



**Exhibit 2.1- MOD 23  
Description of Services**

VA-170822-SAIC

**COMMONWEALTH OF VIRGINIA  
VIRGINIA IT AGENCY (VITA)  
SUPPLIER STRATEGY AND PERFORMANCE**

7325 BEAUFONT SPRINGS DRIVE  
RICHMOND, VA 23225

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SAIC takes no exception to any of the requirements within Exhibit 02.1

## 1.0 INTRODUCTION

The Multisourcing Service Integrator (MSI) is the single organization in the Information Technology Infrastructure Services Program (ITISP) that is responsible for administration and coordination across all Service Tower Suppliers. The Supplier will closely coordinate and adhere to governance through VITA (Virginia Information Technologies Agency).

VITA's goals for this request for proposal are to ensure the MSI Supplier solution:

1. Works toward the common goal of providing uninterrupted, secure, high quality services to Customers dependent on VITA's multi-supplier ecosystem
2. Ensures MSI and Service Tower Suppliers (STS) will perform their services and interact and cooperate with each other within the Managed Environment in a manner that first considers the best interests of the Commonwealth
3. Is grounded in the Information Technology Infrastructure Library (ITIL) framework and focused on accountability, boundaries, and consistency while maturing delivery through continual improvements in cost effectiveness, service quality and Customer experience
4. Replaces the existing cross-functional services provided to the Commonwealth by the Comprehensive Infrastructure Agreement (CIA)
5. Supports ITISP Relational Governance and implements highly effective Operational Governance

This **Exhibit 2.1 (Description of Services - MSI)** sets forth the Services that the MSI Supplier will provide, as of the Commencement Date unless otherwise specified. Further, this Description of Services sets forth the processes and systems that the Supplier will provide and describes the Supplier's obligations to work with the Service Tower Suppliers (STS) to deliver integrated end-to-end Services to Customers.

The Supplier confirms that unless otherwise specifically stated, it will provide a solution that supports all of the business processes described in this Description of Services and its Exhibits, and that all Services, unless otherwise specifically stated, are included within the Base Charges described in **Exhibit 4 (Pricing and Financial Provisions)**. Accordingly, the Supplier also confirms that Customers will not incur any other charges for the requirements described in this Description of Services.

The Supplier will provide a plan for on-boarding and transition including approach and methodology, necessary staff and skill sets, roles, governance and communication. Detailed guidance is provided in **Exhibit 2.4 (Implementation Plan), Exhibit 2.4.1 (Implementation Milestones) and Exhibit 5 (Personnel and Human Resource Provisions)**.

The Supplier will manage the integrated delivery of the Tower Services by the Service Tower Suppliers in the best interests of the Commonwealth. Supplier will be responsive to the current and future requirements by proactively anticipating needs and adjusting Services accordingly within the Base Charges. Refer to **Environment Overview Appendix B: Component Services Overview** for a review of the existing component environment (e.g. Server, Storage, Network).

| Ref# | Requirement  | Comply (Y/N) | Supplier Response |
|------|--|--------------|-------------------|
| R1.  | <b>1.1 Service Management Practices</b>  |              |                   |
| R2.  | The Information Technology Infrastructure Services Program (ITISP) bases its service management practices on the Information Technology Infrastructure Library (ITIL), which focuses on the Service Management Life-cycle and the linkages between service management components. Supplier responsibilities include:   |              |                   |
| R3.  | 1. Align Supplier's service management practices, which are used to support the Services, to the ITIL framework and guidance, as adopted by VITA.  | Y            |                   |
| R4.  | 2. Deploy and actively manage a set of processes based on ITIL guidance to enable consistent management of IT services seamlessly across and among Service Tower Suppliers.  | Y            |                   |
| R5.  | 3. Ensure and demonstrate that processes, functions, and roles deployed and used by VITA, Customers and Service Tower Suppliers are integrated.  | Y            |                   |
| R6.  | 4. Design and deploy processes, procedures, and tools to enable the effective, electronic monitoring and flexible, self-service Portal reporting of the IT services in an end-to-end Multi-Supplier environment.   | Y            |                   |
| R7.  | 5. Coordinate the execution of all the processes across Customers and all Service Tower Suppliers in order that all the individual components that make up the IT Services are managed in an end-to-end manner.  | Y            |                   |
| R8.  | 6. Design and document processes to enable consistent, effective and seamless management of all Service Tower Suppliers. Such processes will be recorded in the integrated Services Management Manual (SMM) and be based on the ITIL framework where feasible.   | Y            |                   |
| R9.  | 7. Design, document, manage and staff the operational governance entities (e.g., meetings, teams) needed to ensure consistent, effective and seamless management of Service Tower Suppliers. Such entities will be documented in the approved Services Management Manual (SMM) and will include Customers to the maximum extent possible. Refer to <b><i>Environment Overview Appendix N: Policy and Procedures Manuals Directory</i></b> for an overview of the existing policies and procedures. | Y            |                   |

| Ref#                     | Requirement   | Comply (Y/N)             | Supplier Response |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
|--------------------------|---|--------------------------|-------------------|-------------------------|------------------------------------|--------------------------------------|------------------------------|-------------------|----------------------------------|-----------------------|---------------------|----------------------------|--|--|
| R10.                     | 8. Deploy and integrate any tools and systems necessary to enable such processes to be used efficiently across and by the Service Tower Suppliers, including Service Management Systems.  | Y                        |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| R11.                     | 9. Provide full access to the Service Management Systems and reports referenced in the sections below which include those in <b>Exhibit 3.4 (Reports Matrix)</b> to Customers. (Note: Distribution to Customers will be as designated by VITA.)   | Y                        |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| R12.                     | 10. Deploy controls and tools to ensure that Main Processes are followed across the Service Tower Suppliers' processes.   | Y                        |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| R13.                     | 11. Comply with VITA Rules for all Commonwealth data and all systems that contain Commonwealth data and metadata.   | Y                        |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| R14.                     | 12. Operate within the parameters of Commonwealth and Customer's information security, safety and regulatory policies and standards.  | Y                        |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| R15.                     | 13. Conform to changes to VITA Rules for all Commonwealth data and all systems that contain Commonwealth data and metadata.   | Y                        |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| R16.                     | 14. Support the periodic audit by Third Parties as directed by VITA and/or Customers.   | Y                        |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| R17.                     | <b>1.2 Main Processes</b>   |                          |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| R18.                     | <p>The Service Management Life-cycle for ITIL consists of five stages: Service Strategy, Service Design, Service Transition, Service Operation, and Continual Service Improvement. The major sections of this <b>Exhibit 2.1 (Description of Services - MSI)</b> are based on those five stages. Within each of those Service Management Life-cycle stages are Main Processes for which Supplier responsibilities are described in this Description of Services.</p> <p>The stages and Main Processes are listed in the following table:</p>                                  |                          |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| R19.                     | <table border="1"> <thead> <tr> <th>Service Life Cycle Stage</th> <th>Main Processes</th> </tr> </thead> <tbody> <tr> <td rowspan="5"><b>Service Strategy</b></td> <td>Strategy Generation and Management</td> </tr> <tr> <td>Financial Management for IT Services</td> </tr> <tr> <td>Service Portfolio Management</td> </tr> <tr> <td>Demand Management</td> </tr> <tr> <td>Business Relationship Management</td> </tr> <tr> <td rowspan="2"><b>Service Design</b></td> <td>Design Coordination</td> </tr> <tr> <td>Service Catalog Management</td> </tr> </tbody> </table> | Service Life Cycle Stage | Main Processes    | <b>Service Strategy</b> | Strategy Generation and Management | Financial Management for IT Services | Service Portfolio Management | Demand Management | Business Relationship Management | <b>Service Design</b> | Design Coordination | Service Catalog Management |  |  |
| Service Life Cycle Stage | Main Processes  |                          |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| <b>Service Strategy</b>  | Strategy Generation and Management  |                          |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
|                          | Financial Management for IT Services  |                          |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
|                          | Service Portfolio Management  |                          |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
|                          | Demand Management   |                          |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
|                          | Business Relationship Management  |                          |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
| <b>Service Design</b>    | Design Coordination   |                          |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |
|                          | Service Catalog Management  |                          |                   |                         |                                    |                                      |                              |                   |                                  |                       |                     |                            |  |  |

| Ref#                                       | Requirement  | Comply (Y/N) | Supplier Response        |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|--|--|--------------|--------------------------|--|--|--|-------------------------|--|--|--|---------------------|--|--|--|-----------------------------|--|--|--|---------------------|--|--|--|----------------------------|--|--|---------------------------|-------------------|--|--|--|-----------------------------------|--|--|--|--------------------|--|--|--|--|--|--|--|----------------------|--|--|--------------------------|--------------|--|--|--|---------------------|--|--|--|------------------|--|--|--|--------------------|--|--|--|------------------------------------|--|--|--|-------------------|--|--|--|------------------------|--|--|--|------------------------------|--|--|--|---------------------------------|--|--|--|---------------------|--|--|--|----------------------|--|--|--|----------------------|--|--|--|--------------------|--|--|--|--|
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|  | Service Level Management   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Availability Management  |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Capacity Management  |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | IT Service Continuity Mgmt.  |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Supplier Management  |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Information Security Mgmt.   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
| <b>Service Transition</b>                  | Change Management  |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Release and Deployment Management  |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Project Management   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Service Asset and Configuration Management   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Knowledge Management   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
| <b>Service Operation</b>                   | Service Desk   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Incident Management  |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Event Management   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Problem Management   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Request Management and Fulfillment   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Access Management  |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Supplier IT Operations   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
| <b>Continual Service Improvement (CSI)</b> | Service Review and Reporting   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Process Evaluation and Currency  |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Service Measurement  |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Improvement Planning   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Technical Innovation   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
|  | Technical Currency   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
| R20.                                       | <b>1.3 Service Integration</b>   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
| R21.                                       | For each of the Main Processes, Supplier responsibilities include:   |              |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
| R22.                                       | 1. Manage the processes and procedures to support the Main Processes, such that the objectives, scope and principles of the Main Processes are achieved.   | Y            |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |
| R23.                                       | 2. Require, facilitate and lead the definition and documentation of the policies which set the objectives, scope and principles that will ensure the success of the Main Process, as approved by VITA.   | Y            |                          |  |  |  |                         |  |  |  |                     |  |  |  |                             |  |  |  |                     |  |  |  |                            |  |  |                           |                   |  |  |  |                                   |  |  |  |                    |  |  |  |  |  |  |  |                      |  |  |                          |              |  |  |  |                     |  |  |  |                  |  |  |  |                    |  |  |  |                                    |  |  |  |                   |  |  |  |                        |  |  |  |                              |  |  |  |                                 |  |  |  |                     |  |  |  |                      |  |  |  |                      |  |  |  |                    |  |  |  |  |

| Ref# | Requirement  | Comply (Y/N) | Supplier Response |
|------|--|--------------|-------------------|
| R24. | 3. Require, facilitate and lead the development and documentation of processes, sub-processes and procedures for the Main Processes between Supplier and Service Tower Supplier(s), as approved by VITA.   | Y            |                   |
| R25. | 4. Require, facilitate and lead in the documentation of sub-processes, procedures and desk-level procedures for the Main Process that support the individual environments within Customer environments with Service Tower Supplier(s), as approved by such Customers.  | Y            |                   |
| R26. | <p>Twice per year, in accordance with the Service Management Manual, verify and report on the effective compliance with these policies, processes and procedures by Supplier, Service Tower Supplier(s), designated Third Party Vendors and Customers. Supplier and VITA will perform process maturity Assessments for VITA review and approval. Assessments will use audit checklists against approved process documentation and score maturity using the Capability Maturity Model Integration (CMMI) organizational process improvement concepts. The scale ranges from 1 to 5 point scores.</p> <ol style="list-style-type: none"> <li>1. Initial</li> <li>2. Managed</li> <li>3. Defined</li> <li>4. Quantitatively Managed</li> <li>5. Optimizing</li> </ol> <p>The Supplier will produce and execute a plan for VITA approval to progress from baseline scores to a target level 5 for each Main Process by a deadline established by ITISP Governance.</p> | Y            |                   |
| R27. | 5. Establish Operating Level Agreements (OLAs), and other supporting measures and controls, for the Main Processes with Service Tower Suppliers, as approved by VITA. The Supplier is required to provide a set of actions in the Continual Service Improvements Register on a quarterly basis to establish and improve Operating Level Agreements (OLAs), and other supporting measures and controls, for the Main Processes with Service Tower Suppliers, as approved by VITA.   | Y            |                   |
| R28. | 6. Where Operating Level Agreements (OLAs) do not exist, proactively work with Service Tower Suppliers, VITA, Customers and Third Party vendor(s) to deliver to the objectives and overall success of the Main Process.  | Y            |                   |

| Ref# | Requirement   | Comply (Y/N) | Supplier Response |
|------|---|--------------|-------------------|
| R29. | 7. Establish Operating Level Measures (OLMs), and other supporting measures and controls, for the Main Processes with Customers, as approved by VITA.   | Y            |                   |
| R30. | 8. Require, facilitate, and lead information exchange between and among Supplier and Service Tower Supplier(s), Customers, and Third Party Vendor(s) to improve execution of the Main Process.  | Y            |                   |
| R31. | 9. Ensure that the Main Processes permits flexibility and facilitates effective communication and coordination across functions, Service Tower Suppliers, Customers, regions and Third Party Vendor(s).   | Y            |                   |
| R32. | 10. Ensure single processes exist across all operational areas for all Service Towers in order to eliminate redundancy and process inefficiency. Produce a quarterly Single process compliance assessment & Continual Service Improvement Register (CSIR) entries with action plans and report progress towards closure.                          | Y            |                   |
| R33. | 11. Validate that the Main Processes provide audit trails that meet all VITA Rules.   | Y            |                   |
| R34. | 12. Integrate Supplier's Main Processes with the Main Processes of Service Tower Supplier(s), Customers, and authorized Third Party Vendor(s), where the processes interact.  | Y            |                   |
| R35. | 13. Integrate Supplier's Main Processes with the other Service Management Processes as appropriate.   | Y            |                   |
| R36. | 14. Coordinate Main Processes activities across all functions and organizations, including Service Tower Supplier(s), other Customers, and authorized Third Party Vendor(s), that provide services to Customers.  | Y            |                   |
| R37. | 15. Communicate and coordinate the Main Processes and the associated policies, other processes, sub-processes, and procedures within Supplier's own organization, Service Tower Supplier(s), and designated Third Party Vendor(s).  | Y            |                   |
| R38. | 16. The Supplier is required to provide a plan on a quarterly basis for VITA review and approval to achieve effective training on the Main Processes. Provide effective training on the Main Processes (e.g. the purpose, activities, policies, procedures, tools, interfaces) for all stakeholders to ensure effective execution of the process. | Y            |                   |
| R39. | 17. Provide on-going methods for training Supplier staff, Service Tower Supplier(s), Customers and designated Third Party vendors on the Main Process.  | Y            |                   |
| R40. | 18. Regularly provide guidelines, FAQs and access to appropriate tools to Service Tower Supplier(s), Customers and authorized Third Party vendors to promote and reinforce  | Y            |                   |

| Ref# | Requirement  | Comply (Y/N) | Supplier Response |
|------|--|--------------|-------------------|
|      | the appropriate use of the Main Processes and its supporting policies, other processes, sub-processes and procedures.  |              |                   |
| R41. | <b>1.4 Service Management Systems</b>  |              |                   |
| R42. | For many of the Main Processes described in this <b>Exhibit 2.1 (Description of Services - MSI)</b> , Supplier is required to implement, manage and maintain a system (e.g. Incident Management System, Change Management System, Configuration Management System and Configuration Management Database (CMDB), etc.) that supports the proper execution of that Main Process. These systems are collectively referred to herein as Service Management Systems.  |              |                   |
| R43. | <b>Service Management Systems Purpose</b>  |              |                   |
| R44. | IT Information Portal<br>Provide an integrated Portal which provides access and customizable views for the data processed in the Service Management Systems. Displays service measurements as per section 6.3 of this document, including overall program measures and other reports which include, but are not limited to those in <b>Exhibit 3.4 (Reports Matrix)</b> . Provide dashboard that is customizable by each User and includes status, security compliance information, patch status, etc. for Customer systems. | Y            |                   |
| R45. | Data Warehouse System<br>Provide a mechanism to collect data from all Service Management Systems and provide access to Customers for report generation, with ability to save queries by Customer and individual.   | Y            |                   |
| R46. | Billing, Chargeback and Utilization Tracking System<br>Provide a mechanism for billing VITA for services across all Service Tower Suppliers and enable VITA to establish overhead charges and provide billing to Customers.  | Y            |                   |
| R47. | Service Portfolio Database<br>Provide database of all Services including those under development, in operations, or in process of retirement.  | Y            |                   |

| Ref# | Requirement  |   | Comply (Y/N) | Supplier Response |
|------|--|---|--------------|-------------------|
| R48. | Service Catalog and Request Management System(s)                     | Provide a mechanism for Customers to view and order and track Standard Service and Solution Requests/Proposals.   | Y            |                   |
| R49. | Asset Management System  | Provide a mechanism for Customers to track all assets.  | Y            |                   |
| R50. | Service Level Management and Reporting System                        | Provide a system that tracks current and historic Service Levels and the current and historic performance of the Supplier and Service Tower Suppliers. Provide a method for VITA and Customers to view and generate reports for current and previous Service Level metrics. | Y            |                   |
| R51. | Security Clearance System  | Provide a mechanism to manage, validate and allow VITA, Customers and designated Users to view the security clearance check status for all individuals providing services under the MSI and STS.  | Y            |                   |
| R52. | Change Management System   | Provide a mechanism to track and facilitate the Change Management process.  | Y            |                   |
| R53. | Document Data Store  | Provide a mechanism for the common storage of artifacts and data related to projects and program management.  | Y            |                   |
| R54. | Project Portfolio Management and Project Management Reporting System | Provide the mechanism to track and report the portfolio of projects and programs associated with the ITISP. The system should enable reporting of status, schedules, task assignments, issues and risks.  | Y            |                   |
| R55. | Incident Management System   | Provide a mechanism for the tracking and managing incidents.  | Y            |                   |
| R56. | Knowledge Database   | Provide a mechanism for user self-help.   | Y            |                   |
| R57. | Event Management and Correlation System                              | Provide a mechanism for designated Users to establish alerts and notifications for status   | Y            |                   |

| Ref# | Requirement  |   | Comply (Y/N) | Supplier Response |
|------|--|---|--------------|-------------------|
|      |  | changes within any Service Management Systems.  |              |                   |
| R58. | Problem Management System and Known Error Database | Provide a mechanism to collect previous errors and resolutions which are accessible by MSI, STS, VITA, Third Party Suppliers and designated Users   | Y            |                   |
| R59. | Software License Management System                 | Provide a mechanism to track software license use across all managed assets.  | Y            |                   |
| R60. | Risk Management System                             | Provide a mechanism to identify, track, analyze, report and demonstrate remediation of identified risks as part of Risk Management.   | Y            |                   |
| R61. | Information Security Management System (ISMS)      | Provide an Information Security Management System (ISMS) to maintain the policies, processes, standards, guidelines and tools to support Customers in achieving their Information Security Management objectives. | Y            |                   |
| R62. | Service Desk Telephony                             | Provide a contact center system to handle service desk contacts via telephone.  | Y            |                   |
| R63. | IT Infrastructure Monitoring System                | Provide system that will monitor all assets, providing real-time status (e.g., software versions, patch levels, uptime, hardware performance)   | Y            |                   |
| R64. | Identity and Access Management System              | Provide system that will allow for identity and access management   | Y            |                   |
| R65. | Service Continuity Management System               | Provide system that will allow MSI to coordinate all Service Tower Service Continuity Management (including planning and testing)   | Y            |                   |
| R66. | Remote administration system                       | Provide tools and staff to remote into User's PCs to improve first call resolution and reduce mean time to resolution.  | Y            |                   |
| R67. | Capacity Management System                         | Provide system that will support capacity management process scope.   | Y            |                   |

