall be an agreed upon set of service requests as specified in the SMM.		
METRIC EXCLUSIONS			
HOURS OF MEASUREMENT	As maintained in SMM		
DAYS OF MEASUREMENT	As maintained in SMM		
MINIMUM SERVICE LEVEL	90.00%		
EXPECTED SERVICE LEVEL	95.00%		
ALGORITHM	The Service Level calculation for "Service Request – Data Center" is the total number of Service Requests that are resolved within the committed timeframes, divided by the total number of resolved Service Requests plus the total number of open Service Requests that have exceeded the committed timeframes, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if a Service Request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such Service Request is actually resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open Service Request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until resolved; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until resolved.		
COLLECTION PROCESS	Service Requests that do not require solution proposal development will be logged and tracked in the MSI ITSM System. Service Requests will be categorized and assigned to resolver teams who will work to fulfill the Service Request and progress the ticket through the service request management lifecycle. Service Request data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.		
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow		

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

C.4 Solution Proposal Delivery – Data Center

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Solution Proposal Delivery – Data Center		3-A	R1.3.2D	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.2E Solution Proposal Delivery – Enterprise		
METRIC DESCRIPTION	The Service Level for "Solution Proposal Delivery – Data Center" measures the percentage of time Service Provider delivers a viable proposal to DIR Customers within the committed timeframes, in response to a Solution Request. Following receipt of requirements, the Service Provider shall deliver a proposal for each request within the timeframes as listed below: ▪ Small within 15 calendar days ▪ Medium within 30 calendar days ▪ Large within 45 calendar days ▪ Very Large within 60 calendar days When a proposal is delivered, it must include a committed timeframe for project implementation specified as Business Days from the time the project is assigned to the project pool to the implementation completion. This committed number of Business Days will be used in the "Solution Implementation" Service Level. Specific size criteria and guidelines shall be maintained in the SMM.			
METRIC INCLUSIONS and DATA SOURCES	Each proposal submitted to DIR Customers will be counted as a measurable event. If there are multiple proposals for one request due to requirements changes then subsequent iterations will be counted as another event. Each will count as an event and an opportunity to succeed or fail.			

METRIC EXCLUSIONS	Service Requests
HOURS OF MEASUREMENT	24
DAYS OF MEASUREMENT	365(366)
MINIMUM SERVICE LEVEL	90.00%
EXPECTED SERVICE LEVEL	95.00%
ALGORITHM	The Service Level calculation for "Solution Proposal Delivery – Data Center" is the total number of solution proposals that are delivered within the committed timeframes, divided by the total number of delivered proposals plus the total number of open proposals that have exceeded the committed timeframes, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if a solution proposal request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such request is actually delivered in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open solution proposal request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until delivered; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until delivered.
COLLECTION PROCESS	Solution proposal requests will be logged and tracked in the MSI ITSM System. Solution proposal requests will be categorized and assigned to teams who will work to deliver a proposal and progress the ticket through the service request management lifecycle. Solution proposal data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

C.5 Solution Implementation – Data Center

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Solution Implementation – Data Center			3-A	R1.3.3D	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	No				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.3E Solution Implementation – Enterprise			
METRIC DESCRIPTION	The Service Level for "Solution Implementation – Data Center" measures the percentage of time Service Provider successfully implements a Solution Request within the committed timeframe. All phases of the Solution implementation process from DIR assignment of the project to the project pool through successful implementation (which requires DIR Customer acceptance) into production are included in this measure.				
METRIC INCLUSIONS and DATA SOURCES	The committed timeframe is that timeframe specified in the proposal (as further described in the "Solution Proposal Delivery" Service Level) or otherwise as agreed by the requester.				
METRIC EXCLUSIONS	Service Requests				
HOURS OF MEASUREMENT	N/A				
DAYS OF MEASUREMENT	N/A				
MINIMUM SERVICE LEVEL	90.00%				
EXPECTED SERVICE LEVEL	95.00%				
ALGORITHM	The Service Level calculation for "Solution Implementation – Data Center" is the total number of projects that are successfully implemented within the committed timeframes, divided by the total number of projects implemented plus the total number of projects that have passed the committed timeframe, with the result expressed as a percentage. Projects are reported in the Measurement Window in which the associated Change ticket is closed, allowing sufficient time to determine if the project was successful. For purposes of clarity, note the following: (a) if a project is assigned within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such project is actually implemented in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an uncompleted project is also carried forward into subsequent Measurement Windows until implemented; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until implemented.				

COLLECTION PROCESS	When a solution proposal is approved a Change ticket of type project will be automatically generated in the MSI ITSM system. Design requirements will be attached to the Change record. Final sign-off documents will be attached by the SCP when the project is accepted as complete. Upon completion of the post implementation review the MSI Change Manager will close the Change ticket. Solution implementation data will be uploaded from ITSM to ServiceFlow on a daily basis. ServiceFlow will filter change tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

C.6 CMDB Accuracy – Data Center

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
CMDB Accuracy – Data Center			3-A	R1.3.4D	11/01/2012
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.4E CMDB Accuracy – Enterprise			
METRIC DESCRIPTION	The Service Level for "CMDB Accuracy – Data Center" measures the percentage of a random sample of Inventory Records that is determined to be Accurate.				

METRIC INCLUSIONS and DATA SOURCES	The sample for this Service Level must contain a number of randomly selected CMDB Inventory Records that is reasonably acceptable to DIR. The sample size parameters and methodology for sampling will be maintained in the SMM. Additionally, if DIR identifies any missing entries (e.g., a device in the environment with no record in the CMDB), then the missing record will be added to the statistical sample and will be counted as an inaccurate record. For example, if the statistical sample includes 150 randomly identified records, and DIR identifies three missing records, then the total pool for purposes of this calculation is 153. 1. Definitions for purposes of this Service Level: "**Accurate**" means all Critical Inventory Attributes are correctly and completely populated in the CMDB Inventory of Record. "**Critical Inventory Attributes**" means those database fields in an Inventory Record that are essential for Service Provider's successful delivery of Service and necessary for DIR's successful performance of retained responsibilities, including architecture, IT planning, and reconciliation of invoices. The Critical Inventory Attributes are maintained in the SMM. "**CMDB Inventory of Record**" means the inventory of CIs, including all Equipment and Software, to be created and maintained by Service Provider in accordance with the SMM. "**Inventory Record**" means the record for a single item of Equipment or Software in the Inventory of Record, including all of the Critical Inventory Attributes for that item.
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	95.00%
EXPECTED SERVICE LEVEL	98.00%
ALGORITHM	The Service Level calculation for "CMDB Accuracy – Data Center" is the total number of CMDB Inventory Records that are validated during the applicable Measurement Window and that are Accurate, divided by the total number of Inventory Records that are validated during the applicable Measurement Window, with the result expressed as a percentage.

COLLECTION PROCESS	The sample of inventory records will be pulled from the MSI CMDB using an approved random sampling method each month. Through standard reconciliation processes, the random sampling is compared with current electronically discovered data as provided by Service Provider. Critical Inventory Attributes will be documented in the Service Management Manual. The number of accurate CMDB Inventory Records based on measurement criteria will be determined and entered into ServiceFlow by the MSI Asset Management Team, along with the total number of CMDB Inventory Records in the sample set, via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web Form data. Supporting documentation containing details of the assets validated will be attached to the Web Form.
REPORTING TOOLS	▪ SCP discovery tools ▪ MSI CMDB ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

C.7 License and Maintenance Renewal Timeliness – Data Center

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
License and Maintenance Renewal Timeliness – Data Center			3-A	R1.3.5D	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes: 12+ months of data available				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.5E License and Maintenance Renewal Timeliness – Enterprise			

METRIC DESCRIPTION	The Service Level for "License and Maintenance Renewal Timeliness – Data Center" measures the timeliness of all software license and hardware maintenance renewals and installs as appropriate managed by Service Provider. Expirations for software license and hardware maintenance are maintained in the MSI Contract Management Module.
METRIC INCLUSIONS and DATA SOURCES	This SLA includes the renewal and installation of software licenses (including infrastructure stack and DIR Customer SSC software) included in the Agreement and hardware maintenance agreements included in DIR Customer Hardware Service Charges (HSC).
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	98.00%
EXPECTED SERVICE LEVEL	99.00%
ALGORITHM	The Service Level calculation for "License and Maintenance Renewal Timeliness – Data Center" is the total number of license or maintenance renewals processed and installed as appropriate prior to their expiration divided by the total number of license or maintenance agreements scheduled to expire within the Measurement Window. For months in which the total volume of license renewals is low, such that missing three (3) renewals would result in a miss of a Minimum Service Level target or missing two (2) renewals would result in a miss of an Expected Service Level target, the following will apply: 1. If the Service Provider misses three (3) renewals, then the performance for this Service Level shall be deemed to equal the Minimum Service Level target (e.g., reported as 98%). 2. If the Service Provider misses two (2) or less renewals, then the performance for this Service Level shall be deemed to equal the Expected Service Level target (e.g., reported as 99%). 3. If the Service Provider misses four (4) or more renewals, then the standard calculation applies.
COLLECTION PROCESS	Service Provider will provide current proof of entitlements, license renewal dates, and maintenance renewal dates to the MSI. Data will be maintained in the MSI Contract Management Module. A License and Maintenance Renewal Report will compare renewals that are due in the Measurement Window against those that met or failed the target renewal date. Software and hardware renewals and software installations as appropriate will be logged and tracked in the MSI ITSM system. Service Provider will receive a request to renew from the MSI ITSM system. When appropriate a Change Request will be issued to install software. Software renewal installations will be categorized and assigned to resolver teams who will work to fulfill the request. Software and hardware renewal data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter tickets based on appropriate measurement criteria.

