

**Appendix 10 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-003

Between

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

and

Xerox Corporation

**Attachment 8-A
Technical Solution**

June 25, 2012

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About this Document

Introduction

In accordance with **Section 4.1** of the Agreement, this **Attachment 8-A** describes the Service Provider's technical solution and overall approach to providing the Services. These descriptions should contain sufficient detail for technical staff to understand the overall approach, key changes, and timeframes associated with the solution. These descriptions address processes, procedures, management controls and other factors of the overall solution being provided.

Service Provider shall maintain and implement the solution; any modifications to the technical solution and overall approach shall be subject to DIR's review and approval in accordance with **Section 4.1** of the Agreement.

The provisions of this **Attachment 8-A** are in addition to, and not in lieu of, the terms and conditions contained in the body of the Agreement and the other Exhibits and Attachments thereto; provided however, unless otherwise expressly stated, the provisions shall not control over conflicting provisions of the Agreement. Unless otherwise expressly defined in this **Attachment 8-A**, capitalized terms shall have the meaning assigned to them elsewhere in the Agreement. The dates in this document are intended to provide context and set expectations for the solutions described. Actual milestone dates are contained in the appropriate milestone documents (Attachment 19-A Transition Milestones and Attachment 20-A Transformation Milestones). In the event of a conflict in dates the dates in the milestone documents will control.

Document Structure

This document provides for the description of Service Provider's technical solution in three sections.

- **Executive Summary** which should describe the overall approach and the value provided by the Service Provider's solution.
- **Equipment, Materials and Systems** describes the Service Provider's core solution and reflects the level of feature and functionality that the Service Provider has committed to provide in meeting the **Exhibit 2** Statements of Work requirements.
- **Additional Solution Details** describes other important aspects of the Service Provider's solution. These descriptions reflect aspects of the solution that the Service Provider intends to document more fully in the appropriate documents (e.g. the Service Management Manual, the Technology Plan, the Technology Roadmap, the Refresh Plan, and the Security Plan). These will be developed and detailed during the Transition of Services and maintained and further developed throughout the term of the Agreement.

When those documents are developed and accepted by DIR, these additional solution details will be removed as appropriate from this section of **Attachment 8-A**.

1.0 Executive Summary

The Print-Mail Service Provider will deploy and manage systems, processes and staff required to meet the specifications defined in this Agreement. To accomplish this, the Service Provider will utilize the ADC as the primary location to perform Print-Mail Services as described in **Exhibit 2**. The ADC is a consolidated site that will provide Print-Mail Services for multiple DIR Customers. In addition to the ADC the Service Provider will deliver Services as specified below at the following DIR Customer locations:

DIR Customer	DIR Customer Site	Service Provider Staff	Services performed at this location
TWC	TWC ANNEX BLDG 101 East 15th Street Austin, TX 78701	2	Print, stitching, report distribution within DIR Customer site
TDCJ - Admin	Old Admin. (Walls Unit) 815 11th Street Huntsville, TX 77340	1	Print, report distribution within DIR Customer site
TDCJ-BOT	BOT 861B I45 North Huntsville, TX 77340	2	Print, report distribution within DIR Customer site

The Service Provider will implement, support and operate a print management platform at the ADC that will receive print ready files created by DIR Customers. The print management platform is DataServer, a product of NearStar, Inc. For all DIR Customers except TDCJ, print files will be sent to DataServer as part of the DIR Customer's file creation process. For security reasons, TDCJ print files are sent directly to printers located at the TDCJ BOT and Administration locations identified above.

Once print files are received by DataServer, they are cataloged, verified and processed based on pre-established criteria documented by the Service Provider in collaboration with DIR Customers. This processing criterion for each print file resides in a relational database within DataServer known as the jobs database. DataServer uses the information in the jobs database to determine if print files are delivered back to the DIR Customer or mailed to a constituent of a DIR Customer. Mailed items are presorted to achieve maximum postal discounts and ultimately delivered by the United States Postal Service.

Disaster Recovery is performed through MailGard, a Print-Mail disaster recovery service located in Warminster, PA. The MailGard location is networked to both the ADC and SDC to provide redundant network paths. Service Provider will provide a DataServer at MailGard to meet required recovery timeframes. Printing and mailing equipment and operational staff required for testing and disaster response will be provided by MailGard. Storage of critical supply items such as forms and envelopes will be maintained near the MailGard Warminster location as indicated in **Exhibit 7**.

Equipment, Materials and Systems

This portion of the Technical Solution describes the Service Provider's core solution and reflects the Service Provider's commitment to a level of feature and functionality.

2.0 Equipment, Materials and Systems

The Print-Mail Service Provider will provide the equipment listed below to meet the requirements of this Agreement.

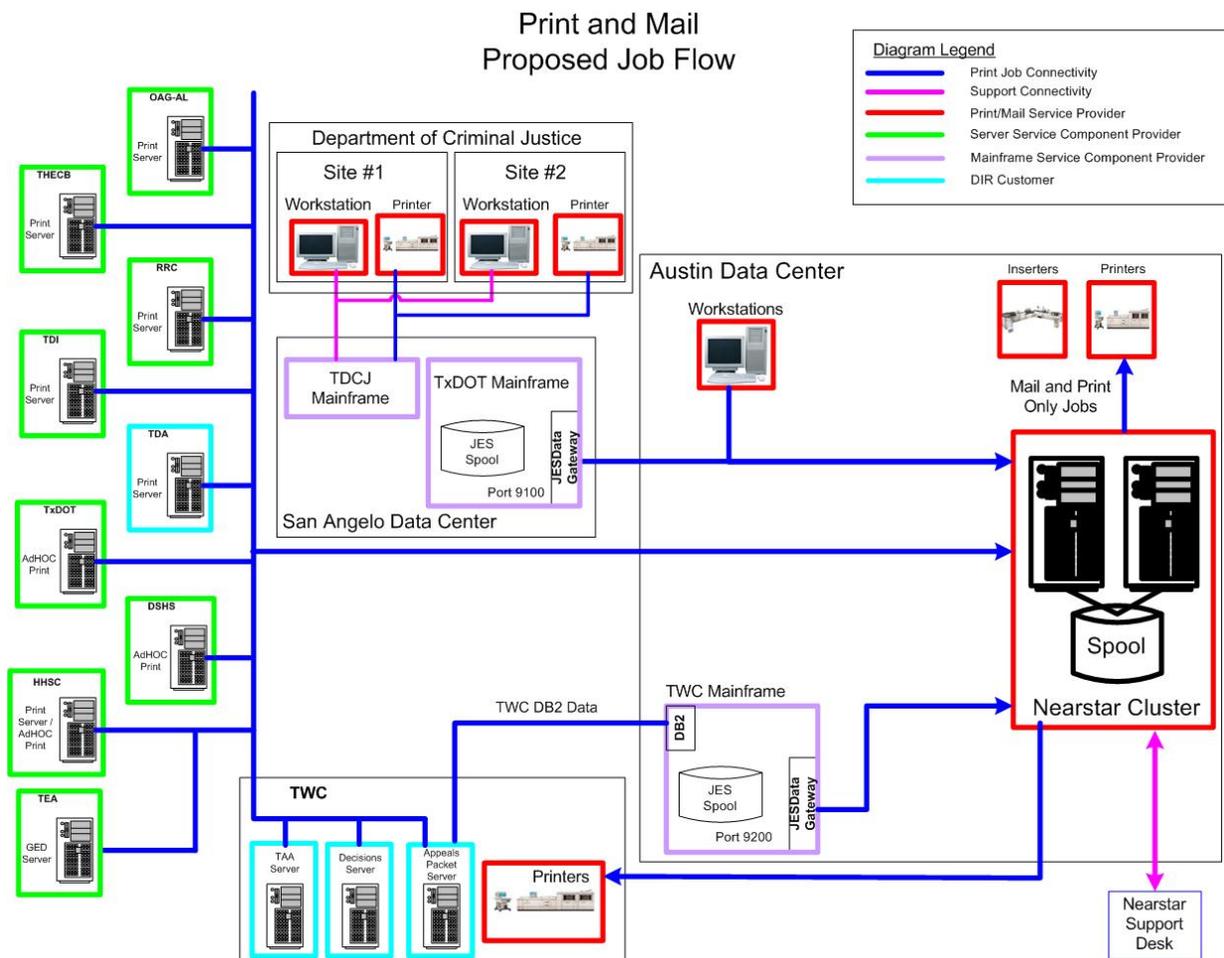
The table below lists the major equipment and systems included in the Service Provider solution:

Equipment Name	Equipment Type	Status	Location	Description
Xerox Nuvera 144	Print	New	ADC	144 Print Pages per minute MICR printer with stitching capability
Xerox Nuvera 144	Print	New	ADC	144 Print Pages per minute MICR printer with stitching capability
Xerox DP 180	Print	Retain	ADC	180 Print Pages per minute printer
Xerox DP 180 HLC	Print	Retain	ADC	180 Print Pages per minute printer with highlight color
Xerox DP 525	Print	Retain	ADC	525 Print Pages per minute continuous form printer
Xerox DP 525	Print	Retain	ADC	525 Print Page per minute continuous form printer
Xerox 4127	Print	New	TWC Annex	125 Print Pages per minute printer with stitching capability
Xerox 4127	Print	New	TWC Annex	125 Print Page per minute printer with stitching capability
IBM Infoprint 3000	Print	Retain	Huntsville BOT	125 Print Pages per minute continuous form printer
IBM Infoprint 3000	Print	Retain	Huntsville Admin	125 Print Pages per minute continuous form printer
IBM Impact Printer	Print	Retain	Huntsville BOT	Line printer used for checks and carbon forms
IBM Impact Printer	Print	Retain	Huntsville Admin	Line printer used for checks and carbon forms

Equipment Name	Equipment Type	Status	Location	Description
Pitney Bowes FlowMaster Inserter	Insert	Retain	ADC	Automated Mail Inserter with DF Works Connectivity
Pitney Bowes FlowMaster Inserter	Insert	Retain	ADC	Automated Mail Inserter with DF Works Connectivity
Pitney Bowes FlowMaster Inserter	Insert	Retain	ADC	Automated Mail Inserter with DF Works Connectivity
Pitney Bowes FlowMaster Inserter	Insert	Retain	ADC	Automated Mail Inserter with DF Works Connectivity
Pitney Bowes DF Works	Insert	Retain	ADC	Mail Tracking and Accounting System
Pitney Bowes DM 1000	Insert	Retain	ADC	Mail Metering System
Pitney Bowes DM 1000	Insert	Retain	ADC	Mail Metering System
NearStar Production System	Two Server Cluster	Refresh	ADC	Primary Production Print Management and Job Processing Platform. This Server is Clustered with Backup Server
NearStar Test System	Single Server	Retain	ADC	Test Print Management and Job Processing Platform
NearStar Disaster Recovery System	Single Server	Retain (Move ADC Production System)	MailGard	Disaster Recovery Print Management and Job Processing Platform
NearStar Production Tiers Processing System	Single Server	Retain	ADC	Production Print Management System dedicated to processing HHSC-E Tiers files
NearStar Production TWC Decisions System	Single Server	Retain	ADC	Production Print Management System dedicated to processing TWC decision files.
NearStar TDI System	Single Server	Retain	TDI	TDI Networked Office Print Manager TDI pays instance charge to Server Service Component Provider. Service Provider provides application support and

Equipment Name	Equipment Type	Status	Location	Description
				license.
Code 1	Software	Retain	ADC	NCOA Server Based Software
DS3	Network	Retain	MailGard	DS3 connection from ADC to MailGard
DS3	Network	Retain	MailGard	DS3 connection from SDC to MailGard

The following diagram shows Print-Mail Job Workflow:



2.1 Service Management Systems

The Service Provider will utilize the MSI provided Service Management Systems. During Transition Service Provider will develop processes and solutions required to interface with the MSI deployed systems. The table below documents the expected MSI provided systems and the Service Provider's expected interaction and use of the system.