| Ref# | Requirement  | Comply (Y/N) | Supplier Response |
|------|--|--------------|-------------------|
| R68. | For all of these Service Management Systems, Supplier responsibilities include:  |              |                   |
| R69. | 1. Supplier will include the methodology for which they plan to provide the Service Management Systems infrastructure (servers, storage, etc.) to support the delivery of their services (tools, etc.). Any systems or hardware, excluding hardware appliances, which the Supplier wishes to be placed in the Service Tower Supplier Data Center must be consumed from the ITISP Data Center Service Tower Supplier. | Y            |                   |
| R70. | 2. Compliance with VITA Rules (e.g., Security Standards, Federal and Commonwealth mandates, records retention policies), including Commonwealth ownership of all data, metadata, business rules and documentation in the Service Management Systems.   | Y            |                   |
| R71. | 3. Provide, make available, and maintain the Service Management Systems to meet the objectives for the Main Processes for VITA, Customers, Service Tower Suppliers, and designated Third Party vendors.  | Y            |                   |
| R72. | 4. Provide data models and data dictionaries for all Service Management Systems to VITA with the ability to extract, transform, and load the information into a data warehouse.  | Y            |                   |
| R73. | 5. Provide access to the Service Management Systems to Service Tower Supplier(s), VITA, Customers, and authorized Third Party vendors, which access will include all appropriate and required licenses and interfaces.   | Y            |                   |
| R74. | 6. Provide for granting additional access in support of other designated Third Parties (e.g. auditing organizations) upon the request and as directed by VITA.   | Y            |                   |
| R75. | 7. Integrate the Supplier's Service Management Systems with Service Management Systems of Service Tower Supplier(s), VITA, Customers, Customer business units and designated Third Party vendors, such that there is:  | Y            |                   |
| R76. | 7.1. Full integration between Service Management Systems of other entities that exist in the environment as of the Commencement of Services, and as otherwise specified in <b>Exhibit 2.4 (Implementation Plan)</b> .  | Y            |                   |
| R77. | 7.2. Plan and execute a Transition Plan to transfer legacy Service Management Systems data to new Systems as specified by VITA, ensuring that appropriate historical data is retained.   | Y            |                   |
| R78. | 7.3. Full integration of the supporting databases of the Service Management Systems (e.g. CMDB) with the databases of Service Tower Suppliers, and designated Third Party Vendors, as directed by VITA.  | Y            |                   |

| Ref# | Requirement   | Comply (Y/N) | Supplier Response |
|------|---|--------------|-------------------|
| R79. | 7.4. Interfaces enabled for integration by Service Tower Suppliers, Customers, and authorized Third Party vendors, as directed by VITA.   | Y            |                   |
| R80. | 7.5. The Data Warehouse System should be utilized for the collection and storage of all data and archived information provided by the Service Tower Suppliers.  | Y            |                   |
| R81. | 8. Provide Supplier personnel, Service Tower Suppliers' personnel, Customers, business units of Customers and authorized Third Party vendors with appropriate training in using the Service Management Systems.   | Y            |                   |
| R82. | 9. Limit access to each Service Management System to Users designated by VITA and as documented in the SMM.   | Y            |                   |
| R83. | 10. Containerize access to the Service Management Systems and supporting databases such that Customers cannot inappropriately access the information of other Customers. Levels of partitioning (e.g. by Customer's business unit) will be as directed by VITA and documented in the SMM. | Y            |                   |
| R84. | 11. Provide online reporting capability with real time data for use by VITA and Customers in the generation of sophisticated, custom reports. Query depth and length should be unrestricted.  | Y            |                   |
| R85. | 12. Support activities to verify the Service Management Systems' contents and correctness of the information contained therein by VITA, Customers and other designated Third Parties (e.g. auditing organizations).   | Y            |                   |
| R86. | 13. Secure the Service Management Systems and supporting databases such that Commonwealth data is clearly separated from the data of all other customers of Supplier and the customers of Supplier's subcontractors or other vendors.   | Y            |                   |
| R87. | 14. Partition Customer information in management and reporting, such that Customers cannot inappropriately access the information of another Customer, as defined by VITA.  | Y            |                   |
| R88. | 15. Maintain the Service Management Systems to meet performance standards, processes and policies requirements, to maximize efficiency, and to minimize outages, as necessary.  | Y            |                   |
| R89. | 16. Designate performance standards, processes and policies for the Service Management Systems in the Service Management Manual.  | Y            |                   |
| R90. | 17. Maintain, update, and implement the Service Management Systems archive and backups needed to recover from an outage or corruption within designated timeframes in order to meet VITA's requirements.  | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R91.  | 18. Provide physical database management support for the Service Management Systems, including providing backups and restores of data within designated timeframes.  | Y            |                   |
| R92.  | 19. Install, maintain, and support Service Management Systems related database Software products.  | Y            |                   |
| R93.  | 20. Test and implement Service Management Systems software and database environment changes, as approved by VITA.  | Y            |                   |
| R94.  | 21. Proactively provide capacity planning for the Service Management Systems and prevent situations caused by lack of capacity (e.g. dataset or table space capacity events, full log files, etc.).  | Y            |                   |
| R95.  | 22. Correct situations caused by lack of Service Management Systems capacity within designated standard timeframes.  | Y            |                   |
| R96.  | 23. Dedicate the Service Management Systems to the use of the ITISP such that no impact to performance or availability can be attributed to other customers of Supplier or to the customers of Supplier's subcontractors or other vendors.   | Y            |                   |
| R97.  | 24. Supplier will provision and maintain all necessary Service Management Systems connectivity and manage that connectivity to meet the designated performance standards.  | Y            |                   |
| R98.  | 25. Supplier will ensure that the Service Management Systems provide automated workflow capabilities, where possible.  | Y            |                   |
| R99.  | 26. For all Supplier systems, provide an integrated single sign on for logins.   | Y            |                   |
| R100. | 27. Maintain separation of duties between system administrator and security personnel.   | Y            |                   |
| R101. | 28. The Supplier is required to produce a set of actions in the Continual Service Improvements Register for modifications to the systems during and after the Transition plan, and a quarterly release schedule indicating scope, priorities, and schedule performance regarding achieving the improvements.                                 | Y            |                   |
| R102. | <b>1.4.1 Portal</b>  |              |                   |
| R103. | The Portal is a Service Management System that provides VITA, Service Tower Suppliers and Customers with a single contact point. Initially, this was an internal VITA project called "One Stop". The internal project was stopped so the functionality could be integrated into the MSI responsibilities. The goals of the One Stop were to: |              |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
|       | <ul style="list-style-type: none"> <li>Improve usability of new and legacy processes through a user-friendly web interface which will provide a single customer intake process, to provide customer information to back end processes</li> <li>Create a single point of entry for customer requests (services, governance, and information)</li> <li>Provide customer visibility into the status of their interactions</li> <li>Provide a single feedback mechanism for customers</li> <li>Provide a means for measuring and reporting on outcomes for customer-facing processes and interactions.</li> </ul> <p>Supplier responsibilities include:</p> |              |                   |
| R104. | 1. Design and implement a Portal for VITA, Customers and ITISP Suppliers that:  |              |                   |
| R105. | 1.1. Will be the centralized point of access to all Service Management Systems, Documentation and information pertaining to the delivery of services by ITISP Suppliers;  | Y            |                   |
| R106. | 1.2. Limits user access to designated business units (e.g., an agency can only see information on its own systems and services, an Service Tower Suppliers can only see information relevant to the Services it provides, etc.)   | Y            |                   |
| R107. | 1.3. Allows for roles-based assignment of access (e.g., ISO, AITR, etc.)  | Y            |                   |
| R108. | 1.4. Complies with VITA Rules (e.g., secure access, encrypted, etc.)  | Y            |                   |
| R109. | 2. The Portal is available 24 hours per day, seven days per week (24x7x365) and accessible by all modern browsers (e.g. IE, Chrome, Firefox, etc.)  | Y            |                   |
| R110. | 3. When a login is required, the tool should integrate with COV single sign-on solution.  | Y            |                   |
| R111. | 4. Provide Users with the ability to:   | Y            |                   |
| R112. | 4.1. Create an Incident/Service Request   | Y            |                   |
| R113. | 4.2. Check on the status of their Incident/Service Request  | Y            |                   |
| R114. | 4.3. Add a note to any open Incident/Service Request in their name  | Y            |                   |
| R115. | 4.4. Ability to view and submit feedback on Self-Help articles  | Y            |                   |
| R116. | 4.5. View a list of critical incidents currently impacting their agency.  | Y            |                   |
| R117. | 4.6. Provides relevant information on Customer environments including the number of open Incident/Service Request)  | Y            |                   |
| R118. | 5. Provide an online reporting facility (the "Security Dashboard") for all security-related information including System compliance, security Tool deployment progress, Malware   | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
|       | trends, enterprise threat trend alerts, other threat data, security incident information, security advisories, etc. as defined in the SMM. The Security Dashboard shall be able to support providing individual Customer views as well as an enterprise view.   |              |                   |
| R119. | 6. Provide near real-time health dashboards for any Systems managed by the Supplier or Service Tower Suppliers, highlighting health metrics as defined by VITA and its Customers and documented in the SMM  | Y            |                   |
| R120. | 7. Provide real-time access to collected log information from software, equipment, network, infrastructure services and any sources identified in the SMM and in compliance with VITA Rules.  | Y            |                   |
| R121. | 8. Security Dashboard will include alerts as specified in the SMM.  | Y            |                   |
| R122. | 9. Provide training for the Dashboard to Suppliers, VITA, Customers and other designated Users.   | Y            |                   |
| R123. | 10. Provide for access to additional systems and tools as directed by VITA.   | Y            |                   |
| R124. | 11. Provide for access to the document data store and all VITA and Customer service reports.  | Y            |                   |
| R125. | 12. Provide for the submission of Complaints in compliance with Complaint Management.   | Y            |                   |
| R126. | 13. Update information in the Portal in a timely manner; establish the frequency of updates for elements and subcomponents of the Portal in the Services Management Manual.   | Y            |                   |
| R127. | <b>2.0 PROGRAM MANAGEMENT</b>   |              |                   |
| R128. | <b>2.1 Program Management Office (PMO)</b>  |              |                   |
| R129. | <p>The Program Management Office manages the portfolio of projects and programs within ITISP, including all projects involving ITISP and any Customer, including:</p> <ul style="list-style-type: none"> <li>• Projects elected by a Customer through a Service or Solution Request (e.g., office move, support for Commonwealth IT Projects at agencies)</li> <li>• Projects initiated as part of other programs</li> <li>• Projects initiated by Service Tower Suppliers (e.g., stand up a new service, major hardware or software upgrades)</li> <li>• Projects to onboard a new and/or off-board an existing STS</li> <li>• Projects to transition Customers to Service Tower Suppliers services</li> <li>• Development and maintenance of the integrated Services Management Manual</li> <li>• Oversight for ongoing Programs</li> </ul> |              |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
|       | <p>The PMO is an important vehicle for communicating with Customers and ITISP Governance on ITISP activities including cross-project resource contention and dependencies. The PMO will:</p> <ul style="list-style-type: none"> <li>• Direct the project activities within the Service Transition Main Processes</li> <li>• Provide project and program management support for cross-tower projects</li> <li>• Provide project and program management support for platform-level projects that impact multiple Customers</li> <li>• Maintain and report to VITA and ITISP Governance on the portfolio of projects and programs</li> <li>• Provide project and program management support for individual Customer projects as approved by VITA.</li> </ul> <p>Supplier responsibilities include:</p> |              |                   |
| R130. | 1. Establish a PMO that manages and oversees the portfolio of approved projects.  | Y            |                   |
| R131. | 2. Provide program management and oversight for all project activities associated with ITISP.   | Y            |                   |
| R132. | 3. Adherence to the PMO standards defined in the integrated Services Management Manual ; these standards will be compliant with the Commonwealth project management policy and standard as required by VITA and will address, at a minimum:   | Y            |                   |
| R133. | 3.1. Scope definition   | Y            |                   |
| R134. | 3.2. Establishing project baselines   | Y            |                   |
| R135. | 3.3. Change management  | Y            |                   |
| R136. | 3.4. Quality management   | Y            |                   |
| R137. | 3.5. Risk and Issue management  | Y            |                   |
| R138. | 3.6. Communications management  | Y            |                   |
| R139. | 3.7. Organizational change management   | Y            |                   |
| R140. | 3.8. Required reporting and reports   | Y            |                   |
| R141. | 4. Follow project management best practices consistent with a widely accepted project management methodology.   | Y            |                   |
| R142. | 5. Provide direct support and coordinate the involvement of Service Tower Suppliers in support of Customer projects under the purview of Commonwealth project management governance, as required and in accordance with the Commonwealth Project Management Standard.   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R143. | 6. Ensure that each individual designated as a Project Manager for projects meeting certain thresholds defined in the SMM (e.g., risk/complexity assessment, certain minimum dollar value):  | Y            |                   |
| R144. | 6.1. Holds a Project Management Professional (PMP) certification from the Project Management Institute and attends a one-day Commonwealth Project Manager Orientation training session, OR   | Y            |                   |
| R145. | 6.2. Is a Commonwealth Qualified project manager.  | Y            |                   |
| R146. | 7. Provide for direct project management of platform level projects, major infrastructure changes and cross tower/vendor projects  | Y            |                   |
| R147. | 8. Use the Commonwealth Project Management Standard as a reference and where applicable, apply the standard to projects conducted by the PMO   | Y            |                   |
| R148. | 9. Align and communicate PMO activities with those of other portfolio, program and project management offices within Service Tower Suppliers, VITA and Customers.  | Y            |                   |
| R149. | 10. Coordinate ITISP project management activities across all functions, including Supplier, STS, Customers and designated Third Party vendors.  | Y            |                   |
| R150. | 11. Monitor and control all projects and programs, including the communication and management of program and portfolio status, risks, issues, project slippage reporting, project change requests, etc.  | Y            |                   |
| R151. | 12. Provide overall structure for project and portfolio management including resources, policies, processes, and procedures, compliant with VITA Rules and as documented in the SMM.   | Y            |                   |
| R152. | 13. Provide the SMS Project Portfolio Management and Reporting System  | Y            |                   |
| R153. | 14. Ensure projects are tracked and managed through the SMS Project Portfolio Management and Reporting System and provide access to the System to Commonwealth users as designated by VITA.  | Y            |                   |
| R154. | 15. Provide for controls and mechanisms that categorize projects (e.g., complexity, scope, schedule, cost, size) to support overall portfolio and program management compliant with the Commonwealth's Project Management Policy and Standard as required by VITA. | Y            |                   |
| R155. | 16. Provide for reporting on the project portfolio that will:  | Y            |                   |
| R156. | 16.1. Provide VITA and users authorized by VITA with a profile of project work and each project's current status on a monthly basis, as requested; VITA and users authorized by VITA will also have the ability to directly access this information.               | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R157. | 16.2. Support decision making in ITISP Governance bodies and maintain all portfolio-related metrics, dashboards and reports to be communicated to the governance bodies according to cadences established in the SMM.                   | Y            |                   |
| R158. | 16.3. Support activities in Business Relationship Management.   | Y            |                   |
| R159. | 16.4. Support the identification of resource contention within and across projects and programs, including resources identified by Customers.   | Y            |                   |
| R160. | 16.5. Support the identification and tracking of cross-project dependencies within ITISP and with Customers.  | Y            |                   |
| R161. | 17. Provide for the common data store for artifacts (e.g., design artifacts, requirement validation, approvals, lessons learned, related planning documents) associated with projects, programs and portfolio management.               | Y            |                   |
| R162. | 18. Output documents that support Service Operations should be in the Document Data Store as defined in Knowledge Management.   | Y            |                   |
| R163. | 19. Manage a project resource pool comprised of the Supplier and Service Tower Suppliers resources needed to staff projects within the purview of the PMO.  | Y            |                   |
| R164. | 20. Provide a tool for resource tracking against projects to ensure that information is available for demand management, project pool tracking and project success.   | Y            |                   |
| R165. | 21. Provide for resource forecasting against projects and expected demand for projects.   | Y            |                   |
| R166. | 22. Provide "what-if" resource scenarios to support portfolio prioritization by ITISP Governance  | Y            |                   |
| R167. | 23. Implement an escalation process to encourage resolution of issues and risks between Service Tower Suppliers before escalating to VITA.  | Y            |                   |
| R168. | 24. Regularly perform trend analyses on the volume and nature of projects to identify areas for improvement, and reporting on the trends and improvements to VITA, Customers and Service Tower Suppliers on at least a quarterly basis. | Y            |                   |
| R169. | 25. Regularly review projects to identify recurring problem areas and initiate Problem Management as required to address those areas.   | Y            |                   |
| R170. | 26. Actively participate and coordinate the participation of the Service Tower Suppliers and other Third Party providers in VITA and Customer quality controls (e.g., IV&V or Steering Committee reviews).                              | Y            |                   |
| R171. | 27. In support of Service Transition:   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R172. | 27.1. Coordinate proposal creation with other Supplier, Service Tower Suppliers and designated Third Parties   | Y            |                   |
| R173. | 27.2. Provide proposals and plans to VITA, ITISP Governance and/or Customers in a consistent format as defined in the SMM and including:   | Y            |                   |
| R174. | 27.2.1. The business requirements for the work and the deliverable(s) desired.   | Y            |                   |
| R175. | 27.2.2. The functional and/or technical approach and solution.   | Y            |                   |
| R176. | 27.2.3. The initiator of the proposed project (either a designated User or Supplier).  | Y            |                   |
| R177. | 27.2.4. The total number and type(s) of FTEs required for the project.   | Y            |                   |
| R178. | 27.2.5. A description of any Equipment, Software, or other materials required for the project and ongoing support.   | Y            |                   |
| R179. | 27.2.6. The duration of the project, the total elapsed time to complete the project, the projected delivery date, and any time constraints or material assumptions.  | Y            |                   |
| R180. | 27.2.7. Expected high level milestones and key tasks.  | Y            |                   |
| R181. | 27.2.8. The total cost of the project (including fees paid to Supplier as well as any Retained Expenses), the timing of any payment(s), and whether the cost is included in the Base Charges.  | Y            |                   |
| R182. | 27.2.9. The ongoing annual cost of the project post-implementation (including fees paid to Supplier as well as any Retained Expenses and Pass-Through Charges), the timing of any payment(s), and whether the cost is included in the Base Charges.  | Y            |                   |
| R183. | 27.2.10. Any other material assumptions, including but not limited to risks, mitigation plans, dependencies, costs and/or any other item related to the project, including any support required from Customers or its Third Party Vendor(s).   | Y            |                   |
| R184. | 27.2.11. Any other provisions necessary to describe the work needed.   | Y            |                   |
| R185. | 28. On the Services Commencement Date, or at applicable Implementation Module Go Live date, at no additional charge to the Commonwealth, Supplier shall assume responsibility for continuing the development, implementation and support of Current Projects and in-process requests for services (see <b>Section 2.3</b> ) as identified by VITA without material interruption and either (i) in accordance with then current written Commonwealth plans for such Current Projects and in-process requests for services, if | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
|       | such plans exist and have been furnished to Supplier, or (ii) if no such written plans have been furnished to Supplier, as such Current Projects and in-process requests for services are being performed as of the Service Commencement Date.          |              |                   |
| R186. | 29. Within ninety (90) days after the Services Commencement Date, Supplier shall provide the Commonwealth with a written evaluation and assessment of the status of all Current Projects and in-process requests for services known to Supplier.        | Y            |                   |
| R187. | <b>2.2 Project Portfolio Management and Reporting System</b>  |              |                   |
| R188. | The Project Portfolio Management and Reporting System is a Service Management System. Supplier responsibilities include:  |              |                   |
| R189. | 1. Provide and maintain a Project Portfolio Management and Reporting System that will serve as the single source of information regarding all projects for ITISP Services amongst Supplier, Service Tower Suppliers and designated Third Party vendors. | Y            |                   |
| R190. | 2. Ensure that all project data related to the Services resides in the Project Portfolio Management and Reporting System.   | Y            |                   |
| R191. | 3. The Project Portfolio Management and Reporting System will at a minimum support the following:   | Y            |                   |
| R192. | 3.1. Provide for the tracking of issues and risks related to a project, program and/or portfolio of projects.   | Y            |                   |
| R193. | 3.2. Provide for tracking costs and schedules within and across different projects within the portfolio   | Y            |                   |
| R194. | 3.3. Maintain the relationships between tasks within a project and between projects within the portfolio.   | Y            |                   |
| R195. | 3.4. Provide for resource rationalization across different projects, programs, service towers and recipients of services.   | Y            |                   |
| R196. | 3.5. Provide for tracking and discovering dependencies across different projects within the portfolio.  | Y            |                   |
| R197. | 3.6. Provide a customizable set of views for different stakeholders.  | Y            |                   |
| R198. | 3.7. Development of "what if" scenarios to support prioritization   | Y            |                   |
| R199. | 4. Provide analysis of project elements across different projects and report to VITA, ITISP Governance and Customers on variances in projected costs and timelines  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R200. | 5. Provide forecasting for project resource utilization in support of Demand Management and Service Portfolio Management.   | Y            |                   |
| R201. | 6. Will align with and account for the COV Project Management Standard and project management process, accounting for the required reviews and approvals of these processes   | Y            |                   |
| R202. | <b>2.3 Current Projects and In-Process Requests for Services</b>  |              |                   |
| R203. | During Implementation, VITA and Supplier will review the list of Current Projects and in-process requests for services. VITA will determine which of those Current Projects and in-process requests for services will become a Supplier management responsibility and a date by which Supplier is to assume that responsibility. For those Current Projects, Special Projects Management Support services identified in Exhibit 2.4 (Implementation Plan), and in-process requests for services assigned to Supplier, Supplier responsibilities include:                  | Y            |                   |
| R204. | 1. Complete all Current Projects in accordance with the following:  | Y            |                   |
| R205. | 1.1. ITISP Project management and development practices in place as of the date the Supplier is to assume responsibility  | Y            |                   |
| R206. | 1.2. ITISP Change management procedures to address any changes in scope, requirements, schedules, or cost in respect to the Ongoing Projects.   | Y            |                   |
| R207. | 2. Complete all in-process requests for services in accordance with the following:  | Y            |                   |
| R208. | 2.1. ITISP Solution Request and proposal processes in place as of the date the Supplier is to assume responsibility   | Y            |                   |
| R209. | 2.2. ITISP project change management procedures to address any changes in scope, requirements, schedules, or cost in respect to the in-process requests for services.   | Y            |                   |
| R210. | <b>2.4 On-going Programs</b>  |              |                   |
| R211. | On-Going Programs own the sponsorship and completion of periodic projects that, while not part of day-to-day operations, are critical to accomplish. All operations have some set of recurring projects. These are often monitored by a part of operations and when the time comes near they kick off an appropriate project. The establishment of On-Going Programs is to ensure that the activity is actually initiated and accomplished in the timeframe contemplated (i.e. that the activity is not inappropriately delayed in the face of other operational issues.) |              |                   |