REPORTING TOOLS	▪ MSI Contract Management Module ▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

C.8 Invoice Dispute Resolution – Data Center

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Invoice Dispute Resolution – Data Center			3-A	R1.3.6D	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	No				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.6E Invoice Dispute Resolution – Enterprise			
METRIC DESCRIPTION	The Service Level for "Invoice Dispute Resolution – Data Center" measures the percentage of invoice disputes that are resolved within twenty (20) Business Days.				
METRIC INCLUSIONS and DATA SOURCES	N/A				
METRIC EXCLUSIONS	N/A				
HOURS OF MEASUREMENT	8:00 AM – 5:00 PM				
DAYS OF MEASUREMENT	Business Days				
MINIMUM SERVICE LEVEL	90.00%				
EXPECTED SERVICE LEVEL	95.00%				

ALGORITHM	The Service Level calculation for "Invoice Dispute Resolution – Data Center" is the total number of invoice disputes that are resolved within twenty (20) Business Days of submission, divided by the total number of resolved invoice disputes plus the total number of open invoice disputes that have exceeded twenty (20) Business Days, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if an invoice dispute is initiated within the current Measurement Window, but the twenty Business Days extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such dispute is actually resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open invoice dispute that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until resolved; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until resolved.
COLLECTION PROCESS	Invoice disputes will be logged and tracked in the MSI ITSM System. Invoice Disputes will be categorized and assigned to resolver teams who will work to research and resolve the dispute, and progress the ticket through the service request management lifecycle. Invoice Dispute data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter the service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

C.9 Off-Site Media Management – Data Center

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Off-Site Media Management – Data Center	3-A	U1.4.4D	0
SERVICE LEVEL TYPE	Critical Service Level		

CURRENTLY MEASURED	No	
SHARE TYPE and CORRESPONDING METRIC	U	N/A
METRIC DESCRIPTION	The Service Level for "Off-Site Media Management – Data Center" measures the accuracy of the Service Provider's management of off-site media, specifically the percentage of off-site media that is determined to be physically stored and electronically listed at the correct location. The measure entails a full annual physical inventory of tapes at Off-Site locations and a monthly sample against the logical information. Each DIR Customer's environment will be verified physically and logically at least once per year. Where there has been a physical inventory during the Measurement Window, a logical inventory is not required. The monthly sample of the logical information is a random set of records from the Service Provider Tape Library Management System that reflects all DIR Customers. The logical attributes to be electronically discovered are maintained in the SMM.	
METRIC INCLUSIONS	All physical backup media that (i) is created at Consolidated Data Centers and (ii) is or should have been transported offsite.	
METRIC EXCLUSIONS	Virtual tapes and tapes retained in the Consolidated Data Centers or Non-Consolidated Service Locations.	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	
ALGORITHM	The Service Level calculation for "Off-Site Media Management – Data Center" is (i) the number of tapes physically stored in the correct location and (ii) electronically listed in the correct location divided by the total number of tapes verified in the Measurement Window, with the result expressed as a percentage. For clarity, tapes that are not located at the correct location (either on-site or off-site) are counted as incorrect. Also, tapes that are without data to be retained and potentially restored (i.e. scratch volumes) that are incorrectly off-site count as incorrect.	

COLLECTION PROCESS	Off-site media management accuracy is measured in two ways: (a) The annual physical verification measures the full active inventory of the Service Provider Tape Library Management System against what is discovered in the physical Off-Site location. (b) The monthly logical verification measures a random sample from the Service Provider Tape Library Management System against the Off-Site location's tape library management system. Through standard reconciliation process, the random sampling is compared with current electronically discovered. The number of tapes physically stored and electronically listed in the correct location, along with the number of tapes verified, will be determined and entered into ServiceFlow Web Form by the Service Provider. ServiceFlow will calculate the SLA result based on the Web Form data. Supporting documentation containing details of the tapes verified will be attached to the Web Form.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ MSI ServiceFlow ▪ SCP Tape Library Management System ▪ SCP Webscan, inventory reconciliation worksheets ▪ Off-site Vendor systems
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

D.0 KEY MEASUREMENTS – DATA CENTER

This Section sets forth qualitative descriptions of the Key Measurements for the Data Center Service Component. The numerical Minimum Service Levels, Expected Service Levels and commencement of obligations associated with such Key Measurements are set forth in **Attachment 3-A**.

D.1 Root Cause Analysis Delivery – Data Center

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE

Root Cause Analysis Delivery – Data Center	3-A	R2.1.1D	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.1.1E Root Cause Analysis Delivery – Enterprise
METRIC DESCRIPTION	The Service Level "Root Cause Analysis Delivery – Data Center" measures the percentage of time Service Provider delivers to DIR, via email, a Root Cause Analyses within (i) ten (10) Business Days from service restoration (for Severity 1), (ii) ten (10) Business Days from request, or (iii) otherwise as agreed upon by DIR.	
METRIC INCLUSIONS and DATA SOURCES	The RCA is documented and tracked within the Problem Management process, and upon completion, is presented by the Service Provider Problem Management Team to the affected DIR Customer and DIR for review and approval. Service Provider will provide Root Cause Analyses for all Severity 1 service restoral Incidents and as reasonably requested by DIR for all other Incidents.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	8:00 AM – 5:00 PM	
DAYS OF MEASUREMENT	Business Days	
MINIMUM SERVICE LEVEL	96.00%	
EXPECTED SERVICE LEVEL	98.00%	
ALGORITHM	The Service Level calculation for "Root Cause Analysis Delivery – Data Center" is the total number of Root Cause Analyses that are delivered to DIR within the required timeframe, divided by the total number of Root Cause Analyses delivered to DIR during the applicable Measurement Window, with the result expressed as a percentage.	
COLLECTION PROCESS	Problem investigations (requests for Root Cause Analysis) will be logged and tracked in the MSI ITSM System. Problems will be categorized and assigned to teams who will analyze the request and perform and document the root cause analysis. The problem ticket will be progressed through the problem management lifecycle. Problem data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter Problem tickets based on appropriate measurement criteria.	
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow	
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.	
PERFORMANCE CATEGORY	Incident and Problem	

METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

D.2 Corrective Actions – Data Center

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Corrective Actions – Data Center	3-A	R2.1.2D	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	No	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.1.2E Corrective Actions – Enterprise
METRIC DESCRIPTION	The Service Level "Corrective Actions – Data Center" measures the percentage of time Service Provider completes corrective actions within the committed timeframes.	
METRIC INCLUSIONS and DATA SOURCES AND DATA SOURCE	Corrective Actions associated with all Data Center Service Component Problem tickets.	
METRIC EXCLUSIONS	Corrective Actions internal to Service Provider.	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	
ALGORITHM	The Service Level calculation for "Corrective Actions – Data Center" is the total number of Corrective Actions that are completed within the required timeframe divided by the total number of Corrective Actions completed during the applicable Measurement Window, with the result expressed as a percentage.	
COLLECTION PROCESS	Corrective Actions will be logged and tracked in the MSI ITSM System. Corrective Actions will be assigned to teams who will implement the Corrective Actions. The Corrective Actions will be progressed through the problem management lifecycle. Problem data, including Corrective Actions, will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter Problem tickets based on appropriate measurement criteria.	
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow	

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

D.3 Change Management Effectiveness – Data Center

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Change Management Effectiveness – Data Center	3-A	R2.2.1D	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.1E Change Management Effectiveness – Enterprise
METRIC DESCRIPTION	The Service Level for "Change Management Effectiveness – Data Center" measures the percentage of time Service Provider successfully implements Changes to the Services.	
METRIC INCLUSIONS and DATA SOURCES	Includes all Data Center Service Component Changes. Changes are not successfully implemented if they: (i) do not comply with the Change Management procedures (including the Change Control Process), the SMM and, except as specified in clause (iii) to this sentence, any associated project plan, (ii) cause either a Severity 1 Incident or Severity 2 Incident, (iii) exceeded the change window, (iv) are backed out, or (v) partial success of change is backed out or unsuccessful.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	93.00%	
EXPECTED SERVICE LEVEL	96.00%	
ALGORITHM	The Service Level calculation for "Change Management Effectiveness – Data Center" is the number of changes that are successfully implemented by Service Provider divided by the number of changes implemented by Service Provider, with the result expressed as a percentage. Changes will be reported in the Measurement Window that the Change ticket is closed, allowing sufficient time to determine if the Change was successful.	

COLLECTION PROCESS	Change tickets will be logged in the MSI ITSM system. Changes will be documented, categorized, and assigned to implementer teams who will work to plan, review, obtain approvals, and progress the ticket through the change management lifecycle. Change data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter change tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

D.4 DR Test Report Delivery – Data Center

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
DR Test Report Delivery – Data Center	3-A	R2.2.2D	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	No	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.2E DR Test Report Delivery – Enterprise
METRIC DESCRIPTION	The Service Level "DR Test Report Delivery – Data Center" measures the percentage of time Service Provider delivers DR test reports within 30 calendar days of the scheduled DR test. The Disaster Recovery test schedule is documented by the Service Provider in the annual DR Test Plan, and may be modified prior to the test, per the rescheduling procedure maintained in the SMM.	
METRIC INCLUSIONS and DATA SOURCES	Includes DR tests for agency applications as well as Service Provider DR tests for infrastructure applications and data centers, as defined in the SMM.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	
ALGORITHM	The Service Level calculation for "DR Test Report Delivery – Data Center" is the total number of DR test reports timely delivered, divided by the total number of DR test reports due within the Measurement Window, with the result expressed as a percentage. A DR test report is deemed as not delivered timely if a DR test is not completed as scheduled or is not scheduled.	
COLLECTION PROCESS	Tracking and providing information regarding whether the Disaster Recovery (DR) tests were performed and DR test reports timely delivered will be the responsibility of the SCP with oversight provided by MSI. As part of the MSI's overall role in DR Planning, the MSI is responsible for the scheduling and execution of DR Tests. The Service Provider works with the MSI on the planning and execution of the tests and the MSI reports back to DIR and the Agencies on the DR Tests performed in scheduled testing window. The total number of DR test reports timely delivered and the total number of DR test reports due will be entered into ServiceFlow by the MSI via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web form data. Supporting documentation containing details of the data measured and validated will be attached to the Web Form.	
2. REPORTING TOOLS	▪ MSI ServiceFlow ▪ MSI DR plan management system	

3. RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR. Data is available from the MSI DR plan management system for at least the past 13 months.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

D.5 DR Test Plan Objectives Met – Data Center

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
DR Test Plan Objectives Met – Data Center	3-A	R2.2.3D	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12+ months data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.3E DR Test Plan Objectives Met – Enterprise
METRIC DESCRIPTION	This Service Level "DR Test Plan Objectives Met – Data Center" measures the percentage of time Service Provider(s) successfully tests (as defined in the SMM) agency and Service Provider infrastructure. If a test is unsuccessful, Service Provider must remediate and successfully re-perform any failed test within ninety (90) days following the initially scheduled test (or such longer period as may be agreed upon by the Parties). The measurement is calculated based on successfully completing the overall test objectives, which must be defined before the test. For purposes of clarity, note that an objective may be met successfully even if issues are identified, provided that the overall objective is met.	
METRIC INCLUSIONS and DATA SOURCES	All DR tests scheduled and performed in the Measurement Window.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	
ALGORITHM	The Service Level calculation for "DR Test Plan Objectives Met – Data Center" is the total number of DR tests that are (i) successfully completed or (ii) successfully completed with issues, divided by the total number of DR tests performed during the applicable Measurement Window, with the result expressed as a percentage.	
COLLECTION PROCESS	Tracking and providing information regarding whether the Disaster Recovery (DR) test plan objectives were met will be the responsibility of the SCP with oversight provided by MSI. The total number of DR tests that are (i) successfully completed or (ii) successfully completed with issues, and the total number of DR tests performed, will be entered into ServiceFlow by the MSI via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web form data. Supporting documentation containing details of the data measured and validated will be attached to the Web Form.	
REPORTING TOOLS	MSI ServiceFlow	

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

E.0 CRITICAL SERVICE LEVELS – NETWORK

This Section sets forth qualitative descriptions of the Critical Service Levels for the Network Service Component. The numerical Minimum Service Levels, Expected Service Levels and commencement of obligations associated with such Critical Service Levels are set forth in **Attachment 3-A**.

E.1 Network Availability

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Network Availability			3-A	S1.1.10	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	No				
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.10 Network Availability			
METRIC DESCRIPTION	The Service Level for "Network Availability" measures the percentage of time the Network is Available during the applicable Measurement Window.				
METRIC INCLUSIONS and DATA SOURCES	This measurement includes all services provided by devices or software in the DCS Network. Downtime begins upon the Start Time of the Outage. Scheduled hours of operations and maintenance windows for DCS Networks will be maintained in the SMM.				
METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.				
HOURS OF MEASUREMENT	24				
DAYS OF MEASUREMENT	365(366)				
MINIMUM SERVICE LEVEL	99.95%				
EXPECTED SERVICE LEVEL	99.99%				

ALGORITHM	The Service Level calculation for "Network Availability" is the sum of Actual Uptime for all server instances in the ADC, the SDC, and on the Winters Legacy network divided by the sum of Critical Uptime for all server instances in the ADC, the SDC, and on the Winters Legacy network, with the result expressed as a percentage.
COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time ▪ MSI CMDB - CIs supporting impacted application ▪ MSI ServiceFlow – downtime to be entered by SCP via Web Form. Supporting documentation containing detail on the outage will be attached to the Web Form. ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

E.2 Resolution Time – Sev 1, 2, 3 and 4 – Network

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Resolution Time – Sev 1, 2, 3 and 4 – Network			3-A	R1.2.4N	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes, 12+ months of data available				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.2.1E Resolution Time - Sev 1 – Enterprise R1.2.2E Resolution Time - Sev 2 – Enterprise R1.2.3E Resolution Time - Sev 3 and 4 – Enterprise			
METRIC DESCRIPTION	The Service Level for "Resolution Time – Sev 1, 2, 3 and 4 – Network" measures the percentage of time Service Provider Resolves Incidents within the applicable timeframes. If an Incident is escalated to a higher Severity Level, then the Resolution Time clock restarts upon escalation to the higher Severity Level. Upon escalation, a new ticket will be created and the original ticket will be cancelled. The cancelled ticket will be related to the new ticket.				

METRIC INCLUSIONS and DATA SOURCES	Includes all Network Service Component Incidents. The applicable resolution timeframes are listed below. Timeframe for Resolution shall be based on the tier designation for the highest Server Instance associated with the Incident. All Mainframe Incidents will be measured as the Gold Consolidated Tier. For any Incidents not associated with a Mainframe or a specific Server designated in a tier, the resolution timeframe shall be measured as a Silver Consolidated Tier. <u>Severity 1</u> • Platinum ≤ 1 hour • Gold ≤ 3 hours (located outside of Consolidated Data Centers) ≤ 2 hours (located in Consolidated Data Centers) • Silver ≤ 5 hours (located outside of Consolidated Data Centers) ≤ 4 hours (located in Consolidated Data Centers) • Bronze ≤ 8 hours (located outside of Consolidated Data Centers) ≤ 6 hours (located in Consolidated Data Centers) <u>Severity 2</u> • Platinum ≤ 2 hour • Gold ≤ 4 hours (located outside of Consolidated Data Centers) ≤ 3 hours (located in Consolidated Data Centers) • Silver ≤ 8 hours (located outside of Consolidated Data Centers) ≤ 6 hours (located in Consolidated Data Centers) • Bronze ≤ 24 hours (located outside of Consolidated Data Centers) ≤ 16 hours (located in Consolidated Data Centers) <u>Severity 3</u> • The Incident shall be Resolved within 3780 minutes (i.e. 63 hours or 7 Business Days) where such minutes shall be measured only between 8:00 AM and 5:00 PM inclusive on Business Days. <u>Severity 4</u> • The Incident shall be Resolved within 4860 minutes (i.e. 81 hours or 9 Business Days) where such minutes shall be measured only between 8:00 AM and 5:00 PM inclusive on Business Days.
METRIC EXCLUSIONS	Incidents related to Mainframe Batch Job ABENDs, backups (in any Service Component), or Print-Mail Equipment.
HOURS OF MEASUREMENT	Sev 1 and Sev 2: 24 Sev 3 and Sev 4: 8:00 AM – 5:00 PM
DAYS OF MEASUREMENT	Sev 1 and Sev 2: 365(366) Sev 3 and Sev 4: Business Days

MINIMUM SERVICE LEVEL	96.00%
EXPECTED SERVICE LEVEL	97.50%
ALGORITHM	The Service Level calculation for "Resolution Time – Sev 1, 2, 3 and 4 – Network" is the total number of Incidents for which the Resolution Time is less than or equal to the relevant resolution timeframe, divided by the total number of Resolved Incidents plus the total number of open Incidents that have exceeded the relevant resolution timeframe, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if an Incident is opened within the current Measurement Window, but its relevant resolution timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such Incident is actually Resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open Incident that has exceeded the relevant resolution timeframe is also carried forward into subsequent Measurement Windows until Resolved; it is counted as failed to meet the resolution timeframes in each subsequent Measurement Window's calculation until Resolved.
COLLECTION PROCESS	Incident tickets will be logged in the MSI ITSM system. Incidents will be categorized and assigned to resolver teams who will work to resolve the incident and progress the ticket through the incident management lifecycle. Incident data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter incident tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

E.3 Service Request Fulfillment – Network

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE

Service Request Fulfillment – Network	3-A	R1.3.1N	0
SERVICE LEVEL TYPE	Critical Service Level		
CURRENTLY MEASURED	No		
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.1E Service Request Fulfillment – Enterprise	
METRIC DESCRIPTION	The Service Level for "Service Request Fulfillment – Network" measures the percentage of time Service Provider successfully completes "Service Requests" (which are defined as requests that do not require solution proposal development; examples of such requests include provisioning ID access, password resets, Service Catalog requests, etc.). Specific target timeframes are maintained in the SMM.		
METRIC INCLUSIONS and DATA SOURCES	Service Requests shall be an agreed upon set of service requests as specified in the SMM.		
METRIC EXCLUSIONS			
HOURS OF MEASUREMENT	As maintained in SMM		
DAYS OF MEASUREMENT	As maintained in SMM		
MINIMUM SERVICE LEVEL	90.00%		
EXPECTED SERVICE LEVEL	95.00%		
ALGORITHM	The Service Level calculation for "Service Request – Network" is the total number of Service Requests that are resolved within the committed timeframes, divided by the total number of resolved Service Requests plus the total number of open Service Requests that have exceeded the committed timeframes, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if a Service Request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such Service Request is actually resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open Service Request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until resolved; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until resolved.		
COLLECTION PROCESS	Service Requests that do not require solution proposal development will be logged and tracked in the MSI ITSM System. Service Requests will be categorized and assigned to resolver teams who will work to fulfill the Service Request and progress the ticket through the service request management lifecycle. Service Request data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.		
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow		

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

E.4 Solution Proposal Delivery – Network

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Solution Proposal Delivery – Network		3-A	R1.3.2N	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.2E Solution Proposal Delivery – Enterprise		
METRIC DESCRIPTION	The Service Level for "Solution Proposal Delivery – Network" measures the percentage of time Service Provider delivers a viable proposal to DIR Customers within the committed timeframes, in response to a solution request. Following receipt of requirements, the Service Provider shall deliver a proposal for each request within the timeframes as listed below: ▪ Small within 15 calendar days ▪ Medium within 30 calendar days ▪ Large within 45 calendar days ▪ Very Large within 60 calendar days When a proposal is delivered, it must include a committed timeframe for project implementation specified as Business Days from the time the project is assigned to the project pool to the implementation completion. This committed number of Business Days will be used in the "Solution Implementation" Service Level. Specific size criteria and guidelines shall be maintained in the SMM.			
METRIC INCLUSIONS and DATA SOURCES	Each proposal submitted to DIR Customers will be counted as a measurable event. If there are multiple proposals for one request due to requirements changes then subsequent iterations will be counted as another event. Each will count as an event and an opportunity to succeed or fail.			

