![DIR logo]

Exhibit to Managed Application Services
Service Component Provider
Master Services Agreement

DIR Contract No. DIR-MAS-SCP-RCR-001

Between

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

and

Allied Consultants, Inc.

Exhibit 6
Governance Model

January 30, 2017

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EXHIBIT 6
GOVERNANCE

Update Methodologies and Attachments to Exhibit 6

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

Title	Methodology for Updating Associated Exhibit Attachments
Exhibit 6 Governance	**Exhibit 6** is a point of reference at contract execution with future updates made in accordance with Section 2.2, Organizational Overview, of the Service Management Manual.
Attachment 6-A DIR Functional Organization Chart	**Attachment 6-A** is a point of reference at contract execution. No updates are anticipated for **Attachment 6-A**. .
Attachment 6-B Service Management Manual	**Attachment 6-B** is a point of reference at contract execution with future updates made in accordance with version control procedures Section 2.1, of the Service Management Manual.

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1.0   INTRODUCTION

In 2010, DIR established the owner-operator governance model for DIR's first Statewide Technology Center (STC), the Data Center Services program (DCS). This model, involves DIR and DCS Customers at all levels in governance decision making, including as representatives on all governance committees. The owner-operator model focuses on resolving issues at the lowest possible level and driving for consensus-based solutions. Where consensus cannot be reached, there are escalation processes in place.

Managed Application Service Providers will participate in the DCS governance model.

This Exhibit describes the owner-operator governance structure; the roles and responsibilities to maintain a working relationship, Service Provider participation and the issue management process in place. As deemed necessary, the currently deployed governance model will be adapted to address the requirements of the new Managed Applications Services (MAS) contracts.

1.1   Purpose

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

- Establish STC Customer business executives as leaders in guiding data center services and managed applications services program strategy

- Implement a decision-making model with STC Customer authority and accountability

- Resolve issues at the lowest possible organizational level

- Establish representative groups to resolve issues

- Formalize roles and responsibilities for strategy and issue management among DIR, STC Customers and Service Component Providers

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2.0 GOVERNANCE POLICY

Governance of DIR's Statewide Technology Centers is based on an "owner-operator" approach in which Customers actively work directly with Service Component Providers and the Multi-sourcing Service Integrator (MSI) to resolve local operational issues and participate in committees to address enterprise matters. Enterprise-level decisions, Customers' issues, and resolution of escalated Customer-specific issues are carried out by standing governance committees, organized by subject area and comprised of representatives from Customers, DIR management and subject-matter experts. DCS Customers are structured into "partner groups," which select representatives to participate in these committees.

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

a. Customers work directly with Service Component Providers and MSI personnel on operational issues and local governance functions and decisions.

b. Governance committees address exceptions, enterprise matters and escalations from Customers.

c. Committees are decision-makers and serve a key communication role across the enterprise.

d. DIR will assess and route issues to the correct committee.

e. DIR provides contract oversight functions.

2.1 Operational Governance

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

2.1.1 STC Customer Meetings

To enable the intent of addressing issues at the lowest possible level, Customers interface directly with Service Providers on a day-to-day basis. Customers' technical staff communicates issues and follow up on requests with Service Providers' staff as necessary to ensure effective delivery of the Services. Regularly scheduled operational meetings may focus on service delivery, change management, planning projects, status, finance or other topics, depending on the circumstances. The MSI has responsibility to coordinate Service Component Provider participation in these meetings, based on the agenda topics. The meeting frequency is determined by the Customer's business and technology needs.

2.1.2 DIR Meetings

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

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meetings with the MSI and appropriate Service Component Provider staff to manage the Agreement. These meetings have included but have not been limited to the following topic areas:

    a. Service delivery and operations performance
    b. Problem Management
    c. Availability and Capacity Management
    d. Finance, invoices, and chargeback
    e. Contract administration and Deliverables
    f. Technology standards and long-range planning
    g. Service level and performance management
    h. Security and disaster recovery management
    i. Customer Satisfaction
    j. Customer Relationship management
    k. Issues Management and Governance
    l. Asset Management and License Compliance
    m. Services Management Manual currency
    n. Solution Request management (Projects)

DIR will reorganize as it deems necessary to support the new service delivery model. Please see **Attachment 6-A** for DIR's current functional organizational chart.