| Ref#                          | Requirement   | Comply (Y/N)  | Supplier Response |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
|-------------------------------|---|---|-------------------|------------------------------------|---|---------------------|----------------------------|----------------|------------------------------|--------------------------------|---------------------------|------------------|-------------------------|-------------------------|---------------------|-------------------------------|------------------------|--|--|
|                               | The periodic activities that are identified as On-Going Programs are:   |   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| R212.                         | <table border="1"> <thead> <tr> <th>On-Going Program</th> <th>Reference section</th> </tr> </thead> <tbody> <tr> <td>Service Management Manual Currency</td> <td>1.1 Service Management Practices<br/>7.2.1 Service Management Manual (SMM)<br/>Currency</td> </tr> <tr> <td>Technology Planning</td> <td>3.2 IT Technology Planning</td> </tr> <tr> <td>ITISP Measures</td> <td>4.3 Service Level Management</td> </tr> <tr> <td>Disaster Recovery Preparedness</td> <td>4.5 IT Service Continuity</td> </tr> <tr> <td>Security Program</td> <td>4.7 Security Management</td> </tr> <tr> <td>Risk Management Program</td> <td>4.8 Risk Management</td> </tr> <tr> <td>Refresh and Software Currency</td> <td>7.6 Technical Currency</td> </tr> </tbody> </table> | On-Going Program  | Reference section | Service Management Manual Currency | 1.1 Service Management Practices<br>7.2.1 Service Management Manual (SMM)<br>Currency | Technology Planning | 3.2 IT Technology Planning | ITISP Measures | 4.3 Service Level Management | Disaster Recovery Preparedness | 4.5 IT Service Continuity | Security Program | 4.7 Security Management | Risk Management Program | 4.8 Risk Management | Refresh and Software Currency | 7.6 Technical Currency |  |  |
|                               | On-Going Program  | Reference section   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
|                               | Service Management Manual Currency  | 1.1 Service Management Practices<br>7.2.1 Service Management Manual (SMM)<br>Currency |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
|                               | Technology Planning   | 3.2 IT Technology Planning  |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
|                               | ITISP Measures  | 4.3 Service Level Management  |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
|                               | Disaster Recovery Preparedness  | 4.5 IT Service Continuity   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
|                               | Security Program  | 4.7 Security Management   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| Risk Management Program       | 4.8 Risk Management   |   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| Refresh and Software Currency | 7.6 Technical Currency  |   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| R213.                         | The Supplier responsibilities include:  |   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| R214.                         | 1. Execute On-Going Programs in compliance with the requirements of the Main Processes and processes developed in the Service Management Manual.  | Y   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| R215.                         | 2. Track On-Going Programs activity, deliverables and milestones using the Project Portfolio Management and Reporting system.   | Y   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| R216.                         | 3. Ensure that the deliverables and plans are appropriately tracked according to established processes and VITA Rules.  | Y   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| R217.                         | 4. Manage program issues and risks and lead collaboration to address issues and risks across Supplier, Service Tower Suppliers and Customers organizations.   | Y   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| R218.                         | 5. Provide governance of On-Going Programs by establishing forums, meetings, and escalation reports, and ensuring alignment to the ITISP Governance as described in <b>Exhibit 1 (Integrated Services Platform)</b> .   | Y   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| R219.                         | 6. Establish additional or remove existing On-Going Programs at the direction of VITA and ITISP Governance.   | Y   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| R220.                         | <b>3.0 SERVICE STRATEGY</b>   |   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |
| R221.                         | Service Strategy defines the high-level approach to offering services to the Customers; it drives service offerings and envisions future service offerings. The Supplier will undertake Service Strategy processes in order to support VITA and Customers in taking a long-term view of the business value of the Tower Services.<br>The Service Strategy Main Processes described in this section are as follows:  |   |                   |                                    |   |                     |                            |                |                              |                                |                           |                  |                         |                         |                     |                               |                        |  |  |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
|       | <ul style="list-style-type: none"> <li>• Strategy Generation and Management</li> <li>• Financial Management for IT Services</li> <li>• Service Portfolio Management</li> <li>• Demand Management</li> <li>• Business Relationship Management</li> </ul>   |              |                   |
| R222. | <b>3.1 Strategy Generation and Management</b>   |              |                   |
| R223. | Supplier will support the development of the Commonwealth IT Strategic Plan and the Commonwealth Technology Business plan where such plans intersect with the services provided by Supplier or Service Tower Suppliers. Supplier will develop and manage an integrated IT Service Strategy, which incorporates all Service Towers and supports the Commonwealth IT Strategic Plan and Technology Business Plan. Supplier will incorporate in the IT Service Strategy input from VITA, Customers, Customers business units, Service Tower Suppliers, Third Party Vendors and align with the Governance processes set forth in <b>Exhibit 1 (Integrated Services Platform)</b> . Supplier responsibilities include: |              |                   |
| R224. | 1. Provide a process for the establishment, maintenance, tracking, and publication of an IT Service Strategy for services provided by MSI and Service Tower Suppliers that incorporates input from VITA, Customers, Third Party Vendors and Service Tower Suppliers, aligns with the Governance processes set forth in <b>Exhibit 1 (Integrated Services Platform)</b> and is approved in accordance with ITISP Governance.   | Y            |                   |
| R225. | 2. Perform strategic assessments at least annually, including internal and external environment analyses.   | Y            |                   |
| R226. | 3. At least annually, survey Customers to understand, develop, and confirm the future business and IT requirements of the Commonwealth  | Y            |                   |
| R227. | 4. Project future volume, technology, and other changes that could impact VITA and Customers systems and technical architectures.   | Y            |                   |
| R228. | 5. Proactively identify strategies and approaches for future IT delivery that Supplier believes will provide Customers with competitive advantages and that may result in increased efficiency, performance, and/or cost savings.   | Y            |                   |
| R229. | 6. Working with VITA, and Customers identify candidates and requirements for the deployment of new technology or services or the automation of tasks associated with the Services and Customer's business processes.  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R230. | 7. Proactively submit proposals regarding new technology or services and automation to VITA for its review and approval.  | Y            |                   |
| R231. | 8. Proactively seek to and plan for automation of manual tasks associated with the Services.  | Y            |                   |
| R232. | 9. Support VITA and Customers in the proposal and presentation of changes in technology product and service offerings.  | Y            |                   |
| R233. | 10. Require, facilitate and encourage active cross-functional, cross-group, and cross-location coordination and communication related to technology or service changes and automation.  | Y            |                   |
| R234. | 11. Require, facilitate and coordinate the development of Equipment and Software architecture and standards with VITA and Customer approvals, and participate in continuously keeping Commonwealth's technical architecture current.  | Y            |                   |
| R235. | 12. Require and facilitate appropriate access to specialists within Supplier's broader organization, and the organization of STS, as needed, to assist VITA and Customers in developing and updating the plans and standards.   | Y            |                   |
| R236. | 13. Identify industry and technological trends that may impact VITA and Customers' plans and services, and include analysis in reporting to VITA and Customers.   | Y            |                   |
| R237. | 14. Identify and track regulatory issues and changes that may impact Customers' technology services, and include analysis in reporting to VITA and Customers.   | Y            |                   |
| R238. | 15. Gather and incorporate in the IT Service Strategy the data and lessons learned from the operating environment that may impact VITA and Customers' plans.  | Y            |                   |
| R239. | 16. Perform trend analysis from the resource consumption data as one input to project future demand that may impact VITA and Customers' plans.  | Y            |                   |
| R240. | 17. Cooperate with VITA and Customers in researching and implementing automated tools to improve Service Levels or performance of the computing environment.  | Y            |                   |
| R241. | 18. Ensure that tool selections are in accordance with VITA and Customers' standards and technical architectures.   | Y            |                   |
| R242. | <b>3.2 IT Technology Planning</b>   |              |                   |
| R243. | Technology Planning will be an On-Going Program. This program produces the technology plan, the technology implementation plan, provides input to VITA as part of the Commonwealth Strategic Planning, and conducts an annual technology planning event based on the results of |              |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
|       | the Commonwealth Strategic Planning and the approved IT Service Strategy. Refer to <b><i>Environment Overview Appendix E: Technology Roadmap</i></b> for information on the current technology landscape and scope of the technology footprint. Supplier responsibilities include: |              |                   |
| R244. | 1. Based on the approved IT Service Strategy, develop and update a proposal for the long-range, comprehensive plan for VITA with consideration given to Customers' information technology (IT) systems, processes, technical architecture and standards (the "Technology Plan").   | Y            |                   |
| R245. | 2. Solicit input from VITA and Customers related to future technology needs and incorporate in the Technology Plan.  | Y            |                   |
| R246. | 2.1. Proposals will be reviewed and approved in accordance with ITISP Governance.  | Y            |                   |
| R247. | 2.2. The Technology Plan will be developed on an annual basis, and will include a rolling three (3) year projection of anticipated changes (subject to VITA business and planning requirements).   | Y            |                   |
| R248. | 2.3. Coordinate the aggregation of technical planning information from VITA, Customers, Supplier, Service Tower Suppliers, and other Third Party vendors as directed by Customers and in accordance with the SMM.  | Y            |                   |
| R249. | 3. Provide linkage with technology currency requirements that align with technology refresh plans (e.g. software version migrations).  | Y            |                   |
| R250. | 4. Propose an implementation plan with scope, timing, risks and cost impacts, in a format consistent with the Charges, for VITA and Customers.   | Y            |                   |
| R251. | 4.1. An implementation plan for the Technology plan will be developed on an annual basis.  | Y            |                   |
| R252. | 4.2. Propose specific, short-term steps and schedules for projects or changes expected to occur within the first twelve (12) months of the implementation plan.  | Y            |                   |
| R253. | 5. In conjunction with VITA, conduct an annual planning event and a mechanism for continuous input from Customers on evolving business needs in their environment.   | Y            |                   |
| R254. | 6. Track and report on new technology advances applicable to the Managed Environment or Services specifying any technical benefits and cost savings that may be achieved by VITA or the Customers.   | Y            |                   |
| R255. | 6.1. Require, facilitate and coordinate the input of Service Tower Suppliers in tracking and reporting on technology advances applicable to the Services.  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R256. | 6.2. Report on technology advances within and outside of existing Service Tower Suppliers to VITA and Customers on a twice-annual basis.  | Y            |                   |
| R257. | 7. Track and report on technology evolutions applicable to the Services.  | Y            |                   |
| R258. | 7.1. Require, facilitate and coordinate the input of Service Tower Suppliers in tracking and reporting on technology evolutions applicable to the Services.   | Y            |                   |
| R259. | 7.2. Provide briefings to VITA regarding such technology evolutions on a semi-annual basis.   | Y            |                   |
| R260. | 8. Identify, evaluate and track opportunities for efficiency in the delivery of Services that Supplier has observed in the course of delivering the Services.   | Y            |                   |
| R261. | 8.1. Require, facilitate and coordinate the input of Service Tower Suppliers in identifying efficiency opportunities the Service Tower Supplier has observed during the course of providing the Services.   | Y            |                   |
| R262. | 8.2. Identify and track changes in the Services that have been made regardless of financial responsibility for underlying assets.   | Y            |                   |
| R263. | 8.3. Review the evaluation of efficiency opportunities with VITA and Customers on a semi-annual basis.  | Y            |                   |
| R264. | 9. Support the Main Process of Service Design, including:   | Y            |                   |
| R265. | 9.1. Create and regularly update the descriptions of the minimum Equipment and Software requirements and any specific Equipment and Software that are designated for standard use within ITISP (the "Standard Services").                                       | Y            |                   |
| R266. | 9.2. Require, facilitate and coordinate the update of descriptions from Service Tower Suppliers.  | Y            |                   |
| R267. | 9.3. Publish updates at least on a quarterly basis.   | Y            |                   |
| R268. | 9.4. Provide guidance to solution architects working within Service Design on standards that are within the Technology Plan.  | Y            |                   |
| R269. | 10. Support the On-Going Program of Technical Currency, including:  | Y            |                   |
| R270. | 10.1. Establish and maintain the definitions of Software Currency and Refresh for all systems and Software in the Managed Environment, in compliance with the requirements of <b>Exhibit 4 (Pricing and Financial Provisions)</b> and in conjunction with VITA. | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R271. | 10.2. Establish which software releases and system platforms are not current (i.e. which are approaching end-of-life, which are going out of support, and which have been released and should be considered current).   | Y            |                   |
| R272. | 10.3. Monitor end-of-life hardware and software to include underlying drivers and firmware resident in the Managed Environment and ensure proper notification is provided to VITA, Customers and Third Party Vendors regarding support and software currency plans.                   | Y            |                   |
| R273. | 10.4. Coordinate the remediation of any hardware or software, which have reached end-of-life or are otherwise unsupported.  | Y            |                   |
| R274. | 10.5. Require, facilitate and coordinate the update of the definitions of Software Currency and Refresh with the Service Tower Suppliers.   | Y            |                   |
| R275. | 10.6. Publish updates to the definitions of Software Currency and Refresh at least on a semi-annual basis.  | Y            |                   |
| R276. | 10.7. Publish monthly reports of upcoming Software releases, Software renewals and end-of-support notices to VITA and affected Customers.   | Y            |                   |
| R277. | 10.8. Provide guidance to solution architects working within Service Design on the definitions that are within the Technology Plan.   | Y            |                   |
| R278. | 10.9. Escalate to VITA where changes to the definitions of Software Currency and Refresh will cause financial impacts to the Charges, costs of Standard Services, costs of Standard Solutions, the cost of the renewal of retained Software or otherwise unforeseen changes to costs. | Y            |                   |
| R279. | 10.10. Support Software under Supplier's operational responsibility at the most recently released and generally available version of the Software (the "N" release level), unless otherwise directed by VITA.   | Y            |                   |
| R280. | 10.11. Support release N-1 and earlier versions of the Software as directed by VITA and or ITISP Governance.  | Y            |                   |
| R281. | 10.12. Provide support for all hardware and Software versions and release levels that exist as of the Effective Date until replaced or upgraded in Customer environment based on a schedule approved by VITA and the Customer.  | Y            |                   |
| R282. | <b>3.3 Financial Management</b>   |              |                   |
| R283. | Supplier will provide Financial Management for IT Services as described in this Description of Services and as set forth in <b>Exhibit 4 (Pricing and Financial Provisions)</b> . Financial Management  |              |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
|       | covers the function and processes responsible for managing financials and charges associated with the delivery of the Services. IT Financial Management will provide cost-effective stewardship of the IT assets and the financial resources used in providing IT Services, enabling the dissemination of information to feed critical decisions and activities.<br>Supplier responsibilities include:  |              |                   |
| R284. | 1. Cost-effective management of services and charges.   | Y            |                   |
| R285. | 2. Management and reporting of the consumption of chargeable resources used in the provision of the Services and Tower Services to meet demand forecasts and to achieve maximum value from these resources for Customers.   | Y            |                   |
| R286. | 3. Provision of financial management for both procurement and Project management services as described in <b>Exhibit 4 (Pricing and Financial Provisions)</b> .   | Y            |                   |
| R287. | 4. Contributing to the long term understanding of the business value of the Tower Services to Customer businesses by coordinating, collating and reporting on the volumes and resource units, as described in <b>Exhibit 4 (Pricing and Financial Provisions)</b> , consumed from Supplier and each Service Tower Supplier on a monthly basis.  | Y            |                   |
| R288. | 5. Invoice validation as a function of assets in the CMDB, orders and decommissioning placed throughout the month, and other factor which would change the volumes or charges on the invoice.   | Y            |                   |
| R289. | 6. Provide a unified system(s) that will track and show assets through their full life cycle, including ordering, provisioning, billing, decommissioning, etc.  | Y            |                   |
| R290. | <b>3.3.1 Chargeback and Utilization Tracking System</b>   |              |                   |
| R291. | The Commonwealth is interested in better understanding the Suppliers chargeback offering. Currently the Commonwealth provides four invoices to its customers, one for telco services and three for non-telco services (Asset Inventory, Mainframe, and Miscellaneous). The Commonwealth is attempting to determine which of these systems and associated functions it will displace, if any. Supplier must price the charge back requirements described below for the three non-telco invoices together (which can be consolidated onto a single invoice in the future). The Chargeback and Utilization Tracking System is a Service Management System.<br><br>Supplier responsibilities include: |              |                   |
| R292. | 1. Provide and maintain a Chargeback and Utilization Tracking System (Chargeback System) that will serve as the single source of information regarding all IT Financial   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
|       | information for Supplier Services, Service Tower Supplier(s) Services, and designated Third Party Vendors.   |              |                   |
| R293. | 2. Provide a unified system(s) that will track and show assets from conception to grave. This would include ordering (ideally), approvals, provisioning, billing, decommissioning, etc.  | Y            |                   |
| R294. | 3. The Chargeback System will at a minimum support the following:  | Y            |                   |
| R295. | 3.1. Interactive drill down capability for all billing transactions and associated inventory records, ad hoc query access, and soft copy billing downloads by any Customer's number, account code and resource unit identifier(s) combination. | Y            |                   |
|       | 3.2. Collecting and aggregating billing, service provisioning, and service metric information from Supplier Services, Service Tower Supplier(s) Services, and designated Third Party vendors.  | Y            |                   |
|       | 3.3. The Chargeback system will include the information necessary to verify the Charges, which at a minimum will include:  | Y            |                   |
|       | 3.3.1. The service location  | Y            |                   |
|       | 3.3.2. Serial number for any service that is tied to an asset that has a serial number (e.g. EUC, Server)  | Y            |                   |
|       | 3.3.3. Asset tag for any service that is tied to an asset that has an asset tag (e.g. EUC, Server)   | Y            |                   |
|       | 3.3.4. Circuit identifier or phone number for any Network service (e.g. Voice, WAN)  | Y            |                   |
|       | 3.3.5. User name for any service associated with individual end users (e.g. Email, VPN)  | Y            |                   |
|       | 3.3.6. Fully qualified domain name for services that have an associated FQDN (e.g. Server)   | Y            |                   |
|       | 3.3.7. Other unique identifier for any services not described above  | Y            |                   |
|       | 3.3.8. Service Supplier submitting the charge  | Y            |                   |
| R296. | 3.4. Reports as described in <b>Exhibit 3 (Reporting and Service Level Management)</b> and ad hoc queries with appropriate local print formatting.   | Y            |                   |
|       | 3.4.1. Include self-service search capability within a Customer invoice, which includes transaction level searches.  | Y            |                   |
|       | 3.4.2. Provide for searching back invoices of at least 36 months.  | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R297. | 3.5. Unique Customer's account identifiers to identify Applications and other services information.  | Y            |                   |
| R298. | 3.6. Self-service access for Customers to input and maintain Account Code Identifiers and Structures with effective dates, Resource Unit unique identifiers and cost category mapping of accounting information at the lowest level of detail for Resource Units, New Services, One-Time Charges, and Pass-Through Expenses allowing for multiple lines of detail for multiple accounts and funding sources. | Y            |                   |