METRIC EXCLUSIONS	Service Requests
HOURS OF MEASUREMENT	24
DAYS OF MEASUREMENT	365(366)
MINIMUM SERVICE LEVEL	90.00%
EXPECTED SERVICE LEVEL	95.00%
ALGORITHM	The Service Level calculation for "Solution Proposal Delivery – Network" is the total number of solution proposals that are delivered within the committed timeframes, divided by the total number of delivered proposals plus the total number of open proposals that have exceeded the committed timeframes, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if a solution proposal request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such request is actually delivered in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open solution proposal request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until delivered; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until delivered.
COLLECTION PROCESS	Solution proposal requests will be logged and tracked in the MSI ITSM System. Solution proposal requests will be categorized and assigned to teams who will work to deliver a proposal and progress the ticket through the service request management lifecycle. Solution proposal data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

E.5 Solution Implementation – Network

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Solution Implementation – Network			3-A	R1.3.3N	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	No				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.3E Solution Implementation – Enterprise			
METRIC DESCRIPTION	The Service Level for "Solution Implementation – Network" measures the percentage of time Service Provider successfully implements a Solution Request within the committed timeframe. All phases of the Solution implementation process from DIR assignment of the project to the project pool through successful implementation (which requires DIR Customer acceptance) into production are included in this measure.				
METRIC INCLUSIONS and DATA SOURCES	The committed timeframe is that timeframe specified in the proposal (as further described in the "Solution Proposal Delivery" Service Level) or otherwise as agreed by the requester.				
METRIC EXCLUSIONS	Service Requests				
HOURS OF MEASUREMENT	N/A				
DAYS OF MEASUREMENT	N/A				
MINIMUM SERVICE LEVEL	90.00%				
EXPECTED SERVICE LEVEL	95.00%				
ALGORITHM	The Service Level calculation for "Solution Implementation – Network" is the total number of projects that are successfully implemented within the committed timeframes, divided by the total number of projects implemented plus the total number of projects that have passed the committed timeframe, with the result expressed as a percentage. Projects will be reported in the Measurement Window in which the associated Change ticket is closed, allowing sufficient time to determine if the project was successful. For purposes of clarity, note the following: (a) if a project is assigned within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such project is actually implemented in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an uncompleted project is also carried forward into subsequent Measurement Windows until implemented; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until implemented.				

COLLECTION PROCESS	When a solution proposal is approved a Change ticket of type project will be automatically generated in the MSI ITSM system. Design requirements will be attached to the Change record. Final sign-off documents will be attached by the SCP when the project is accepted as complete. Upon completion of the post implementation review the MSI Change Manager will close the Change ticket. Solution implementation data will be uploaded from ITSM to ServiceFlow on a daily basis. ServiceFlow will filter change tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

E.6 CMDB Accuracy – Network

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
CMDB Accuracy – Network			3-A	R1.3.4N	11/01/2012
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.4E CMDB Accuracy – Enterprise			
METRIC DESCRIPTION	The Service Level for “CMDB Accuracy – Network” measures the percentage of a random sample of Inventory Records that is determined to be Accurate.				

METRIC INCLUSIONS and DATA SOURCES	The sample for this Service Level must contain a number of randomly selected CMDB Inventory Records that is reasonably acceptable to DIR. The sample size parameters and methodology for sampling will be maintained in the SMM. Additionally, if DIR identifies any missing entries (e.g., a device in the environment with no record in the CMDB), then the missing record will be added to the statistical sample and will be counted as an inaccurate record. For example, if the statistical sample includes 150 randomly identified records, and DIR identifies three missing records, then the total pool for purposes of this calculation is 153. Definitions for purposes of this Service Level: "**Accurate**" means all Critical Inventory Attributes are correctly and completely populated in the CMDB Inventory of Record. "**Critical Inventory Attributes**" means those database fields in an Inventory Record that are essential for Service Provider's successful delivery of Service and necessary for DIR's successful performance of retained responsibilities, including architecture, IT planning, and reconciliation of invoices. The Critical Inventory Attributes are maintained in the SMM. "**CMDB Inventory of Record**" means the inventory of CIs, including all Equipment and Software, to be created and maintained by Service Provider in accordance with the SMM. "**Inventory Record**" means the record for a single item of Equipment or Software in the Inventory of Record, including all of the Critical Inventory Attributes for that item.
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	95.00%
EXPECTED SERVICE LEVEL	98.00%
ALGORITHM	The Service Level calculation for "CMDB Accuracy – Network" is the total number of CMDB Inventory Records that are validated during the applicable Measurement Window and that are Accurate, divided by the total number of Inventory Records that are validated during the applicable Measurement Window, with the result expressed as a percentage.

COLLECTION PROCESS	The sample of inventory records will be pulled from the MSI CMDB using an approved random sampling method each month. Through standard reconciliation processes, the random sampling is compared with current electronically discovered data as provided by Service Provider. Critical Inventory Attributes will be documented in the Service Management Manual. The number of accurate CMDB Inventory Records based on measurement criteria will be determined and entered into ServiceFlow by the MSI Asset Management Team, along with the total number of CMDB Inventory Records in the sample set, via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web Form data. Supporting documentation containing details of the assets validated will be attached to the Web Form.
REPORTING TOOLS	▪ SCP discovery tools ▪ MSI CMDB ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

E.7 License and Maintenance Renewal Timeliness – Network

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
License and Maintenance Renewal Timeliness – Network			3-A	R1.3.5N	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes: 12+ months of data available				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.5E License and Maintenance Renewal Timeliness – Enterprise			
METRIC DESCRIPTION	The Service Level for "License and Maintenance Renewal Timeliness – Network" measures the timeliness of all software license and hardware maintenance renewals and installs as appropriate managed by Service Provider. Expirations for software license and hardware maintenance are maintained in the MSI Contract Management Module.				

METRIC INCLUSIONS and DATA SOURCES	This SLA includes the renewal and installation of software licenses (including infrastructure stack and DIR Customer SSC software) included in the Agreement and hardware maintenance agreements included in DIR Customer Hardware Service Charges (HSC).
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	98.00%
EXPECTED SERVICE LEVEL	99.00%
ALGORITHM	The Service Level calculation for "License and Maintenance Renewal Timeliness – Network" is the total number of license or maintenance renewals processed and installed as appropriate prior to their expiration divided by the total number of license or maintenance agreements scheduled to expire within the Measurement Window. For months in which the total volume of license renewals is low, such that missing three (3) renewals would result in a miss of a Minimum Service Level target or missing two (2) renewals would result in a miss of an Expected Service Level target, the following will apply: 1. If the Service Provider misses three (3) renewals, then the performance for this Service Level shall be deemed to equal the Minimum Service Level target (e.g., reported as 98%). 2. If the Service Provider misses two (2) or less renewals, then the performance for this Service Level shall be deemed to equal the Expected Service Level target (e.g., reported as 99%). 3. If the Service Provider misses four (4) or more renewals, then the standard calculation applies.
COLLECTION PROCESS	Service Provider will provide current proof of entitlements, license renewal dates, and maintenance renewal dates to the MSI. Data will be maintained in the MSI Contract Management Module. A License and Maintenance Renewal Report will compare renewals that are due in the Measurement Window against those that met or failed the target renewal date. Software and hardware renewals and software installations as appropriate will be logged and tracked in the MSI ITSM system. Service Provider will receive a request to renew from the MSI ITSM system. When appropriate a Change Request will be issued to install software. Software renewal installations will be categorized and assigned to resolver teams who will work to fulfill the request. Software and hardware renewal data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI Contract Management Module ▪ MSI ITSM ▪ MSI ServiceFlow

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

E.8 Invoice Dispute Resolution – Network

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Invoice Dispute Resolution – Network	3-A	R1.3.6N	0

SERVICE LEVEL TYPE	Critical Service Level	
CURRENTLY MEASURED	No	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.6E Invoice Dispute Resolution – Enterprise
METRIC DESCRIPTION	The Service Level for “Invoice Dispute Resolution – Network” measures the percentage of invoice disputes that are resolved within twenty (20) Business Days.	
METRIC INCLUSIONS and DATA SOURCES	N/A	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	8:00 AM – 5:00 PM	
DAYS OF MEASUREMENT	Business Days	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	

ALGORITHM	The Service Level calculation for "Invoice Dispute Resolution – Network" is the total number of invoice disputes that are resolved within twenty (20) Business Days of submission, divided by the total number of resolved invoice disputes plus the total number of open invoice disputes that have exceeded twenty (20) Business Days, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if an invoice dispute is initiated within the current Measurement Window, but the twenty Business Days extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such dispute is actually resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open invoice dispute that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until resolved; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until resolved.
COLLECTION PROCESS	Invoice disputes will be logged and tracked in the MSI ITSM System. Invoice Disputes will be categorized and assigned to resolver teams who will work to research and resolve the dispute, and progress the ticket through the service request management lifecycle. Invoice Dispute data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter the service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

E.9 Change Management Effectiveness – Network

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Change Management Effectiveness – Network	3-A	R1.3.7N	0
SERVICE LEVEL TYPE	Critical Service Level		

CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.1E Change Management Effectiveness – Enterprise
METRIC DESCRIPTION	The Service Level for "Change Management Effectiveness – Network" measures the percentage of time Service Provider successfully implements Changes to the Services.	
METRIC INCLUSIONS and DATA SOURCES	Includes all Network Service Component Changes. Changes are not successfully implemented if they: (i) do not comply with the Change Management procedures (including the Change Control Process), the SMM and, except as specified in clause (iii) to this sentence, any associated project plan, (ii) cause either a Severity 1 Incident or Severity 2 Incident, (iii) exceeded the change window, (iv) are backed out, or (v) partial success of change is backed out or unsuccessful.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	93.00%	
EXPECTED SERVICE LEVEL	96.00%	
ALGORITHM	The Service Level calculation for "Change Management Effectiveness – Network" is the number of changes that are successfully implemented by Service Provider divided by the number of changes implemented by Service Provider, with the result expressed as a percentage. Changes will be reported in the Measurement Window that the Change ticket is closed, allowing sufficient time to determine if the Change was successful.	
COLLECTION PROCESS	Change tickets will be logged in the MSI ITSM system. Changes will be documented, categorized, and assigned to implementer teams who will work to plan, review, obtain approvals, and progress the ticket through the change management lifecycle. Change data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter change tickets based on appropriate measurement criteria.	
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow	
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.	
PERFORMANCE CATEGORY	Cross Functional	
METRIC OWNER		
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual	

F.0 KEY MEASUREMENTS – NETWORK

This Section sets forth qualitative descriptions of the Key Measurements for the Network Service Component. The numerical Minimum Service Levels, Expected Service Levels and commencement of obligations associated with such Key Measurements are set forth in **Attachment 3-A**.

