



**Exhibit 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

ACS State & Local Solutions, Inc.

**Exhibit 6
Governance Model**

December 30, 2011

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EXHIBIT 6
GOVERNANCE

Update Methodologies and Attachments to Exhibit 6

The following update methodologies and attachments are incorporated as part of **Exhibit 6**:

Title	Methodology for Updating Associated Exhibit Attachments
<u>Exhibit 6</u> Governance	<u>Exhibit 6</u> is a point of reference at contract execution with future updates made in accordance with Section 2.2, Organizational Overview, of the Service Management Manual.
<u>Attachment 6-A</u> DIR Functional Organization Chart	<u>Attachment 6-A</u> is a point of reference at contract execution. No updates are anticipated for <u>Attachment 6-A</u> .
<u>Attachment 6-B</u> Service Management Manual	<u>Attachment 6-B</u> is a point of reference at contract execution with future updates made in accordance with version control procedures Section 2.1, of the Service Management Manual.
<u>Attachment 6-C</u> Operating Level Agreement (OLA)	<u>Attachment 6-C</u> may only be modified by formal amendment, in accordance with <u>Section 21.7</u> of the MSA.

1. INTRODUCTION

In 2010, DIR established the owner-operator governance model for the data center services program. This model involves DIR and DIR Customers at all levels in governance decision making, including as representatives on all governance committees. The owner-operator model focuses on resolving issues at the lowest possible level and driving for consensus-based solutions. Where consensus cannot be reached, there are escalation processes in place. This Exhibit describes the owner-operator governance structure; the roles and responsibilities to maintain a working relationship, Service Provider participation and the issue management process in place.

1.1 Purpose and Guiding Principles

The governance model is a set of defined interactions, expectations, decisions, roles and processes that guide the governance of the DCS program. The governance model is designed to facilitate effective resolution of issues and enable strategic decision making. The governance model involves DIR, DIR Customers, and DCS Service Providers and has the following guiding principles:

- Establish DIR Customer business executives as leaders in guiding the data center services program strategy
- Implement a decision-making model with DIR Customer authority and accountability
- Resolve issues at the lowest possible organizational level
- Establish representative groups to resolve issues
- Formalize roles and responsibilities for strategy and issue management among DIR, DIR Customers and DCS Service Providers. .

2. GOVERNANCE POLICY

Governance of the DCS program is based on an “owner-operator” approach in which DIR Customers actively work directly with DCS Service Providers to resolve local operational issues and participate in committees to address enterprise matters. Enterprise-level decisions, DIR Customers’ issues, and resolution of escalated DIR Customer-specific issues are carried out by standing governance committees, organized by subject area and comprised of representatives from DIR Customers, DIR management and subject-matter experts. DIR Customers are structured into “partner groups,” which select representatives to participate in these committees.

Central features of the owner-operator model include the following:

- DIR Customers work directly with Dcs Service Providers personnel on operational issues and local governance functions and decisions.
- Governance committees address exceptions, enterprise matters and escalations from DIR Customers.
- Committees are decision-makers and serve a key communication role across the enterprise.
- DIR will assess and route issues to the correct committee.
- DIR provides contract oversight functions.

2.1 Operational Governance

Operational governance consists of day-to-day management of the Services, issue resolution, and DIR Customer-specific technology decisions. Success of the governance model rests largely on managing operational governance, including resolving issues and making decisions, at the lowest possible level. Thus, the vast majority of issues are resolved through direct interaction between the DCS Service Providers and DIR Customers with DIR participation for some escalated issues as appropriate. This approach provides for good management practice, with individuals who have the greatest knowledge of the situation empowered to act, and enables the governance committees to focus on escalated issues and strategic decision making.

2.1.1 DIR Customer Meetings

To enable the intent of addressing issues at the lowest possible level, DIR Customers interface directly with DCS Service Providers on a day-to-day basis. DIR Customers’ technical staff communicate issues and follow up on requests with DCS Service Providers staff as necessary to ensure effective delivery of the Services. Regularly scheduled operational meetings may focus on service delivery, change management, transformation, planning projects, status, finance or other topics, depending upon the circumstances. The historical frequency of data center services operations meetings has been weekly for most DIR Customers, with a single meeting addressing all relevant topics; however, the meeting frequency is determined by the DIR Customer business and technology needs.