| R299. | 3.7. Capability for Customers to access all billing and service information at summary and detail levels by business unit account and resource unit identifiers.   | Y            |                   |
| R300. | 3.8. Capability for Customers business units to access all billing and service information for their account identifier.   | Y            |                   |
| R301. | 3.9. Capability to capture invoices from ITISP Suppliers and other Third Party vendors as identified by VITA.  | Y            |                   |
| R302. | 3.10. Providing multiple suppliers' billing information to Customers with Base Charges, Pass-Through Expenses, One-Time Charges, and miscellaneous Labor Charges, inclusive of VITA surcharges and/or approved rates, implemented and maintained in common formats.  | Y            |                   |
| R303. | 3.11. All prior period adjustments (e.g. disputed charges) will be displayed separately.   | Y            |                   |
| R304. | 3.12. Reporting capability to distinguish any charges which existed in the previous month from those that are new this month (i.e. a display of adds and deletes, including order number)  | Y            |                   |
| R305. | 4. Provide a single monthly chargeback invoice for each Customer for all ITISP Supplier Services and any VITA retained service.  | Y            |                   |
| R306. | 4.1. Show on the chargeback invoice a report on prior month variance (changes in charges and volumes).   | Y            |                   |
| R307. | 5. Provide VITA with a monthly report reconciling the total of all Customers' chargeback invoices with the cumulative total of each ITISP Supplier invoice.  | Y            |                   |
| R308. | <b>3.3.2 Invoice Consolidation</b>   |              |                   |
| R309. | Supplier responsibilities include:   |              |                   |
| R310. | 1. Provide VITA with a monthly invoice report that accounts for each ITISP Supplier and designated Third Party Vendors Charges.  | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R311. | 2. Provide VITA with the supporting detail necessary to facilitate VITA's payment to all ITISP Suppliers that are supplying Services under the Agreement.  | Y            |                   |
| R312. | 3. Execute VITA-approved invoice validation process which at a minimum will include an analysis of significant variance from expected volumes (as driven by historical volumes, seasonal patterns, known projects, etc.).                  | Y            |                   |
| R313. | 4. Provide management of any Credits and the tracking of any Earnback for all ITISP Suppliers to support the requirements of <b>Exhibit 3 (Reporting and Service Level Management)</b> , and report and apply Credits as directed by VITA. | Y            |                   |
| R314. | 5. Report results of invoice validation process and identify anomalies based on VITA approved variance thresholds prior to the release of the Customers chargeback invoices.   | Y            |                   |
| R315. | 6. Provide VITA a monthly report that confirms amounts paid to each Supplier and any outstanding balance that was not paid with sufficient detail for VITA to confirm the unpaid balances.   | Y            |                   |
| R316. | <b>3.3.3 Invoice Dispute Processing</b>  |              |                   |
| R317. | Supplier responsibilities include:   |              |                   |
| R318. | 1. Record, track and manage Incidents of Customers invoice disputes.   | Y            |                   |
| R319. | 2. Research and review invoice disputes for completeness and supporting data accuracy and, when necessary, request clarifying data from VITA or Customers.   | Y            |                   |
| R320. | 3. Forward invoice disputes to the appropriate Service Tower Supplier(s) for processing within the agreed time frame.  | Y            |                   |
| R321. | 4. Facilitate resolution of invoice disputes with all applicable Service Tower Suppliers and Customers within designated timeframes.   | Y            |                   |
| R322. | 5. Ensure that Incidents of invoice disputes are continually updated, at a minimum on a weekly basis.  | Y            |                   |
| R323. | 6. On a weekly basis, provide VITA with invoice dispute metrics and dispute aging reports.   | Y            |                   |
| R324. | 7. Provide a process for the resolution of invoice disputes.   | Y            |                   |
| R325. | 8. Allow VITA to monitor, audit and validate invoice dispute process on an ongoing basis.  | Y            |                   |
| R326. | 9. Provide regular progress notifications to VITA and Customers on outstanding Incidents of invoice disputes, until the invoice dispute is resolved and in accordance with VITA policies.  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R327. | 10. Provide a process for escalating to Supplier's management Incidents of invoice disputes not resolved within the time frames established within VITA policies.   | Y            |                   |
| R328. | 11. Proactively work to find and reports trends and patterns in invoice disputes, and propose steps for resolution.   | Y            |                   |
| R329. | <b>3.4 Service Portfolio Management</b>   |              |                   |
| R330. | Service Portfolio Management ensures the Commonwealth has the optimum mix of services to meet required business outcomes at an appropriate level of investment. This involves assisting Customers in management of the investment across the service life-cycle, including those new or changing services in the concept, design and transition pipeline, as well as live services defined in the Service Catalog and those services that are retired or in the process of being retired. Refer to <b>Environment Overview Appendix 1a: Service Catalog</b> for an overview of existing Catalog. Supplier responsibilities include: |              |                   |
| R331. | 1. Conduct and maintain an inventory of the operational services (Service Catalog), proposed services (service pipeline), and decommissioned services (retired).  | Y            |                   |
| R332. | 2. Ensure that the Service Catalog and Service Portfolio systems are accurate and up-to-date in accordance with the SMM.  | Y            |                   |
| R333. | 3. Each service in the service portfolio should include at least the following attributes:  | Y            |                   |
| R334. | 3.1. Service name and description   | Y            |                   |
| R335. | 3.2. Service goals and objectives   | Y            |                   |
| R336. | 3.3. Service scope (in terms of the market, location, customers, etc.)  | Y            |                   |
| R337. | 3.4. Assumptions  | Y            |                   |
| R338. | 3.5. Service status (active, proposed, or retired)  | Y            |                   |
| R339. | 3.6. Service type   | Y            |                   |
| R340. | 3.7. Customer details   | Y            |                   |
| R341. | 3.8. Desired business value (utility and warranty)  | Y            |                   |
| R342. | 3.9. Business processes supported by the service  | Y            |                   |
| R343. | 3.10. Cost and pricing  | Y            |                   |
| R344. | 3.11. Dependencies (in terms of required resources and capabilities)  | Y            |                   |
| R345. | 3.12. Value proposition   | Y            |                   |
| R346. | 3.13. ROI   | Y            |                   |
| R347. | 3.14. Priority  | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R348. | 3.15. VITA approved service request fulfillment timeline   | Y            |                   |
| R349. | 3.16. Risks and business impact  | Y            |                   |
| R350. | 3.17. Business case (cost-benefit analysis)  | Y            |                   |
| R351. | 3.18. Offerings and packages   | Y            |                   |
| R352. | 4. Identify and validate all proposed (new services) and operational (existing services) services.   | Y            |                   |
| R353. | 5. Analyzing the service portfolio helps review existing services in the service portfolio to determine whether they still meet their objectives and if they are still appropriate for the strategy. The service portfolio should be analyzed in terms of, but not limited to the following: | Y            |                   |
| R354. | 5.1. Business value  | Y            |                   |
| R355. | 5.2. Short-term and long-term business goals   | Y            |                   |
| R356. | 5.3. Services required to meet those goals   | Y            |                   |
| R357. | 5.4. Business priorities   | Y            |                   |
| R358. | 5.5. New market opportunities  | Y            |                   |
| R359. | 5.6. Operating models  | Y            |                   |
| R360. | 5.7. Existing and new technologies   | Y            |                   |
| R361. | 5.8. Emerging customer needs   | Y            |                   |
| R362. | 5.9. Legal and regulatory requirements   | Y            |                   |
| R363. | 5.10. Social responsibility  | Y            |                   |
| R364. | 5.11. Strengths, weaknesses, opportunities, and threats  | Y            |                   |
| R365. | 5.12. Existing IT assets (capabilities and resources)  | Y            |                   |
| R366. | 6. Coordinating and reporting potential improvements to the portfolio of Tower Services as identified by the Service Tower Suppliers on a quarterly basis.   | Y            |                   |
| R367. | 6.1. Survey Customers concerning potential improvements and existing deficits and incorporate the results in the report.   | Y            |                   |
| R368. | 7. Working with Service Tower Suppliers to respond to VITA and Customer requests for new services or significant changes to existing services.   | Y            |                   |
| R369. | 8. Provide proposals for requested new or changed services within time limits identified in the Service Management Manual.   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R370. | 9. Work with prospective new Service Tower Suppliers to plan, develop and onboard new services   | Y            |                   |
| R371. | 10. Report to VITA all ITISP Service updates, additions or other changes, in accordance with the SMM.  | Y            |                   |
| R372. | 11. Maintain the Services on a Service Portfolio database system to which designated Users at VITA have access.  | Y            |                   |
| R373. | 12. Assure that Services are appropriately integrated with the CMDB and other SMS components.  | Y            |                   |
| R374. | 13. Apply to the Service Catalog service descriptions any updates as reported.   | Y            |                   |
| R375. | 14. Align services with On-Going Program activity  | Y            |                   |
| R376. | 15. Provide mechanisms and processes and procedures to capture feedback and business needs from Customers as to change in Services   | Y            |                   |
| R377. | 16. Integrate reviews and approvals required in VITA's Service Portfolio & Life-cycle Management process.  | Y            |                   |
| R378. | <b>3.4.1 New and Changed Service Introduction</b>  |              |                   |
| R379. | Supplier responsibilities include:   |              |                   |
| R380. | 1. Enable new Services to be initiated from a number of different sources:   | Y            |                   |
| R381. | 1.1. Strategy management for IT services is the primary input to the service portfolio. (Any new strategy or changes to an existing strategy are submitted to service portfolio management by strategy management)                       | Y            |                   |
| R382. | 1.2. The business relationship management is the direct interface to business to receive new service requests or changes to existing services.   | Y            |                   |
| R383. | 1.3. Continual service improvement can identify gaps in the current service portfolio and identify opportunities for improvement.  | Y            |                   |
| R384. | 1.4. New services or changes to existing services can also be initiated by other Service Management processes such as capacity management, availability management, and IT service continuity management.                                | Y            |                   |
| R385. | 2. New Services will be introduced by a New Services proposal and will be approved by VITA, in accordance with ITISP Governance and the SMM.   | Y            |                   |
| R386. | 2.1. In the event of New Services that involve multiple Service Towers, each Service Tower will work with the MSI and the Service Towers to provide all necessary information so that the MSI can make a comprehensive proposal to VITA. | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R387. | 3. New Services proposals are at no additional charge to VITA.   | Y            |                   |
| R388. | 4. New Services proposals will include, among other things, the following at a level of detail sufficient to permit VITA to make an informed business decision:  | Y            |                   |
| R389. | 4.1. Business purpose and value in a business case document  | Y            |                   |
| R390. | 4.2. Target Customer base and expected demand  | Y            |                   |
| R391. | 4.3. Service model- high level view of all of the components of a service and how they fit together. A service model may be a list or diagram of items that will be needed in order to be able to deliver a service. | Y            |                   |
| R392. | 4.4. Project plan including any phased or pilot approach   | Y            |                   |
| R393. | 4.5. Fixed price estimate for the New Service;   | Y            |                   |
| R394. | 4.6. Breakdown of such price or estimate;  | Y            |                   |
| R395. | 4.7. Description of the service levels to be associated with such New Service;   | Y            |                   |
| R396. | 4.8. Schedule for commencing and completing the New Service;   | Y            |                   |
| R397. | 4.9. Description of the new hardware or software to be provided by Supplier in connection with the New Service;  | Y            |                   |
| R398. | 4.10. Description of the software, hardware and other resources, including Resource Unit utilization, necessary to provide the New Service;  | Y            |                   |
| R399. | 4.11. Any additional facilities or labor resources to be provided by VITA or the Customers in connection with the proposed New Service;  | Y            |                   |
| R400. | 4.12. Any risks or impacts associated with the New Service or the integration of the New Service into the existing environment.  | Y            |                   |
| R401. | 5. Act reasonably and in good faith in formulating such New Service proposal   | Y            |                   |
| R402. | 6. Identify potential means of reducing the cost to the Commonwealth, including utilizing subcontractors as and to the extent appropriate;   | Y            |                   |
| R403. | 7. Ensure that New Service proposals are no less favorable to VITA than the pricing for comparable Services;   | Y            |                   |
| R404. | 8. Ensure that New Service proposals take into account the existing and future volume of business between VITA and Supplier.   | Y            |                   |
| R405. | 9. VITA may require Supplier to engage (as Supplier's subcontractor) a Third Party vendor approved or selected by VITA to provide such services  | Y            |                   |
| R406. | 10. VITA may elect to solicit and receive bids from Third Party vendors to perform any New Services; where VITA elects to use Third Party vendors to perform New Services:   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R407. | 10.1. Supplier will cooperate with such Third Party vendors for the implementation and management of the services provided by the Third Party;   | Y            |                   |
| R408. | 10.2. Supplier will require and facilitate the integration of Third Party services into the service management delivery  | Y            |                   |
| R409. | 11. New Service proposals will not be for evolution and modification of the Services. Services identified in the Technology Plan as needing refresh or updates are not to be construed as new.   | Y            |                   |
| R410. | 12. Promptly inform VITA of requests for New Services from Customers and submit any New Service proposals to VITA in accordance with the <b><u>Exhibit 1 (Integrated Services Platform)</u></b> and the Service Management Manual.   | Y            |                   |
| R411. | 13. Provide no New Services, or portion of a New Service, to Customers without the prior approval of VITA and in accordance with the SMM and ITISP Governance.   | Y            |                   |
| R412. | <b>3.4.2 New Customer Introduction, Acquisitions and Mergers</b>   |              |                   |
| R413. | From time to time, Customers are required to add or divest businesses units (usually called “agencies”) or parts of business units, merge or split business units, or otherwise reorganize its business units. Supplier will perform certain functions at the request of Customers to support such activities. Supplier responsibilities include:  |              |                   |
| R414. | 1. Assist VITA in planning, preparing and implementing any transition or changes related to the delivered Services as a result of business additions, mergers or other reorganization (e.g. divestiture, acquisition, consolidation, relocation).  | Y            |                   |
| R415. | 2. Assist VITA in the project to manage the change in gubernatorial administration.  | Y            |                   |
| R416. | 3. Develop and document processes and procedures to support business additions, mergers and other reorganizations as they are identified   | Y            |                   |
| R417. | 4. Coordinate with VITA and Customers on performing analysis and reporting on financial impacts of proposed business additions, mergers and other reorganizations.   | Y            |                   |
| R418. | 5. Perform all required changes to support the Services associated with business additions, mergers and other reorganizations.   | Y            |                   |
| R419. | 6. Coordinate and ensure all required changes within Service Tower Suppliers associated with business additions, mergers and other reorganizations in accordance with the SMM. This may include changes to infrastructure (e.g., equipment repossession), physical and logical security, Service Management Systems, Service Continuity Planning, Disaster Recovery planning and testing, etc. | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R420. | 7. Implement business additions, mergers and other reorganizations in compliance with Project Management processes.   | Y            |                   |
| R421. | 8. Actively support bringing additional Customers into Services.  | Y            |                   |
| R422. | 9. Provide proposals for transition and changes related to Services, in accordance with the Request Management processes.   | Y            |                   |
| R423. | 10. Supplier responsibilities for Additional Customers includes:  |              |                   |
| R424. | 10.1. Assist VITA Customer Account Managers (CAM) in describing Services to potential additional Customers.   | Y            |                   |
| R425. | 10.2. Provide proposals for transition to potential new Customers.  | Y            |                   |
| R426. | 10.3. Engage in activities relative to planning and developing solutions for proposals.   | Y            |                   |
| R427. | 10.4. Onboard new Customers in all components of the Service Management Systems.  | Y            |                   |
| R428. | 10.5. Make changes to descriptors (e.g. name changes) associated with Customers.  | Y            |                   |
| R429. | <b>3.5 Demand Management</b>  |              |                   |
| R430. | The purpose of Demand Management is to understand and influence customer demand for services and to seek mechanisms to meet these demands. At a strategic level this can involve analysis of patterns of activity and service usage. At a tactical level it can involve resource rationalization mechanisms to encourage shifts in demand. Supplier responsibilities include: |              |                   |
| R431. | 1. Actively engage VITA and Customers on demand management planning on a periodic basis.  | Y            |                   |
| R432. | 2. Support demand management activities, with VITA's guidance, to encourage Customers to make the most effective use of Supplier and Service Tower Suppliers resources and to assist VITA to minimize costs to the Commonwealth while maximizing the value it receives from the Services.   | Y            |                   |
| R433. | 3. Align the supply of the Tower Services to the demand for those services by coordinating, collating and reporting predicted and actual consumption of the Tower Services as provided by the Service Tower Suppliers on a monthly basis.   | Y            |                   |
| R434. | 4. Report to VITA patterns of business activity across the Tower Services on a monthly basis and identify trends and risks that may cause demand to exceed the available capacity of the Tower Services.  | Y            |                   |
| R435. | 5. Track, analyze and report on patterns of business activity to include annual and seasonal history.   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R436. | 6. Assist Customers with Demand Management activities that encourage Users to make the most efficient use of the Services and to assist Customers in minimizing its costs while maximizing the value it receives from the Services. Such assistance to include coordinating, collating and reporting evidence of Demand reductions from the Service Tower Suppliers.   | Y            |                   |
| R437. | 7. Integrate Demand Management with the other ITIL processes (e.g., Capacity Management, Service Level Management) in order to manage long-term demand for the Tower Services and to identify and resolve over- or under-utilization issues  | Y            |                   |
| R438. | 8. Establish process for gathering and forecasting VITA's and Customers' project requirements and in coordination with VITA, Service Tower Suppliers and designated Third Party vendors.   | Y            |                   |
| R439. | 9. Identify opportunities for the development of differentiated service offerings.   | Y            |                   |
| R440. | <b>3.6 Business Relationship Management</b>  |              |                   |
| R441. | Business Relationship Management works to maintain a positive relationship with Customers. Business Relationship Management identifies the needs of existing and potential customers and ensures that appropriate services and capacity are developed to meet those needs. The process seeks to establish a strong business relationship with the end-user customer by understanding the customer's business and their desired outcomes. The process facilitates the consistent alignment of Supplier staff to specific customer. The process works closely with Portfolio Management to negotiate service introduction on behalf of customers. VITA will retain a Business Relationship Manager (BRM) function in the form of Customer Account Managers (CAMs) focused on the strategic relationship with VITA Customers. The Supplier will provide support for the VITA CAMs and will serve as the operational interface with VITA Customers. The Supplier responsibilities include: |              |                   |
| R442. | 1. Facilitate access to the Services for Customers.  | Y            |                   |
| R443. | 2. Provide a single point of contact for Customers on the function of ITISP Services and the quality of the delivery of the Services from all Service Tower Suppliers.   | Y            |                   |
| R444. | 3. Coordinate a regular review of the Service Portfolio with the VITA Executives and other entities as required by ITISP Governance.   | Y            |                   |
| R445. | 3.1. Collect business concerns, upcoming activities and changing priorities.   | Y            |                   |
| R446. | 3.2. Provide meaningful insight into the Customer business needs and activities.   | Y            |                   |
| R447. | 4. Provide logistics and support for ITISP Governance forums and meetings.   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R448. | 5. Support VITA's CAMs, as required.   | Y            |                   |
| R449. | 6. Support the communication activities of VITA and Customers, as required.  | Y            |                   |
| R450. | 7. Provide a point of escalation on Service Tower Suppliers delivery issues.   | Y            |                   |