F.1 Root Cause Analysis Delivery – Network

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Root Cause Analysis Delivery – Network	3-A	R2.1.1N	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.1.1E Root Cause Analysis Delivery – Enterprise
METRIC DESCRIPTION	The Service Level "Root Cause Analysis Delivery – Network" measures the percentage of time Service Provider delivers to DIR, via email, a Root Cause Analyses within (i) ten (10) Business Days from service restoration (for Severity 1), (ii) ten (10) Business Days from request, or (iii) otherwise as agreed upon by DIR.	
METRIC INCLUSIONS and DATA SOURCES	The RCA is documented and tracked within the Problem Management process, and upon completion, is presented by the Service Provider Problem Management Team to the affected DIR Customer and DIR for review and approval. Service Provider will provide Root Cause Analyses for all Severity 1 service restoral Incidents and as reasonably requested by DIR for all other Incidents.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	8:00 AM – 5:00 PM	
DAYS OF MEASUREMENT	Business Days	
MINIMUM SERVICE LEVEL	96.00%	
EXPECTED SERVICE LEVEL	98.00%	
ALGORITHM	The Service Level calculation for "Root Cause Analysis Delivery – Network" is the total number of Root Cause Analyses that are delivered to DIR within the required timeframe, divided by the total number of Root Cause Analyses delivered to DIR during the applicable Measurement Window, with the result expressed as a percentage.	

COLLECTION PROCESS	Problem investigations (requests for Root Cause Analysis) will be logged and tracked in the MSI ITSM System. Problems will be categorized and assigned to teams who will analyze the request and perform and document the root cause analysis. The problem ticket will be progressed through the problem management lifecycle. Problem data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter Problem tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

F.2 Corrective Actions – Network

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Corrective Actions – Network		3-A	R2.1.2N	0
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.1.2E Corrective Actions – Enterprise		
METRIC DESCRIPTION	The Service Level "Corrective Actions – Network" measures the percentage of time Service Provider completes corrective actions within the committed timeframes.			
METRIC INCLUSIONS and DATA SOURCES AND DATA SOURCE	Corrective Actions associated with all Network Service Component Problem tickets.			
METRIC EXCLUSIONS	Corrective Actions internal to Service Provider.			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			

ALGORITHM	The Service Level calculation for "Corrective Actions – Network" is the total number of Corrective Actions that are completed within the required timeframe divided by the total number of Corrective Actions completed during the applicable Measurement Window, with the result expressed as a percentage.
COLLECTION PROCESS	Corrective Actions will be logged and tracked in the MSI ITSM System. Corrective Actions will be assigned to teams who will implement the Corrective Actions. The Corrective Actions will be progressed through the problem management lifecycle. Problem data, including Corrective Actions, will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter Problem tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

F.3 DR Test Report Delivery – Network

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
DR Test Report Delivery – Network	3-A	R2.2.2N	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	No	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.2E DR Test Report Delivery – Enterprise
METRIC DESCRIPTION	The Service Level "DR Test Report Delivery – Network" measures the percentage of time Service Provider delivers DR test reports within 30 calendar days of the scheduled DR test. The Disaster Recovery test schedule is documented by the Service Provider in the annual DR Test Plan, and may be modified prior to the test, per the rescheduling procedure maintained in the SMM.	

METRIC INCLUSIONS and DATA SOURCES	Includes DR tests for agency applications as well as Service Provider DR tests for infrastructure applications and data centers, as defined in the SMM.
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	90.00%
EXPECTED SERVICE LEVEL	95.00%
ALGORITHM	The Service Level calculation for "DR Test Report Delivery – Network" is the total number of DR test reports timely delivered, divided by the total number of DR test reports due within the Measurement Window, with the result expressed as a percentage. A DR test report is deemed as not delivered timely if a DR test is not completed as scheduled or is not scheduled.
COLLECTION PROCESS	Tracking and providing information regarding whether the Disaster Recovery (DR) tests were performed and DR test reports timely delivered will be the responsibility of the SCP with oversight provided by MSI. As part of the MSI's overall role in DR Planning, the MSI is responsible for the scheduling and execution of DR Tests. The Service Provider works with the MSI on the planning and execution of the tests and the MSI reports back to DIR and the Agencies on the DR Tests performed in scheduled testing window. The total number of DR test reports timely delivered and the total number of DR test reports due will be entered into ServiceFlow by the MSI via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web form data. Supporting documentation containing details of the data measured and validated will be attached to the Web Form.
REPORTING TOOLS	▪ MSI ServiceFlow ▪ MSI DR plan management system
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR. Data is available from the MSI DR plan management system for at least the past 13 months.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

F.4 DR Test Plan Objectives Met – Network

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
DR Test Plan Objectives Met – Network	3-A	R2.2.3N	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12+ months data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.3E DR Test Plan Objectives Met – Enterprise
METRIC DESCRIPTION	This Service Level "DR Test Plan Objectives Met – Network" measures the percentage of time Service Provider(s) successfully tests (as defined in the SMM) agency and Service Provider infrastructure. If a test is unsuccessful, Service Provider must remediate and successfully re-perform any failed test within ninety (90) days following the initially scheduled test (or such longer period as may be agreed upon by the Parties). The measurement is calculated based on successfully completing the overall test objectives, which must be defined before the test. For purposes of clarity, note that an objective may be met successfully even if issues are identified, provided that the overall objective is met.	
METRIC INCLUSIONS and DATA SOURCES	All DR tests scheduled and performed in the Measurement Window.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	
ALGORITHM	The Service Level calculation for "DR Test Plan Objectives Met – Network" is the total number of DR tests that are (i) successfully completed or (ii) successfully completed with issues, divided by the total number of DR tests performed during the applicable Measurement Window, with the result expressed as a percentage.	
COLLECTION PROCESS	Tracking and providing information regarding whether the Disaster Recovery (DR) test plan objectives were met will be the responsibility of the SCP with oversight provided by MSI. The total number of DR tests that are (i) successfully completed or (ii) successfully completed with issues, and the total number of DR tests performed, will be entered into ServiceFlow by the MSI via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web form data. Supporting documentation containing details of the data measured and validated will be attached to the Web Form.	
REPORTING TOOLS	MSI ServiceFlow	

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

G.0 CRITICAL SERVICE LEVELS – MAINFRAME

This Section sets forth qualitative descriptions of the Critical Service Levels for the Mainframe Service Component. The numerical Minimum Service Levels, Expected Service Levels and commencement of obligations associated with such Critical Service Levels are set forth in **Attachment 3-A**.

G.1 Mainframe Availability

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Mainframe Availability		3-A	S1.1.9	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	Yes, 12+ months of data available			
SHARE TYPE and CORRESPONDING METRIC(S)	S	MSI: S1.1.9 Mainframe Availability		
METRIC DESCRIPTION	The Service Level for "Mainframe Availability" measures the percentage of time Applications residing on Mainframe LPARs are Available to the end-user during the applicable Measurement Window. This Service Level is counted by LPAR, not by Application. If Downtime occurs for an Application, all LPARs supporting the Application are considered unavailable for purposes of this Service Level. Downtime begins upon the Start Time of the Outage. If an Application is supported by multiple LPARs, then all LPARs associated with the Application are considered unavailable. If an LPAR itself appears to be operational, but the Application(s) running on the LPAR are not Available, then the LPAR is considered unavailable.			
METRIC INCLUSIONS and DATA SOURCES	Mainframes, LPARs, System Software, supporting Mainframe Infrastructure and related CIs are identified in the CMDB. Scheduled hours of operations and maintenance windows for each infrastructure element related to the Mainframe Applications will be maintained in the SMM.			

METRIC EXCLUSIONS	Failures that do not result in any Application incurring Downtime.
HOURS OF MEASUREMENT	24
DAYS OF MEASUREMENT	365(366)
MINIMUM SERVICE LEVEL	99.70%
EXPECTED SERVICE LEVEL	99.90%
ALGORITHM	The Service Level calculation for "Mainframe Availability" is the sum of Actual Uptime for all LPARs divided by the sum of Critical Uptime for all such LPARs, with the result expressed as a percentage.
COLLECTION PROCESS	If an outage event occurs it will be identified by the responsible Service Component Provider (SCP) event monitoring system or by a user initiated incident, and tracked to resolution via an incident ticket in the MSI Incident ticketing system. The SCP will improve the Incident ticket quality, including unavailability records and accurate Start Time, via root cause analysis for Severity 1 and 2 Incidents, and the use of tools if such tool data is available. For reporting purposes, required data elements will be collected from each of the data sources. For example: ▪ MSI ITSM - incident ticket number, incident summary, incident resolution text, resolution time, impacted CI name(s), actual outage start time, actual outage stop time, and outage duration ▪ MSI CMDB - Mainframes, LPARs, System Software, supporting Mainframe Infrastructure and related CIs supporting impacted application ▪ Service Management Manual - maintenance schedules, hours of operation Collected data will be sourced by the ServiceFlow application for purposes of aggregating, calculating, measuring and reporting SLA results. Manual input will be considered for purposes of supplementing collected data where necessary.
REPORTING TOOLS	As described in the process above, the following tools will be utilized: ▪ SCP event monitoring system ▪ MSI ITSM ▪ MSI CMDB ▪ MSI ServiceFlow ▪ Service Management Manual
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Availability
METRIC OWNER	

METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

G.2 Resolution Time – Sev 1, 2, 3 and 4 – Mainframe

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Resolution Time – Sev 1, 2, 3 and 4 – Mainframe			3-A	R1.2.4M	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes, 12+ months of data available				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.2.1E Resolution Time - Sev 1 – Enterprise R1.2.2E Resolution Time - Sev 2 – Enterprise R1.2.3E Resolution Time - Sev 3 and 4 – Enterprise			
METRIC DESCRIPTION	The Service Levels for "Resolution Time – Sev 1, 2, 3 and 4 – Mainframe" measures the percentage of time Service Provider Resolves Incidents within the applicable timeframes. If an Incident is escalated to a higher Severity Level, then the Resolution Time clock restarts upon escalation to the higher Severity Level. Upon escalation, a new ticket will be created and the original ticket will be cancelled. The cancelled ticket will be related to the new ticket.				