2.2 Program Governance

The current DCS program governance consists of DCS governance committees which provide forums for leadership, oversight, solution and decision making for enterprise-level matters related to the DCS program. This program governance model will be expanded to include Managed Application Services Customers and Service Providers. The committees are consensus decision-making bodies, with one representative from each partner group and DIR, which make strategic enterprise decisions and resolve escalated issues. The governance committees comprise the Business Executive Leadership Committee, the IT Leadership Committee, and four solution groups:

    a. Contracts and Finance
    b. Service Delivery
    c. Technology
    d. Transformation

DIR may form one or more additional solution groups focused on Managed Applications Services. MAS Service Providers will be expected to participate in the current governance committees as well.

The solution groups focus on their designated subject areas and comprise experienced IT managers with expertise in those areas. The IT Leadership Committee decides strategic technical decisions, resolves escalated issues and comprises IT directors of Customers and the DIR Statewide Technology Centers Division Director. The Business Executive Leadership Committee addresses strategic business decisions regarding the DCS program, monitors the business relationship, and resolves issues escalated by the IT Leadership Committee. The Business Executive Committee comprises Deputy Executive Director-level business executives representing partner groups and the DIR Executive Director and the DIR Chief Operating Officer.

DIR's role includes interpreting the contract from the State's perspective, executing contract oversight, sustaining governance processes and promoting effective communication. DIR participates as a chair or co-chair on all governance committees with responsibility to coordinate topics spanning multiple groups and to facilitate execution of decisions.

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

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2.2.1   Representational Decision-Making

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

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

    a. Review of pre-meeting materials and analysis papers.
    b. Submission of written comments prior to committee meetings.
    c. Conversation with the partner group representative prior to meetings.
    d. Access to broadcast conference Telephone Bridge to meetings.

The figure below shows the composition of the partner groups:

Agency Partner Groups	
Group 1	• Texas Alcoholic Beverage Commission • Texas Youth Commission • Texas Department of Criminal Justice • Texas Department of Licensing and Regulation • Office of Attorney General
Group 2	• Health and Human Services Commission • Texas Department of Family and Protective Services • Texas Department of Assistive and Rehabilitative Services • Texas Department of State and Health Services • Texas Department of Aging and Disability Services
Group 3	• Texas Workforce Commission • Texas Department of Insurance • Texas Commission on Environmental Quality • Public Utility Commission • Texas Railroad Commission
Group 4	• Texas Department of Transportation • Texas Water Development Board • Texas Parks and Wildlife Department • Texas Department of Motor Vehicles • Texas Department of Information Resources

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Group 5	• Texas Education Agency • Texas Higher Education Coordinating Board • Texas Veterans Commission • Texas State Library and Archives Commission • Texas Facilities Commission • Angelo State University • Secretary of State