| R451. | 8. Demonstrate the ability to drive change and resolve challenges in the delivery of Services, within both the Supplier and Service Tower Suppliers organizations.   | Y            |                   |
| R452. | 9. Regularly update documentation on the business objectives and organization of Customers and make documentation and training available for the use of Supplier, Service Tower Suppliers and VITA.  | Y            |                   |
| R453. | 10. Provide personnel that demonstrate knowledge of the Customer, Customer operating environment and business drivers.   | Y            |                   |
| R454. | 11. Convene and conduct regular (e.g., monthly, weekly) Customer operations meetings that include the Supplier SPOC and Customer representative(s) in order to understand, monitor and collaborate on service provision to continually improve the customer experience. Meeting cadence to be determined by each Customer. Depending on the specific agenda, Supplier may invite representatives of one or more Service Tower Suppliers to attend. Topics to be addressed include: | Y            |                   |
| R455. | 11.1. Status of Service and Solution requests  | Y            |                   |
| R456. | 11.2. Refresh status   | Y            |                   |
| R457. | 11.3. Service level reviews  | Y            |                   |
| R458. | 11.4. Active Root Cause Analysis requests  | Y            |                   |
| R459. | 11.5. Transition status  | Y            |                   |
| R460. | 11.6. Technology plan activities   | Y            |                   |
| R461. | 11.7. Impact of IT infrastructure on active Customer projects  | Y            |                   |
| R462. | <b>3.6.1 Complaint Management</b>  |              |                   |
| R463. | Complaint Management establishes a systematic way to manage and monitor complaints made against the ITISP that: supports and maintains the integrity of the program. The process facilitates efficient service to the customers and increases the trust and confidence in the program. Complaint Management recognizes and protects the customer's right to comment and complain about the standard of services being provided.  |              |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
|       | Complaint means a genuine expression of dissatisfaction or concern regarding the Services or the delivery of the Services; complaint does not mean a dispute with a decision or policy, which will be addressed with VITA as defined in the SMM. Supplier responsibilities include: |              |                   |
| R464. | 1. Using an automated tool, collect track and report on Complaints from Customers against Supplier, Service Tower Supplier and other Third Party vendors designated by VITA. The information collected and tracked should include:  | Y            |                   |
| R465. | 1.1. User name and business unit of Customer submitting the Complaint   | Y            |                   |
| R466. | 1.2. Complaint ID   | Y            |                   |
| R467. | 1.3. Complaint description  | Y            |                   |
| R468. | 1.4. Date of complaint  | Y            |                   |
| R469. | 1.5. Time of complaint  | Y            |                   |
| R470. | 1.6. Source of complaint (department, function, and individual name)  | Y            |                   |
| R471. | 1.7. Nature of complaint  | Y            |                   |
| R472. | 1.8. Impact, urgency, and priority  | Y            |                   |
| R473. | 1.9. Reference  | Y            |                   |
| R474. | 1.10. Validation comments   | Y            |                   |
| R475. | 1.11. Received and validated by   | Y            |                   |
| R476. | 1.12. Actions taken (if any)  | Y            |                   |
| R477. | 1.13. Resolution date   | Y            |                   |
| R478. | 2. In collaboration with ITISP Governance, establish and execute a process that provides for fair, equitable and timely resolution of Complaints, which will:   | Y            |                   |
| R479. | 2.1. Recognize, and protect customers' rights, including the right to comment and complain.   | Y            |                   |
| R480. | 2.2. Provide an efficient, fair and accessible mechanism for resolving customer Complaints.   | Y            |                   |
| R481. | 2.3. Provide information to customers on the Complaint handling process.  | Y            |                   |
| R482. | 2.4. Demonstrate the commitment to continual improvement in the quality of Services.  | Y            |                   |
| R483. | 3. Summarize, analyze and review complaints with ITISP Governance on a periodic basis.  | Y            |                   |
| R484. | 4. Initiate Problem Management and corrective actions as appropriate to address complaint areas where directed and prioritized by ITISP Governance.   | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R485. | 5. Report on status of corrective actions to address complaints until resolved.   | Y            |                   |
| R486. | 6. Provide for visibility of corrective action activities through the Project Portfolio Management and Reporting System.  | Y            |                   |
| R487. | 7. Maintain records of all Complaints, valid and invalid, in accordance with VITA Rules   | Y            |                   |
| R488. | <b>3.6.2 Day-to-Day Feedback</b>  |              |                   |
| R489. | Day-to-day feedback provides an anonymous mechanism for individuals and entities to provide feedback to the ITISP. Supplier responsibilities include:   |              |                   |
| R490. | 1. Create and advertise a tool to allow for day-to-day feedback from Customers that is accessible through the Portal.   | Y            |                   |
| R491. | 1.1. Provide for protection of Customer anonymity.  | Y            |                   |
| R492. | 1.2. Final design of the day-to-day feedback mechanism will be approved by VITA.  | Y            |                   |
| R493. | 2. Make the tool available one (1) month after the Commencement Date.   | Y            |                   |
| R494. | 3. Provide a monthly transcript and analysis of the feedback received to VITA and ITISP Governance.   | Y            |                   |
| R495. | 4. Provide a means for VITA and ITISP Governance to review feedback via ad hoc reports.   | Y            |                   |
| R496. | <b>4.0 SERVICE DESIGN</b>   |              |                   |
| R497. | The Supplier will undertake Service Design processes in order to support Customers in the design and development of new or changed Tower Services based on Customer's business requirements for introduction into a Production Environment. The supplier coordinates all service design activities, processes and resources with various Information Technology Service Management (ITSM) processes. Design Coordination ensures the consistent and effective design of new or changed IT services, Service Management Systems, architectures, technology, processes, information and metrics. Supplier responsibilities include: |              |                   |
| R498. | 1. Establish, track and manage the definition of Standard Services in the Managed Environment with approval from VITA and ITISP Governance for all new service offerings  | Y            |                   |
| R499. | 2. Changes to Standard Services are approved by VITA and ITISP Governance as documented in the Technology Plan.   | Y            |                   |
| R500. | 3. Establish, track and manage the definition of Service Catalog items, which should include Standard Service Catalog items and non-standard Service Catalog items.   | Y            |                   |
| R501. | 4. Establish, track and manage Standard Solution Designs in the Managed Environment.  | Y            |                   |
| R502. | The Service Design processes described in this section are as follows:  |              |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
|       | <ul style="list-style-type: none"> <li>• Solution Design Management</li> <li>• Service Catalog Management</li> <li>• Service Level Management</li> <li>• Availability Management</li> <li>• IT Service Continuity Management</li> <li>• Capacity Management</li> <li>• Information Security Management</li> <li>• Risk Management</li> <li>• Supplier Management</li> </ul> |              |                   |
| R503. | <b>4.1 Solution Design Management</b>   |              |                   |
| R504. | Solution Design Management provides architectural and design support to the Main Processes for Requests for Solution and Project Portfolio Management. Supplier responsibilities include:   |              |                   |
| R505. | 1. Provide solution design services   | Y            |                   |
| R506. | 2. Effective and efficient design validation of the Service Tower Supplier design.  | Y            |                   |
| R507. | 3. Leverage existing infrastructure and designs for the most effective and efficient cost solutions.  | Y            |                   |
| R508. | 4. Provide technical leadership and integration services across Service Tower Suppliers.  | Y            |                   |
| R509. | 5. Implement and manage the process for fulfilling requests for technical solution designs from Supplier and Service Tower Supplier solution design personnel (e.g., architects, technical leads, engineers) in accordance with the SMM and VITA rules.   | Y            |                   |
| R510. | 6. Capture and document previous designs for re-use.  | Y            |                   |
| R511. | 7. Provide recommendation for making solution designs into Standard Service items and inclusion into the Service Catalog System.  | Y            |                   |
| R512. | 8. Document, track and report on each use of alternative solution designs in lieu of Standard Services and the potential for re-use.  | Y            |                   |
| R513. | 9. Monitor and enforce adherence to the Technology Plan and VITA Rules.   | Y            |                   |
| R514. | 10. Manage and track the exception process for alternative solution designs in compliance with the SMM, VITA Rules and ITISP policies.  | Y            |                   |
| R515. | 11. Report the use and frequency of alternative solution designs to VITA and ITISP Governance.  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R516. | 12. Provide recommendations for improved adoption of standard solution designs provided as services in the Service Catalog, as part of the Service Strategy Main Processes.   | Y            |                   |
| R517. | 13. Appropriately route requests for solution design services to the appropriate Supplier and Service Tower Suppliers.  | Y            |                   |
| R518. | 14. Facilitate the capture and validation of solution business and technical requirements from Customers.   | Y            |                   |
| R519. | 15. Ensure solution design appropriately addresses total costs, implementation times and risks.   | Y            |                   |
| R520. | 16. Facilitate the approval of solution design by VITA and Customers.   | Y            |                   |
| R521. | 17. Coordinate the prioritization of design resources in compliance with the Main Processes of Demand Management and Project Portfolio Management.  | Y            |                   |
| R522. | <b>4.2 Service Catalog Management</b>   |              |                   |
| R523. | <p>Service Catalog Management ensures that a Service Catalog is produced and maintained, containing accurate information on all operational services and those being prepared to be run operationally. The Service Catalog provides vital information for other Service Management processes: service details, current status and the service interdependencies. Service Catalog Management involves Governance in compliance with <b>Exhibit 1 (Integrated Services Platform)</b>. Service Catalog Management includes providing and maintaining a Service Catalog System for Service Requests from users.</p> <p>The Supplier will deliver Service Catalog management services for all Tower Services and selected other services provided by VITA, Third Party Vendors, Customers or its Suppliers. Supplier responsibilities include:</p> |              |                   |
| R524. | 1. Proactively support VITA and Customers with resource, expertise and advice in aligning the Service Catalog with Customer's strategic direction, technical architecture, refresh strategy, and product evaluation.  | Y            |                   |
| R525. | 2. Ensure that all services published in the Service Catalog have been approved in accordance with ITISP Governance.  | Y            |                   |
| R526. | 3. Coordinate with VITA and Customers to ensure that impact, priority and risk associated with these services are identified.   | Y            |                   |
| R527. | 4. Coordinate with VITA to ensure service priority and service level requirements are met.  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R528. | 5. Coordinate, collate and publish all content (as provided by the Service Tower Suppliers) as the Service Catalog. Such content to be reviewed and updated in accordance with the Service Management Manual, and no less than a monthly basis. Include Quality Assurance to ensure the descriptions meet the requirements. All changes must be approved by VITA. | Y            |                   |
| R529. | 6. The approved Service Catalog should be baselined and controlled under Change Management.   | Y            |                   |
| R530. | 7. Proactively provide technical and commercial recommendations to VITA and Customers on both content and structure of the Service Catalog.   | Y            |                   |
| R531. | 8. Establish and maintain effective links and integration between the Service Catalog and the CMS / CMDB.   | Y            |                   |
| R532. | 9. Ensure that all Users have appropriate access to, and visibility of, the Service Catalog, as defined by Customer, related to the Users' relevant Project, Business Unit, Site or other geographical location. Perform access reviews in accordance with VITA Rules.  | Y            |                   |
| R533. | 10. Develop the Service Catalog to ensure that the content of the Service Catalog is easily accessible and available in a "user friendly" format.   | Y            |                   |
| R534. | 11. Document those products and services that are orderable by designated Users or between Service Tower Suppliers.   | Y            |                   |
| R535. | 12. Require and facilitate the standardization of those orderable products and services as Standard Catalog Items   | Y            |                   |
| R536. | 13. Require and facilitate the means of automating the ordering for Standard Catalog Items.   | Y            |                   |
| R537. | 14. Require and facilitate the interfacing with existing ordering systems/methods   | Y            |                   |
| R538. | 15. Document those products and services that are non-orderable due to service life-cycle stage (e.g. services are in pre-production or in retirement phases).  | Y            |                   |
| R539. | 16. Track and manage the life cycle of products and services in the Managed Environment.  | Y            |                   |
| R540. | 17. Implement all VITA approved updates to the Service Catalog within the timeframes approved by VITA and specified in the Service Management Manual.   | Y            |                   |
| R541. | 18. Ensure that Service description and all associated metadata is accurate and up to date.   | Y            |                   |
| R542. | 19. Distribute updates to Customers on all changes for the Service Catalog including planned changes and implemented changes.   | Y            |                   |
| R543. | 20. Ensure that the Service Catalog is continuously improved to meet VITA rules and any legal and regulatory requirements   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R544. | <b>4.2.1 Service Catalog System</b>  |              |                   |
| R545. | The Service Catalog System is a Service Management System. Supplier responsibilities include:  |              |                   |
| R546. | 1. Provide, implement, make available to Customers, and operate a software database and application for the compilation, collation, maintenance and publishing of the integrated Service Catalog for all Tower Services providing the Business Services.                 | Y            |                   |
| R547. | 2. Support request orders and fulfillment from designated Customers including automated workflow for approvals as defined in the SMM.  | Y            |                   |
| R548. | 3. Support capturing appropriate input attributes for the fulfillment of designated User orders (e.g. Configuration Item information, site, user name) as required by the fulfilling Service Tower.  | Y            |                   |
| R549. | 4. The Service Catalog System will at a minimum support the following:   | Y            |                   |
| R550. | 4.1. Web-based access and mobile access for VITA and Customer's business units.  | Y            |                   |
| R551. | 4.2. Search capabilities for discovering and identifying included service items.   | Y            |                   |
| R552. | 4.3. Drill-down descriptions for service items.  | Y            |                   |
| R553. | 5. Service Catalog Interface(s) with electronic requisition tool(s) as identified by VITA. (Examples: eVA)   | Y            |                   |
| R554. | 6. Ordering must be through Service Catalog System unless approved by VITA   | Y            |                   |
| R555. | 7. Where interfacing with 3rd Party System is required incorporate as much as the process as reasonably practical within the Service Catalog system to minimize USER steps   | Y            |                   |
| R556. | 8. Work-flows for each Customer's business unit that enables an effective and timely approval process, by Users who are authorized to make such approvals.   | Y            |                   |
| R557. | 9. Self-service capability to find status information on orders, including information on the fulfilling Service Tower orders or supporting sub-orders.  | Y            |                   |
| R558. | <b>4.2.2 Service Catalog Contents</b>  |              |                   |
| R559. | Supplier responsibilities include:   |              |                   |
| R560. | 1. Identify and include in the Service Catalog all services and sub-services available to Customers  | Y            |                   |
| R561. | 2. Ensure that all product descriptions in the Service Catalog have sufficient detail on business value, features, technical specifications, costs, inventory availability, delivery time and options to enable an Authorized User to make an informed purchasing choice | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R562. | 3. Ensure any additional costs are included in the detail description (for example a requirement to purchase supporting products or services to install, support or maintain the purchased item  | Y            |                   |
| R563. | 4. Categorize the content of the Service Catalog by configuration type and/or equipment or software type as appropriate  | Y            |                   |
| R564. | 5. Provide detail of all required or optional supporting processes for any Service Catalog Item  | Y            |                   |
| R565. | 6. Provide capability to include all Standard Catalog Items from any Service Tower Supplier  | Y            |                   |
| R566. | 7. The Service Catalog Contents will include any notation required for specific use (or limitation) of each Service Catalog item by region, business unit, Project or category of User   | Y            |                   |
| R567. | 8. Proactively inform Customers if any Catalog Item requires Customer's approval authority other than financial (e.g. health and safety or security restrictions)  | Y            |                   |
| R568. | 9. Ensuring that spare or surplus assets are included in the Service Catalog and available   | Y            |                   |
| R569. | 10. Provide and maintain a Service Catalog of integrated services comprising VITA Services, Tower Services, Supplier Services and any Commonwealth contracted IT services, software or hardware, by creating and maintaining a database of business services and their underpinning Tower Services that contains at a minimum the following information: | Y            |                   |
| R570. | 10.1. Business and IT Service Mapping  | Y            |                   |
| R571. | 10.2. Business Value   | Y            |                   |
| R572. | 10.3. Communication plan details   | Y            |                   |
| R573. | 10.4. Point of Contact for service support   | Y            |                   |
| R574. | 10.5. Customer Based Service Levels  | Y            |                   |
| R575. | 10.6. Functional Specifications  | Y            |                   |
| R576. | 10.7. Service status   | Y            |                   |
| R577. | 10.8. Technical Specifications   | Y            |                   |
| R578. | 10.9. Operational Level Agreements   | Y            |                   |
| R579. | 10.10. Price List  | Y            |                   |
| R580. | 10.11. Service Implementation Project Plan   | Y            |                   |
| R581. | 10.12. Hours of availability and operations  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R582. | 10.13. Mechanism to initiate a service order.   | Y            |                   |
| R583. | 10.14. Service approval workflow with integrated automation.  | Y            |                   |
| R584. | 11. Provide for management of life-cycle information to support the other areas of Service Delivery within the Service Catalog (e.g. Service Design, Refresh, and Technology Planning) for order by Users who are authorized by VITA.   | Y            |                   |
| R585. | <b>4.2.3 Standard Service Descriptions</b>  |              |                   |
| R586. | Supplier responsibilities include:  |              |                   |
| R587. | 1. Provide a clear definition of what the service does, cost and how to obtain it.  | Y            |                   |
| R588. | 2. Focus on broad, minimum requirements rather than on specific models or configurations (e.g. minimum processor type, minimum release level of Software, etc.).  | Y            |                   |
| R589. | 3. Emphasize descriptions that are easily understood by designated Users.   | Y            |                   |
| R590. | 4. Include enterprise level, internally-developed Software that is approved for shared use by VITA and Customers.   | Y            |                   |
| R591. | 5. Identify differences between geographic regions, business units, or type of User, based on Customers' business requirements.   | Y            |                   |
| R592. | <b>4.2.4 Standard Services Monitoring and Reporting</b>   |              |                   |
| R593. | Supplier responsibilities include the following:  |              |                   |
| R594. | 1. Routinely, in accordance with the Service Management Manual, educate Customers about the need and requirements to use Standard Services, including, but not limited to bulletins about upgrade requirements, modification of product support, compatibility issues, known problems with nonstandard products, etc. | Y            |                   |
| R595. | 2. Collect Customer feedback on services and products, respond to inquiries and routinely, in accordance with the Service Management Manual, report them to VITA.   | Y            |                   |
| R596. | 3. Monitor and Report on the environment for the introduction and use of unauthorized products within the Managed Environment.  | Y            |                   |
| R597. | 4. Identify trends and multiple uses of alternative products and services such that they become candidates for Standard Services.   | Y            |                   |
| R598. | 5. Provide information to designated Users who will be affected by the elimination of a Standard Service at least twelve (12) months prior to the elimination of a Standard Service. This communication to designated Users will include the following:   | Y            |                   |
| R599. | 5.1. Provide notification, via email or the dashboard, subject to approval by VITA.   | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R600. | 5.2. Provide information regarding the future minimum Standard Service or the item in the Service Catalog that should be used as a replacement.   | Y            |                   |
| R601. | 5.3. Provide information regarding who to contact or where to obtain additional information about the change to the Standard Services.  | Y            |                   |
| R602. | 6. Track and report on the fulfillment of Service Requests and Service Catalog orders to identify:  | Y            |                   |
| R603. | 6.1. Benchmark information (including, but not limited to cost, hours, fulfillment time) for expectation setting with Customers   | Y            |                   |
| R604. | 6.2. Misaligned incentives of Service Towers and orders and requests from Customers   | Y            |                   |
