

# **Department of Information Resources**



## **Exhibit 3.1**

### **Service Level Matrix**

#### **Multi-sourcing Services Integrator**

**DIR-ESS-MSI-407**

**May 27, 2020**

Change Log			
CCR/CN	Amendment	Date	Description
CCR-000303	N/A	6/25/2018	Updated the due date for PRTL-08 from 6/29/18 to 7/13/18 as the portal content was previously aligned with the portal build (both were 6/29). Moving to 7/13 keeps these two materially aligned (content will be 7/13, build will be 7/16).
CCR-000305	N/A	7/17/2018	Updates to Tab 3: One Time Critical Deliverables: * Revising the "30 days prior to commencement date" language for SLM-10 as the due date was updated from 7/31/18 to 8/10/18.
CCR-000307	N/A	8/1/2018	Updated Tab 3, One Time Critical Deliverables: * Revised "20 days to 10 days prior to commencement date" for SMM-02 as the due date was updated to 8/21/18 in Exhibit 3.7.
CN-00743	N/A	8/30/2018	Updated Tab 1, Critical Service Levels to replace TBD with percentages for Service Catalog Management.
CCR-000376	N/A	1/30/2020	Updated Tab 4, Recurring Critical Del to add language "or as such other time as mutually agreed to" for the Customer Sat Surveys and DCS Consolidation Report.
CCR-000386	Amendment 6	4/20/2020	<p>Updated tab "1. Critical Service Level" :</p> <ul style="list-style-type: none"> <li>•Removed Expected Service Levels from all service levels</li> <li>•Adjusted "Allocation of Pool Percentage" numbers to support changes in service level categories</li> <li>•Adjusted "Service Level Credit Percentages" to reflect changes to "Allocation of Pool Percentage" amounts for Service Level Category "Incident and Problem".</li> <li>•"Resolution Time – Sev 1 and 2 – Enterprise": updated to reflect NexGen DCS Sev 1 and 2 resolution timeframes by Service Tier and Minimum Service Level target number</li> <li>•"Solution Implementation": moved from tab "2. Key Service Level" and updated Minimum Service Level target number</li> <li>•"Service Request Fulfillment – Enterprise": updated Minimum Service Level target number</li> <li>•"Root Cause Analysis – Enterprise": updated Service Level Category to "Chronic Incidents: Root Cause Analysis, Corrective Actions and Recidivist Rate" and updated Minimum Service Level target number</li> <li>•Added "Auto Provisioning Accuracy and Timeliness – Enterprise"</li> </ul> <p>Updated tab "2. Key Service Level" :</p> <ul style="list-style-type: none"> <li>•Removed Expected Service Levels from all service levels</li> <li>•"Solution Proposal Delivery": updated Minimum Service Level target number</li> <li>•"Resolution Time – Sev 3 and 4 – Enterprise": <ul style="list-style-type: none"> <li>•Moved from tab "1. Critical Service Level"</li> <li>•Updated to reflect NextGen DCS Sev 3 and 4 resolution timeframes by Service Tier</li> <li>•Updated Minimum Service Level target number</li> </ul> </li> <li>•"Change Management Effectiveness - Enterprise": updated Minimum Service Level target number</li> <li>•"Data Quality – Enterprise": moved from tab "1. Critical Service Level"</li> <li>•"Chronic Enterprise Incidents": removed and added to updated Service Level Category "Chronic Incidents: Root Cause Analysis, Corrective Actions and Recidivist Rate" in tab "1. Critical Service Level"</li> <li>•Added "Accurate Incident Assignment"</li> <li>•"Invoice Dispute Resolution– Enterprise" from tab "1.Critical Service Level"</li> </ul> <p>Updated tab "4. Recurring Critical Deliverable":</p> <ul style="list-style-type: none"> <li>•2.4 Security Assessment Remediation: removed and intentionally left blank</li> <li>•2.5 Annual Vulnerability Report: removed and intentionally left blank</li> </ul> <ul style="list-style-type: none"> <li>• Updated Introduction tab to remove ESL language.</li> </ul>
CCR-000XXX	N/A	5/27/2020	<ul style="list-style-type: none"> <li>• Updated Tab 4, Recurring Critical Del to add language "or as such other time as mutually agreed to" for Customer Sat Improvement Plan.</li> <li>• Corrected language on Tab 4 for DCS Consolidation Report as the clean version of Amendment 6, Exhibit 3.1 via CCR386, did not have the corrected language as revised and approved per CCR376.</li> </ul>