2.1.2 DIR Meetings

To enable DIR’s role in overseeing the Agreement, DIR interfaces with DIR Customers and DCS Service Providers on a variety of enterprise issues. On a daily basis, DIR management and technical staff interface with DIR Customers and DCS Service Providers to answer questions about the Agreement, understand and resolve issues, and facilitate communication and coordination. DIR also has regular

enterprise operations meetings with the MSI and appropriate Service Component Provider staff to manage the Agreement. The historical frequency of these meetings has been weekly and meetings have included but have not been limited to the following topic areas:

- Service delivery and operations performance
- Problem Management
- Availability and Capacity Management
- Finance, invoices, and chargeback
- Contract administration and Deliverables
- Technology standards and long-range planning
- Service level and performance management
- Security and disaster recovery management
- Transition management
- Stabilization management
- Consolidation management
- Customer Satisfaction
- Customer Relationship management
- Issues Management and Governance
- Asset Management and License Compliance
- Services Management Manual currency
- Solution Request management
-

Attachment 6-A depicts DIR's current functional organizational chart as of the Effective Date.

2.2 Program Governance

The DCS program governance consists of DCS governance committees which provide forums for leadership, oversight, solution and decision making for enterprise-level matters related to the DCS program. The committees are consensus decision-making bodies, with one representative from each partner group and DIR, which make strategic enterprise decisions and resolve escalated issues. The governance committees comprise the Business Executive Leadership Committee, the IT Leadership Committee, and six solution groups:

- Contract and Finance
- Project Prioritization
- Service Delivery
- Technology
- Transformation
- Transition

The solution groups focus on their designated subject areas and comprise experienced IT managers with expertise in those areas. The Transition Solution Group is a temporary governance group established to provide oversight of the transition to the new service delivery model. The IT Leadership Committee decides strategic technical decisions, resolves escalated issues and comprises IT directors of DIR Customers and the DIR Technology Center Operations Division Director. The Business Executive Leadership Committee addresses strategic business decisions regarding the DCS program, monitors the business relationship, and resolves issues escalated by the IT Leadership Committee. The Business Executive Committee comprises Deputy Executive Director-level business executives representing partner groups and the DIR Executive Director and Deputy Executive Director for Data Center Services.

DIR's role includes interpreting the contract from the State's perspective, executing contract oversight, sustaining governance processes and promoting effective communication. DIR participates as a chair or

co-chair on all governance committees with responsibility to coordinate topics spanning multiple groups and to facilitate execution of decisions.

DCS Service Providers participate in governance as required to identify technical options for solving issues, participate in collaborative solution development, and provide their technical and business perspective.

2.2.1 Representational Decision-Making

To effectively involve DIR Customers in enterprise decision making, the committees use a representational approach. DIR Customers are organized into five partner groups and each governance committee has one representative from each partner group. Each committee also has a DIR participant. DCS Service Provider representatives may be asked to participate in these meetings as required to provide information and communicate its perspective. The MSI is the primary DCS Service Provider interface in these meetings and will coordinate Service Component Provider participation as appropriate. DCS Service Provider representatives are empowered to speak for their organizations and make commitments as inputs to committee decision making.

All DIR Customers have the opportunity to provide input to decisions and participate in governance matters through:

- Review of pre-meeting materials and analysis papers.
- Submission of written comments prior to committee meetings.
- Conversation with the partner group representative prior to meetings.
- Access to broadcast conference telephone bridge to meetings.

The figure below shows the composition of the partner groups:

Agency Partner Groups	
Group 1	<ul style="list-style-type: none"> • Texas Alcoholic Beverage Commission • Texas Youth Commission • Texas Department of Criminal Justice • Texas Department of Licensing and Regulation • Office of Attorney General
Group 2	<ul style="list-style-type: none"> • Health and Human Services Commission • Texas Department of Family and Protective Services • Texas Department of Assistive and Rehabilitative Services • Texas Department of State and Health Services • Texas Department of Aging and Disability Services
Group 3	<ul style="list-style-type: none"> • Texas Workforce Commission • Texas Department of Insurance • Texas Commission on Environmental Quality • Public Utility Commission • Texas Railroad Commission