| R605. | 6.3. Standard delivery times for Standard Services and Standard Solutions   | Y            |                   |
| R606. | <b>4.3 Service Level Management</b>   |              |                   |
| R607. | Service Level Management establishes and maintains, monitors and reports on service quality through a constant cycle of reviewing IT service achievements based on agreed upon Service Levels, OLAs. Service Level Management establishes Service Level Agreements with the Customers and Operating Level Agreements between Service Tower Suppliers to ensure that all services and their underpinning contracts are appropriate, and to monitor and report on service quality and achievement. Supplier will provide Service Level Management as described in <b>Exhibit 3 (Reporting and Service Level Management)</b> . Refer to <b>Environment Overview Appendix K: Service Levels Existing Environment</b> for an overview of the current environment. Supplier responsibilities include: |              |                   |
| R608. | 1. Provision and support VITA and Customers in its determination of the appropriate Service Level Framework.  | Y            |                   |
| R609. | 2. Develop a regular schedule for reoccurring SLM activities and define triggers for event driven SLM activities to be included in the Service Management Manual.   | Y            |                   |
| R610. | 3. Integration of Customer's SLM process with other relevant processes within the Suppliers responsibilities.   | Y            |                   |
| R611. | 4. Develop, implement, monitor and maintain processes and tools that enable consistent delivery of Service Level Management across the Tower Services, in accordance with <b>Exhibit 3 (Reporting and Service Level Management)</b> .   | Y            |                   |
| R612. | 5. Require and coordinate Service Tower Suppliers implementation of such processes and tools.   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R613. | 6. Document and analyze current performance and business perception of the relevant services (baseline) as a basis for improvements.   | Y            |                   |
| R614. | 7. On a schedule agreed upon with VITA as documented in the SMM, Monitor and measure (correlate) end-to-end service provision and component Tower Services against targets in the Service Levels and coordinate actions to eradicate unacceptable levels of service across all Tower Services.   | Y            |                   |
| R615. | 8. Maintain a Continual Service Improvement Register (CSIR) that records all identified improvement opportunities. . Each opportunity should be categorized and prioritized then scheduled for implementation as approved by ITISP Governance.   | Y            |                   |
| R616. | 9. On a quarterly basis, conduct end-to-end service reviews with representatives of relevant Service Tower Suppliers to assess required measurements and Service Improvement Plans (SIP).  | Y            |                   |
| R617. | 10. Provide proposals for Service Improvement Plans for VITA and Customer approval.  | Y            |                   |
| R618. | 11. Notify and escalate service level misses to VITA and Customers as soon as they occur.  | Y            |                   |
| R619. | 12. Notify trends toward service level misses to VITA and Customers, as required per Service Management Manual.  | Y            |                   |
| R620. | 13. On a quarterly basis, analyze customer satisfaction across the entire customer experience, and determine required measurements in scope of the overall Service Improvement Plan.   | Y            |                   |
| R621. | 14. Collect and report on the performance of Operating Level Measures (OLM) as established with Customers to VITA.   | Y            |                   |
| R622. | 15. Collect and collate supporting source data relating to the Service Levels from all Service Tower Suppliers and use such data to produce the Service Level Management Information and Service Reports as defined in <b>Exhibit 3 (Reporting and Service Level Management)</b> . This includes reporting on progress in any Service Improvement Plan implementation. | Y            |                   |
| R623. | 16. Maintain and improve business aligned IT service quality through a Continual Improvement cycle of agreeing, monitoring, reporting, and reviewing overall service provision against the service baseline and through instigating actions to eradicate unacceptable levels of service.   | Y            |                   |
| R624. | <b>4.3.1 Service Level Management and Reporting System</b>   |              |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R625. | The Service Level Management and Reporting System is a Service Management System. Supplier responsibilities include:  |              |                   |
| R626. | 1. Provide, implement and operate a software database and application for the compilation, collation, maintenance and publishing of service level measures and operating level measures for all Supplier and Service Tower Suppliers providing the Services.  | Y            |                   |
| R627. | 2. The Service Level Management and Reporting System will at a minimum support the following:   | Y            |                   |
| R628. | 2.1. Provide for the support of existing Service Level Reporting from legacy systems.   | Y            |                   |
| R629. | 2.2. Provide ability to view Service Levels by enterprise and Customer.   | Y            |                   |
| R630. | 2.3. Provide ability to view source data and measures that accumulate into each Service Level Measure.  | Y            |                   |
| R631. | 2.4. Provide dashboard for view of Service Levels status in near real time.   | Y            |                   |
| R632. | 2.5. Dashboard view should include at a minimum these metrics, among others referenced in this document:  | Y            |                   |
| R633. | 2.5.1. Performance against Service Levels   | Y            |                   |
| R634. | 2.5.2. Availability   | Y            |                   |
| R635. | 2.5.3. Downtime   | Y            |                   |
| R636. | 2.5.4. Average Transaction Rate   | Y            |                   |
| R637. | 2.5.5. Request for Changes  | Y            |                   |
| R638. | 2.5.6. Incidents  | Y            |                   |
| R639. | 2.5.7. Complaints   | Y            |                   |
| R640. | <b>4.4 Availability Management</b>  |              |                   |
| R641. | Availability Management will ensure that the level of service availability delivered in all Services is matched to or exceeds the current and future agreed needs of the business, in a cost-effective manner that meets agreed upon service levels. Availability Management will strive to define, analyze, plan, measure and improve all aspects of the availability of IT services. Availability Management provides a point of focus and management for all availability-related issues (Supplier and Service Tower Supplier), relating to both services and resources, ensuring that availability targets are established, measured and achieved. Supplier responsibilities include: |              |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R642. | 1. Design, implement, manage and maintain Availability Management processes across the Service Tower Suppliers.  | Y            |                   |
| R643. | 2. Review the provided Identify Mission Essential Functions (MEFs) (aligned to Primary and Secondary Business Functions) and the availability, reliability, maintainability, and recovery requirements (including the definition, target, and service levels) for each of those Functions. Consolidate requirements among the Service Tower Suppliers to provide a comprehensive view on Availability. Recognize potential differences in Functions among Customer's business units. | Y            |                   |
| R644. | 3. Identify Review the service hours (normal, extended, and critical) and performance requirements (including downtime) during each of those periods. Allow for the establishment of emergency service hours during special circumstances (example, declared disasters or emergency operations).   | Y            |                   |
| R645. | 4. Create an Availability Plan to support the services offered by the ITISP that includes consideration of the following:  | Y            |                   |
| R646. | 4.1. Business Functions (including function owners and contacts)   | Y            |                   |
| R647. | 4.2. Support for IT services and components  | Y            |                   |
| R648. | 4.3. Availability and Maintenance requirements   | Y            |                   |
| R649. | 4.4. Plan for unexpected outage  | Y            |                   |
| R650. | 4.5. Redundancy and resilience requirements  | Y            |                   |
| R651. | 4.6. Availability analysis methods and tools   | Y            |                   |
| R652. | 4.7. Testing and review schedule   | Y            |                   |
| R653. | 4.8. Incident procedure for detection, recording, diagnosis, repair, recovery/restore, and close-out   | Y            |                   |
| R654. | 4.9. Monitoring and reporting schedule   | Y            |                   |
| R655. | 5. Track, monitor and coordinate investigations of end to end performance of IT services and systems for each defined Business Function.   | Y            |                   |
| R656. | 6. Coordinate Availability Management activities across the Service Tower Suppliers. Provide a focal point of contact for Availability Management activities.  | Y            |                   |
| R657. | 7. Conduct component failure impact analysis (CFIA) and identify single points of failure (SFOF). Suggest mitigation strategies to reduce the likelihood of Availability incidents and events. Suggest additional infrastructure and resources (including cost estimates) to mitigate Availability risks. Provide analysis results on a monthly basis.   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R658. | 8. In the event of an Availability incident or event, conduct a root cause analysis to determine the cause and suggest future improvements to prevent future occurrence.   | Y            |                   |
| R659. | 9. Coordinate, collate and deliver to VITA and Customers a monthly consolidated report on all key elements of Availability for all the Tower Services (including impact assessments, outage reports, service level attainment, and analysis of trends). Such report includes current and historical Availability metrics and a 12 month rolling forecast, unless otherwise specified by Customers. Reports should be available in the dashboard. Reports should include the following: | Y            |                   |
| R660. | 9.1. Mean time between failures  | Y            |                   |
| R661. | 9.2. Service Availability and Unavailability for Business Functions.   | Y            |                   |
| R662. | 9.3. Major Availability incidents (including impact)   | Y            |                   |
| R663. | 9.4. Service Outage Reports  | Y            |                   |
| R664. | 9.5. Planned versus actual downtime  | Y            |                   |
| R665. | 9.6. Customer complaints and compliments   | Y            |                   |
| R666. | 9.7. Audit, Incident, and Problem reports  | Y            |                   |
| R667. | 10. Clarifying business availability requirements with Customers and communicating to the Service Tower Suppliers as needed and upon any change to Customer's requirements.  | Y            |                   |
| R668. | 11. Retain at least 36 months of Availability source data for the MSI and all Service Tower Supplier Services in the Data Warehouse System.  | Y            |                   |
| R669. | <b>4.4.1 Availability Management System</b>  |              |                   |
| R670. | The Availability Management System is a Service Management System. Supplier responsibilities include:  |              |                   |
| R671. | 1. Deploy and maintain an integrated Availability Management Information System within which the Supplier will record and maintain Customer and Agency's Availability data to support key activities, such as coordination, solution design, change management, risk management, report generation, statistical analysis and Availability forecasting.   | Y            |                   |
| R672. | 2. Provide for the collection of Incident, Problem, and Event information (including hardware and software monitoring information) to drive Availability decisions.  | Y            |                   |
| R673. | 3. Provide a content repository to retain Availability reports for a minimum of 36 months and integrate with the Data Warehouse System.  | Y            |                   |
| R674. | <b>4.5 IT Service Continuity Management</b>  |              |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R675. | IT Service Continuity Management (ITSCM) ensures that the IT service provider can always provide the minimum agreed Service Levels, by reducing the risk from disaster events to an acceptable level and planning for the recovery of IT services. ITSCM should be designed to support Business Continuity Management. ITSCM provides for an On-Going Program of Disaster Recovery Preparedness that supports the overall Business Continuity and ITSC Recovery processes. ITSCM provides for the plans that support the rapid and orderly restoral of IT services. Refer to <b>Environment Overview Appendix C: Disaster Recovery IT Service Continuity</b> for an overview of the existing Business Continuity environment. |              |                   |
| R676. | <b>4.5.1 Business Continuity for Customers</b>  |              |                   |
| R677. | Business Continuity Planning (BCP) is a Customer-retained function for their business. The Commonwealth of Virginia has unique Business Continuity Plans for each agency and within each of these plans there may be references to IT systems required during the exercise of a BCP. The Supplier will support such plans and its responsibilities will include:  |              |                   |
| R678. | 1. Provide a Single Point of Contact (SPOC) for support of Customers' Business Continuity Plans and critical IT services as defined by Mission Essential, Primary and Secondary Business Functions, and related communications and other activities for Customers and the Service Tower Suppliers.  | Y            |                   |
| R679. | 2. Ensure and coordinate with Service Tower Suppliers to prepare the environment for Business Continuity activities.  | Y            |                   |
| R680. | 3. Collect and track Mission Essential, Primary and Secondary Business Functions of Customers that depend on Services provided by ITISP. Data tracked includes:   | Y            |                   |
| R681. | 3.1. RTO established by Customer  | Y            |                   |
| R682. | 3.2. RPO established by Customer  | Y            |                   |
| R683. | 3.3. Dependencies   | Y            |                   |
| R684. | 3.4. Mapping of Business Functions to Service Configuration Item information in the CMDB  | Y            |                   |
| R685. | 4. Coordinate the Service Tower Suppliers' activities that are required to be staffed to support and deliver the approved Customers IT Services.  | Y            |                   |
| R686. | 5. Work with Customers to ensure that there is continuous alignment between the Business Continuity Plans and an Integrated ITSCP. This includes on-going integration and alignment of the underpinning Tower IT Service Continuity Plans related to the Services with Customer's company-wide business continuity plans and activities   | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R687. | 6. Where the Supplier is responsible for IT Services in support of a Customer, coordinate and report on recovery activities defined at the time of the declaration of an event which would activate the BCP due to agency or governor-declared event.   | Y            |                   |
| R688. | <b>4.5.2 Business Continuity for Supplier Services</b>  |              |                   |
| R689. | Supplier responsibilities include:  |              |                   |
| R690. | 1. Develop, maintain and test a Business Continuity Plan (BCP) for the Supplier operations which support or provide services to support Customers.  | Y            |                   |
| R691. | 2. This BCP should comply with all VITA Rules, including applicable Federal and State requirements.   | Y            |                   |
| R692. | 3. Validate and coordinate the Supplier BCP with existing Customers' BCPs to ensure that the Customers can resume regular business functions in the event of a Disaster or significant event within the required time frames.   | Y            |                   |
| R693. | 3.1. Establish BCPs and supporting procedures for all systems, Software and infrastructure required for the delivery of Services. This includes:  | Y            |                   |
| R694. | 3.2. Service Management Systems   | Y            |                   |
| R695. | 3.3. Invoicing and Accounting Systems   | Y            |                   |
| R696. | 3.4. Service Level measurement and management tools   | Y            |                   |
| R697. | 3.5. Operational and Control Systems  | Y            |                   |
| R698. | 3.6. All other tools and systems required for the delivery of Services within the Service Levels and to meet the designated timeframes as established in the Service Management Manual  | Y            |                   |
| R699. | 4. Assume all Third Party IT Service Continuity Recovery contracts in existence for the systems, Software and Infrastructure required for the delivery of Services at the Commencement Date, and continue to utilize such contracts until such time that a successful test has been achieved for alternative solutions. | Y            |                   |
| R700. | 5. In the event of a disruption in the Services, coordinate all business continuity efforts to ensure smooth and efficient resumption of Services.  | Y            |                   |
| R701. | 6. Coordinate with VITA and Customer BCP where operations are collocated.   | Y            |                   |
| R702. | <b>4.5.3 IT Service Continuity Planning</b>   |              |                   |
| R703. | IT Service Continuity Planning produces the integrated IT Service Continuity Plan (ITSCP), for the ITISP and individual Customers across all Supplier and Service Tower Suppliers that supports the orderly and rapid restoration of services. Supplier responsibilities include:                                       |              |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R704. | 1. Design and construct an Integrated IT Service Continuity Plan (ITSCP) that integrates and coordinates the individual Tower IT Service Continuity Plans and those of Customers so as to recover the end-to-end services to a working state within Customer's recovery objectives.  | Y            |                   |
| R705. | 2. Provide ITSCP to include:   | Y            |                   |
| R706. | 2.1. Documentation of the plan, processes, procedures and communications   | Y            |                   |
| R707. | 2.2. IT Service Continuity, and Business Continuity based on the priorities established in collaboration with Customers and as prioritized across the enterprise by VITA.  | Y            |                   |
| R708. | 2.3. Methods and timeframes that allow Customers to change priorities.   | Y            |                   |
| R709. | 2.4. Security measures, as defined for normal operations.  | Y            |                   |
| R710. | 2.5. Key personnel contacts and notification procedures for Customers, the Supplier, the Service Tower Suppliers and other Third Party vendors.  | Y            |                   |
| R711. | 3. Perform the on-going management and maintenance, of Supplier IT Systems and the testing and integration coordination of the Service Tower Suppliers' IT Service Continuity Plans and those of Customers so as to maintain an ITSCP capable of returning the services to a working state within Customer's recovery objectives.  | Y            |                   |
| R712. | 4. Track and validate that Service Tower Suppliers develop, maintain and implement a comprehensive ITSCP of Services provided to Customers and in relation to any Customers specific ITSCP. Tracked and validated Service Tower Supplier activities may include DR (Disaster Recovery) site capacity planning, Fall Back activity tests, comprehensive DR testing schedule, Service Tower Suppliers DR staff training, and Service Tower Suppliers DR staff roles and responsibilities, DR testing status. | Y            |                   |
| R713. | 5. Verify that the ITSCP includes Technical Recovery Guides for each of the Customers Applications.  | Y            |                   |
| R714. | 6. Maintenance of Suppliers IT Systems to include enhancements required as a result of changes to the services, including the introduction and use of new technologies (e.g. equipment, software, applications and so forth), Resource Units, processes, business functions, locations and priorities.   | Y            |                   |
| R715. | 7. Perform a gap analyses as required by Customers of the Integrated IT Service Continuity Plan against good industry practice (e.g. Business Continuity Institute <a href="http://www.thebci.org">www.thebci.org</a> ) and Customer's recovery objectives and requirements.   | Y            |                   |
| R716. | 8. Develop rationale and recommendations to address any perceived gaps.  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R717. | 9. With input from VITA, Customers and Service Tower Suppliers, and with Customers' and VITA's approval, develop and operate a process that will determine and modify the list of Critical Enterprise Applications on an annual basis.  | Y            |                   |
| R718. | 10. Provide a Single Point of Contact (SPOC) for Business Continuity and IT Service Continuity Plans, related communications and other activities for Customers and the Service Tower Suppliers.  | Y            |                   |
| R719. | 11. Seek VITA and Customer's approval of the ITSCP and modifications to such plan.  | Y            |                   |
| R720. | 12. Where VITA transitions a Tower Services, coordinate and validate the creation of Customer-specific ITSCPs for all Applications, within three (3) months after the take-on of Service Tower and ensure the plans reflect all changes implemented during the Transition of Tower Services.  | Y            |                   |
| R721. | 13. Validate and ensure that ITSCPs are updated at least semi-annually and as directed by VITA and Customer. Such updates to include at a minimum:  | Y            |                   |
| R722. | 13.1. All changes implemented over the prior period.  | Y            |                   |
| R723. | 13.2. Validate that Technical Recovery Guides are updated whenever a change is made to the environment or Application.  | Y            |                   |
| R724. | 13.3. Adjust the applicable ITSCPs whenever a Customer's needs and use of the Services change.  | Y            |                   |
| R725. | <b>4.5.4 IT Service Continuity Solution</b>   |              |                   |
| R726. | The Supplier is responsible for ensuring that Service Tower Suppliers build the technical environment that is needed to support the ITSCP. Ensure Service Tower Supplier roles and responsibilities are captured, planned, delivered in project. Ensure Service Tower Suppliers are performing the operational tasks (e.g. Sync-up/backup) are happening in the specified DR/ITSCP-required environments to enable declaration and successful restoration at any time. Include individual application, server or device disaster recovery services on a per system basis as a Service Catalog add-on for all Catalog items unless an exception is approved by VITA. |              |                   |
| R727. | <b>4.5.5 IT Service Continuity (ITSC) Preparedness</b>  |              |                   |
| R728. | IT Service Continuity Preparedness will be an On-Going Program. This program produces an Integrated Disaster Recovery Test Plan. Preparedness verifies through regular scheduled test exercises that the Services provided by Supplier and Service Tower Suppliers can be recovered within the required and agreed upon business time frames in accordance with the SMM. Supplier responsibilities include:   |              |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R729. | 1. Implement a process to validate the operational effectiveness of controls to ensure that all Service Tower Suppliers are performing and maintaining viable backups and corresponding records that can be used to restore services  | Y            |                   |
| R730. | 2. Ensure that all Supplier, Service Tower Supplier, Third Party vendor and Customers personnel are appropriately trained in current IT Service Continuity procedures for all Tower Services and implementing a process for nominated personnel by Customers to obtain immediate access to such procedures in the event of a Disaster.                        | Y            |                   |