Figure 1: Partner Groups

2.2.2 Committee Structure

The figure below presents the current six (6) governance committees and their relationship.
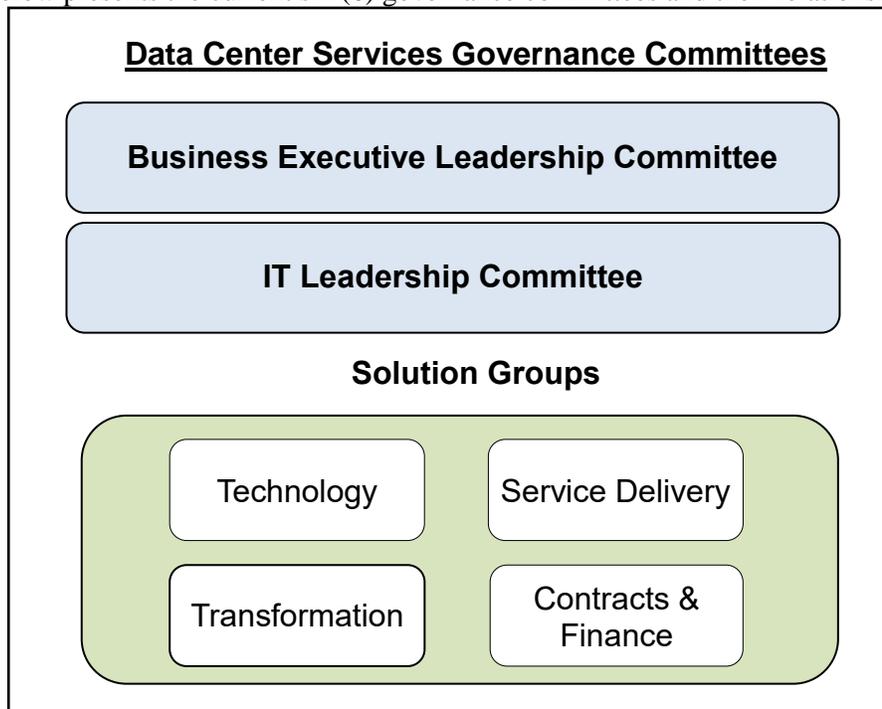
Figure 2: DCS Governance Committee Structure

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

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Solution Group and Committee Responsibilities

Business Executive Leadership Committee

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

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

IT Leadership Committee

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

- Ensure strategic IT goals are achieved
- Approve changes to governance decision making framework
- Approve the addition or deletion of Services
- Approve changes to the service delivery model
- Monitor strategic enterprise service delivery and performance
- Provide joint resolution for escalated enterprise issues
- Approve critical IT-related decisions
- Approve and prioritize enterprise projects
- Resolve appeals from solution group decisions

Technology Solution Group

- Act as the technology steering committee for the Programs
- Review and approve the Technology Plan
- Approve technology standards (architecture/platform)
- Own the technology roadmap
- Resolve enterprise technology issues
- Identify, evaluate and recommend new and emerging technologies that may benefit the program
- Respond to requests from the IT Leadership or Business Executive Leadership Committees for perspectives, advice or recommendations regarding specific technology matters or questions
- Coordinate with other Solution Groups as needed to complete Committee responsibilities
- Communicate with partner agencies to build an understanding of their perspectives, share information, and strengthen their partner group network

Transformation Solution Group

- Monitor transformation plans, milestones, and accomplishments

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- Identify ways to accelerate the consolidation of servers into the state's data centers through best practices information exchange, brainstorming, education/training, and peer-to-peer support
- Assess effectiveness of consolidation process and recommend improvements for both service providers and agencies
- Address and resolve escalated enterprise transformation issues
- Review lessons learned from completed consolidations.
- Drive collaboration and transparency between all parties

Service Delivery Solution Group

- Monitor trends in performance and problem management
- Oversee server build and triage refresh project prioritization methodology and process
- Consult on analysis of Customer Satisfaction Survey results and action plans
- Address and approve resolution of service delivery issues assigned to the solution group and address trends in service delivery issues
- Monitor Minimum Service Level Defaults and related Root Cause Analysis (RCA) and corrective actions.
- Recommend service delivery and performance improvements
- Review and recommend changes to enterprise Service Levels, Services, and performance reporting to align with business requirements
- Communicate with partner agencies to build an understanding of their perspectives, share information, and strengthen their partner group network

Contracts and Finance Solution Group

- Review and solicit Customer perspective on vendor contractual or financial invoice matters
- Review and solicit Customer perspective on proposed contract amendments
- Review and solicit Customer perspective on proposed changes to Interagency Contracts (IACs) with state agencies and Inter-local Contracts (ILCs) with local government entities
- Review financial trends
- Review financial impacts associated with ongoing contract deliverables
- Review financial results realized from program activities
- Approve changes to enterprise financial report templates

2.3   Governance Roles and Responsibilities

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

2.3.1   Shared Responsibilities

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

- Foster an environment of open and honest communications

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

2.3.2   Committee Member Responsibilities

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

- Review all meeting materials in detail, especially partner agency comments, prior to committee meetings
- Leverage technical resources from DIR or Customer organization to build solutions
- Facilitate effective communication and problem solving to promote resolutions
- Communicate with partner groups as needed to prepare to represent their perspectives in discussions (Customer committee members)
- Strive to effectively communicate positions of each Customer (Customer committee members)