METRIC INCLUSIONS and DATA SOURCES	Includes all Mainframe Service Component Incidents. The applicable resolution timeframes are listed below. Timeframe for Resolution shall be based on the tier designation for the highest Server Instance associated with the Incident. All Mainframe Incidents will be measured as the Gold Consolidated Tier. For any Incidents not associated with a Mainframe or a specific Server designated in a tier, the resolution timeframe shall be measured as a Silver Consolidated Tier. <u>Severity 1</u> • Platinum ≤ 1 hour • Gold ≤ 3 hours (located outside of Consolidated Data Centers) ≤ 2 hours (located in Consolidated Data Centers) • Silver ≤ 5 hours (located outside of Consolidated Data Centers) ≤ 4 hours (located in Consolidated Data Centers) • Bronze ≤ 8 hours (located outside of Consolidated Data Centers) ≤ 6 hours (located in Consolidated Data Centers) <u>Severity 2</u> • Platinum ≤ 2 hour • Gold ≤ 4 hours (located outside of Consolidated Data Centers) ≤ 3 hours (located in Consolidated Data Centers) • Silver ≤ 8 hours (located outside of Consolidated Data Centers) ≤ 6 hours (located in Consolidated Data Centers) • Bronze ≤ 24 hours (located outside of Consolidated Data Centers) ≤ 16 hours (located in Consolidated Data Centers) <u>Severity 3</u> • The Incident shall be Resolved within 3780 minutes (i.e. 63 hours or 7 Business Days) where such minutes shall be measured only between 8:00 AM and 5:00 PM inclusive on Business Days. <u>Severity 4</u> • The Incident shall be Resolved within 4860 minutes (i.e. 81 hours or 9 Business Days) where such minutes shall be measured only between 8:00 AM and 5:00 PM inclusive on Business Days.
METRIC EXCLUSIONS	Incidents related to Mainframe Batch Job ABENDs, backups (in any Service Component), or Print-Mail Equipment.
HOURS OF MEASUREMENT	Sev 1 and Sev 2: 24 Sev 3 and Sev 4: 8:00 AM – 5:00 PM
DAYS OF MEASUREMENT	Sev 1 and Sev 2: 365(366) Sev 3 and Sev 4: Business Days

MINIMUM SERVICE LEVEL	96.00%
EXPECTED SERVICE LEVEL	97.50%
ALGORITHM	The Service Level calculation for "Resolution Time – Sev 1, 2, 3 and 4 – Mainframe" is the total number of Incidents for which the Resolution Time is less than or equal to the relevant resolution timeframe, divided by the total number of Resolved Incidents plus the total number of open Incidents that have exceeded the relevant resolution timeframe, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if an Incident is opened within the current Measurement Window, but its relevant resolution timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such Incident is actually Resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open Incident that has exceeded the relevant resolution timeframe is also carried forward into subsequent Measurement Windows until Resolved; it is counted as failed to meet the resolution timeframes in each subsequent Measurement Window's calculation until Resolved.
COLLECTION PROCESS	Incident tickets will be logged in the MSI ITSM system. Incidents will be categorized and assigned to resolver teams who will work to resolve the incident and progress the ticket through the incident management lifecycle. Incident data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter incident tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

G.3 Service Request Fulfillment – Mainframe

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE

Service Request Fulfillment – Mainframe	3-A	R1.3.1M	0
SERVICE LEVEL TYPE	Critical Service Level		
CURRENTLY MEASURED	No		
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.1E Service Request Fulfillment – Enterprise	
METRIC DESCRIPTION	The Service Level for "Service Request Fulfillment – Mainframe" measures the percentage of time Service Provider successfully completes "Service Requests" (which are defined as requests that do not require solution proposal development; examples of such requests include provisioning ID access, password resets, Service Catalog requests, etc.). Specific target timeframes are maintained in the SMM.		
METRIC INCLUSIONS and DATA SOURCES	Service Requests shall be an agreed upon set of service requests as specified in the SMM.		
METRIC EXCLUSIONS	Service Requests related to data recoveries.		
HOURS OF MEASUREMENT	As maintained in SMM		
DAYS OF MEASUREMENT	As maintained in SMM		
MINIMUM SERVICE LEVEL	90.00%		
EXPECTED SERVICE LEVEL	95.00%		
ALGORITHM	The Service Level calculation for "Service Request – Mainframe" is the total number of Service Requests that are resolved within the committed timeframes, divided by the total number of resolved Service Requests plus the total number of open Service Requests that have exceeded the committed timeframes, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if a Service Request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such Service Request is actually resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open Service Request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until resolved; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until resolved.		
COLLECTION PROCESS	Service Requests that do not require solution proposal development will be logged and tracked in the MSI ITSM System. Service Requests will be categorized and assigned to resolver teams who will work to fulfill the Service Request and progress the ticket through the service request management lifecycle. Service Request data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.		
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow		

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

G.4 Solution Proposal Delivery – Mainframe

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Solution Proposal Delivery – Mainframe		3-A	R1.3.2M	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.2E Solution Proposal Delivery – Enterprise		
METRIC DESCRIPTION	The Service Level for "Solution Proposal Delivery – Mainframe" measures the percentage of time Service Provider delivers a viable proposal to DIR Customers within the committed timeframes, in response to a solution request. Following receipt of requirements, the Service Provider shall deliver a proposal for each request within the timeframes as listed below: ▪ Small within 15 calendar days ▪ Medium within 30 calendar days ▪ Large within 45 calendar days ▪ Very Large within 60 calendar days When a proposal is delivered, it must include a committed timeframe for project implementation specified as Business Days from the time the project is assigned to the project pool to the implementation completion. This committed number of Business Days will be used in the "Solution Implementation" Service Level. Specific size criteria and guidelines shall be maintained in the SMM.			
METRIC INCLUSIONS and DATA SOURCES	Each proposal submitted to DIR Customers will be counted as a measurable event. If there are multiple proposals for one request due to requirements changes then subsequent iterations will be counted as another event. Each will count as an event and an opportunity to succeed or fail.			

METRIC EXCLUSIONS	Service Requests
HOURS OF MEASUREMENT	24
DAYS OF MEASUREMENT	365(366)
MINIMUM SERVICE LEVEL	90.00%
EXPECTED SERVICE LEVEL	95.00%
ALGORITHM	The Service Level calculation for "Solution Proposal Delivery – Mainframe" is the total number of solution proposals that are delivered within the committed timeframes, divided by the total number of delivered proposals plus the total number of open proposals that have exceeded the committed timeframes, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if a solution proposal request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such request is actually delivered in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open solution proposal request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until delivered; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until delivered.
COLLECTION PROCESS	Solution proposal requests will be logged and tracked in the MSI ITSM System. Solution proposal requests will be categorized and assigned to teams who will work to deliver a proposal and progress the ticket through the service request management lifecycle. Solution proposal data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

G.5 Solution Implementation – Mainframe

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Solution Implementation – Mainframe	3-A	R1.3.3M	0

SERVICE LEVEL TYPE	Critical Service Level	
CURRENTLY MEASURED	No	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.3E Solution Implementation – Enterprise
METRIC DESCRIPTION	The Service Level for "Solution Implementation – Mainframe" measures the percentage of time Service Provider successfully implements a Solution Request within the committed timeframe. All phases of the Solution implementation process from DIR assignment of the project to the project pool through successful implementation (which requires DIR Customer acceptance) into production are included in this measure.	
METRIC INCLUSIONS and DATA SOURCES	The committed timeframe is that timeframe specified in the proposal (as further described in the "Solution Proposal Delivery" Service Level) or otherwise as agreed by the requester.	
METRIC EXCLUSIONS	Service Requests	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	90.00%	
EXPECTED SERVICE LEVEL	95.00%	
ALGORITHM	The Service Level calculation for "Solution Implementation – Mainframe" is the total number of projects that are successfully implemented within the committed timeframes, divided by the total number of projects implemented plus the total number of projects that have passed the committed timeframe, with the result expressed as a percentage. Projects will be reported in the Measurement Window in which the associated Change ticket is closed, allowing sufficient time to determine if the project was successful. For purposes of clarity, note the following: (a) if a project is assigned within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such project is actually implemented in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an uncompleted project is also carried forward into subsequent Measurement Windows until implemented; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until implemented.	

COLLECTION PROCESS	When a solution proposal is approved a Change ticket of type project will be automatically generated in the MSI ITSM system. Design requirements will be attached to the Change record. Final sign-off documents will be attached by the SCP when the project is accepted as complete. Upon completion of the post implementation review the MSI Change Manager will close the Change ticket. Solution implementation data will be uploaded from ITSM to ServiceFlow on a daily basis. ServiceFlow will filter change tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

G.6 CMDB Accuracy – Mainframe

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
CMDB Accuracy – Mainframe			3-A	R1.3.4M	11/01/2012
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.4E CMDB Accuracy – Enterprise			
METRIC DESCRIPTION	The Service Level for “CMDB Accuracy – Mainframe” measures the percentage of a random sample of Inventory Records that is determined to be Accurate.				