MSI Provided Service Management System Tools

Item #	Service Provider's Interaction
a. Knowledge Database	Service Provider will Integrate and use as needed with the MSI provided Knowledge Database
b. Known Error Database	Service Provider will Integrate and use as needed with the MSI provided Known Error Database
c. Incident Management System	Service provider will use MSI provided Incident Management System
d. Problem Management System	Service Provider will use the MSI provided Problem Management System
e. Change Management System	Service Provider will use the MSI provided Change Management System
f. Configuration Management System (CMS/CMDB)	Service Provider maintains CMDB entries for all print and mail related assets. All existing assets will be migrated from the existing CMDB to the MSI provided CMDB. Service Provider will make edits and updates as needed based on the Transformation plan and normal changes to the installed assets. If existing assets are not migrated Service Provider will as part of the Transition plan enter all existing assets into the new MSI CMDB. Data gaps will be identified and resolved during pre-Commencement Transition.
g. Request Management System	Service Provider will use the MSI provided Request Management System
h. Availability Management System	Service Provider will use the MSI provided Availability Management System
i. Capacity Management Information System (CMIS)	Service Provider will use the MSI provided Capacity Management Information System
j. Chargeback and Utilization Tracking System (Chargeback System)	Service Provider will provide MSI weekly, files detailing chargeable activity for the prior week. Service Provider will work with MSI and DIR to establish details of information required and process for file transfer.

Item #	Service Provider's Interaction
k. Security Clearance Database	Service Provider will use the MSI provided Security Clearance Database
l. Service Catalog	Service Provider will use the MSI provided Service Catalog and to provide content.
m. Asset Inventory and Management System	Service Provider will use the MSI provided Asset and Inventory Management System
n. Definitive Media Library (DML)	Service Provider will use the MSI provided Definitive Media Library
o. Definitive Media Store (DMS)	Service Provider will use the MSI provided Definitive Media Store
p. Portal	Service Provider will use the MSI provided Portal
q. Document Data Store	Service Provider will use the MSI provided Document Data Store

2.2 Service Support Tools and Methodologies

Service Provider will use a combination of MSI provided and the Service Provider provided tools to deliver services as defined in **Exhibit 2.5**. The chart below documents key support tools and which DCS Servicer Provider will provide the tools.

Service Support Tools

Item #	Description
Service Desk Call Center System	Service Provider will use the MSI provided Service Desk and Call Center.
Management of Requests For Solution	Service Provider will use MSI provided tools for Management of Requests For Solution.
Service Level Management	Service Provider will meet each business day and more frequently as needed to review daily output from Print-Mail tools such as DataServer Job Accounting, DF works and manual job tracking methods in combination with MSI tools such as Incident Management and Service Request Management to plan and prioritize operational activities based on Service Level Requirements. Service Provider will also attend MSI meetings as required

Item #	Description
Service Level Measures, as described in Attachment 3-B	Service Provider will integrate Print-Mail Service Level tracking tools such as DataServer Job Accounting, DF works and manual tracking methods with MSI Service Level Reporting tools as required in <u>Exhibit 3</u>
Security Management	For services delivered from locations identified in <u>Exhibit 7</u> as a DIR Facility the Service Provider will utilize physical, firewall and network security provided by the appropriate SCP or DIR Customer. For locations identified in <u>Exhibit 7</u> as Service Provided Facilities, Service Provider will provide Physical, System and network security as required in the Agreement. Regardless of location Service Provider will provide system and user security for all servers, printers, Inserters and software used to provide Print-Mail Services. In addition Service Provider use certified shred services to destroy any unusable documents containing DIR or DIR Customer data. Courier vehicles will be locked when not occupied and during deliveries. Specified applications (e.g. Warrants, GED Certificates) will be transported with specific, agreed-upon security protocols such as secure packaging.
Malware Protection Systems	Service Provider will use industry standard malware protection, (currently McAfee products) on all applicable systems. Hardware connected systems such as printer controllers typically do not have malware protection.
Intrusion Systems	For services delivered from locations identified in <u>Exhibit 7</u> as a DIR Facility the Service Provider will utilize Intrusion Systems provided by the appropriate SCP or DIR Customer. For locations identified in <u>Exhibit 7</u> as Service Provided Facilities, Service Provider will provide Intrusion Systems as required in the Agreement.
Controlled Penetration Testing	For services delivered from locations identified in <u>Exhibit 7</u> as a DIR Facility the Service Provider will utilize Controlled Penetration Testing provided by the appropriate SCP or DIR Customer. For locations identified in <u>Exhibit 7</u> as Service Provided Facilities, Service Provider will provide Controller Penetration Testing as required in the Agreement.
Standard Products Management	Service Provider will use MSI provided Standard Product Management tools
Project Management and Support Systems	Service Provider will use Microsoft Project or MSI provided Project Management and Support Systems.

2.3 Print-Mail Tools and Methodologies

Service Provider will meet service requirements set forth in **Exhibit 2** by utilizing the following tools and methodologies:

NearStar DataServer Print Manager:

DataServer functions as the centralized print manager for all print files received from DIR customers with the exception of print files received from TDCJ.

The DataServer system consists of the following Modules:

Data Input: This module is used to accept print files from Mainframes, Servers and Workstations using industry standard transmission protocols such as LPR/LPD and SFTP. In addition, JES Gateway is used to move mainframe print files for TxDMV and TWC to the ADC.

Job Data Catalog: This module receives the job and establishes system received time stamps and opens a record in the job tracking database.

Jobs Database: Relational Database with detail print job information collected by the Service Provider in collaboration with DIR Customers.

Job Workflow Module: Contains business rules used to process jobs. The two most common workflows are:

Print to Delivery - DataServer would build required banner pages that include delivery point 2-D tracking bar codes then open an entry in the delivery tracking database.

Print to Mail – DataServer would inventory all documents and place a barcode on each page. A mail run file will be built and pushed to DF Works for use during the insertion process. Banner pages will be created that include SLA commitments and operator instructions (such as mailing envelope used).

Resource Management Module: Allows for centralized management of printer resources such as forms, fonts and signatures.

Job Accounting Module: Tracks pages printed and other processing attributes. Used in conjunction with (XEAR) Xerox Enhanced Accounting and Reporting) to create print chargeback file.

Operator Interface: Graphical user interface used by operators to monitor, prioritize and manage print jobs received from multiple DIR Customers. Displays job attributes and SLA due out times.

Disaster Recovery Module: Links two instances of DataServer into a disaster recovery configuration. This allows for all print jobs received on the primary DataServer to be copied or replicated to the backup system as received. The Service Provider's implementation of this module has the primary system located at the ADC with the backup system located at MailGard in Warminster, PA. This feature ensures print jobs received prior to a disaster are spooled to the disaster recovery and print file. Recovery only has to be completed from the point of the disaster forward.

XEAR: Accounting software installed on all Xerox printers that collects real time job accounting. This data is merged with information from the DataServer job accounting module and used for print chargeback.

DF Works: This Pitney Bowes software communicates with the mail inserting equipment to track and document page by page tracking information for all mailed jobs. DF works receives mail tracking files from DataServer and compares barcodes printed on each page of a print file against the mail tracking file. DF Works creates reports that are used by the insertion operators to ensure each job was correctly processed.

Elixir DesignPro Forms Editor Software: Used to fulfill requirements for Forms Design and Forms Formatting as described in **Exhibit 2**. DIR Customers may request changes to existing forms (or creation of new forms) via the MSI ITSM system. Service Provider will utilize Elixir to fulfill these requests.

Wasp Inventory Software manages inventory of all standard and custom materials through the use of barcodes and barcode readers. This inventory application serves to maintain required available quantities of all materials and tracks against re-order points as defined in the SMM.

2.4 People, Skills and Training

Service Provider will provide project and operational staffing as described in **Exhibit 5**. Each Service Provider employee has completed basic Six Sigma training. This provides for process-based thinking and significant operational improvements.

The MSI will provide training on all MSI provided tools and processes through either classroom or web based methods. Service Provider will provide all other required training. A training matrix will be created during Transition that will document required training by position and critical time frames such as new employee training and required annual training.

A key training action that will take place prior to Commencement, key resources including management and key operations support will complete the ITIL certification process. In addition ITIL certified resources will be engaged during Transition to ensure operational procedures meet ITIL requirements.

Additional Solution Detail

This portion of the Technical Solution contains additional details as to the Service Provider's solution for meeting the requirements of the Statement of Work. These details and further descriptions are expected to be fully documented by the Service Provider in other technical operations artifacts as appropriate; such as:

- Service Management Manual describes the policies, processes, procedures, work instructions and other pertinent details for management and operation of the DCS environment. The framework and development of the SMM is further detailed in **Attachment 6-B**.
- Technology Plan describes elements of the Service Provider solution that will be used to create the Technology Plan and other operational artifacts, as described in **Exhibit 2**.

3.0 Technical Solution

The solution deployed by the Service provider captures job processing time stamp information by either automated check points or barcode scans performed after print files are processed into finished format (paper or electronic as described in [Exhibit 2](#)). Service provider will export this data and input to the MSI provided tools as required in [Exhibit 3](#) as well as in [Exhibit 2](#).

The Service Provider's Production Server supports a variety of transmission capabilities. Some examples are: LPR/LPD, Streaming Sockets, FTP, Directory Monitoring, Internet Printing Protocol (IPP), secure socket layer (SSL) LPR/LPD, S390 Parallel Channel/ESCON, and Web Submission. The mainframe submission via TCP/IP, using IP Printway and Service Provider's FSS module, extracts jobs from JES and transports them via TCP/IP to submit jobs to the production server.