2.3.3   Partner Group Responsibilities

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

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

2.3.4   DIR Responsibilities

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

- Facilitate governance committee meetings and activities, including providing organizational, logistical and communication support to all committees

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

2.3.5 Service Providers Responsibilities

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

- Engage directly with Customers to resolve their specific operational issues at the local level
- Assign empowered subject-matter experts to participate as requested in governance committees to resolve enterprise issues
- Research, as necessary, and document Service Provider perspective for issue resolution papers
- Provide timely and accurate data, information, and responses to promote prompt resolution of issues
- Enable and facilitate use of the issue management process

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

2.3.6 Roles and Responsibilities Matrix (RACI Matrix)

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

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

Operational governance decisions are included as examples to help more clearly define decision-making authority at the operational and program governance level. This matrix will be reviewed and potentially updated to include Managed Applications Services.

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Roles and Responsibilities

KEY DECISIONS		Operational Governance					Program Governance					
		DIR	Agencies	MSI	SCP		Business Executive Committee	IT Leadership Committee	Trans-formation Solution Group	Service Delivery Solution Group	Contracts and Finance Solution Group	Technology Solution Group
Technology & Strategy												
A1	**Approve significant business critical decisions** Authority to approve high business impact decisions and issues	R	C				A	R	C	C	C	C
A2	**Approve annual technology plan and Roadmap** Authority to approve the annual technology plan and related deliverables	C	C					I	C			A/R
A3	**Approve Agency-Specific DCS technology plans** Authority to review and approve agency-specific sections of the DCS technology plan.	C	A/R					I	I			C
A3b	**Review all agency-specific technology plans for alignment across DCS Program.** Authority to review all agency-specific sections of the Technology Plan to ensure all are aligned to the overall plan for all customers in the DCS program.	C	C					I	I			A/R

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A4	**Approve enterprise technology standards - (architecture/ platform)** Authority to establish or change enterprise technology standards related to the delivery of data center services under the agreement including, but not limited to, definition of supported system software standards (defining N/N-1 and standard products), network standards (firewall), mailing standards (envelope) and hardware standard configurations (Sun, IBM, etc).	C	C	C	C		I	I			A/R
A5	**Approval of Agency Application portfolio lifecycle cost model** Authority to define and manage the participating agency's portfolio of business application assets and the technology platform for those assets that meets the agency's business and cost needs.	C	A/R				I				I
A6	**Approve changes to Governance Decision Making Framework** Authority to make additions or changes to the DCS Governance Decision Making Framework	R	C			I		A	I	I	I	I
Transformation	**Transformation (Server Consolidation)**										
B1	**Approve changes to Agency Transformation priorities** Authority to approve changes to an agency's transformation priorities that result in financial impacts to the State.	A	R				C	C			C
B2	**Approve Agency application migration plans** Authority to approve an Agency's application migration plan relative to Transformation.	C	A				I	C			I

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B3	**Approval to incur additional costs or change migration strategy for one agency.** Authority to approve the use of external resources or technology that directly supports Transformation.	R	A				R	C		I	C
B4	**Approve agency-specific exceptions from agreed Enterprise Transformation Plan** In the event that a particular DCS Customer agency requests exceptions from consolidation or consolidation standards, authority to approve the exception.	R	R	R	R			C			A
B5	**Approval to change the priority or consolidation schedule of an Agency business application** Authority to approve changes to the criticality of Agency business applications which affects the agency's consolidation schedule.	C	A	C	R			I			
B6	**Approval to change the priority of a non-STM infrastructure Server** Authority to approve changes to the criticality of Agency utility applications for the purpose of Transformation	R	R	R	A			I			
Service & Performance											
C1	**Approve the addition or deletion of services to scope** Authority to approve addition or deletion of outsourced services to or from the contract. This does not include approvals to increase consumption of existing "in-scope" activities.	R	C				A		C	C	C
C2	**Approve Service Tier Choice for Servers**	C	A				I			I	