| R731. | 3. Assist VITA and Customers in coordinating the exercise of the communications plans to handle the media during Disasters and also plans to communicate with employees and their families; key customers; critical Suppliers and other Suppliers and executive stakeholders during a Disaster.   | Y            |                   |
| R732. | 4. With VITA approval, establish applicable procedures and policies for coordinating continuity and restoration activities with local authorities as required by VITA Rules.  | Y            |                   |
| R733. | 5. Ensure that all identified stakeholders are kept informed on an as-needed basis in accordance with the Service Management Manual.  | Y            |                   |
| R734. | 6. Develop and maintain an Integrated Disaster Recovery Test Plan that defines the activities and schedules for the on-demand, individual Customer exercises that are required to verify the Services can be recovered within the required and agreed upon time frames and a twice annual testing of major cross Customer outage, or as specified in the SMM. | Y            |                   |
| R735. | 7. Develop test objectives and success criteria with the Service Tower Suppliers designed to verify that Customer's services will meet Customer's recovery objectives.  | Y            |                   |
| R736. | 8. Obtain Customer approval of the test objectives and success criteria and communicate such approved test objectives and criteria to the Service Tower Suppliers.  | Y            |                   |
| R737. | 9. Identify all the required IT technical and services operations (including computer systems, networks, Applications, data repositories, telecommunications, environment, technical support and Service Desk) for test execution.  | Y            |                   |
| R738. | 10. Coordinate with VITA, Customers, Service Tower Suppliers and other Third Party vendors to establish a schedule and calendar of test activities in accordance with the SMM.  | Y            |                   |
| R739. | 11. Conduct a test of all components of the Integrated IT Service Continuity Plans where changes have materially affected the Plan, in cooperation with VITA, Customers, its  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
|       | designees, the Service Tower Suppliers, any testing and recovery providers, and any other Third Party Suppliers.  |              |                   |
| R740. | 12. Schedule testing dates with Customers and provide Customers and its representatives the opportunity to observe and participate in the tests.  | Y            |                   |
| R741. | 13. Assume coordination and administrative responsibility for the Service Tower Suppliers and Third Party vendors utilized by Customers during testing in accordance with the IT Service Continuity Plans.                        | Y            |                   |
| R742. | 14. Continue to operate and manage the Services during periodic IT Service Continuity tests with no impact to Customers.  | Y            |                   |
| R743. | 15. Provide Customers with a preliminary report of test results within seven (7) days of each test and a formal report of the test results within thirty (30) days of each test. At a minimum, these reports should include:      | Y            |                   |
| R744. | 15.1. The results achieved;   | Y            |                   |
| R745. | 15.2. A comparison of the results to the measures and goals identified in the respective IT Service Continuity plan;  | Y            |                   |
| R746. | 15.3. A report on the feedback from Users as to the adequacy of continuity for their respective areas; and  | Y            |                   |
| R747. | 15.4. A plan and a schedule, agreed with all Service Tower Suppliers, to remediate any IT Service Continuity issues identified during testing.  | Y            |                   |
| R748. | 16. Retest within thirty (30) days if any disaster simulation(s) fails to achieve specified results, in accordance with SMM.  | Y            |                   |
| R749. | 17. Coordinate and manage the update of the Service Tower Suppliers' IT Service Continuity Plans upon re-testing, and verify that the remedy was successful.  | Y            |                   |
| R750. | 18. Establish and schedule windows to accomplish all DR testing for the Customer's Applications as requested and approved by the Customer, no less than twice annually, and document in the Supplier's DR test plan and schedule. | Y            |                   |
| R751. | 19. Each such test will address the specific needs of each Customer (e.g. split-window testing, preparation testing prior to the test, off-site tape location review and reconciliation, etc.)                                    | Y            |                   |
| R752. | 20. Test execution must demonstrate, at a minimum, the Supplier's ability to meet or exceed the designated RTOs for those Applications in the event of a disaster.  | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R753. | 21. Validate that Service Tower Suppliers have, in conjunction with DR tests, included the associated Mainframe and Servers, as required to meet the objectives of the test.   | Y            |                   |
| R754. | 22. Notify Customers of any anticipated DR risks, where a Customer may choose not to participate in testing.   | Y            |                   |
| R755. | 23. Evaluate the results of the test and identify potential corrective actions.  | Y            |                   |
| R756. | 24. Provide initial test results to the Customers and incorporate Customers feedback into the final test results report.   | Y            |                   |
| R757. | 25. Facilitate test result review sessions with VITA and the Customers to gain consensus on the success level of the test (e.g. successful, successful with issues, unsuccessful, etc.) and to identify corrective actions.        | Y            |                   |
| R758. | 26. Initiate Problem Management and track corrective actions on DR testing actions as appropriate until resolved.  | Y            |                   |
| R759. | <b>4.5.6 IT Service Continuity Actions</b>   |              |                   |
| R760. | Supplier responsibilities include:   |              |                   |
| R761. | 1. Comply with Service Management Manual definition and procedures for declaring individual Customer or Enterprise wide Disasters.   | Y            |                   |
| R762. | 2. Establish declaration procedures and document those procedures in the Service Management Manual.  | Y            |                   |
| R763. | 3. Coordinate execution of the Integrated IT Service Continuity Plan across multiple service providers   | Y            |                   |
| R764. | 4. Immediately upon notification of a Disaster or potential Disaster by a Service Tower Supplier, consulting with VITA and Customers for an official declaration of a Disaster as appropriate.                                     | Y            |                   |
| R765. | 5. Monitor progress by the Service Tower Suppliers in restoring the Tower Services and keeping the dashboard up-to-date with such progress.  | Y            |                   |
| R766. | 6. Manage any resource dependencies between Customers, Service Tower Suppliers and Third Party Suppliers in restoring the Tower Services.  | Y            |                   |
| R767. | 7. Assume coordination and administrative responsibility for Service Tower Suppliers, in accordance with the IT Service Continuity Plans.  | Y            |                   |
| R768. | 8. Any incidents associated with a Disaster are considered a Sev1 incidents. If the Root Cause Analysis of the incident indicates an issue with the underlying service, a Plans of Action and Milestones (POAM) will be initiated. | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R769. | 9. Whether an IT Service Continuity Plan exists or not, at a minimum, restore the Services within a timeframe that is expected in accordance with the Service Management Manual   | Y            |                   |
| R770. | <b>4.5.7 Crisis Management</b>  |              |                   |
| R771. | A crisis is defined as the communications and coordination activities required in the result of a declared disaster and subsequent work to recover operations to the normal steady state. Supplier responsibilities include:  |              |                   |
| R772. | 1. Provide such immediate assistance and increased support as requested by VITA and Customers in relation to the management, containment and resolution of any Crisis.  | Y            |                   |
| R773. | 2. Coordinate the management, containment and resolution of any Crisis across the integrated services, and the planning and coordination of any restoration of the end-to-end services  | Y            |                   |
| R774. | 3. Coordinate and consolidate information from the Service Tower Suppliers on the activities taken by the Service Tower Suppliers in relation to any Crisis and the establishment of appropriate restoration plans, as required by VITA and Customers.  | Y            |                   |
| R775. | <b>4.6 Capacity Management</b>  |              |                   |
| R776. | Capacity Management will assess the business requirements (the required service delivery), the organization's operation (the current service delivery), the IT infrastructure (the means of service delivery), and will ensure that capacity in all areas of IT service provision and support always exists and is matched to the current and future agreed needs of the business, within designated timeframes. Capacity Management will strive to ensure that the capacity of IT services and the IT infrastructure is able to deliver the agreed service level targets in a cost effective and timely manner. Capacity Management considers all resources (including human resources) required to deliver the IT service, and plans for short, medium and long term business requirements. At a minimum Capacity management will include: Human Resources, Mainframe, Server, Message and Directory Services, backup and storage, voice and video, networking, facilities, service continuity, disaster recovery and security infrastructure. Supplier responsibilities include: |              |                   |
| R777. | 1. Design, implement, manage and maintain Capacity Management processes and tools across the Service Tower Suppliers. Create a standard approach and Capacity Management Information System and ensure that Service Tower Suppliers consolidate Capacity Management functions in the integrated tool.   | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R778. | 2. Collaborate; Conduct Business Capacity Management to align VITA and Customer business needs to delivered services. Review Customer requests from the Service Desk and VITA (including VITA Customer Account Managers). Align requests to services and identify gaps in service. Identify any service gaps to VITA as they occur.   | Y            |                   |
| R779. | 3. Develop and plan overall Capacity Management strategy. Communicate with VITA and Customers to understand future business needs and requirements. Identify initiatives that impact future capacity levels and suggest actions to align business needs with future capacity. Forecast future capacity needs based upon communicated business needs and system utilization data. Incrementally revise the Capacity Management strategy document with a full revision annually and provide the document to VITA and Service Tower Suppliers. | Y            |                   |
| R780. | 3.1. Conduct Service and Component Capacity Management. Assess ongoing Service Level performance and identify Capacity problems and report to VITA.   | Y            |                   |
| R781. | 4. Communicate Customer's business demand forecasts to the Service Tower Suppliers. Such requirements will be disclosed by Customers to the Supplier on a quarterly basis. Ensure that the Service Tower Suppliers have formally reviewed Capacity requirements for their services as part of Customer's normal business planning cycle.  | Y            |                   |
| R782. | 5. Collate monthly Capacity management reports  | Y            |                   |
| R783. | 5.1. Includes current resource utilization, trends, forecasts, and exceptions (including those provided by the Service Tower Suppliers)   | Y            |                   |
| R784. | 5.2. Identify trends and potential Capacity issues and risks.   | Y            |                   |
| R785. | 5.3. Provide results to VITA.   | Y            |                   |
| R786. | 6. Initiate Incident Management and Problem Management as appropriate to address potential Capacity issues and risks.   | Y            |                   |
| R787. | 6.1. Monitor ongoing resolution of issues and risks.  | Y            |                   |
| R788. | 7. Actively include Capacity Management in the Change Management process to assess all Changes for their impact on the Capacity of the ITISP Services.  | Y            |                   |
| R789. | 8. Coordinate cooperation and assistance between Service Tower Suppliers in testing the performance of new applications, services, and systems to meet planned performance and utilization expectations and requirements.   | Y            |                   |
| R790. | 9. Incorporate work schedules and dependencies between Service Tower Suppliers into Capacity Management planning.   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R791. | 10. Coordinate the creation, management and maintenance of Capacity Plans (including the Service Tower Capacity Plans) that reflect the current and future needs of the business, as agreed and documented within Service Levels, such that an Integrated Capacity Plan can be produced. | Y            |                   |
| R792. | 10.1. Update on at least a quarterly basis unless otherwise specified by VITA.   | Y            |                   |
| R793. | 10.2. The Integrated Capacity Plan will include, at a minimum:   | Y            |                   |
| R794. | 10.2.1. Goals, objectives, scope, and methods  | Y            |                   |
| R795. | 10.2.2. Current levels of resource utilization at the application, web, data, network, and infrastructure levels   | Y            |                   |
| R796. | 10.2.3. Current levels of availability average and peak  | Y            |                   |
| R797. | 10.2.4. Current levels of Tower Service performance;   | Y            |                   |
| R798. | 10.2.5. Forecast future requirements; and  | Y            |                   |
| R799. | 10.2.6. Assumptions and recommendations.   | Y            |                   |
| R800. | 10.3. Incorporate Customer's Capacity planning into the Integrated Capacity Plan   | Y            |                   |
| R801. | 11. Establish the Capacity baseline.   | Y            |                   |
| R802. | 12. Review on a monthly basis the Customers Capacity requirements and monitor and validate the Capacity forecast against Customer's actual utilization.  | Y            |                   |
| R803. | 13. Analyze demand forecasts and submit recommendations for capacity changes to VITA and the Customer.   | Y            |                   |
| R804. | 14. Proactively initiate Capacity changes to address anticipated Capacity issues.  | Y            |                   |
| R805. | 15. Employ regular monitoring, identification of exceptions, and manual reviewing of reports and trends and report/communicate to VITA or other towers as specified in the Service Management Manual   | Y            |                   |
| R806. | 16. Estimate the resource and utilization effects of planned Operational Changes when requested by Customers.  | Y            |                   |
| R807. | 17. Ensure that Capacity Management supports an effective common Demand Management process by providing information and analysis regarding the current and future demands and assisting with demand forecasting and influencing demand optimization                                      | Y            |                   |
| R808. | 18. Assist Service Level Management in understanding the customers' capacity and performance requirements, in terms of required service and system response times, expected throughput, patterns of usage and volume of users.   | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R809. | <b>4.6.1 Capacity Management System</b>   |              |                   |
| R810. | The Capacity Management System is a Service Management System. Supplier responsibilities include:   |              |                   |
| R811. | 1. Implement, manage and operate a Capacity Management Information System across all Tower Services providing Services.   | Y            |                   |
| R812. | 2. Provide and maintain a Capacity Management Information System (CMIS) that will serve as the single source of information regarding Capacity for Supplier Services, Service Tower Supplier(s) Services, and designated Third Party vendors.                                   | Y            |                   |
| R813. | 3. Require, facilitate and coordinate the update of the CMIS within designated timeframes in the Service Management Manual with the capacity information (technical capacity, thresholds, forecasts) of newly acquired items, changed items and any other relevant information. | Y            |                   |
| R814. | 4. The Capacity Management System will at a minimum support the following:  | Y            |                   |
| R815. | 4.1. Provide a mechanism or interface to allow Customers to add their own capacity information (including future business needs), and to modify or delete those entries.  | Y            |                   |
| R816. | 4.2. Provide a customizable set of views for different stakeholders through the service management life-cycle.  | Y            |                   |
| R817. | 4.3. The CMIS will contain data and information for:  | Y            |                   |
| R818. | 4.3.1. Customer business needs  | Y            |                   |
| R819. | 4.3.2. Service data including thresholds, events, and alerts (e.g. transaction response times or batch job execution times).  | Y            |                   |
| R820. | 4.3.3. Utilization data including thresholds, events, and alerts (e.g. Network Availability Data, CPU utilization, paging rates, or bandwidth utilization).   | Y            |                   |
| R821. | 4.3.4. Technical data (e.g. the maximum level of CPU utilization or the physical capacity of a particular hard disk).   | Y            |                   |
| R822. | 4.3.5. Financial data (e.g. the cost of new hardware or software components).   | Y            |                   |
| R823. | 4.3.6. Service performance information (e.g. the completion rate on tickets and work orders).   | Y            |                   |
| R824. | 4.3.7. Workload and trend analysis information.   | Y            |                   |
| R825. | 4.3.8. Identifying items and data by Customers and any associated Service Tower Supplier or Third Party Vendor.   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R826. | 4.3.9. Identifying items and data by Application, software and/or service.   | Y            |                   |
| R827. | <b>4.7 Security Management</b>   |              |                   |
| R828. | <p>Information Security Management will align IT Security with business requirements and ensures the confidentiality, integrity and availability of an organization's information, data and IT services. Security Management will assess that all security risks associated with the delivery of Services are appropriately identified; evaluated, assessed and appropriate controls are implemented and maintained. . Refer to <b>Environment Overview Appendix B7: Security environment</b> for an overview of the existing environment.</p> <p>Virginia has partially adopted the use of the risk management framework (RMF) created by the National Institute of Standards and Technology (NIST). Security Management will be performed in a manner consistent with VITA Rules. Supplier responsibilities include:</p> |              |                   |
| R829. | 1. Comply with VITA Rules including appropriate state and federal regulations, policies, standards and guidelines (e.g., SEC 501, SEC 525, IRS Publication 1075, NIST RMF, etc.) for the protection of the Managed Environment and Commonwealth of Virginia information and data.  | Y            |                   |
| R830. | 2. Implement and maintain information security practices and processes that comply with VITA Rules to protect the Managed Environment and Commonwealth of Virginia information and data.   | Y            |                   |
| R831. | 3. Ensure all Suppliers Implement and maintain Security Baseline Standards, which continuously comply with VITA Rules, Customer standards and in accordance with VITA approved hardening guides, Service Management Manual or specific Customer requirements.  | Y            |                   |
| R832. | 4. Participate in technical and business planning sessions to establish security standards, establish architecture and identify initiatives.   | Y            |                   |
| R833. | 5. Deploy and maintain an Information Security Management System (ISMS) to maintain the policies, processes, standards, guidelines, practices, procedures and tools to support Customers in achieving their Information Security Management objectives and ensuring the Customer has access to all active processes, procedures and Baseline Configurations.   | Y            |                   |
| R834. | 5.1. Provide a mechanism for Customers and Service Tower Suppliers to report and review the ISMS information based on need.  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R835. | 5.2. Update the ISMS in a timely manner based on Changes to the technical environment.  | Y            |                   |
| R836. | 5.3. Validate the ISMS contents to ensure the accuracy and completeness of the data contained therein on a routine, in accordance with the Service Management Manual, basis, in accordance with the Service Management Manual.  | Y            |                   |
| R837. | 5.4. Integrate the information security management activities of all Service Tower Suppliers to meet the security requirements of the VITA Rules.   | Y            |                   |
| R838. | 6. Deploy security processes to enable the effective monitoring and reporting of the services in the VITA and Customer environments through the appropriate deployment of the relevant tools and procedures, and where such security processes do not exist, designing processes that are in compliance with security requirements. | Y            |                   |
| R839. | 7. Understand VITA Rules in detail, to enable informed interaction with Customers and End Users and other Service Tower Suppliers.  | Y            |                   |
| R840. | 8. Provide informed advice on developing security policy, standards (including national security, international, customer and industry standards), practices, solutions and technologies, and threats.  | Y            |                   |
| R841. | 9. Recommend changes to VITA and Customer's security requirements in order to incorporate industry best practices, infrastructure roadmap changes, and document the evolution of such recommendations, changes and practices in a quarterly report.   | Y            |                   |
| R842. | 10. Recommend potential improvements to application security architecture and infrastructure service architecture.  | Y            |                   |
| R843. | 11. Coordinate the implementation of Operating Level Agreements and Security Management processes, procedures and controls across Service Tower Suppliers and the Service Desk to address interdependencies, use of tools and workflows required to operate integrated Security Management across the Tower Services.               | Y            |                   |
| R844. | 12. Manage activities across Service Tower Suppliers to implement and comply with VITA Rules and the cross functional Service Tower security requirements.  | Y            |                   |
| R845. | 13. Implement, monitor and comply with VITA and Customer specific security requirements through coordination and facilitation with Service Tower Suppliers.   | Y            |                   |
| R846. | 14. Consolidate and provide integrated compliance and Security Management service performance Plans of Action and Milestones (POAM) and reports for all cross functional and tower service security requirements to meet VITA's and Customer's informational  | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
|       | reporting requirements and Service Levels in a regular and timely manner consistent with the Service Management Manual.  |              |                   |
| R847. | 15. Coordinate, collate and publish in the ISMS the Supplier and Service Tower Supplier security self-verifications against the security requirements for the Tower Services to Customers annually.  | Y            |                   |
| R848. | 16. Ensure the implementation safeguards are compliant with VITA Rules, which includes Customers' individual information security requirements.  | Y            |                   |