Group 4	<ul style="list-style-type: none"> • Texas Department of Transportation • Texas Water Development Board • Texas Parks and Wildlife Department • Texas Department of Motor Vehicles • Texas Department of Information Resources
Group 5	<ul style="list-style-type: none"> • Texas Education Agency • Texas Higher Education Coordinating Board • Texas Veterans Commission • Texas State Library and Archives Commission • Texas Facilities Commission • Angelo State University • Secretary of State

Figure 1: Partner Groups

2.2.2 Committee Structure

The figure below presents the eight (8) governance committees and their relationship.



Figure 2: DCS Governance Committee Structure

Each committee has responsibility for certain decisions, based on their role as defined in the roles and responsibilities matrix. Additionally, the IT Leadership Committee serves as the escalation point for unresolved issues from the solution groups and the Business Executive Leadership Committee serves as the escalation point for unresolved issues from the IT Leadership Committee. Committee responsibilities are below. A broad overview of the decision making framework can be found in Section 2.3.6 below and specific details can be found in the roles and responsibilities matrix.

Solution Groups

Solution Groups are the front line for addressing most enterprise issues that are not initially resolved between DIR Customers, DIR and DCS Service Provider staff. The goal is to resolve enterprise issues and escalated DIR Customer-specific issues at this level through consensus-based solution building efforts. In addition, each group has responsibility for strategic decisions in their area of expertise. Specific responsibilities of each group are as follows:

Transformation Solution Group

- Generally oversee the transformation program

- Resolve and approve requests for changes to transformation timing that affect other agencies
- Support milestone tracking
- Approve changes to the Transformation Plan
- Approve resolution of escalated transformation issues
- Consulted on the Technology Plan

Service Delivery Solution Group

- Monitor trends in performance and Problem management
- Focus on trends in Service delivery issues
- Focus on addressing delivery issues and resolution on an enterprise level
- Review and recommend changes to Service Levels
- Review and recommend changes to Services

Contract and Finance Solution Group

- Track and monitor contract obligations and understand the commercial implications
- Oversee contract changes and amendments
- Resolve issues regarding contractual or financial matters
- Monitor progress against contract Deliverables
- Identify trends in contractual and financial issues
- Monitor and assess financial results realized against business case

Technology Solution Group

- Act as technology steering committee
- Approve technology standards (architecture/platform)
- Own the technology roadmap
- Guide evaluation of new and emerging technologies
- Consulted on technology approvals related to Transformation Services

Project Prioritization Solution Group

- Oversight of project prioritization process
- Monitoring and tracking work requests and status
- Cross-DIR Customers priorities and forecast (i.e. 30, 60, 90 days).
- Reviewing suggested prioritization changes
- Focus on addressing resourcing/timing issues

Transition Solution Group

The Transition Solution Group will have responsibility to oversee the transition process and approve resolution of escalated transition issues. The complete roles and responsibilities (RACI) for transition will be developed by the IT Leadership Committee.

IT Leadership Committee

The IT Leadership Committee defines enterprise technology strategic goals and promotes their achievement. The committee resolves enterprise IT issues escalated from the solution group level and makes critical enterprise IT decisions. The responsibilities of the IT Leadership Committee include:

- Ensure strategic IT goals are achieved
- Approve changes to governance decision making framework
- Approve the addition or deletion of Services
- Approve changes to the service delivery model

- Monitor strategic enterprise service delivery and performance
- Provide joint resolution for escalated enterprise issues
- Approve Projects

Business Executive Leadership Committee

The Executive Leadership Committee is the highest governance committee with overall responsibility for DCS program governance and strategy. The committee's responsibilities include:

- Define the strategic business direction of the DCS program
- Resolve business critical issues escalated from other committees
- Monitor implications of results for business performance
- Approve global business decisions governing the DCS outsourcing relationship

2.3 Governance Roles and Responsibilities

The following describes the roles and responsibilities for the different parties involved in governance. These responsibilities describe the current intent of the governance model and will be reviewed and potentially revised on an ongoing basis as may be necessary .