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	Authority to choose a service tier, platinum, gold, silver or bronze, from the Service Tier Matrix (STM) for an agency's server.									
C3	**Approve changes to service delivery model** Authority to approve changes to how or where service is delivered by the service provider.	R	C			A		C	C	C
C4	**Approve changes to enterprise service levels** Authority to approve addition, deletion, or modification of the enterprise "critical" or "key" service levels. Recommendation to modify includes changes to the weighting of credits associated with each service level measure.	R	C			I		A		
C5	**Approve changes to performance reporting** Authority to approve changes to the content, format, frequency or distribution of performance reports in response to requests from agencies, governance committees or workgroups.	R	C			I		A		
C6	**Approve performance credit exceptions** Authority to release the provider from performance credits due to a service failure that both parties agree was caused by the State.	R	C			A		C	C	
C7	**Approve agency-specific corrective action plans (or root cause analysis/RCA)** Authority to approve a corrective action plan as an outcome of a formal RCA or an agency raised issue necessitating a corrective action plan.	R	A					C		

ID	Task										
C8	**Approve cross Agency corrective action plans (or root cause analysis/RCA)** Authority to approve corrective action plans delivered to DIR in response to a formal RCA for an enterprise level incident affecting multiple agencies or approval of a corrective action plan submitted in response to an enterprise issue.	R	C			I				A	
	Issue Management										
D1	**Approve resolution of critical business related issues** Authority to approve business related issues that have a direct, critical impact to the welfare of the State's business environment and issues that have been escalated from the IT Leadership Committee	R	C		A	R	C	C	C		
D2	**Approve resolution of critical IT related issues** Authority to approve IT related issues that have a direct, critical impact to the welfare of the State's IT environment and issues that have been escalated from the solution groups. Authority to approve issues that have a financial impact to the enterprise.	R	C			A		C	C		R
D3	**Approve resolution of escalated transformation issues** Authority to approve resolution of enterprise transformation issues or agency-specific, escalated transformation issues	R	R			I	A				
D4	**Approve resolution of escalated Service Delivery issues** Authority to approve resolution of enterprise service delivery issues or agency-specific, escalated service delivery issues	R	R			I	A				

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ID	Description	1	2	3	4	5	6	7	8	9	10
D5	**Approve resolution of escalated contract and financial reporting issues** Authority to approve resolution of enterprise contract and financial reporting issues or agency-specific, escalated contract and finance issues	R	R			I				A	
D6	**Approve resolution of escalated technology issues** Authority to approve resolution of enterprise technology issues or agency-specific, escalated technology issues	R	R			I					A
D7	**Approve resolution of escalated project prioritization issues** Authority to approve resolution of enterprise project prioritization issues or agency-specific, escalated project prioritization issues	R	R			I			A		
Contract											
E1	**Approve changes to Data Center Services (DCS) Agreements** Authority to approve changes (amendments) to the DCS contracts	A	C			I				C	
E2	**Approve changes to Inter Agency Contract** Beyond routine administrative changes to accommodate growth in service usage, authority to propose modifications to the Inter-agency Contract standard template.	A	R			I				C	
E3	**Approve interpretation of contract language** Apply definition of the meaning of the contract to specific questions or particular situations for the state.	A	C			I				C	

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	Financial											
F1	**Approve Service Provider Enterprise invoice** Approve Service Provider Enterprise invoice(s) for release to DIR Customers (participating agencies) upon completion of invoice validation process. Issue payment according to prompt payment guidelines.	A/R	I								I	
F2	**Approve agency invoice** Approve DIR Customer invoice for payment upon completion of invoice validation process and within the timeframes outlined in DCS IAC or MOU.	C	A/R								I	
F3	**Approve the decision to dispute a DIR Customer invoice** Authority to dispute a DIR Customer invoice based on the invoice validation process.	C	R	A							I	
F4	**Approve enterprise financial reporting** Approve the reporting elements and format of financial report templates.	C	C				I				A/R	
	Projects / Procurement											
G1	**Approve the initial allocation of the project pool** Authority to review and approve the initial allocation of the project pool of hours across the Agencies	R	C				C		A	C		
G2	**Approve enterprise projects**	R	C				A	C	C	C	C	