Physical integrity of the file is provided using LPR/LPD printing protocols; the transmission of jobs from each host environment utilizes a negotiation protocol so that the incoming data stream is captured.

Service Provider will utilize these tools as necessary to support DIR Customer protocols.

3.1 Service Support Services

The Service Provider will integrate and use cross-functional services and support activities to achieve coordinated planning, implementation, and control of information that builds solid business practices for the successful delivery of the Services. The Service Provider will use the IT service management tools provided by the MSI to ensure direct integration to the MSI and other service component related services. Service Provider will collaborate with the MSI to develop and document support processes and procedures to ensure the successful delivery of Print-Mail services and demonstrate continued operational excellence to consistently meet service level requirements and reach a high level of satisfaction for these services.

3.1.1 Service Desk

The Service Provider will use the MSI service desk as the single point of contact (SPOC) for Incidents, Requests for Information, and Requests for Services. Service Provider will provide service desk capabilities as defined in [Exhibit 2](#).

The Service Provider will be the designated resolver for all Print-Mail related incidents for services described in [Exhibit 2.5](#). This includes direct interaction with DIR, DIR Customers, MSI and any involved SCP as appropriate. Service Provider will be accountable for providing updates and resolutions to all incidents assigned to Service Provider's resolver group.

The Service Provider will collaborate and participate with the MSI to develop and document support processes and the Service Management Manual for the Services provided.

3.1.2 Incident Management

The Service Provider will use the ITIL framework for the incident management process and further align the process in coordination with the MSI and other Service Provider(s).

The Incident Management process will identify record, classify, and drive service restoration until affected services return to normal operation.

The incident management process defined in the Service Management Manual (SMM) governs incident reporting, classification, dispatch, communication, and resolution. Service Provider will coordinate with the MSI and provide the MSI Service Desk with all required information to allow for an effective streamlined incident management process. The MSI will provide the tool and process for incident management.

The incident management process begins with a call or other type of contact to the MSI. MSI Service Desk personnel prompt the caller to provide basic information to verify the caller, location, and issue encountered. Service Desk personnel record this information and open a log for tracking and resolution. Incident resolution begins immediately, depending on severity and based on the procedures jointly developed in the Service Management Manual.

Since Print-Mail incidents require specific knowledge unavailable to the Service Desk, all incidents will be routed to the appropriate Service Provider's resolver group and will not be resolved by the Service Desk. Service Provider will work with the MSI to identify key Service Provider employees and to properly map the employees to print and mail resolver groups to ensure proper escalation.

3.1.3 Major Incidents

Major Incident response will be coordinated by the MSI and supported by the Service Provider Operations Manager who is empowered to apply additional resources to the incident. Service Provider's Operations Manager will participate on call bridges as required and ensure required technical resources are also actively participating in incident resolution and call bridges as needed.

If required, executive-level management will be engaged in the major incident process. The Operations Manager is responsible for communicating the incident status to the MSI, Service Provider management, and involved subcontractors at regular intervals as defined in the SMM.

Service Provider will fully comply with MSI Major Incident processes including but not limiting to participating on crisis call bridges, major incident review meetings and completion of root cause analysis.

3.1.4 Problem Management

Service Provider will collaborate and participate with the MSI to document and develop the problem management processes for DIR and DIR Customers' support.

The Service Provider will use the MSI provided problem management tool to provide proactive problem management. Problem management will be implemented across all in-scope functional areas, providing the MSI and Service Providers with one common tool and methodology to report and manage problems.

Service Provider management tracks problem management tickets until the corrective actions are fully implemented in the environment and approved for closure. The Service Provider routinely reviews problem management tickets and current status to ensure that progress is being made to reduce chronic or recurring problems and that action items are assigned and being worked to the committed schedule. Any roadblocks are communicated and escalated to senior management to ensure that proper focus and resources are supplied to maintain SLA commitments.

Service Provider personnel use daily, weekly, and monthly reports to ensure that target completion dates are set and commitments are met. Service Provider will review these reports according to the procedures and schedules defined in the Service Management Manual. This will ensure all required parties are kept fully informed of the status of problems in the environment.

3.1.4.1 Root Cause Analysis

The Service Provider begins Root Cause Analysis (RCA) for problem resolution at the lowest level. The support group providing service for a reported issue will assign the problem ticket to an individual within that team (the assignee). The assignee updates the ticket upon completion of the analysis. As soon as the RCA is complete, Service Provider commences activities to implement the corrective action. At this point, the request management and associated change management processes will be initiated. Once change approval is received, the corrective action will be applied.

The Service Provider will collaborate and participate with the MSI to document and develop the RCA processes and procedures for DIR and DIR Customers' support. RCAs will be managed, reported, and tracked according to the processes defined and develop in collaboration with the MSI.

The Service Provider will work in full cooperation with the MSI and other DCS Service Providers to address root cause issues in the environment in accordance with any guidance that may be developed in the Service Management Manual. Where root cause issues involve other DCS Service Providers, Service Provider will work cooperatively to ensure problems are addressed and eliminated from the environment.

3.1.5 Change Management

Service Provider will actively participate as called upon with regard to Change Management as it pertains to Print-Mail services delivery.

Service Provider will follow Change Management processes as directed by MSI. This process ensures the use of standard procedures to handle Changes to services and infrastructure. It further minimizes disruption to DIR Customers, improves productivity, and ensures efficient service.

Service Provider's solution includes the following key components:

- Developing integrated procedures
- Using the MSI's ITSM centralized tools for the environment
- Providing the ability to monitor and track progress of outstanding change requests
- Reporting planned changes, to include the following:
 - Participating in change management meetings
 - Review and approval by affected parties of planned changes
 - Coordinating Service Provider service delivery organizations' change activities
 - Reviewing change requests against planned, critical-business events
 - Establish change validation process to include DIR Customer approved regression testing
 - Establish management approved "roll back" plan for all changes with multi-DIR Customer impact
 - Developing and conducting training, customized to the environment

3.1.6 Configuration Management

Service Provider will actively participate in Configuration Management as it pertains to Print-Mail Services Delivery. The Service Provider will use the MSI CMS/CMDB as required to ensure configuration information is current and accurate. Service Provider will look to the MSI for process creation, training, and implementation guidelines.

3.1.7 Release Management

Service Provider will actively participate with the MSI in developing processes surrounding release management. In the event a release is required, the Service Provider would identify the specific DIR Customers and users that would be affected and work under the MSI process to ensure the proper testing, training, and acceptance delivery.

3.1.8 Request Management and Fulfillment

Service Provider will comply with the MSI process regarding Request Management and Fulfillment. This process will provide the following components:

- Timely receipt and processing of Service Requests
- A centralized knowledge database
- Integration with other systems such as Incident, Change, Configuration, Release management
- Ensure proper data for necessary reporting and tracking of all requests

Service Provider will establish standard requests for services including optional services such as: FastForward, Standard Envelope, Manual Insertion, Print Images (15 business day SLA), and Mailing Insertions (15 business day SLA).

3.1.8.1 Request for Solution

To address Requests for Solutions, Service Provider will use the Request Management System for tracking and attend all applicable meetings with the appropriate MSI, DIR, and Service Provider teams. The Service Provider will work with the MSI to establish the proper processes and procedures addressing items in regards to:

- Design
- Price
- Solution
- Proposal
- Meetings
- Escalation
- Project plan development and management

3.2 Service Delivery Services

Service Provider and Service Provider's subcontractors will actively participate in the Service Delivery Services described below. Key Subcontractors involved in Service delivery include:

Subcontractor	Service Provided
NearStar Inc.	Print management software, software maintenance and platform customization
Pitney Bowes Presort Inc.	Postal presort and NCOA mail processing
MailGard	Disaster Recovery
Austin Shred	Onsite Secured Document Destruction
IBM – Infoprint Solutions	Printer Maintenance TDCJ
Pitney Bowes	Inserter Maintenance
Domtar Enterprise Group	Roll Paper Supplier
GE Fleet Services	Courier Van Leasing and Maintenance

3.2.1 Availability Management

Service Provider will work closely with the MSI to develop and document processes surrounding DIR and DIR Customer requirements for Availability Management. Service Provider will work with other DCS Service Providers to ensure Service availability and establish OLAs where interdependencies are determined.

The NearStar server deploys a number of management modules to monitor service availability and notify staff of potential incidents. These include, but are not limited to:

- Spool Space Indicators
- Low spool space notifications

During Transition Service Provider will perform a service availability tool gap analysis and develop a remediation plan for presentation to DIR.

3.2.2 Capacity Management

The Service Provider will prepare a Capacity Plan that addresses DIR and DIR Customer capacity and performance requirements and business needs. The Capacity Plan will determine the appropriate resources required to meet DIR needs, based upon the required timelines and an understanding of the technology and techniques available. Service Provider will recommend the most appropriate and cost effective solutions to DIR.

Service Provider's monthly Capacity Planning process ensures that current and predicted capacity requirements are identified, that the method(s) used to predict those requirements is documented, and that performance expectations, such as SLA measures, are recorded.

The following steps will occur when devising a capacity management plan for DIR:

- Analysis of current and predicted capacity and performance requirements
- Use data and processes to enable predictive analysis

- Identify methods, procedures, and techniques to provide adequate capacity
- Evaluate the effects of anticipated service upgrades on capacity
- Identify timelines, thresholds, and costs for service upgrades
- Evaluate the effects of requests for change on capacity
- Evaluate the effects of new technologies and techniques on capacity
- Assess the predicted impact of external changes
- Produce and maintain a Capacity Plan that addresses the performance and business needs
- Identify methods, procedures, and techniques to monitor service capacity and tune service performance
- Proactively provide adequate capacity based on projected need and trending reporting

Capacity and performance metrics are used to ensure that adequate capacity exists to meet the business needs of DIR and DIR Customers. The Service Provider selects measures suitable to each resource and gathers and analyzes the relevant data. Key capacity measures and considerations that are monitored and tracked include:

- Server Spool Space
- Elapsed time between receipt of print file and availability to print
- Printer capacity by hour
- Print spooled ready to print by hour
- Inserter capacity by hour
- Jobs ready to insert by hour
- DIR Customer Print Volume Projections
- DIR Customer Mail Volume projections
- Impact of revised staffing models on available capacity

Service Provider will adhere to requirements for capacity reporting as provided through the MSI CMIS system. Service Provider will track specific Print-Mail processing and performance statistics and as required by **Exhibit 13**, and will provide capacity and performance reports that show anomalies and trends for the Print-Mail environment.

3.2.3 Service Level Management

Service Levels as defined in **Exhibit 3** will be tracked daily using a combination of automated and manual tracking methods. Key tools used to track SLA performance will be DataServer Job Accounting Module, DF Works, and Remedy Incident Management System in combination with operator control sheets and manual logs. SLA performance information will be provided to the MSI as combination of flat files and web forms. Data will be provided to the MSI weekly. Additional reports will provided as described in **Exhibit 13**.