# INTRODUCTION

## **This Exhibit 3.1 Service Level Matrix sets forth the following:**

### **1. For Critical Service Levels: Exhibit 3.2 (Service Level Definitions):**

- the numeric measurements for Minimum Service Levels;
- the timing regarding the commencement of obligations for each Critical Service Level
- a cross-reference to Exhibit 3.2 (Service Level Definitions) where the qualitative description of the Critical Service Level can be found

### **2. For Key Service Levels: Exhibit 3.2 (Service Level Definitions):**

- the numeric measurements for Minimum Service Levels;
- a cross-reference to Exhibit 3.2 (Service Level Definitions) where the qualitative description of the Key Service Levels can be found

### **3. For One Time Critical Deliverables: Exhibit 3.3 (Critical Deliverables):**

- the timing regarding the commencement of obligations for each One Time Deliverable
- a cross-reference to Exhibit 3.3 (Critical Deliverables) where the qualitative description of the One Time Deliverable can be found

### **4. For Recurring Critical Deliverables: Exhibit 3.3 (Critical Deliverables):**

- the timing regarding the commencement of obligations for each Recurring Deliverable
- a cross-reference to Exhibit 3.3 (Critical Deliverables) where the qualitative description of the Recurring Deliverable can be found

### **5. For Key Performance Indicators: Exhibit 3.4 (Performance Analytics):**

- the timing regarding the commencement of obligations and the objectives for each KPI

### **6. For Operating Measurements: Exhibit 3.4 (Performance Analytics):**

- the timing regarding the commencement of obligations and the objectives for each Operating Measurement.
- a cross-reference to Exhibit 3.4 (Performance Analytics) where the qualitative description of the KPIs and Operating Measurements can be found

**Critical Service Level Matrix - MSI**

At-Risk Percent									15%
Pool Percentage Available for Allocation									200%
Exhibit 3.2 Section Reference	Service Level Categories	Comm + mos <sup>(1)</sup>	Minimum (MSL) <sup>(3)</sup>	Measurement Window	Share Type	Service Level Credit Percentage	% of Invoice	Low Volume Alternative Calculation (4)	
<b>Plan / Build</b>									
Allocation of Pool Percentage:		35%							
A.1	New Service Offering - Request Fulfillment	6	90.00%	Quarterly	U	50.00%	2.63%		
A.2	Onboarding Request Fulfillment - Customer / Service Component Provider	6	90.00%	Quarterly	U	50.00%	2.63%		
<b>Customer Experience</b>									
Allocation of Pool Percentage:		15%							
A.3	Service Catalog Management	0	90.00%	Monthly	U	100.00%	2.3%		
<b>Incident and Problem</b>									
Allocation of Pool Percentage:		125%							
A.4	Resolution Time - Sev 1 and 2 - Enterprise	0	98.00%	Monthly	R	22.00%	4.1%		
A.5	Solution Implementation	0	97.00%	Monthly	R	12.00%	2.3%		
A.6	Time to Initiate Major Incident Response Team (MIRT) Bridge	0	90.00%	Monthly	U	8.00%	1.5%		
A.7	Service Request Fulfillment - Enterprise	0	96.00%	Monthly	R	12.00%	2.3%		
A.8	MSI Shared Services Systems Availability	0	99.70%	Monthly	U	19.00%	3.6%		
A.9	Chronic Incidents: Root Cause Analysis, Corrective Actions and Recidivist Rate - Enterprise	0	99.00%	Monthly	R	8.00%	1.5%		
A.10	Auto-Provisioning Accuracy and Timeliness - Enterprise	0	97.50%	Monthly	R	19.00%	3.6%		
<b>Operations Management</b>									
Allocation of Pool Percentage:		25%							
A.11	Software License Compliance Position Reporting	6	80.00%	Quarterly	U	100.00%	3.8%		

400.00% 30.00%

**Notes:**

(1) Number of Months after Commencement Date when the Service Provider is responsible for Service Level performance and Service Level Credits due for Service Level Default

(3) MSL will have the same meaning as Minimum Service Level.