2.3.1 Shared Responsibilities

The State has invested in the owner-operator governance model as a best practice to promote proactive problem solving and effectively engage DIR, DIR Customers, and Service Providers in a collaborative decision-making model. To enable this model to succeed, the shared responsibilities for DIR, DIR Customers and DCS Service Providers include:

- Foster an environment of open, and honest communications
- Actively participate in governance processes, including providing input to issue discussions
- Proactively support communications distributed by DIR to enable effective issue resolution
- Collaborate proactively to identify, report, document, and resolve at the lowest possible level:
 - Service delivery and performance issues;
 - Transformation issues;
 - Contract and financial issues;
 - Invoice disputes; and
 - DIR Customer relationship and communications issues.
- Document escalated issues with an appropriate level of detail to support resolution
- Support the development of and compliance with governance process improvement
- Actively participate in training provided by DIR and others regarding the contract, services, performance, and stakeholder responsibilities

2.3.2 Committee Member Responsibilities

DIR Customer governance committee members are selected by their peers to represent their partner group. In this role, they have additional communication and preparation responsibilities in order to enable good decision-making meetings. DIR governance committee members have responsibilities to coordinate within DIR to promote effective problem resolution. These responsibilities include:

- Review all meeting materials in detail, especially partner agency comments, prior to committee meetings

- Leverage technical resources from DIR or DIR Customer organization to build solutions
- Facilitate effective communication and problem solving to promote resolutions
- Communicate with partner groups as needed to prepare to represent their perspectives in discussions (DIR Customer committee members)
- Strive to effectively communicate positions of each DIR Customer (DIR Customer committee members)

2.3.3 Partner Group Responsibilities

DIR Customers who are not on committees have responsibilities to support the process and communicate with their representative. These responsibilities include:

- Resolve operational issues at the lowest possible level through local interfaces with DCS Service Providers
- Actively participate in review of governance issues in order to be informed and serve as a substitute at a committee meeting if necessary
- Engage with partner group representatives to support effective representation, issue resolution, and solution development
- Establish and maintain strong working relationships with partner group members

2.3.4 DIR Responsibilities

DIR provides overall leadership and coordination for governance. In this role, DIR's additional responsibilities include:

- Facilitate governance committee meetings and activities, including providing organizational, logistical and communication support to all committees
- Facilitate the issue management process, including developing an issue-tracking system giving all DIR Customers visibility into all issues
- Triage issues, attempt immediate resolution if possible, and route unresolved enterprise issues to appropriate governance committees for resolution
- Interpret the Agreement from the State's perspective
- Manage financial interactions, processes, and relationships with DCS Service Providers
- Manage communications
- Coordinate ongoing training related to Agreement changes, process changes, and New Services
- Perform Agreement management and compliance functions including development and execution of Agreement amendments

2.3.5 DCS Service Providers Responsibilities

To support the governance model, the DCS Service Providers have an important role as subject matter experts on technology, solutions, and feasibility. This includes the following responsibilities:

- Engage directly with DIR Customers to resolve their specific operational issues at the local level
- Assign empowered subject-matter experts to participate as requested in governance committees to resolve enterprise issues
- Research, as necessary, and document Service Provider perspective for issue resolution papers

- Provide timely and accurate data, information, and responses to promote prompt resolution of issues
- Enable and facilitate use of the issue management process

In addition to the responsibilities above, the MSI has additional governance responsibilities:

- Aligning its organizational structure to support the owner/operator governance model
- Attempting to resolve operational issues that were not solved between the DIR Customer and Service Component Providers
- Coordinating issue escalation when multiple Service Component Providers are involved
- Coordinating Service Component Provider participation in governance meetings
- Offering process improvement solutions to reduce the number of escalated issues
- Streamlining the issue escalation processes between Service Component Providers
- Coordinating implementation of decisions and solutions that are approved by the governance committees

2.3.6 Roles and Responsibilities Matrix (RACI Matrix)

A RACI matrix has been developed to show when and how each committee is engaged for particular key decisions. It is a dynamic decision support tool to provide clarity on decision-making responsibilities for strategy or complex decisions related to the DCS relationship in the following categories: Technology and Strategy; Transformation; Service and Performance; Issue Management, Contract, Financial, Projects/Procurement and Communications related decisions.