This data will be used during the month to evaluate ongoing service level attainment and to provide trending data for continuous improvement efforts.

3.2.4 IT Service Continuity Management

Service Provider views service continuity management as a multi-layered approach:

- Stability of core solution – As performance issues are identified evaluations are performed and improvements are implemented as required.

- Operational Redundancy – Components in the Print-Mail solution have designated backup resources that are used in the event of a component failure. The backup resources are part of the operating configuration located at either the ADC or DIR customer locations and defined in the SMM. Use of redundant devices does not require a disaster declaration.
- Disaster Recovery (DR) capability. In response to a major outage at the ADC and at the direction of DIR as described in **Exhibit 16**, Service Provider would declare a disaster to MailGard and move ADC operations to the MailGard site in Warminster PA. Service Provider would resume Print-Mail Services as quickly as possible but no less than the Recovery Time Objective (RTO) and the Recovery Point Objective (RPO) obligation for each application supported. RTO/RPO obligations are defined in the CMDB and **Exhibit 16**.
- Disaster Recovery (DR) capability for non-Consolidated locations. In response to a major outage at non-consolidated print locations, and at the direction of DIR, Service Provider will move operations to a designated recovery location.

3.2.5 IT Financial Management

Service Provider will use the provided MSI tools to support financial management requirements. Service Provider will work closely with the MSI to develop processes and required data feeds as needed by DIR to support all Print-Mail Resource Units.

3.2.5.1 Chargeback System

As described in **Exhibit 4** Service Provider will collect Resource Unit (RU) usage information and provide this information the MSI as a flat file on a weekly basis. The Service Provider will provide chargeback information for the following RU and Optional Services:

RU	Collection Method
Print Page	DataServer and XEAR
Mail Insertion	DataServer, DF Works, Operator Logs
Courier	DataServer and XEAR
Optional Service RU	Collection Method
FastForward	DataServer, DF Works, Operator Logs
Standard Envelope	DataServer, DF Works, Operator Logs
Customized Envelope	DataServer, DF Works, Operator Logs
Manual Insertion	DataServer, DF Works, Operator Logs
Print Images (15 business day SLA)	DataServer and XEAR
Mailing Insertions (15 business day	DataServer, DF Works, Operator Logs

RU	Collection Method
SLA)	

The MSI will serve as the single source of IT financial information and will provide and maintain the Chargeback and Utilization Tracking system. Service Provider will support the MSI in this effort in the following ways:

- Participate in the development and documentation of processes and policies with the MSI, other DCS Service Providers, DIR, and DIR Customers.
- Provide timely and complete information in a cooperative manner, including information that the MSI Service Provider or DIR may require for validation purposes.
- Develop automated interfaces, where feasible, to most-effectively integrate and use Service Provider financial systems with those of the MSI Service Provider.
- Communicate and coordinate appropriately with the MSI Service Provider, other DCS Service Providers, DIR, DIR Customers, and Third Party Vendor(s) both routinely in scheduled meetings and on an as needed basis.
- Comply with established policies and processes as described in the SMM.

3.2.5.2 Invoice and Accounting

Service Provider will produce and provide invoicing and accounting data as required by DIR and DIR Customers as described in the Chargeback Process and SMM. The sources of this data are described in 3.2.5.1 above.

3.2.6 Security Management

Service Provider will provide physical and logical security as required in **Exhibit 17**. For Services delivered from locations identified in **Exhibit 7** as a DIR Facility, the Service Provider will utilize physical, firewall and network security provided by the appropriate SCP or DIR Customer.

For locations identified in **Exhibit 7** as Service Provided Facilities, Service Provider will provide physical, system and network security as required in the Agreement.

Regardless of location, Service Provider will provide system and user security for all servers, printers, inserters and software used to provide Print-Mail Services. In addition, the Service Provider will use certified shred services to destroy any unusable documents containing DIR or DIR Customer data.

Within the ADC, Service Provider will provide a secure, caged location for storage of designated materials deemed highly sensitive by DIR Customers. These include, but are not limited to, warrant stock and TxDMV Title stock. Secure containers and pouches are also used if these materials are to be delivered back to the DIR Customers.

Service Provider will:

- Perform security assessments of Service Provider systems and facilities including MailGard and Service Provider Dallas locations.

- Create and maintain procedures for processing and controlling HIPAA, PII and negotiable documents.
- Create and maintain procedures for secured document destruction.
- Create and maintain procedures for secured document transportation between processing sites and DIR Customers.
- Perform security assessments of SCP-provided security services such as data center physical security.

3.2.6.1 Security Clearances

Service Provider will comply with processes documented in the SMM, and the requirements defined in **Exhibit 17**.

3.2.7 Third Party Vendor Management and Coordination

Service Provider will comply with third party management and coordination requirements outlined in this agreement. Below is a list of Service Provider subcontractors:

Subcontractor	Service Provided
NearStar Inc.	Print management software, software maintenance and platform customization
Pitney Bowes Presort Inc.	Postal presort and NCOA mail processing
MailGard	Disaster Recovery
Austin Shred	Onsite Secured Document Destruction
IBM – Infoprint Solutions	Printer Maintenance TDCJ
Pitney Bowes	Inserter Maintenance
Domtar Enterprise Group	Roll Paper Supplier
GE Fleet Services	Courier Van Leasing and Maintenance

3.3 Equipment and Software Services

The equipment and software service included in this configuration have been designed to support the requirements for the Services required in this agreement. The Service Provider will provide equipment and software as defined in **Exhibit 10** and **Exhibit 12** respectively. Service Provider will actively participate with the MSI, DIR and DIR Customers to ensure on-going technology currency and performance.

3.3.1 Long Range Planning

Service Provider will coordinate with the MSI, DIR and DIR Customers to understand future planning and the impact future plans will have on Print-Mail Services. Business changes that generate major shifts in the demand model require long term programs and coordination with the MSI and other Service Providers, are known well in advance. In addition to changing business models, the Service Provider will monitor industry trends and advances to identify opportunities to improve the Print-Mail services. Service Provider will bring its understanding of the future DIR Customer requirements to the annual Planning Process overseen by the MSI.

Key opportunity areas may include:

- Faster and more reliable hardware impacting productivity and cost
- New applications or information delivery methods that reduce the need to Print-Mail hardcopy documents
- Software advances that improve security, tracking and manual intervention

Service Provider will use this information as well as capacity reporting to develop the annual technology plan as described in **Exhibit 2**.

3.3.2 Evaluation and Testing

New Technology evaluation is performed by establishing a non-production parallel environment at the ADC used to allow the evaluation of technology without impacting current Services. Before installation evaluation criteria is established to allow measurement against a defined standard. DIR Customer approved test jobs are processed to compare performance against a known suite of jobs.

Performance is measured and evaluation reports are created. If the result of an evaluation is a recommendation to move a device into production service, appropriate change tickets are created and formal DIR customer approval is gained. This process is similar for print, mail and server hardware evaluations.

Testing is performed on all changes to the production environment. Key components to the testing program include:

- DataServer Test Environment: All changes are implemented and tested on the dedicated test server. This allows the evaluation of changes without impacting the production systems. Once approved, changes are promoted using the Change Management process.
- Changes to printer software are performed in compliance with the Change Management process and performed in approved change windows. Because a dedicated printer test environment is not available, changes are made only when a printer device can be removed from production. Once removed from production, changes are applied and testing is performed using print jobs approved by DIR customers. After completion of testing, the printer is restored to the prior production software version until results of the testing can be verified. Once verified, a second change window is requested to promote the approved and tested change to all relevant printers in production.
- Changes to inserters are performed in compliance with the Change Management process and performed in approved change windows. Because a dedicated inserter test environment is not available, changes are made only when an inserter device can be removed from production. Once removed from production, changes are applied and testing is performed using print jobs approved by DIR customers. After completion of testing, the inserter is restored to the prior production software version until results of the testing can be verified. Once verified, a second

change window is requested to promote the approved and tested change to all relevant inserters in production.

3.3.3 Refresh and Technical Currency

Service Provider will replace Print-Mail hardware to meet the Refresh requirements defined in **Exhibit 4**. A list of devices that will be installed is documented in section 2.0 above. The ongoing process to evaluate Print-Mail hardware performance will be supported by the long range planning process described in section 3.3.1 above and documented in the SMM. Refresh for servers used a part of Print-Mail Services will be based on evaluation of performance, availability of vendor support, service level attainment, and software currency requirements.

As part of continuous improvement, Service Provider will monitor technology advancements for print mail Services and evaluate these opportunities to improve the quality and/or efficiency of the service provided to DIR and DIR Customers. Service Provider will evaluate the best practices and new technology of the top providers in the field and leverage these tools and processes as appropriate to the benefit of DIR and DIR Customers.

Service Provider will fully participate in any technology planning and evaluation initiated by DIR or the MSI.

3.3.4 Service Catalog

The Service Provider will work with the MSI and DIR to establish a service catalog for Print-Mail. The Service Provider plans to use the MSI provided tools and work jointly to establish content specific for the Print-Mail Services.

3.3.5 Standard Products

The Service Provider will work with DIR and MSI to establish a list of standard Print-Mail products. The Service Provider will use the MSI provided tools and work jointly to establish content specific for the Print-Mail Services.

Examples of standard Print-Mail products are:

- Print files sent by DIR Customer that are not defined in the DataServer jobs database. This type of print file will be printed and delivered to the DIR Customer delivery point identified in the print job.
- Standard envelopes are a standard product available to DIR Customers to use in place of a DIR Customer-provided envelope. Specifications for a standard envelope are documented in the SMM.
- Standard paper is white 20 lb paper and can either be cut sheet or continuous roll.

3.3.6 Equipment and Software Maintenance

The Service Provider will coordinate with DIR, DIR Customers, and the MSI through change control and release management processes for upgrades necessary on hardware components. Service Provider meets with hardware vendors regularly to review and plan microcode and patch

updates on all hardware Service Provider is responsible for maintaining. Service Provider will coordinate with DIR, DIR Customers and MSI through change control and break/fix procedures to install the patches in order to fix an existing problem or prevent a problem.

As part of Service Provider's software maintenance policies, Service Provider reviews critical software patches identified by the vendors. Service Provider will analyze these reported problems against the environments supporting the various agencies, and if applicable, Service Provider will plan collaboratively with each affected DIR Customer on applying the patch out of cycle to proactively prevent problems. All changes will be controlled by the change management system and thus will require the appropriate approvals by the affected DIR Customers.

3.3.7 Software Support

Service Provider will perform all software installation, maintenance, and configuration activities to support DIR Customers in their business applications. All software will be maintained at supported versions by their respective vendor, unless requested in writing by DIR to forgo an upgrade due to application incompatibility reasons.