(4) The SLA result will initially be calculated based upon the algorithm specified in **Exhibit 3.2**. If the result is less than the Service Level target, then the performance for this Service Level shall be reported as set forth in **Exhibit 3.0**.

**Key Service Level Matrix - MSI**

Exhibit 3.2 Section Reference	Service Level Categories	Comm + mos <sup>(1)</sup>	Minimum (MSL) <sup>(3)</sup>	Measurement Window	Share Type	Low Volume Alternative Calculation <sup>(4)</sup>
	<b>Customer Experience</b>					
B.1	Service Catalog Effectiveness	0	75.00%	Monthly	U	
B.2.A	Service Desk Customer Satisfaction	0	4.06	Monthly	U	
B.2.B	Constituent Help Desk Customer Satisfaction	0	4.06	Monthly	U	
B.3.A	Service Desk - Average Contact Time (Chat)	0	≤ 20 Sec	Monthly	U	
B.3.B	Constituent Help Desk - Average Contact Time (Chat)	0	≤ 60 Sec	Monthly	U	
B.4.A	Service Desk - Average Contact Time (Phone)	0	≤ 27 Sec	Monthly	U	
B.4.B	Constituent Help Desk - Average Contact Time (Phone)	0	≤ 60 Sec	Monthly	U	
B.5.B	Constituent Help Desk - Average Contact Time (Email)	0	≤ 24 hours	Monthly	U	
B.6	Solution Proposal Delivery	0	97.00%	Monthly	R	
B.7	Resolution Time-Sev 3 and 4 - Enterprise	0	98.00%	Monthly	R	
	<b>Service Management</b>					
B.8	Change Management Effectiveness - Enterprise	0	98.00%	Monthly	R	
B.9	Data Quality - Enterprise	0	98.00%	Monthly	R	
B.10	Incident Communication	0	91.00%	Monthly	U	
B.11	DR Test Report Delivery	0	91.00%	Monthly	U	
B.12	DR Test Plan Objectives Met	0	91.00%	Monthly	U	
B.13	License and Maintenance Renewal Timeliness - Enterprise	0	99.50%	Monthly	R	
B.14	Accurate Incident Assignment	0	96.50%	Monthly	U	
B.15	Invoice Dispute Resolution - Enterprise	0	97.00%	Monthly	R	

**Notes:**

(1) Number of Months after Commencement Date when the Service Provider is responsible for Service Level performance.

(3) MSL will have the same meaning as Minimum Service Level.

(4) The SLA result will initially be calculated based upon the algorithm specified in Exhibit 3.2. If the result is less than the Service Level target, then the performance for this Service Level shall be reported as set forth in Exhibit 3.0.

<b>One Time Critical Deliverables</b>
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Exhibit 3.3 Section Reference	One Time Critical Deliverable Title	Final Due Date	Deliverable Credit	Frequency Credit Applies
1.1	Transition Readiness Plan	60 days prior to Commencement	\$10,000	Weekly
1.2	Transition Plan	Phase I: 60 days post Effective Date Phase II: 30 days post Commencement	\$15,000	Weekly
1.3	Service Management Manual (SMM)	Phase I: 30 days after Effective Date Phase II: 10 days prior to Commencement Phase III: 60 days post-Commencement	\$10,000	Monthly
1.4	New Customer Outreach & Implementation Plan	Commencement	\$10,000	Monthly
1.5	New Services: Development Process and Plan	Commencement	\$10,000	Monthly
1.6	Service Level Measurement Tools	8/10/18	\$10,000	Monthly
1.7	CMDB and Data Quality Management Automation	Thirty (30) days prior to Commencement	\$10,000	Monthly
1.8	Public and Private Portal Design	Ninety (90) days prior to Commencement	\$15,000	Monthly
1.9	Portal Content Management Plan	7/13/18	\$10,000	Monthly
1.10	First year MSI Technology Innovation and Automations Implementation	9/2/19	\$10,000	Monthly
1.11	Forecasting Automation	3/1/19	\$10,000	Monthly
1.12	APM Release 1.0 for 5 DIR Customers	3/1/19	\$10,000	Monthly