The matrix contains an illustrative list of key decisions and does not reflect all decisions required to oversee the DCS program. The decisions list was created to help define the boundaries of enterprise governance committee responsibilities and operational decisions, which are to be managed directly by individual DIR Customers, DIR, and DCS Service Providers.

Operational governance decisions are included as examples to help more clearly define decision-making authority at the operational and program governance level. This matrix will be updated based on the new service delivery model and to add the transition solution group.

Roles and Responsibilities

KEY DECISIONS		Operational Governance				Program Governance							
		DIR	Agencies	MSI	SCP	Business Executive Committee	IT Leadership Committee	Transformation Solution Group	Service Delivery Solution Group	Contracts and Finance Solution Group	Technology Solution Group	Project Prioritization Solution Group	Transition Solution Group*
Technology & Strategy													
A1	Approve significant business critical decisions Authority to approve high business impact decisions and issues	R	C			A	R	C	C	C	C	C	
A2	Approve annual technology plan Authority to approve the annual technology plan and related deliverables	C	C				I	C			A/R		
A3	Approve agency-specific DCS technology plan Authority to approve the agency-specific DCS technology plan that is an appendix to the DCS Technology Plan. The agency appendix constitutes a roadmap of technology changes to modernize the data center infrastructure and software needed to support agency business service. It specifies the migration path to newer or alternative operating systems and technologies.	C	A/R				I	I			I		
A4	Approve enterprise technology standards - (architecture/ platform)	C	C				I	C			A/R		

	Authority to establish or change enterprise technology standards related to the delivery of data center services under the agreement including definition of supported operating system standards (defining N and N-1), transformation application remediation standards, network standards (firewall), mailing standards (envelope) and hardware standard configurations (Sun, IBM, etc).													
A5	Approval of Agency Application portfolio lifecycle cost model Authority to define and manage the participating agency’s portfolio of business application assets and the technology platform for those assets that meets the agency’s business and cost needs.	C	A/R											
A6	Approve changes to Governance Decision Making Framework Authority to make additions or changes to the DCS Governance Decision Making Framework	R	C				I	A	I	I	I	I	I	I
Transformation														
B1	Approve Enterprise Transformation Priorities Authority approve initial Transformation priorities as part of the DCS program	R	C				A	C	R					I
B2	Approve Enterprise Transformation milestones / deliverables Authority to approve key enterprise transformation deliverables submitted by IBM	R	C					I	A					I
B3	Approve changes to Enterprise Transformation Plan Authority to approve changes to the overall transformation, plan and schedule for the enterprise, including authority to approve changes to end dates.	R	C					I	A				C	I
B4	Approve changes to Agency Transformation priorities Authority to approve changes to an agency transformation priorities that result in financial impacts to the State.	C	R					I	A				C	I

B5	Approve Agency application migration plans Authority to approve an Agency's application migration plan relative to Transformation.	C	A				I	C			I		
B6	Approve external resources or technology to support Transformation Authority to approve the use of external resources or technology that directly supports Transformation.	R	A				I	C		R	C	I	
B7	Approve agency-specific exemptions from agreed Enterprise Transformation Plan In the event that a particular DCS Customer agency requests to an exemption from the previously agreed transformation plan and schedule, authority to approve the exemption.	C	R					A					
B9	Approval to change the priority of an Agency business application		A					I					
	Authority to approve changes to the criticality of Agency business applications for the purpose of Transformation												
B9	Approval to change the priority of a Utility Application		A					I					
	Authority to approve changes to the criticality of Agency utility applications for the purpose of Transformation	C											
Service & Performance													
C1	Approve the addition or deletion of services to scope Authority to approve addition or deletion of outsourced services to or from the contract. This does not include approvals to increase consumption of existing "in-scope" activities.	R	C					A		C	C	C	
C2	Approve the tier of service Authority to choose a server's service tier (i.e., platinum, gold, silver or bronze)	C	A					I			I		
C3	Approve changes to service delivery model	R	C					A		C	C	C	