All software change activity strictly adheres to approved change and release management procedures utilizing ITIL-compliant processes and procedures. Service Provider will also maintain comprehensive documentation on software versions, configuration information, and maintenance schedules as required by Service Provider's standard processes. Documentation and processes will be stored in the SMM or appropriate MSI tool.

Service Provider will communicate all software support activities to DIR, DIR Customers, and the MSI in a proactive manner to allow for each entity to complete required planning in support of the software support activity.

3.3.8 Administration

The Service Provider will work with the MSI and DIR to establish administration requirements for Print-Mail. Where available, the Service Provider will use the MSI provided tools and work jointly to establish processes specific for Print-Mail Services. The key aspects of administration include:

- Asset inventory and management
- License management and compliance
- Equipment and software management
- Job configuration management
- Postage meter management

3.4 Other Services

For the services below, the Service Provider will work with the MSI and DIR to define requirements for Print-Mail. Where available, the Service Provider will use the MSI provided tools and work jointly to establish processes specific for Print-Mail Services.

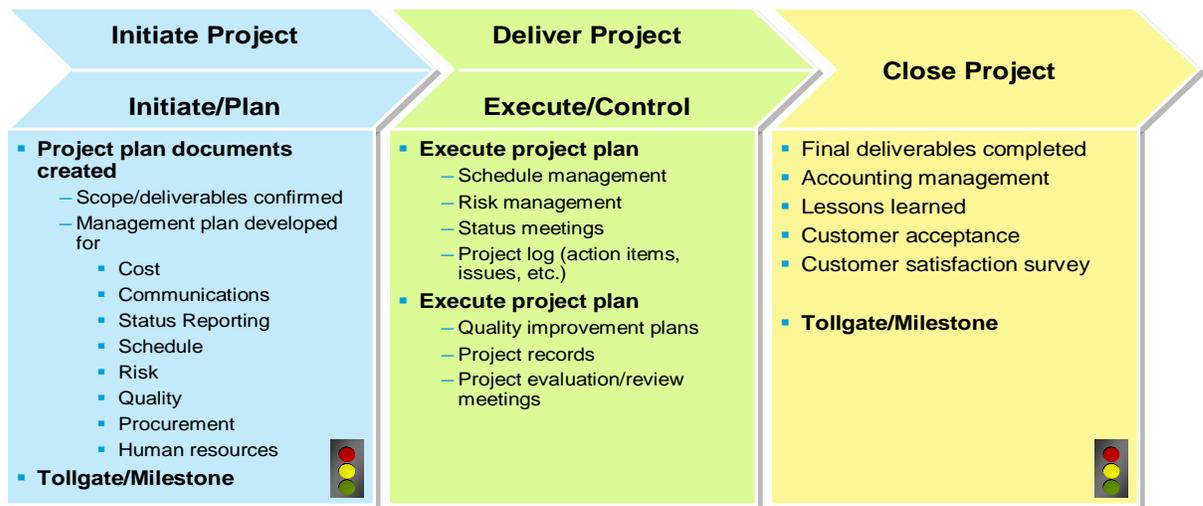
3.4.1 Project Management and Support

The Service Provider’s project management will be supervised by the Service Delivery Executive (SDE). In addition to Transition responsibility, the SDE has day to day operational responsibility allowing for the proper balance of real time customer service and Transition of services. The ongoing operational team includes project resources that are responsible for ongoing project delivery and management. The Service Provider will work closely with the other SCP and MSI to ensure Service Provider adjusts to changing account support and reporting requirements. The Service Provider will provide project management resources as required.

Service Provider uses a Lean Six Sigma approach to project management. The chart below depicts Service Provider’s high level methodology:

Project Management Methodology

- Six Sigma Based
- Aligned to Project Management Institute’s PMBOK®
- Collaborative



Key aspects of Service Provider’s methodology include:

- Six Sigma-based project management to provide detailed analysis during key decision points of the project
- Industry standard PMBOK methods
- Phase-gate reviews to improve communication and provide more project control

3.4.2 Quality Assurance

The Service Provider will work with the MSI and DIR to establish quality assurance standards for Print-Mail Services. Where available, the Service Provider will use the MSI provided tools and work jointly to establish processes specific for the Print-Mail Services. Specific quality assurance programs that will be used are:

- SAES 16 audits will be performed as required by this Agreement. Results of this audit will be provided to MSI and DIR.
- Operational quality assurance is performed at each step of the production process. Details of quality control procedures and required sample size are documented in the SMM.
- Service Provider inventory of assets and supplies are performed quarterly and are required as part of Service Provider's corporate control and compliance program.
- Support proofing and/or testing as required by DIR Customer.
- DIR Customer validation of postage funds are completed on an as requested basis.

3.4.3 Operations Documentation

Service provider will create and maintain operations documentation for DIR and DIR Customers related to Print-Mail Services as part of the SMM development process. This information will be continually maintained and accessible from the Portal by authorized parties who utilize, update, and manage this information for accuracy.

The documentation contains the DIR customer-specific sections dedicated to all operational procedures for the Services provided to each of these Print-Mail customers, including specific application (print job) reporting/tracking, data safeguarding, data security, and disaster recovery planning, along with notification levels and procedures.

3.4.4 Crisis Management

Service Provider will respond to a DIR announced crisis by evaluating the nature of the crisis and the potential impact on Print-Mail Services and Service Provider resources. As needed, Service Provider senior management will engage to approve actions needed to support the crisis. Service Provider will actively participate in any crisis response activities required by DIR.

3.4.5 Training and Education

Service Provider will make retention of the current Print-Mail Services staff a priority to ensure sufficient, fully trained resources on the suite of tools used by DIR Customers and Service Provider are available at Commencement. Additional training will be identified based on planned changes to Print-Mail Services and technology Refresh. Examples of this are operator training for new hardware.

The Service provider will attend training provided by the MSI on all MSI provided tools and processes through either classroom or web based methods. Service Provider will provide all other required training. A training matrix will be created during Transition that will document required training by position and critical time frames, such as new employee training and required annual training. A key training action that will take place prior to Commencement is to have management and key operations support resources, including any staff involved in development of policies and procedures, complete the ITIL certification process. In addition, ITIL certified resources will be engaged during Transition to ensure operational procedures meet ITIL requirements.

3.4.6 Portal

Service Provider will work with the MSI and DIR in support of any portal assignments requiring Service Provider input, review and approval.

3.5 Print-Mail Services Solution

The Print-Mail Services Provider will deploy and manage systems, processes and staff required to meet the specifications defined in this Agreement. To accomplish this, the Service Provider will utilize the ADC as the primary location to perform Print-Mail Services as described in **Exhibit 2**. The ADC is a consolidated site that will provide Print-Mail Services for multiple DIR Customers. In addition to the ADC, the Service Provider will deliver limited Services as specified below at the following DIR Customer locations:

DIR Customer	DIR Customer Site	Service Provider Staff	Services Performed at this location
TWC	TWC ANNEX BLDG 101 East 15th Street Austin, TX 78701	2	Print, stitching, report distribution within DIR Customer site
TDCJ - Admin	Old Admin. (Walls Unit) 815 11 th Street Huntsville, TX 77340	1	Print, report distribution within DIR Customer Site
TDCJ-BOT	BOT 861B I45 North Huntsville, TX 77340	2	Print, report distribution within DIR Customer site

The Service Provider will implement, support and operate a print management platform at the ADC that will receive print ready files created by DIR Customers. The print management platform is DataServer, a product of NearStar, Inc. For all DIR Customers except TDCJ, print files will be sent to DataServer as part of the DIR Customer's file creation process. For security reasons, TDCJ print files are sent directly to printers located at the TDCJ BOT and Admin locations identified above.

Once print files are received by DataServer they are cataloged, verified and processed based on pre-established criteria documented by the Service Provider in collaboration with DIR Customers. This processing criterion for each print file resides in a relational database known as the jobs database. DataServer uses the information in the jobs database to determine if print files are delivered back to the DIR Customer or mailed to a constituent of a DIR Customer. Mailed items are presorted to achieve maximum postal discounts and ultimately delivered by the United States Postal Service.

Disaster recovery is performed through MailGard, a Print-Mail disaster recovery service provider located in Warminster, PA. The MailGard location is networked to both the ADC and SDC to provide redundant network paths. The Service Provider will establish a DataServer at MailGard to meet required recovery timeframes. Printing and mailing equipment and operational staff required for testing and disaster response will be provided by MailGard. Storage of critical supply items such as forms and envelopes will be

maintained near the MailGard Warminster location. In addition to services provided at DIR and DIR Customer locations, the Service Provider's Dallas location is available for overflow printing on an as-needed basis. Print files will be sent on an as-needed basis using an encrypted SFTP transmission method.

3.5.1 Print Services

The equipment and software service included in this configuration have been designed to support the requirements the Services required in this agreement.

The table below lists the printers and install locations contained in the Service Provider solution:

Equipment Name	Equipment Type	Status	Location	Description
Xerox Nuvera 144	Print	New	ADC	144 Print Pages per minute MICR printer with stitching capability
Xerox Nuvera 144	Print	New	ADC	144 Print Pages per minute MICR printer with stitching capability
Xerox DP 180	Print	Retain	ADC	180 Print Pages per minute printer
Xerox DP 180 HLC	Print	Retain	ADC	180 Print Pages per minute printer with highlight color
Xerox DP 525	Print	Retain	ADC	525 Print Pages per minute continuous form printer
Xerox DP 525	Print	Retain	ADC	525 Print Page per minute continuous form printer
Xerox 4127	Print	New	TWC Annex	125 Print Pages per minute printer with stitching capability
Xerox 4127	Print	New	TWC Annex	125 Print Page per minute printer with stitching capability
IBM Infoprint 3000	Print	Retain	Huntsville BOT	125 Print Pages per minute continuous form printer
IBM Infoprint 3000	Print	Retain	Huntsville Admin	125 Print Pages per minute continuous form printer
IBM Impact Printer	Print	Retain	Huntsville BOT	Line printer used for checks and carbon forms
IBM Impact Printer	Print	Retain	Huntsville Admin	Line printer used for checks and carbon forms

The combined list of printers above meets all requirements defined in **Exhibit 2**. Key capabilities included in the Service Provider print solution include:

- MICR print capability
- Highlight color
- Simplex and duplex printing
- Stapling
- Three resolutions (240, 300, 600 dpi input & output)
- Pin-fed continuous paper, pre-printed Forms and cut sheet paper supported
- Multiple emulations (IPDS, PostScript, PCL, Xerox DJDE, etc.)
- Multiple interfaces (Channel, Ethernet, etc.,)
- Switchable speeds to handle various requirements, forms, consumables, and configurations

The Service Provider management team participates in a series of daily review meetings such as those detailed below:

- Operations Managers meet with staff located at DIR Customer locations to review daily productions and communicate daily priorities.
- Review prior day performance and current day operational priorities. Status of key projects is provided and major milestones are reviewed.
- Review prior day production, current day processing and open incident review with DIR Customer as requested.