<b>Recurring Critical Deliverables</b>				
<u>Exhibit 3.3</u> Section Reference	Recurring Deliverable Title	Final Due Date	Deliverable Credit	Frequency Credit Applies
2.1	Annual Technology Plan and Roadmap	July 15th annually	\$15,000	Monthly
2.1-A	Annual Implementation of MSI Technology Improvements	Annually, 12 months after the Acceptance of the MSI Innovation Improvements Plan	\$30,000	Monthly
2.2	Annual Technology Refresh Plan	January 15th annually	\$10,000	Monthly
2.3	Annual Security Plan	October 1st annually	\$10,000	Monthly
2.4	Intentionally left blank			
2.5	Intentionally left blank			
2.6	Service Management Manual Currency - Quarterly Report	Quarterly	\$10,000	Monthly
2.7	Customer Satisfaction Surveys - Results Report	March 1st annually, or as such other time as mutually agreed to	\$10,000	Monthly
2.8	Customer Satisfaction Improvement Pan	June 1st annually, or as such other time as mutually agreed to	\$10,000	Monthly
2.9	Customer Outreach Plan	January 15th annually	\$15,000	Monthly
2.10	Disaster Recovery Test Plan and Schedule	June 1st annually	\$10,000	Monthly
2.11	DCS Consolidation Report Update	February 1st annually, or as such other time as mutually agreed to	\$10,000	Monthly
2.12	DIR Shared Services Annual Review	October 15th annually	\$15,000	Monthly

**Performance Analytics**

Exhibit 3.4 Section Reference	Operating Measurements Description	Commencement + Mos
2.1	Quality: Percentage of Change in number of Major Incidents	0
2.2	Value: Percentage of Customers satisfied with service offerings	0
2.3	Problem: Time to Review and Deliver RCA	0
2.4	Asset: Assets Updated by eDiscovery	0
2.5	Asset: Asset Attributes Updated Electronically	0
2.6	Invoicing: Invoice Delivered On-time	0
2.7	Invoicing: Time to Assign Invoice Dispute	0
2.8	Devices Reporting via Electronic Management Tool	0
2.9	Growth: Number of customers	0
2.10	Growth: Shared services volume	0
2.11	Growth: Number of services offered	0
2.12	Growth: Shared Services Spend per Customer	0
2.13	Growth: Shared Services Spend by Customer Other than State Agencies	0
2.14	Customer Satisfaction: Percentage of executive/IT operational staff customers satisfied	0
2.15	Customer Satisfaction: Monthly Customer Scorecard - Acceptable	0
2.16	Customer Satisfaction: Customer Service Desk Survey	0
2.17	Customer Satisfaction: Constituent Portal Survey	0
2.18	Customer Satisfaction: Constituent Application Survey	0
2.19	Quality: Percentage of Service levels meeting expected targets	0
2.20	Quality: Service request fulfillment in Days	0
2.21	Quality: Percentage of Automated processes	0
2.22	Quality: Percentage of Software at N-2 or Higher (Software Currency)	0
2.23	Security: Percentage of Software Supported	0
2.24	Quality: Percentage of Hardware Less than 5 Years old	0
2.25	Value: Percentage of Spend within market range	0
2.26	Value: Percentage of Requests Self-Provisioned through Service Catalogue	0
2.27	Security: Change in Risk based on Vulnerability Scan Measures	0
2.28	Security: Change in Annual Common Security Framework (CSF) Maturity Rating	0
2.29	Security: Percentage of Security Devices Monitored by Security Incident and Event Management (SIEM)/Security Analytical Devices	0
2.30	Security: Percentage Change in number of Major Security Incidents	0

## Performance Analytics

<b><u>Exhibit 3.4</u></b> <b>Section Reference</b>	<b>Key Performance Indicator Description</b>	<b>Commencement</b>
1.1	Shared Services Growth	Upon start of contract term
1.2	Customer Satisfaction	Upon start of contract term
1.3	Service Quality	Upon start of contract term
1.4	Value	Upon start of contract term
1.5	Security	Upon start of contract term