	Authority to approve changes to how or where service is delivered by the service provider.												
C4	Approve changes to enterprise service levels Authority to approve addition, deletion, or modification of the enterprise “critical” or “key” service levels. Recommendation to modify includes changes to the weighting of credits associated with each service level measure.	R	C				I		A				
C5	Approve changes to performance reporting Authority to approve changes to the content, format, frequency or distribution of performance reports in response to requests from agencies, governance committees or workgroups.	R	C				I		A				
C6	Approve performance credit exceptions Authority to release the provider from performance credits due to a service failure that both parties agree was caused by the State.	R	C				I		R	A			
C7	Approve agency-specific corrective action plans (or root cause analysis/RCA) Authority to approve a corrective action plan as an outcome of a formal RCA or an agency raised issue necessitating a corrective action plan.	R	A						C				
C8	Approve cross Agency corrective action plans (or root cause analysis/RCA) Authority to approve corrective action plans delivered to DIR in response to a formal RCA for an enterprise level incident affecting multiple agencies or approval of a corrective action plan submitted in response to an enterprise issue.	R	C				I		A				
Issue Management													

D1	Approve resolution of contractual issues Authority to approve resolution of scope issues or other contract related issues.	A	C					I		I	C			
D2	Approve resolution of critical business related issues Authority to approve business related issues that have a direct, critical impact to the welfare of the State's business environment and issues that have been escalated from the IT Leadership Committee	R	C				A	R	C	C	R			
D3	Approve resolution of critical IT related issues Authority to approve IT related issues that have a direct, critical impact to the welfare of the State's IT environment and issues that have been escalated from the solution groups.	R	C					A		C	C	R		
D4	Approve resolution of escalated transformation issues Authority to approve resolution of enterprise transformation issues or agency-specific, escalated transformation issues	R	R					I	A					
D5	Approve resolution of escalated Service Delivery issues Authority to approve resolution of enterprise service delivery issues or agency-specific, escalated service delivery issues	R	R					I		A				
D6	Approve resolution of escalated contract and finance issues Authority to approve resolution of enterprise contract and finance issues or agency-specific, escalated contract and finance issues	R	R					I			A			
D7	Approve resolution of escalated technology issues Authority to approve resolution of enterprise technology issues or agency-specific, escalated technology issues	R	R					I				A		
D8	Approve resolution of escalated project prioritization issues	R	R					I					A	

	Authority to dispute a DIR Customer invoice based on the invoice validation process.												
F4	Approve enterprise financial reporting Approve the reporting elements and format of financial report templates.	C	C					I				A/R	
Projects / Procurement													
G1 a	Approve the initial allocation of the project pool Authority to review and approve the initial allocation of the project pool of hours across the Agencies	R	C					A	C			C	C
G1	Approve enterprise projects Authority to approve out of scope work that affects the enterprise data center environment	R	C						A			C	R
G2	Approve enterprise project milestones / deliverables (sign-off) Authority to accept (sign-off) enterprise milestones or deliverables in the context of the DCS Agreement and enterprise requests for new billable services.	R	C						I			I	A
G3	Approve solution requests Authority to approve agency-specific requests for solution.	C	A										
G4	Approve changes to allocated project pool resources Authority to change the allocation of project pool resources among Agencies.	C	R										A
Communications													
H1	Approve Enterprise governance committee communications Authority to approve communications related to decisions made by enterprise governance committees. Committee Chair and Co-Chair Review/Approve and DIR Distributes	R	I					A	A	A	A	A	A
H2	Distribute Enterprise governance committee communications	A/R	I					C	C	C	C	C	C

	Authority to distribute communications related to decisions made by enterprise governance committees. Committee Chair and Co-Chair Review/Approve and DIR Distributes																	
H3	Approve DCS related communications to external parties and the media Authority to approve DCS related communications to external parties and the media.	A/R	I															

- R** **Responsible** - responsible for completion of the task, manages the process of getting to the decision, including ensuring that a decision is made.
- A** **Accountable** – must sign-off and Approve of the work. The decision-maker who has formal authority to actually make the decision. Only one “A” should be assigned for a given task.
- A/R** **Accountable/Responsible** – The decision-maker who has formal authority to actually make the decision and the subject expertise to take responsibility for the decision. Only one “A” should be assigned for a given task.
- C** **Consulted** – must be consulted as part of the process. They are advisors possessing skills or information that is necessary to incorporate before taking action, but have no authority to vote on the decision.
- I** **Informed** – must be informed of the decision. They are interested and/or affected parties who need to be informed about the decision, often because they will need to implement it or will be impacted by it.
- *** RACI for Transition Solution Group to be developed by ITLC