The Service Provider provides both professional and technical support as needed throughout the Agreement term to support the DIR production requirements as outlined in **Exhibit 2.5**. Printed output problem management is addressed and communicated to DIR on an appropriate basis.

The Service Provider provides technical support for the output management software (DataServer), hardware, and any professional services provided.

Any required reprints are handled through the Service Provider's production system reprint functionality. Service Provider performs reprints and missing report printing through the appropriate DIR channels as required.

The production system offers the ability to produce page-level and job-level reprints. These reprints are denoted in the user interface utilized by the Service Provider and accounted for with a unique job ID number. Reprints are a privileged function under Service Provider's system, requiring a user log on to perform. Additionally, the jobs that are reprinted can require further approval using additional modules.

Print files are created by DIR Customer application programs. DIR Customer approved print files are sent to the ADC for printing and are received in the DataServer. DataServer validates each print file and identifies print file errors and notifies the Service Provider operator by displaying the print file in an "error" queue. Operators respond to print file errors by opening an incident ticket in the MSI ITSM system and contacting the appropriate DIR Customer.

DataServer provides archival and retention capability. Retention of files is maintained to allow the Service Provider to reprint jobs without requiring the DIR Customer to resubmit the job. The standard retention period is 7 business days. The DataServer accounting information will be delivered to the MSI for input into the chargeback and SLA reporting systems.

3.5.2 Mail Services

Mail services are provided at the ADC with overflow and disaster recovery mail services provided at the sites defined in [Exhibit 7](#).

Each DIR Customer job that is mailed (Mail Job) is defined in the DataServer Jobs database. Within this database each job is given a delivery and mailing time frame as defined in [Exhibit 3](#). Mail Job processing instructions are reflected on the banner page and used by Mail operators to prioritize the job processing. The DataServer user interface also displays job priority to help print operators prioritize. Once printed jobs are staged for the mail operation team to process, the mail supervisors and leads review the jobs and prioritize the order in which the jobs are to be processed.

To communicate the status of jobs completed, reports are provided to DIR and DIR customers as defined in [Exhibit 13](#).

Once inserted and postmarked, all letter mail is sent to Pitney Bowes Presort Services (PBPS). PBPS performs presort services that allow DIR customers to apply postage at a significant discount over full rate postage.

PBPS also performs FastForward and NCOALink services as requested by DIR Customers. FastForward is a postal program that ensures compliance with move update regulations.

PBPS uses dedicated couriers to transport Mail from the ADC to the PBPS Austin location. For production in Dallas and Warminster, PBPS will provide dedicated couriers to PBPS locations in those respective cities.

PBPS performs the following operations:

- Mail is sorted by zip code. Postal bar-coding is applied if required.
- Mail is properly placed in trays tagged by zip code.
- Mail is inspected by an onsite USPS inspector.
- Reports on postage use, volumes, and chargeback information are created.

PBPS has multiple Texas based locations and transports mail to locations based on zip code as part of a program called Mail Exchange. PBPS Texas sites participating in Mail Exchange are listed in [Exhibit 7](#).

3.5.3 Quality Control

Service Provider will implement extensive quality control processes based on a combination of system and human inspections. Upon receipt of a DIR Customer print file, DataServer inspects the job for errors and inventories each job. Quality control processes are specific based on services provided. The two most frequently executed quality processes are Print-to-Delivery and Print-to-Mail. Below is a high level description of each quality process.

Print-to-Delivery

DataServer uses the jobs database to identify a print job that requires delivery. Based on the database entry and information contained in the job, banner pages are created that contain delivery information and a 2-D tracking barcode. Tracking records are opened in the DataServer tracking database and then the job is available for print.

When available to print, the operator can view the job in the DataServer operator interface. The job is sent to the desired printer by the operator. If the printer is not capable of printing the job due to resource incompatibility, DataServer will not send the job and will notify the operator.

Once on a printer, the operator inspects the job for print quality and alignment. Additional inspections are performed based on a calculated statistically valid sample. Print-to-deliver jobs are packaged and scanned after printing, then provided to the courier driver for delivery.

When reports reach the DIR Customer location, the job barcode is scanned at the delivery location. The delivery location barcode is also scanned to confirm delivery. All scan data is uploaded to the job tracking database.

In the event of a discrepancy, an incident ticket will be opened and the DIR Customer will be notified.

Print-to-Mail

DataServer uses the jobs database to identify a print job that requires mailing. Based on the database entry and information contained in the job, banner pages are created that contain mailing instruction including required mailing envelopes, required inserts and any other special instructions.

Data Server also inventories every page and applies tracking barcodes used to process on the high speed mailing inserters. Once input processing is complete, tracking records are opened in the DataServer tracking database and a mail tracking file is pushed to the DF Works system for use during the insertion process. At this point the job is available for print.

The job is viewable to the operator in the DataServer interface. The job is sent to the desired printer by the operator. If the printer is not capable of printing the job due to resource incompatibility, DataServer will not send the job and will notify the operator. Once printing begins, the operator inspects sample pages for print quality and alignment. Additional inspections are performed based on a calculated statistically valid sample.

After printing is complete, jobs are moved into the mail area. Mail jobs are processed on Pitney Bowes inserters equipped with barcode scanners. The mail inserter reads the barcode on every page of the printed document and compares it to the mail tracking file created on DataServer.

If any discrepancy is detected, the system rejects the mail piece and the operator must research and correct. All mail pieces must be accounted for and each mail tracking file must be fully completed before mail is released to final verification.

After the insertion process, every mail job is inspected to ensure that each job was properly processed. After final verification, mail jobs are released to presort.

A mail job tracking sheet is filled out for each job that indicates the number of individual envelopes in the job. Prior to PBPS pickup, the mail management staff validates the number of envelopes reported on the tracking sheets against inserter job data. Once mail is delivered to PBPS, PBPS validates this count on the job tracking sheets against the actual presort machine counts for that job. PBPS reports any discrepancy based on defined thresholds defined in the SMM back to Service Provider for remediation. Service Provider logs the discrepancy as an incident in the MSI ITSM.

3.5.4 Courier Services

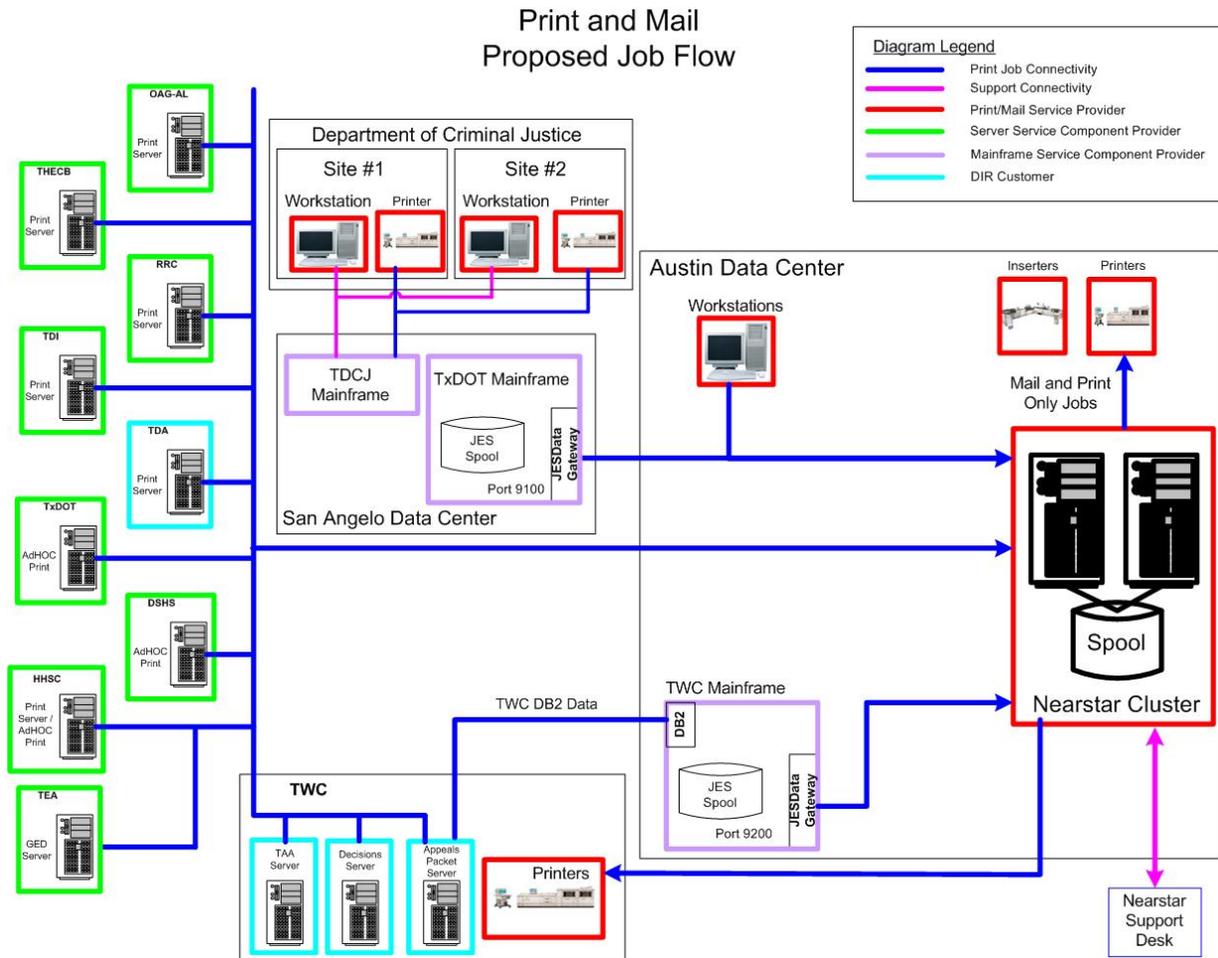
For the category of Print-to-Delivery print jobs, the Service Provider provides courier services to distribute the print jobs to DIR Customer locations.

As jobs are completed, they are placed in secure bins for retrieval by delivery drivers. As the jobs are prepared to be delivered, a scan operator packages up the jobs for a given delivery location, scans each individual report to be delivered and creates a manifest for the package. The manifests are scanned as they leave the ADC for delivery. As deliveries are made, jobs or manifests, depending on packaging, and barcodes are scanned at each building delivery location as a timestamp, to capture that the report(s) delivered were placed at the drop location. The scanners with the scan data are placed into the download dock when the driver returns to the ADC and the information is uploaded to the NearStar Job Accounting module. A subset of the data from the scan points will ultimately be used as part of the file that is exported and sent to the MSI for SLA reporting.