METRIC INCLUSIONS and DATA SOURCES	The sample for this Service Level must contain a number of randomly selected CMDB Inventory Records that is reasonably acceptable to DIR. The sample size parameters and methodology for sampling will be maintained in the SMM. Additionally, if DIR identifies any missing entries (e.g., a device in the environment with no record in the CMDB), then the missing record will be added to the statistical sample and will be counted as an inaccurate record. For example, if the statistical sample includes 150 randomly identified records, and DIR identifies three missing records, then the total pool for purposes of this calculation is 153. Definitions for purposes of this Service Level: "**Accurate**" means all Critical Inventory Attributes are correctly and completely populated in the CMDB Inventory of Record. "**Critical Inventory Attributes**" means those database fields in an Inventory Record that are essential for Service Provider's successful delivery of Service and necessary for DIR's successful performance of retained responsibilities, including architecture, IT planning, and reconciliation of invoices. The Critical Inventory Attributes are maintained in the SMM. "**CMDB Inventory of Record**" means the inventory of CIs, including all Equipment and Software, to be created and maintained by Service Provider in accordance with the SMM. "**Inventory Record**" means the record for a single item of Equipment or Software in the Inventory of Record, including all of the Critical Inventory Attributes for that item.
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	95.00%
EXPECTED SERVICE LEVEL	98.00%
ALGORITHM	The Service Level calculation for "CMDB Accuracy – Mainframe" is the total number of CMDB Inventory Records that are validated during the applicable Measurement Window and that are Accurate, divided by the total number of Inventory Records that are validated during the applicable Measurement Window, with the result expressed as a percentage.

COLLECTION PROCESS	The sample of inventory records will be pulled from the MSI CMDB using an approved random sampling method each month. Through standard reconciliation processes, the random sampling is compared with current electronically discovered data as provided by Service Provider. Critical Inventory Attributes will be documented in the Service Management Manual. The number of accurate CMDB Inventory Records based on measurement criteria will be determined and entered into ServiceFlow by the MSI Asset Management Team, along with the total number of CMDB Inventory Records in the sample set, via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web Form data. Supporting documentation containing details of the assets validated will be attached to the Web Form.
REPORTING TOOLS	▪ SCP discovery tools ▪ MSI CMDB ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

G.7 License and Maintenance Renewal Timeliness – Mainframe

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
License and Maintenance Renewal Timeliness – Mainframe			3-A	R1.3.5M	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	Yes: 12+ months of data available				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.5E License and Maintenance Renewal Timeliness – Enterprise			

METRIC DESCRIPTION	The Service Level for "License and Maintenance Renewal Timeliness – Mainframe" measures the timeliness of all software license and hardware maintenance renewals and installs as appropriate managed by Service Provider. Expirations for software license and hardware maintenance are maintained in the MSI Contract Management Module.
METRIC INCLUSIONS and DATA SOURCES	This SLA includes the renewal and installation of software licenses (including infrastructure stack and DIR Customer SSC software) included in the Agreement and hardware maintenance agreements included in DIR Customer Hardware Service Charges (HSC).
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	98.00%
EXPECTED SERVICE LEVEL	99.00%
ALGORITHM	The Service Level calculation for "License and Maintenance Renewal Timeliness – Mainframe" is the total number of license or maintenance renewals processed and installed as appropriate prior to their expiration divided by the total number of license or maintenance agreements scheduled to expire within the Measurement Window. For months in which the total volume of license renewals is low, such that missing three (3) renewals would result in a miss of a Minimum Service Level target or missing two (2) renewals would result in a miss of an Expected Service Level target, the following will apply: 1. If the Service Provider misses three (3) renewals, then the performance for this Service Level shall be deemed to equal the Minimum Service Level target (e.g., reported as 98%). 2. If the Service Provider misses two (2) or less renewals, then the performance for this Service Level shall be deemed to equal the Expected Service Level target (e.g., reported as 99%). 3. If the Service Provider misses four (4) or more renewals, then the standard calculation applies.
COLLECTION PROCESS	Service Provider will provide current proof of entitlements, license renewal dates, and maintenance renewal dates to the MSI. Data will be maintained in the MSI Contract Management Module. A License and Maintenance Renewal Report will compare renewals that are due in the Measurement Window against those that met or failed the target renewal date. Software and hardware renewals and software installations as appropriate will be logged and tracked in the MSI ITSM system. Service Provider will receive a request to renew from the MSI ITSM system. When appropriate a Change Request will be issued to install software. Software renewal installations will be categorized and assigned to resolver teams who will work to fulfill the request. Software and hardware renewal data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter tickets based on appropriate measurement criteria.

REPORTING TOOLS	▪ MSI Contract Management Module ▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

G.8 Invoice Dispute Resolution – Mainframe

SERVICE LEVEL NAME			EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Invoice Dispute Resolution – Mainframe			3-A	R1.3.6M	0
SERVICE LEVEL TYPE	Critical Service Level				
CURRENTLY MEASURED	No				
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.6E Invoice Dispute Resolution – Enterprise			
METRIC DESCRIPTION	The Service Level for "Invoice Dispute Resolution – Mainframe" measures the percentage of invoice disputes that are resolved within twenty (20) Business Days.				
METRIC INCLUSIONS and DATA SOURCES	N/A				
METRIC EXCLUSIONS	N/A				
HOURS OF MEASUREMENT	8:00 AM – 5:00 PM				
DAYS OF MEASUREMENT	Business Days				
MINIMUM SERVICE LEVEL	90.00%				
EXPECTED SERVICE LEVEL	95.00%				

ALGORITHM	The Service Level calculation for "Invoice Dispute Resolution – Mainframe" is the total number of invoice disputes that are resolved within twenty (20) Business Days of submission, divided by the total number of resolved invoice disputes plus the total number of open invoice disputes that have exceeded twenty (20) Business Days, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if an invoice dispute is initiated within the current Measurement Window, but the twenty Business Days extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless such dispute is actually resolved in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open invoice dispute that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until resolved; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until resolved.
COLLECTION PROCESS	Invoice disputes will be logged and tracked in the MSI ITSM System. Invoice Disputes will be categorized and assigned to resolver teams who will work to research and resolve the dispute, and progress the ticket through the service request management lifecycle. Invoice Dispute data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter the service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

G.9 Successful Backups – Mainframe

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Successful Backups – Mainframe		3-A	U1.4.1M	0
SERVICE LEVEL TYPE	Critical Service Level			

CURRENTLY MEASURED	Yes	
SHARE TYPE and CORRESPONDING METRIC	U	N/A
METRIC DESCRIPTION	The Service Level for "Successful Backups – Mainframe" measures the percentage of time Service Provider completes backup jobs on systems located at Consolidated Data Centers successfully during the applicable Measurement Window in accordance with the relevant criteria specified in the Service Management Manual. Timeframes for Mainframe backup jobs are maintained in the SMM by Service Provider.	
METRIC INCLUSIONS	Backup jobs include all registered backup clients (including all file systems, databases, application files, operating systems, applications and respective data).	
METRIC EXCLUSIONS	(a) If there is an appropriate tool in use that captures open files, then the backup of open files are included as part of the backup. If there is not an appropriate tool in use for the capture of open files, then open files are skipped and not counted against this Service Level. (b) Backups of functionality exclusively for Service Provider are excluded.	
HOURS OF MEASUREMENT	24	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	97.00%	
EXPECTED SERVICE LEVEL	99.00%	
ALGORITHM	The Service Level for "Successful Backups – Mainframe" is the number of times Service Provider completes backup jobs successfully and within the specified timeframes during the applicable Measurement Window divided by the number of times Service Provider should have completed backup jobs within the applicable Measurement Window, with the result expressed as a percentage.	
COLLECTION PROCESS	Incidents are created for backups that are not successfully completed. On a daily basis, Service Provider uploads files from the SCP Mainframe production control system(s) to the MSI designated file store that details information on all mainframe backup jobs that were scheduled and indicates those that have and have not been successfully completed. The files will be imported into ServiceFlow daily.	
REPORTING TOOLS	▪ SCP production control systems ▪ MSI ServiceFlow	
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR. Raw measurement data is available from the Service Provider Mainframe production control system(s) for at least the past 13 months.	
PERFORMANCE CATEGORY	Other Service Delivery	

METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

G.10 Successful Recoveries – Mainframe

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Successful Recoveries – Mainframe	3-A	U1.4.3M	0

SERVICE LEVEL TYPE	Critical Service Level	
CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC	U	N/A
METRIC DESCRIPTION	The Service Level for "Successful Recoveries – Mainframe" measures the percentage of time Service Provider initiates data recoveries within the specified timeframe during the applicable Measurement Window. Specific target timeframes are maintained in the SMM.	
METRIC INCLUSIONS	Includes all Service Requests for file restores not related to an Outage.	
METRIC EXCLUSIONS	Recoveries of functionality exclusive for the Service Provider are excluded. There is no pending time for data recoveries to Mainframes.	
HOURS OF MEASUREMENT	24	
DAYS OF MEASUREMENT	365(366)	
MINIMUM SERVICE LEVEL	98.00%	
EXPECTED SERVICE LEVEL	99.00%	

ALGORITHM	The Service Level calculation for "Successful Recoveries – Mainframe" is the total number of service requests for data recovery that are initiated successfully and in the specified timeframes during the applicable Measurement Window, divided by the total number of service requests for data recovery that were scheduled to be initiated during the applicable Measurement Window, with the result expressed as a percentage. For purposes of clarity, note the following: (a) if a service request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window's calculation (unless the data recovery for a service request is actually initiated in the current Measurement Window, in which case it is included in the current Measurement Window's calculation) (b) an open service request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows until the data recovery is initiated; it is counted as failed to meet the committed timeframes in each subsequent Measurement Window's calculation until initiated.
COLLECTION PROCESS	Data recovery requests are handled as service requests in the MSI ITSM. Service requests will be categorized and assigned to resolver teams who will work to fulfill the service request and progress the ticket through the service request management lifecycle. Service Provider will update the service request to designate when the data recovery has been initiated. The service request is updated with success or failure, once the data recovery request has been fulfilled and approved for closure. Service Request data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

H.0 KEY MEASUREMENTS – MAINFRAME

This Section sets forth qualitative descriptions of the Key Measurements for the Mainframe Service Component. The numerical Minimum Service Levels, Expected Service Levels and commencement of obligations associated with such Key Measurements are set forth in **Attachment 3-A**.