2.4 Decision Making

Governance committees address two types of decisions:

- Issue resolution
- Strategic DCS program decisions as per the roles and responsibilities matrix

Issues may be DIR Customer issues and enterprise issues identified by DIR, DIR Customers, or DCS Service Providers. Issues may also include a Service Level Escalation Event or a Governance Escalation Event raised by a DCS Service Provider. Issues are escalated following the escalation process described below. Strategic decisions may be identified by DIR, DIR Customers, or DCS Service Providers.

Both decision types are treated the same by the committees:

- All DIR Customers have an opportunity to see the issue
- DIR triages the issues in an attempt to resolve, and routes unresolved issues to appropriate committees
- DIR Customers and the DCS Service Providers will each have an opportunity to document their perspective
- Agency committee members will review positions/perspectives in order to represent their partner agencies in the meeting
- All decision-making agenda items will be broadcast in advance of the meeting
- After the meeting, decisions will be documented with the issue

2.4.1 Escalation Process

As noted above, the governance model strives to resolve the vast majority of issues at the operational level. However, not all issues will be resolved at this level, so the governance model includes an escalation process designed to promptly and efficiently route the issue to the appropriate committee for resolution. Most operational issues will be routed to a solution group; however, the IT Leadership Committee is the first resolver for high profile business, technology, and financial issues.

After the DIR Customer and DCS Service Provider determine an issue cannot be resolved at the local operational level and it cannot be resolved with escalation to MSI involvement or the DCS Service Provider meets the escalation requirements for a Service Level Escalation Event or a Governance Escalation Event, the issue is escalated to DIR. DIR triages and makes a further attempt to resolve. If resolution is not reached quickly, then DIR determines the appropriate committee for resolution and coordinates with the committee chair and co-chair to determine when the issue can be placed on the agenda.

DIR also coordinates with the DIR Customer and DCS Service Providers involved in the issue to complete the required documentation for DIR Customer input on the process as follows:

- DIR assigns an issue number
- DIR develops and confirms the issue description, a statement of the facts in the situation
- DIR, DIR Customer and DCS Service Provider develop issue resolution paper
 - DIR provides details including, as applicable, cost implications, additional factual background, contract references, and previous solutions attempted
 - DIR Customer completes relevant facts, artifacts, and documentation from their perspective
 - Service Provider completes relevant facts, artifacts, and documentation from their perspective

- DIR compiles all information into a single document

DIR and the committee chair or co-chair coordinates the distribution of the issue material with the meeting agenda. Meeting agendas and associated material are distributed to DIR Customer IT Directors in advance of the meeting, with approximately 5-7 Business Days for DIR Customers to review and provide input to their committee representative and approximately 2 days for DIR to compile the comments received for distribution to all.

2.4.2 Strategic Decision Process

Strategic program decisions may be required by the Agreement (e.g. Annual Technology Plan, technology standards, changes to governance framework) and, thus, follow a prescribed timing cycle or they may arise from a technical constraint, opportunity or business need. Regardless of the source, strategic decisions follow a similar process to escalated issues:

- DIR coordinates the development of background materials to explain the decision, implications for the enterprise, and any technical considerations that are relevant. This coordination may include the engagement of DIR Customer or DCS Service Provider subject matter experts to create materials and complete technical analysis.
- DIR develops a format for DIR Customer input appropriate for the decision.

DIR and the committee chair or co-chair coordinates the distribution of the issue material with the meeting agenda. Meeting agendas and associated material are distributed to DIR Customer IT Directors in advance of the meeting, with approximately 5-7 Business Days for DIR Customers to review and provide input to their committee representative and approximately 2 days for DIR to compile the comments received for distribution to all.

2.4.3 Decision Documentation

After the committee meeting, DIR documents decisions made and completes any follow up tasks such as updates to associated artifacts (e.g. Agreement, Service Management Manual). Decisions are posted to the Portal for visibility by all Authorized Users.