The delivery schedule is maintained in order to meet the SLA measure in **Exhibit 3**.

3.6 Technology Architecture and Standards

The Service Provider has implemented a technology architecture based on a centralized print manager platform called NearStar DataServer. This DataServer platform has connectivity to all agencies that are supported by the print operation for receiving print jobs and to all printers on the production floor for printing. The diagram below illustrates key components of the Service Provider solution and the overall document workflow:



This platform allows the Service Provider to receive numerous types of data feeds and document formats and process them into a few standard output formats. Converting the various input formats as described in **Exhibit 2.5** to a standard output format allows the existing hardware configuration to support a wider spectrum of jobs and the production floor to have a common set of operating procedures. This reduces operational variability and risk.

Key Print-Mail Standards Are Listed Below:

Standard	Use
NearStar Print Manager	Common print job and printer management. NearStar also transforms jobs to be compatible with the implemented systems. Job tracking and reprint capability is also provided
Postscript	Output job format for jobs transformed by NearStar system. NearStar receives numerous PDLs and document formats. NearStar outputs most jobs in compiled postscript to allow for centralized resource management and error free printing
PDF	Output job format used for jobs that are output for viewing and jobs received in PDF or VIPP format
2-D Barcode	Standard barcode used on job tracking banner pages for documents delivered back to DIR Customer. The 2-D barcode is scanned by the courier and uploaded in the job tracking data base
XEAR	Printer accounting module used to collect printer based activity at a job level. Output from this tool is uploaded into NearStar accounting module.
Xerox Production Printers	Industry standard high-speed production printers with data collection capabilities to work in conjunction with the XEAR product.
Pitney Bowes Flowmaster Inserter	High speed inserter with capability to scan and track documents at a page level.
Pitney Bowes DF Works	Pitney Bowes inserter tracking system that integrates with Flowmaster inserters. DF Works maintains and tracks mail run tracking files created by the NearStar Print Manager
2 of 5 barcode	Standard barcode format for inserter tracking of documents. NearStar places the 2 of 5 barcodes as required on mail pieces
Code 1	NCOA validation software integrated into Print-Mail architecture

3.7 On-Going Programs

3.7.1 IT Currency

The Service Provider will use MSI provided tools such as CMDB to catalog all devices and systems used to perform Services. CMDB entries, where appropriate, will contain release levels of software and hardware microcode levels. As part of Service Provider's operational process, system performance is monitored and operational incidents are identified and resolved. During this process, currency of impacted systems and devices are evaluated to assess impact of release levels and other device attributes on performance and root cause of active incidents. If updates are required to any system or device, the change management process will be used and appropriate CMDB entries will be updated. Service Provider will also assess IT Currency during the development of the annual IT plan and schedule required changes as directed by that plan as approved by DIR.

3.7.2 Technology Refresh

Service provider during Transition will refresh technology as required to comply with **Exhibit 4**. Service Provider will work with MSI, DIR and DIR Customers to publish the annual Technology Plan that will detail each device that comprises the Service Provider's solution and that device's compliance with required Refresh schedules. This plan will also detail performance of the device maintainability and estimated remaining life.

3.7.3 Risk Management

The Service Provider will actively participate in the MSI managed Risk Management process. In addition to the MSI process, the Service Provider also maintains a Risk Management Process as part of normal business process. Key aspects of that process are:

Risk Management Support

Service Provider will work within the MSI developed risk framework. Service Provider will identify risks within the Print-Mail Services, specify how risk is quantified and who is in charge of the various Risk Management duties.

Business Impact and Risk Analysis

Quantify the impact to the business that a loss of service or asset would have, and to determine the likelihood of a threat or vulnerability to actually occur. The result of the "Business Impact and Risk Analysis" is the Risk Register, a prioritized list of risks which must be subsequently addressed.

Assessment of Required Risk Mitigation

Determine where risk mitigation measures are required, and to identify risk owners who will be responsible for their implementation and ongoing maintenance.

Risk Monitoring

Monitor the progress of counter measure implementation, and to take corrective action where necessary.

3.7.4 Security Management

Service provider will implement programs to meet security requirements defined in **Exhibit 17** through a comprehensive program of logical and physical security management. Service provider will actively work with the MSI to develop and document Security Management processes and actively work with DIR, DIR Customers and each SCP to improve end to end Security Management. In addition, the Service Provider will work in cooperation the MSI to develop a security plan and support annual security assessments as required by **Exhibit 17**.

3.7.5 Availability Management

Service Provider will monitor daily utilization of all installed devices and systems against established utilization targets. Service Provider has no direct availability requirements identified in **Exhibit 3** but component availability is critical to meeting Service Provider SLA commitments as defined in **Exhibit 3**. To ensure required availability, the Service Provider will develop an availability management process that will include:

- Monthly meetings with subcontractors providing maintenance on key hardware components such as printers, inserters and servers.
- Scheduled preventative maintenance for key devices such as printers and inserters.
- Regularly review server logs.
- Monitor usage of key resources such as spool space.
- Review inventory reports for device consumed items such as toner and developer.
- Participate in Change Management process to prevent timing conflicts with Print-Mail production.
- Perform quarterly platform assessment that includes incident reviews to identify potential failure points or areas requiring a performance improvement review.

3.7.6 Transformation

Service provider will support cross functional stabilization activities by fully participating with the MSI to complete a Disaster Recovery gap analysis and Configuration Management (CMDB) true up. In addition, Service Provider will implement and maintain a process for the development of recurring deliverables and establish an ongoing optimization program focused on leveraging Six Sigma tools and capabilities to drive long term continuous improvement for the benefit of DIR and DIR Customers.

3.7.7 Disaster Recovery

Service Provider will provide Print-Mail Disaster Recovery capability.

This program has three key aspects: Solution Architecture, Platform Currency, and Testing.

Solution Architecture:

In the event of a disaster, Service Provider will provide Services through MailGard from the MailGard facility in Warminster, PA. MailGard will provide the required staff, printers, inserters and pre-sort services to meet the Print-Mail requirements as defined in **Exhibit 2**.

Also located at the MailGard site in Warminster is a NearStar server with identical software to the NearStar system located in the ADC. This includes fonts, forms, logos and DIR Customer specific scripts.

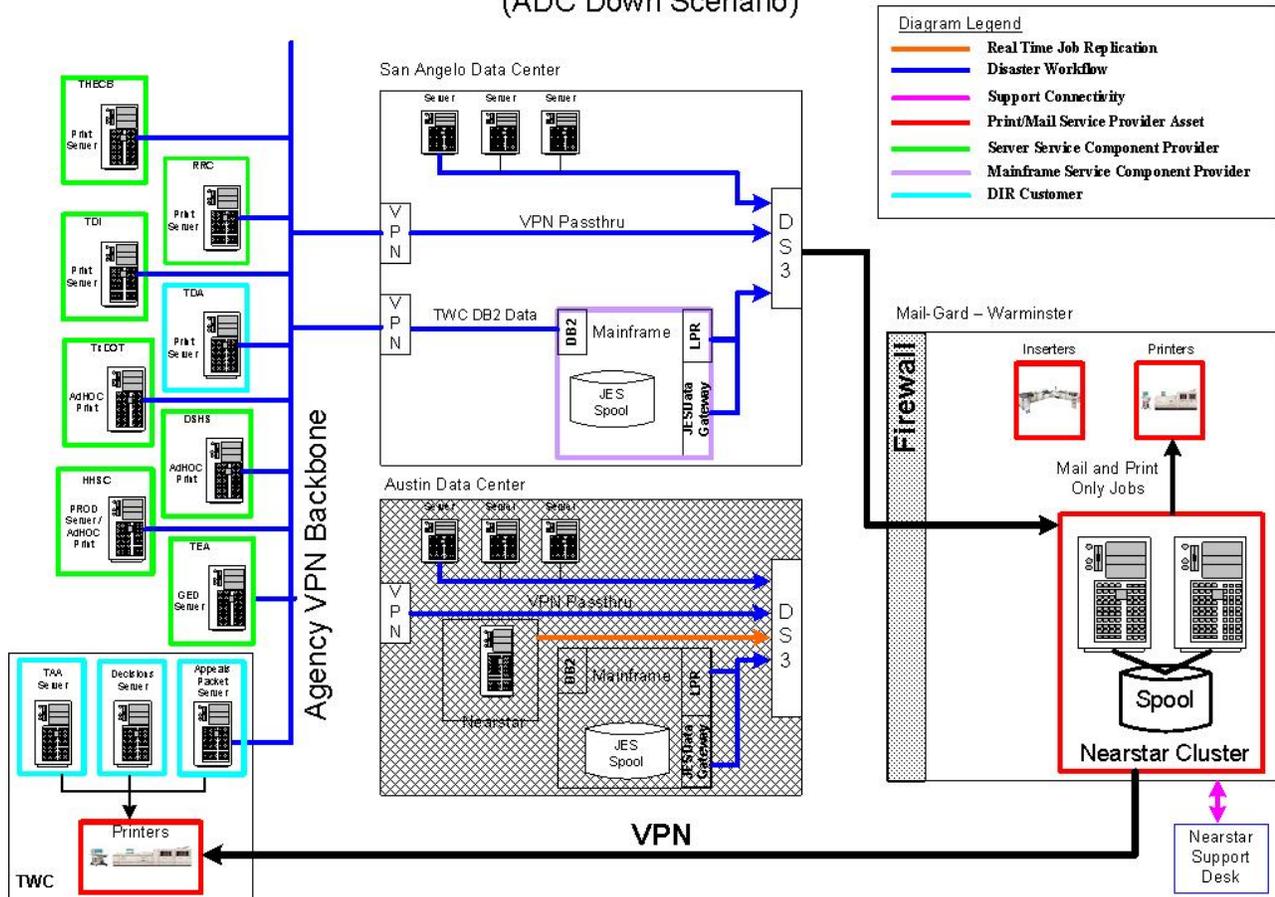
The ADC and MailGard NearStar systems are connected by diversely routed DS3 lines originating in the ADC and SDC. This configuration allows the ADC NearStar to replicate print files received to the NearStar server located at MailGard.

This replication ensures that in the event of a disaster, files received prior to that disaster have been copied and are available at the Disaster Recovery location. Because of this feature print files received up to the point of a disaster will reside at the Disaster Recovery location, while the go-forward files are re-directed to MailGard over the SDC DS3 connection. DIR has the sole authority to declare a disaster. Recovery timeframes will be established by Application by DIR customers and documented in the Disaster Recovery Plan.

The Print-to-Mail jobs are printed and inserted and then picked up by PBPS using dedicated trucks and returned to the processing facility in Reading, PA. The mail is then pre-sorted and given to the USPS. For Print-to-Delivery jobs printed at MailGard, they are printed, packaged, and shipped back to the DIR Customers via Priority Overnight Shipping once a day.