H.1 Root Cause Analysis Delivery – Mainframe

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Root Cause Analysis Delivery – Mainframe	3-A	R2.1.1M	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.1.1E Root Cause Analysis Delivery – Enterprise
METRIC DESCRIPTION	The Service Level "Root Cause Analysis Delivery – Mainframe" measures the percentage of time Service Provider delivers to DIR, via email, a Root Cause Analyses within (i) ten (10) Business Days from service restoration (for Severity 1), (ii) ten (10) Business Days from request, or (iii) otherwise as agreed upon by DIR.	
METRIC INCLUSIONS and DATA SOURCES	The RCA is documented and tracked within the Problem Management process, and upon completion, is presented by the Service Provider Problem Management Team to the affected DIR Customer and DIR for review and approval. Service Provider will provide Root Cause Analyses for all Severity 1 service restoral Incidents and as reasonably requested by DIR for all other Incidents.	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	8:00 AM – 5:00 PM	
DAYS OF MEASUREMENT	Business Days	
MINIMUM SERVICE LEVEL	96.00%	
EXPECTED SERVICE LEVEL	98.00%	
ALGORITHM	The Service Level calculation for "Root Cause Analysis Delivery – Mainframe" is the total number of Root Cause Analyses that are delivered to DIR within the required timeframe, divided by the total number of Root Cause Analyses delivered to DIR during the applicable Measurement Window, with the result expressed as a percentage.	

COLLECTION PROCESS	Problem investigations (requests for Root Cause Analysis) will be logged and tracked in the MSI ITSM System. Problems will be categorized and assigned to teams who will analyze the request and perform and document the root cause analysis. The problem ticket will be progressed through the problem management lifecycle. Problem data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter Problem tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

H.2 Corrective Actions – Mainframe

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Corrective Actions – Mainframe		3-A	R2.1.2M	0
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.1.2E Corrective Actions – Enterprise		
METRIC DESCRIPTION	The Service Level "Corrective Actions – Mainframe" measures the percentage of time Service Provider completes corrective actions within the committed timeframes.			
METRIC INCLUSIONS and DATA SOURCES AND DATA SOURCE	Corrective Actions associated with all Mainframe Service Component Problem tickets.			
METRIC EXCLUSIONS	Corrective Actions internal to Service Provider.			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			

ALGORITHM	The Service Level calculation for "Corrective Actions – Mainframe" is the total number of Corrective Actions that are completed within the required timeframe divided by the total number of Corrective Actions completed during the applicable Measurement Window, with the result expressed as a percentage.
COLLECTION PROCESS	Corrective Actions will be logged and tracked in the MSI ITSM System. Corrective Actions will be assigned to teams who will implement the Corrective Actions. The Corrective Actions will be progressed through the problem management lifecycle. Problem data, including Corrective Actions, will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter Problem tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

H.3 Change Management Effectiveness – Mainframe

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Change Management Effectiveness – Mainframe	3-A	R2.2.1M	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.1E Change Management Effectiveness – Enterprise
METRIC DESCRIPTION	The Service Level for "Change Management Effectiveness – Mainframe" measures the percentage of time Service Provider successfully implements Changes to the Services.	

METRIC INCLUSIONS and DATA SOURCES	Includes all Mainframe Service Component Changes. Changes are not successfully implemented if they: (i) do not comply with the Change Management procedures (including the Change Control Process), the SMM and, except as specified in clause (iii) to this sentence, any associated project plan, (ii) cause either a Severity 1 Incident or Severity 2 Incident, (iii) exceeded the change window, (iv) are backed out, or (v) partial success of change is backed out or unsuccessful.
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	93.00%
EXPECTED SERVICE LEVEL	96.00%
ALGORITHM	The Service Level calculation for "Change Management Effectiveness – Mainframe" is the number of changes that are successfully implemented by Service Provider divided by the number of changes implemented by Service Provider, with the result expressed as a percentage. Changes will be reported in the Measurement Window that the Change ticket is closed, allowing sufficient time to determine if the Change was successful.
COLLECTION PROCESS	Change tickets will be logged in the MSI ITSM system. Changes will be documented, categorized, and assigned to implementer teams who will work to plan, review, obtain approvals, and progress the ticket through the change management lifecycle. Change data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter change tickets based on appropriate measurement criteria.
REPORTING TOOLS	▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

H.4 DR Test Report Delivery – Mainframe

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE

DR Test Report Delivery – Mainframe		3-A	R2.2.2M	0
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.2E DR Test Report Delivery – Enterprise		
METRIC DESCRIPTION	The Service Level "DR Test Report Delivery – Mainframe" measures the percentage of time Service Provider delivers DR test reports within 30 calendar days of the scheduled DR test. The Disaster Recovery test schedule is documented by the Service Provider in the annual DR Test Plan, and may be modified prior to the test, per the rescheduling procedure maintained in the SMM.			
METRIC INCLUSIONS and DATA SOURCES	Includes DR tests for agency applications as well as Service Provider DR tests for infrastructure applications and data centers, as defined in the SMM.			
METRIC EXCLUSIONS	N/A			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			
ALGORITHM	The Service Level calculation for "DR Test Report Delivery – Mainframe" is the total number of DR test reports timely delivered, divided by the total number of DR test reports due within the Measurement Window, with the result expressed as a percentage. A DR test report is deemed as not delivered timely if a DR test is not completed as scheduled or is not scheduled.			
COLLECTION PROCESS	Tracking and providing information regarding whether the Disaster Recovery (DR) tests were performed and DR test reports timely delivered will be the responsibility of the SCP with oversight provided by MSI. As part of the MSI's overall role in DR Planning, the MSI is responsible for the scheduling and execution of DR Tests. The Service Provider works with the MSI on the planning and execution of the tests and the MSI reports back to DIR and the Agencies on the DR Tests performed in scheduled testing window. The total number of DR test reports timely delivered and the total number of DR test reports due will be entered into ServiceFlow by the MSI via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web form data. Supporting documentation containing details of the data measured and validated will be attached to the Web Form.			
REPORTING TOOLS	▪ MSI ServiceFlow ▪ MSI DR plan management system			

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR. Data is available from the MSI DR plan management system for at least the past 13 months.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

H.5 DR Test Plan Objectives Met – Mainframe

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
DR Test Plan Objectives Met – Mainframe		3-A	R2.2.3M	0
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	Yes, 12+ months data available			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.3E DR Test Plan Objectives Met – Enterprise		
METRIC DESCRIPTION	This Service Level "DR Test Plan Objectives Met – Mainframe" measures the percentage of time Service Provider(s) successfully tests (as defined in the SMM) agency and Service Provider infrastructure. If a test is unsuccessful, Service Provider must remediate and successfully re-perform any failed test within ninety (90) days following the initially scheduled test (or such longer period as may be agreed upon by the Parties). The measurement is calculated based on successfully completing the overall test objectives, which must be defined before the test. For purposes of clarity, note that an objective may be met successfully even if issues are identified, provided that the overall objective is met.			
METRIC INCLUSIONS and DATA SOURCES	All DR tests scheduled and performed in the Measurement Window.			
METRIC EXCLUSIONS	N/A			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			

ALGORITHM	The Service Level calculation for "DR Test Plan Objectives Met – Mainframe" is the total number of DR tests that are (i) successfully completed or (ii) successfully completed with issues, divided by the total number of DR tests performed during the applicable Measurement Window, with the result expressed as a percentage.
COLLECTION PROCESS	Tracking and providing information regarding whether the Disaster Recovery (DR) test plan objectives were met will be the responsibility of the SCP with oversight provided by MSI. The total number of DR tests that are (i) successfully completed or (ii) successfully completed with issues, and the total number of DR tests performed, will be entered into ServiceFlow by the MSI via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web form data. Supporting documentation containing details of the data measured and validated will be attached to the Web Form.
REPORTING TOOLS	MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual

H.6 Batch Processing Completed within Window

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Batch Processing Completed within Window	3-A	U2.3.5M	0

SERVICE LEVEL TYPE	Key Measurement	
CURRENTLY MEASURED	Yes, 12 + months of data available	
SHARE TYPE and CORRESPONDING METRIC	U	N/A
METRIC DESCRIPTION	The Service Level for "Batch Processing Completed within Window" measures the percentage of time Service Provider completes Batch schedules successfully and on time during the applicable Measurement Window in accordance with the relevant specifications located in the SMM.	
METRIC INCLUSIONS	Batch schedules include normally scheduled and recurring production jobs, as well as production jobs that are run on an as-needed basis.	

METRIC EXCLUSIONS	Any batch schedules related to infrastructure backups, or other functionality exclusive for Service Provider would be excluded.
HOURS OF MEASUREMENT	24
DAYS OF MEASUREMENT	365(366)
MINIMUM SERVICE LEVEL	99.50%
EXPECTED SERVICE LEVEL	99.90%
ALGORITHM	The Service Level calculation for "Batch Processing Completed within Window" is the total number of Batch schedules that are executed successfully and on time during the applicable Measurement Window, divided by the total number of Batch schedules that should have been executed during the applicable Measurement Window, with the result expressed as a percentage. If an online transaction processing region is unavailable at its scheduled start time due to Batch schedules not completing on time, then each schedule that has not completed by the scheduled start of the online transaction processing region is counted as failed for this Service Level.
COLLECTION PROCESS	Batch schedule performance data is collected using the SCP production control systems. Incidents are created for batch jobs that fail to launch on time. On a daily basis, Service Provider uploads files from the SCP production control system(s) to the MSI designated file store that details information on all batch schedules that were scheduled for execution and indicates those that have and have not been successfully executed. The files will be imported into ServiceFlow daily.
REPORTING TOOLS	▪ SCP production control systems ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	☒ Monthly ☐ Quarterly ☐ Semi Annual