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ID	Description	1	2	3	4	5	6	7	8	9	10
	Authority to approve out of scope work that affects the enterprise data center environment										
G3	**Approve enterprise project milestones / deliverables (sign-off)** Authority to accept (sign-off) enterprise milestones or deliverables in the context of the DCS Agreement and enterprise requests for new billable services.	A/R	C				I		C	I	
G4	**Approve solution requests** Authority to approve agency-specific requests for solution.	C	A								
G5	**Approve changes to allocated project pool resources** Authority to change the allocation of project pool resources among Agencies.	R	C				I		A		
	Communications										
H1	**Approve Enterprise governance committee communications** Authority to approve communications related to decisions made by the designated governance committee. The Committee Chair and Co-Chair Review/Approve communications for their committee and DIR Distributes all communications.	R	I			A	A	A	A	A	A
H2	**Distribute Enterprise governance committee communications** Authority to distribute communications related to decisions made by all enterprise governance committees. Committee Chair and Co-Chair Review/Approve communications for their committee and DIR distributes all communications.	A/R	I			C	C	C	C	C	C

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H3	**Approve DCS related communications to external parties and the media** Authority to approve DCS related communications to external parties and the media.	A/R	I				I	I		I	I		I		I

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

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2.4   Issue Management

Governance committees address two types of decisions:

    a. Issue resolution
    b. Strategic DCS program decisions as per the roles and responsibilities matrix

Issues may be escalated DCS Customer issues or enterprise issues identified by DIR, DCS Customers, or Service Providers. Issues are escalated following the escalation process described below. Strategic decisions may be identified by DIR, DCS Customers, or Service Providers.

Both decision types are treated the same by the committees

    c. All DCS Customers have an opportunity to see the issue
    d. DIR performs triage and routes unresolved issues to appropriate committees
    e. All DCS Customers have an opportunity to document their perspective
    f. Agency committee members will review positions/perspectives in order to represent their partner agencies in the meeting
    g. All decision-making agenda items will be broadcast in advance of the meeting
    h. After the meeting, decisions will be documented with the issue

2.4.1   Escalation Process

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

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

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

    a. DIR assigns an issue number
    b. DIR develops and confirms the issue description, a statement of the facts in the situation
    c. DIR, DCS Customer and DCS Service Provider develop an issue resolution paper
        o DIR provides details on cost implications and additional factual background, contract references, and previous solutions attempted, if applicable
        o DCS Customer completes the DCS Customer section, including relevant facts, artifacts, and documentation from their perspective
        o Service Provider completes the Service Provider section, including relevant facts, artifacts, and documentation from their perspective
        o DIR compiles all information into a single document

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

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received for distribution to all. DIR has developed a tracking system that will be integrated with the Portal to facilitate document input, review, and distribution.

2.4.2   Strategic Decision Process

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

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

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

2.4.3   Decision Documentation

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

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3.0 SERVICE MANAGEMENT MANUAL

This Section sets out the requirements for the Service Management Manual and the process by which the Service Management Manual will be finalized.

Attachment 6-B contains the general content and high-level description of the Service Management Manual. It is provided to indicate the proposed content and organization of the Service Management Manual.

The requirements related to the Service Management Manual are as follows:

1.   DIR, DCS Customers and DCS Service Providers will develop and follow specific procedures during the Term, which are to be set out in a Service Management Manual.

2.   The Service Management Manual will not contradict the provisions of the Agreement. If there is any discrepancy between the Service Management Manual and the Agreement, the terms in the Agreement will prevail.

3.   The Service Provider, DIR, and DCS Customers will jointly use the Service Management Manual to enable close cooperation and communication.

4.   The Service Management Manual will address checkpoint reviews, testing, acceptance, and other procedures for DIR to assure the quality of the Service Provider's performance.

5.   The Service Provider will indicate its compliance with the general content and organization of the Service Management Manual as described in **Attachment 6-B**, or describe any proposed modifications.

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