The diagram below depicts the DR configuration:

State of Texas Proposed Disaster Recovery Job Flow (ADC Down Scenario)



Platform Currency:

Components of the platform are updated on an as needed basis. An upgrade to the server configuration that supports Disaster Recovery is planned as part of Transition. In addition to hardware currency, as each DIR Customer makes changes to forms or other modifications, the changes are copied from the ADC system to the MailGard system. This ensures the most current versions of forms and scripts are available in the event of a disaster.

In addition to system related resources, Service Provider maintains forms and envelope storage near Warminster, PA. This ensures paper and envelopes are available to allow contractual recovery timeframes as defined in **Exhibit 16** and the SMM. Forms and envelopes stored in this warehouse are rotated every 6 months to ensure the stock does not become outdated or damaged due to age. Secure stock such as warrants and TxDMV titles, and any special forms are not stored offsite and would be shipped directly to MailGard by the DIR Customer.

Testing:

Recovery Testing will be performed based on the schedule provided by the MSI. Jobs identified by DIR Customers are selected for testing. During the Disaster Recovery testing window those jobs are selected and processed based on instructions in the Disaster Recovery Plan.

Completed materials are reported to the MSI and reviewed by the DIR Customer.

3.7.8 Inventory Management

The Service Provider manages and stores at the ADC the necessary forms and envelopes to support Print-Mail Services. Service Provider will develop processes to ensure proper communication and prevent out-of-stock conditions. Key aspects of inventory management are:

- Weekly inventories will be provided to the MSI for publication to the Portal.
- Replenish levels will be established based on usage trending.
- Communication with DIR Customers will be provided regarding DIR Customer provided inventory.
- Communication regarding changes in usage patterns driven by special production or one time activity will be provided to DIR and DIR Customers.
- Service Provider will use MSI provided ITSM to report low stock situations.

The entire inventory management process will be documented in the SMM.

3.7.9 Capacity Management

The Service Provider will participate in the MSI Capacity Change Management process. The Service Provider will establish performance benchmarks for all devices and Systems used to provide Print-Mail Services. Data collection where possible will consist of data feeds into the MSI CMIS. The Service Provider will use this information to evaluate existing capacity and demand trends. These trends inform Service Provider's evaluation of the need for additional capacity.

In addition to MSI managed processes, the Service Provider uses the following key operational processes to ensure full utilization of available resources and sufficient capacity to meet daily demand:

- Frequent communication with DIR Customers regarding new applications, volume projections and schedules
- Evaluation of all changes in a test environment to understand impact on processing times and spool utilization
- Testing of changes in the Print-Mail environment to evaluate impact on print times and processing capability of printer resources
- Monitoring of operator performance to ensure efficient use of production devices
- Monitoring of materials such as paper, envelopes and inserts, as machine jams can dramatically impact throughput
- Regular device preventative maintenance and cleaning schedules
- Maintain and test overflow print capability

3.8 Governance Interfaces

The Service Provider will provide the necessary resources to fully participate in the DCS Governance program as described in **Exhibit 6**.

The Service provider will work with the MSI as required to respond to Governance related actions and requirements. The Service Provider's Service Delivery Executive (SDE) will function as the primary contact point for the MSI related to governance committee activities. When called upon to participate in Governance, the SDE will evaluate and engage the required resources either from within the dedicated account team, subcontractor staff or throughout the Service Provider's company.

3.9 Customer Interfaces and Relationship Management

The Service Provider will establish direct operational relationships with DIR customers receiving Services defined in **Exhibit 2.5** as required to perform Services. For daily operations, the Account Operations Managers will be the primary contact point for DIR Customers, MSI and SCP.

Other operational touch points exist to allow employees who process work for specific DIR Customers to be accessible and interact with their DIR Customer counterparts. Requirements for daily interaction with DIR and DIR Customers will be developed during Transition and documented in the SMM.

The Services Delivery Executive (SDE) as identified in **Exhibit 5** will function as the primary interface with DIR and MSI.

The MSI and the Service Component Providers will be guided by the following in conducting and managing communications with DIR Customers. These guidelines, provided by DIR, are designed to manage interactions with DIR Customers to eliminate duplication and provide a clear and concise point of contact.

Functional Area	Lead Service Provider	Description of DIR Customer Interface
Customer Relationship	Both	Both service providers have a responsibility to develop a relationship with DIR Customers and both are responsible for ensuring a positive relationship with clearly defined roles and responsibilities.
Customer Satisfaction Reporting	MSI	The MSI is responsible for gathering customer satisfaction information through the survey of a sample of closed Remedy requests, day-to-day feedback submitted through the Portal, and through regular independent Third Party surveys. The MSI is responsible for presenting these satisfaction results and related improvement plans to the DIR Customers.
Incident Management (restorals)	Service Component Provider	The Service Component Provider will work directly with the relevant DIR Customer contact to resolve Incidents. DIR Customer issues with specific Incidents should be addressed to the Service Component Provider.
Major Incident Management	MSI	The MSI is responsible for handling conference bridges and communicating with all DIR Customer stakeholders, allowing the Service Component Provider to focus on the technical resolution.

Functional Area	Lead Service Provider	Description of DIR Customer Interface
Solution Request Management	MSI	The MSI is responsible for gathering requirements from the DIR Customer, prioritizing requests across the enterprise, providing proposals, and managing demand. The MSI is responsible for communicating status and resolving issues with the DIR Customer.
Solution Request ROM (Rough Order of Magnitude)	MSI	The MSI is responsible for creating a Rough Order of Magnitude for delivery to the DIR Customer, based on technical and financial estimates developed by the Service Component Provider part of the Solution Request proposal process.
Project Management	Service Component Provider	The Service Component Provider is responsible for project managing the implementation of approved solution requests. The MSI is responsible for program management over the project pool and project reporting, however DIR Customer interfaces on specific projects would be directly to the Service Component Provider managing the project.
Service Requests (work requests)	Service Component Provider	The Service Component Provider is responsible for working Service Requests directly with the DIR Customer. The MSI is responsible for overall service delivery oversight and reporting, however, the DIR Customer interfaces directly with the Service Component Provider on the Service Requests for that DIR Customer.
Problem Management	MSI	The MSI is responsible for identifying Problems and overseeing the Service Component Provider's Problem resolution. The MSI is responsible for communicating with the DIR Customer on its Problem Management activities and progress.
Change Advisory Board Leadership	MSI	The MSI is responsible for organizing and leading Change Advisory Board meetings including ensuring appropriate DIR Customer participation.
Change Execution and Planning	Service Component Provider	The Service Component Provider is responsible for interfacing directly with the DIR Customer on the planning and execution of specific changes.
Availability, Capacity, and Trending Reports	Both	The MSI is responsible for providing Availability and Capacity trending and forecasting by DIR Customer and discussing this with DIR Customers. The Service Component Provider is responsible for monitoring availability and capacity on a daily basis, bringing issues and needs to the DIR Customer directly for specific systems or environments.
SLA Reports/Dashboard	MSI	The MSI is responsible for producing SLA attainment statistics by DIR Customer and for delivering these reports to the DIR Customer.

Functional Area	Lead Service Provider	Description of DIR Customer Interface
Operations Review (periodic/monthly)	MSI	Both the MSI and Service Component Provider are responsible for providing operations reviews at different levels. The MSI is the lead contact for the IT Director since the MSI is responsible for ensuring service delivery across all towers. The MSI provides monthly or periodic reviews at an overall perspective. The Service Component Provider would participate in the review with the DIR Customer, but the MSI would take the lead.
Operations Review (day to day)	Service Component Provider	The Service Component Provider is responsible for communicating with and reporting problems affecting daily operations. The Service Component Provider is also responsible for operational interfaces with the DIR Customers based on DIR Customer need (e.g., daily operations review).
Technology Needs Collection	Service Component Provider	The Service Component Provider is responsible for working directly with a DIR Customer to gather detailed technology needs that would feed into solution requests or long range technology planning.
Invoice Disputes	MSI	The MSI is responsible for communicating with and managing all DIR Customer invoice disputes.
Chargeback Account Code Maintenance	MSI	The MSI is responsible for resolving issues with DIR Customer Chargeback data collection and account code maintenance.
Disaster Recovery Plan	MSI	The MSI is responsible for working with each DIR Customer on their overall Disaster Recovery Plan.
Disaster Recovery Test Coordination	MSI	The MSI is responsible for scheduling disaster recovery testing with DIR Customers.
Disaster Recovery Test Execution	Service Component Provider	The Service Component Provider is responsible for communicating and interfacing with the DIR Customer during the execution of the Disaster Recovery tests.
Transition Coordination	MSI	The MSI is responsible for coordinating Transition activities for both the Service Component Provider and MSI and communicating the integrated Transition plan to the DIR Customer and to resolve any issues affecting the DIR Customer.
Transition Execution	Both	Both the MSI and Service Component Provider are responsible for executing their own Transition plan and coordinating directly with the DIR Customer on DIR Customer-specific activities.
Stabilization Coordination	MSI	The MSI is responsible for communicating the overall plan for and coordinating Stabilization activities with DIR Customers.

Functional Area	Lead Service Provider	Description of DIR Customer Interface
Stabilization Execution	Service Component Provider	The Service Component Provider is responsible for interfacing with the DIR Customer on DIR Customer-specific stabilization activities, such as completing Service Requests, implementing monitoring on specific servers, etc.
Consolidation Coordination	MSI	The MSI is responsible for communicating the overall consolidation plan across the enterprise to DIR Customers.
Consolidation Execution	Service Component Provider	The Service Component Provider is responsible for interfacing with DIR Customers about that DIR Customer's consolidation activities.
Security Management Incidents, Testing, Policy, IAM	MSI	The MSI is the DIR Customer's point of contact concerning Security policy or issues.
Security Audit/Assessment	MSI	The MSI is responsible for interfacing with the DIR Customer on conducting the annual Third Party security assessment and any related remediation activities.
On-boarding/Off-boarding	MSI	The MSI will interface with the DIR Customer on any on-boarding or off-boarding issues or needs.
First Escalation	Service Component Provider	The DIR Customer's first point of escalation for day-to-day operational issues is with the Service Component Provider.
Higher Escalation	MSI	The DIR Customer's next level of escalation, if the Service Component Provider has not been successfully resolving the issue, is to the MSI.
Work Prioritization with DIR Customer	Service Component Provider	The Service Component Provider is responsible for working directly with the DIR Customer to prioritize work for a DIR Customer. (The MSI is responsible for working with DIR to prioritize work across the enterprise.)

3.10 Process Documentation and Compliance

Service Provider will provide process documentation as required by **Exhibit 6**. Development of the SMM will be completed in the timeframes defined in **Exhibit 3**. In addition to SMM required content, Service Provider will create work instructions to meet specific requirements of DIR and DIR Customers. Work instructions will reside in the MSI Portal.