| R849. | 17. Verify and validate that appropriate security measures protect VITA Data in Supplier and Service Tower Supplier systems, in a manner that complies with VITA Rules.  | Y            |                   |
| R850. | 18. Establish the appropriate technical, organizational and operational security measures against the destruction, loss, unauthorized access, or alteration of VITA Data in Supplier systems, in a manner that complies with VITA Rules.   | Y            |                   |
| R851. | 19. Consolidate and escalate security management improvement opportunities, issues, risks, events or any other pertinent security matter identified by the Supplier and Service Tower Suppliers to Customers.  | Y            |                   |
| R852. | 20. Coordinate and manage Supplier and Service Tower Supplier responses to security Incidents or emerging security requirements (which may arise as a result of changing security standards, threats or industry practices) under direction from Customers.  | Y            |                   |
| R853. | 21. Manage security clearance and access control processes to administration tools and environments used to support Customer's services for all Supplier and Service Tower Supplier staff.   | Y            |                   |
| R854. | 22. Conduct regular monthly assurance reviews to determine that all Supplier and Service Tower Supplier staff allocated to Customer's services have up-to-date security clearance, including background checks in compliance with Customer policies, and reporting any non-compliance to Customers   | Y            |                   |
| R855. | 23. Ensure that access privileges for Supplier, Service Tower Supplier, and Third Party Vendor personnel are promptly removed upon departure from the ITISP.   | Y            |                   |
| R856. | 24. Establish and maintain controls and processes such that the integrated services are compliant with VITA Rules for the processing, storage and transmission of information based on its classification and impact categorization, and ensure that VITA and Customers are able to gain assurance and evidence that such compliance is being maintained upon request. | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R857. | 25. Consolidate data provided from Service Tower Suppliers' monitoring controls and processes relating to emerging threats and known risks.   | Y            |                   |
| R858. | 26. Provide reporting to VITA and Customers that highlights emerging threats and the status of known risks.   | Y            |                   |
| R859. | 27. As part of the Security Program, check the effectiveness of the security procedures and controls, and compliance with regulations.  | Y            |                   |
| R860. | 28. Initiate corrective actions in respect of any potential or actual security issues or noncompliance with the procedures.   | Y            |                   |
| R861. | 29. Produce routinely, in accordance with the Service Management Manual, and on VITA or Customer demand security status reports to detail on-going work and actions identified and completed.   | Y            |                   |
| R862. | 30. Establish and conduct procedures to monitor and control remote data communication access to Customers Infrastructure, Software, Equipment, and all other data.  | Y            |                   |
| R863. | 31. Routinely perform feasibility studies and evaluations for the implementation of new security technologies, based on threat trends, which meet Commonwealth requirements and objectives and report these to VITA.  | Y            |                   |
| R864. | 32. Conduct fraud prevention, detection and reporting for Supplier activities related to the Management Environment.  | Y            |                   |
| R865. | 33. Ensure that Service Tower Suppliers are conducting fraud prevention, detection and reporting for Service Tower Supplier activities related to the Managed Environment.  | Y            |                   |
| R866. | <b>4.7.1 Security Program</b>   |              |                   |
| R867. | Security Program will be an On-Going Program. Supplier responsibilities include:  |              |                   |
| R868. | 1. Maintain a continuous Security Program that complies with VITA Rules, which will comprise the on-going activities that accomplish the goals for security management and coordinates the activities of VITA, Customers, Service Tower Suppliers and designated Third Party vendors. | Y            |                   |
| R869. | 2. Develop, maintain and provide to VITA and Customers, the comprehensive Security Plan that defines the security requirements of the Managed Environment and supports the security of the Commonwealth information technology systems, Software and information.                     | Y            |                   |
| R870. | 2.1. The Security Plan will govern the periodic activities for Security Management conducted by Supplier and Service Tower Supplier including periodic patching,  | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
|       | plans for implementing security measures, security performance monitoring and periodic security assessments and testing as defined in the SMM.   |              |                   |
| R871. | 3. Maintain and report to VITA and Customers, weekly, or in accordance with the Service Management Manual, the status of the remediation efforts as defined in the POAM.   | Y            |                   |
| R872. | 4. Develop and maintain the comprehensive Security Policy that defines the security requirements of the Managed Environment and supports the security of the Commonwealth systems, Software and information.   | Y            |                   |
| R873. | 5. Develop, implement and maintain internal standards, objectives, processes and procedures to maintain compliance with VITA Rules and Customer requirements. Provide Customers access to all standards, processes and procedure documentation.  | Y            |                   |
| R874. | 5.1. Provide VITA and Customers access to all standards, objectives, processes and procedures.   | Y            |                   |
| R875. | 6. Implement and maintain a security awareness program to ensure that MSI personnel are aware of VITA Rules and the security and operational requirements of the Managed Environment and Integrated Services Platform.   | Y            |                   |
| R876. | 7. Provide security and vulnerability patch management in accordance with Section 6.7 below.   | Y            |                   |
| R877. | <b>4.7.2 Security Assessments</b>  |              |                   |
| R878. | Supplier responsibilities include:   |              |                   |
| R879. | 1. Conduct and coordinate with Service Tower Suppliers, routine security assessments of the Security Program and services provided by the Supplier and Service Tower Suppliers as defined in the Service Management Manual or as requested by VITA or Customers.   | Y            |                   |
| R880. | 1.1. Assessments should include conducting monitoring and testing security programs (e.g. controlled penetration tests), conducting risk assessments and performing security design reviews, of all or any portion of the Services in order to evaluate the Security Program and determine whether the Security Program meets or exceeds the VITA Rules. | Y            |                   |
| R881. | 1.2. Assessments include all the security requirements as defined in the VITA Rules. (E.g. physical security, logical security, processing integrity, continuity of operations, policies and procedures, network analysis, periodic sampling, vulnerability scans, Controlled Penetration Tests).  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R882. | 2. Assessments will evaluate Supplier’s abilities and capabilities in maintaining and enhancing security and safety practices and procedures, and may involve monitoring and testing security programs, conducting audits, risk assessments and performing security design reviews.   | Y            |                   |
| R883. | 2.1. Each assessment will examine network deployment and infrastructure to ensure the proper protection of both the Systems and data while in use, storage, transmission or destruction.  | Y            |                   |
| R884. | 2.2. At a minimum, each assessment will address potential deployment and infrastructure issues to ensure the availability, integrity, confidentiality and privacy of information and information systems operated by Supplier and Service Tower Suppliers, and include all areas as described in the Service Management Manual at a minimum (e.g. asset name, owner, risk analysis, controls).          | Y            |                   |
| R885. | 3. Customers, Auditor of Public Accounts, and other Third Party Vendors authorized by VITA may conduct security reviews, assessments, forensic analysis or audits (e.g. AICPA’s SOC 2, U.S. Internal Revenue Service 1075 audits, or risk assessments following NIST Special Pub 800-30 “Guide for Conducting Risk Assessments”) of the Services being provided by the MSI and Service Tower Suppliers. | Y            |                   |
| R886. | 4. These assessments may include physical security, logical security, processing integrity, continuity of operations, policies and procedures, network analysis, periodic sampling, vulnerability scans and Controlled Penetration Tests.   | Y            |                   |
| R887. | 5. Assess security stance of all new, changed and / or upgraded Hardware, Software, or Services to ensure continued compliance with configuration requirements.   | Y            |                   |
| R888. | 6. Implement any changes, through the Change Management Process, needed to comply with VITA Rules and Customer requirements, based on results of any and all assessments.   | Y            |                   |
| R889. | <b>4.7.3 Security Assessment by Third Parties</b>   |              |                   |
| R890. | Supplier responsibilities include:  |              |                   |
| R891. | 1. Twice annually, contract an independent SSAE 16 Type II assessment from a VITA approved firm, using a VITA approved scope, covering all aspects of the ISISP.  | Y            |                   |
| R892. | 2. Assessments or audits of the ITISP may be conducted by VITA, Customers, the Auditor of Public Accounts, the Security Service Tower Supplier, or by federal agencies with oversight responsibilities. Such assessments may include risk assessments, forensic   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
|       | analysis or audits (e.g., AICPA’s SOC 2, U.S. Internal Revenue Service 1075 audits, or risk assessments following NIST Special Pub 800-30 “Guide for Conducting Risk Assessments”) of the Services being provided by Supplier and Service Tower Suppliers. These organizations reserve the right to define their own processes and methodologies to achieve their statutory goals. In such instances, Supplier will:             |              |                   |
| R893. | 2.1. Participate in, and coordinate with Service Tower Suppliers, the VITA, Customers, or Security Supplier conducted security assessments of the Security Program and services provided by the Supplier and Service Tower Suppliers.  | Y            |                   |
| R894. | 2.2. Cooperate fully with, and provide any assistance required by VITA and the assessment organization in support of these assessments or audits.  | Y            |                   |
| R895. | 2.3. Provide access to any premises, equipment, personnel, documents, etc.   | Y            |                   |
| R896. | 2.4. Recognize that VITA has sole discretion regarding acceptance or disputing any findings documented by such an assessment or audit.   | Y            |                   |
| R897. | 3. If the report concludes that the Security Program does not meet or exceed the VITA Rules, then the affected Supplier or Service Tower Suppliers will develop and agree upon an action plan to promptly address and resolve any deficiencies, vulnerabilities, concerns and recommendations identified in such report, consistent with the affected Supplier and Service Tower Supplier’s obligations as set forth in the SMM. | Y            |                   |
| R898. | 4. VITA will receive Deliverable Credits pursuant to <b>Exhibit 3.3 (Critical Deliverables)</b> should a Supplier and Service Tower Supplier fail to take remedial action in accordance with such action plan. Additionally, any system which has not been remediated in the defined period will be deemed to violate every SLA associated with that system until it is remediated.  | Y            |                   |
| R899. | 5. Under no circumstances will Supplier attempt to persuade or control or otherwise influence the Security Assessment Company.   | Y            |                   |
| R900. | 6. Supplier acknowledges that VITA views the right to conduct assessments as a critical inducement to VITA’s agreement to many of the terms of this Agreement, including the Term and termination rights provided for in the Agreement, and therefore Supplier agrees that it will cooperate in good faith to accomplish the objectives contemplated for the benefit of VITA.  | Y            |                   |
| R901. | <b>4.7.4 Security Incident Management</b>  |              |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R902. | Security Incident Management is a specialized form of Incident Management, the primary purpose of which is the development and execution of well understood and predictable responses to damaging events, computer intrusions, security compromises and inadvertent data disclosure or destruction. As part of Security Incident Management, Supplier will provide the necessary resources to support VITA and Customers in resolving Security Incidents. Supplier responsibilities include: |              |                   |
| R903. | 1. Work with identified parties to develop an Information Security Incident Management Plan (IS-IMP) in accordance with VITA Rules, in cooperation with VITA and the Customers.  | Y            |                   |
| R904. | 2. Document the policies that govern the response to Security Incidents across the Managed Environment for Supplier, Service Tower Supplier and Third Party vendors.   | Y            |                   |
| R905. | 3. Document and implement the specific processes and tools for managing and responding to Security Incidents in support of the IS-IMP, and in cooperation with VITA and Customers.   | Y            |                   |
| R906. | 4. Provide for the tracking and recording of Security Incidents.   | Y            |                   |
| R907. | 5. Security Incidents will be treated as Severity 1 Incidents.   | Y            |                   |
| R908. | 6. Upon identification of a Security Incident, or potential Security Incident, follow the escalation notification process in accordance with VITA Rules and the Service Management Manual.   | Y            |                   |
| R909. | 7. Record timelines, actions, and events in accordance with Service Management Manual, VITA security requirements and the SI-IMP instructions.   | Y            |                   |
| R910. | 8. Work to assist Service Tower Suppliers with the investigation of Security Incidents and report findings to VITA and designated parties.   | Y            |                   |
| R911. | 9. Lead in the creation of a remediation plan that is acceptable to VITA and Customers.  | Y            |                   |
| R912. | 10. Manage the execution of the VITA approved remediation plans across the Managed Environment.  | Y            |                   |
| R913. | 11. Coordinate with designated parties to conduct a forensic investigation to determine what Systems, data and information have been affected by the Security Incident.  | Y            |                   |
| R914. | 12. Coordinate with designated parties to facilitate the identification of the initial point of entry into the Managed Environment, or other source of the Security Incident; including the tools and methods employed by the intruders, any data compromised, as well as a list of all other systems, Applications, or Third Parties potentially compromised.   | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R915. | 13. Coordinate investigation activities in conjunction with designated parties, VITA and Customer's IT Security department to maintain the data integrity of any asset which may be needed for evidence.  | Y            |                   |
| R916. | 14. Coordinate the collection of any data or hardware deemed necessary by designated parties, VITA, and Customers to assist with the Security Incident response, including logs, disk drives, files, servers, work stations, and other items which may be of evidentiary value.                   | Y            |                   |
| R917. | 15. Maintain evidence integrity and strict chain of custody procedures for any items (physical or logical) relating to the Security Incident response investigation.  | Y            |                   |
| R918. | 16. Assist VITA and designated parties in determining the impact and scope of suspected security breaches.  | Y            |                   |
| R919. | 17. For all Security Incidents follow the Root Cause Analysis process identified in the Service Management Manual and work with designated parties for determining the underlying causes of a Security Incident.  | Y            |                   |
| R920. | 18. Establish a corrective action process based on RCA findings that lead to actions that avoid or mitigate future Security Incidents.  | Y            |                   |
| R921. | 19. Establish security leads and other roles as necessary within Supplier and coordinate the establishment of similar roles within the Service Tower Suppliers that will have ownership and responsibility for working with designated parties and handling Security Incidents.                   | Y            |                   |
| R922. | 20. Coordinate with designated parties and provide for a Computer Security Incident Response Team (CSIRT) that with other subject matter experts is tasked to respond to Security Incidents in accordance with VITA and Customer IT security requirements, processes and required response times. | Y            |                   |
| R923. | 21. Coordinate with designated parties to conduct routine Security Incident Management response exercise with VITA and Customers to validate the Security Incident response process in accordance with the Service Management Manual.   | Y            |                   |
| R924. | 22. Report results from the Security Incident Management response exercises and provide recommendations for improvements to VITA.   | Y            |                   |
| R925. | 23. Provide any logs or alert and event information required to respond to Security Incidents.  | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R926. | 24. Do not serve any notice or otherwise publicize a Security Incident without the prior written consent of VITA.   | Y            |                   |
| R927. | 25. Do not provide any information to outside sources (e.g. public, media, and VITA or Supplier personnel) of any Security Incidents without the prior written consent of VITA.   | Y            |                   |
| R928. | 26. Cooperate with any law enforcement officials, regulatory officials, agencies or associations, where directed by VITA and with the consent of VITA.  | Y            |                   |
| R929. | 27. Provide reports in the Portal and VITA identified tools of all Security Incident response details and activities.   | Y            |                   |
| R930. | 28. Provide a summary of all Security Incidents related to the ITISP Services and Commonwealth Data to VITA, upon the request of VITA, for all Security Incidents since Commencement.   | Y            |                   |
| R931. | <b>4.7.5 Security Clearance Management</b>  |              |                   |
| R932. | Supplier responsibilities include:  |              |                   |
| R933. | 1. Document in the Service Management Manual the clearance criteria and mechanisms for accomplishing background checks as required by Customers, VITA and VITA Rules.   | Y            |                   |
| R934. | 2. Conduct clearance reviews to include background checks on all Supplier employees, contractors, subcontractors, and any other identified parties proposed to be assigned to perform Services prior to such assignment.  | Y            |                   |
| R935. | 2.1. VITA and the Customers may elect to conduct such background checks themselves in lieu of Supplier, in which case Supplier will reimburse VITA and the Customers the costs incurred performing such background checks.  | Y            |                   |
| R936. | 2.2. Supplier will not engage any employee, contractor or subcontractor in the performance of Services if the results of such person's background check and screening do not meet the established criteria. On a case-by-case basis, certain exceptions may be granted by VITA. | Y            |                   |
| R937. | 2.3. Re-conduct background checks where clearance review criteria require as specified in the SMM.  | Y            |                   |
| R938. | 2.4. Individual clearance requirements must be completed and validated by VITA and the Customer, prior to accessing any data owned by the Commonwealth.   | Y            |                   |
| R939. | 2.5. Review and update the clearance review criteria required by VITA and the Customers on an annual basis.   | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R940. | 3. Remove from the VITA account any Supplier employee, contractor or subcontractor whose background check results do not meet the criteria acceptable to VITA and the requirements of the Customers.  | Y            |                   |
| R941. | 4. Establish a comprehensive Security Clearance System capable of tracking and reporting on all Supplier and Service Tower Supplier personnel.  | Y            |                   |
| R942. | 5. Ensure that all persons having been cleared are documented with the identified clearance (e.g. background checks, training, etc.) in the Security Clearance System.  | Y            |                   |
| R943. | 6. Establish a process and reporting procedures, in the Service Management Manual, which support immediate notifications to VITA and Customers of personnel who are added to or departed from the contract.   | Y            |                   |
| R944. | 7. Ensure upon personnel separation all issued badging, devices, access materials, etc. are returned to the Supplier prior to leaving Supplier's control. All Customer-issued badging, devices, access materials, etc. must be returned to the Customer or VITA designated party within 7 days.   | Y            |                   |
| R945. | <b>4.7.6 Security Clearance System</b>  |              |                   |
| R946. | The Security Clearance System is a Service Management System. Supplier responsibilities include:  |              |                   |
| R947. | 1. Provide access to the Security Clearance System to Service Tower Supplier(s), Customers, and authorized Third Party vendors.   | Y            |                   |
| R948. | 2. Limit access to the Security Clearance System to the agreed levels established in the Service Management Manual (e.g. by business unit) for the type of Users who require access to the systems.   | Y            |                   |
| R949. | 3. Provide Supplier personnel, Service Tower Supplier(s) personnel, Customers, VITA and authorized Third Party vendors with appropriate training in using the Security Clearance System.  | Y            |                   |
| R950. | 4. The database will at a minimum include the following fields in addition to anything else identified in the Service Management Manual: full name, company, position or title, manager name, physical location, date of clearance, additional clearances, badges issued, agencies supported, security program training, background checks, privileged access, security badge inventory, access rights, and other rights and controls to physical and logical access. | Y            |                   |

| Ref#  | Requirement   | Comply (Y/N) | Supplier Response |
|-------|---|--------------|-------------------|
| R951. | <b>4.8 Risk Management</b>  |              |                   |
| R952. | Supplier is charged with providing Risk Management related to the IT environment and Services within the context of the ITISP overall business risks. The goal of Risk Management is to identify, assess and control risks. This includes quantifying the impact to the business that a loss of service or asset would have, to determine the likelihood of a threat or exploitation of a vulnerability to actually occur, and then to manage activity to mitigate the identified risks. Supplier responsibilities include: |              |                   |
| R953. | 1. Implement a framework for risk management across the services provided by the Service Tower Suppliers, including:  | Y            |                   |
| R954. | 1.1. Document, implement and maintain sections of the Services Management Manual to include the VITA Rules, risk policies, processes, tools and standards across the Service Tower Suppliers.   | Y            |                   |
| R955. | 1.2. Coordinate initial Service Tower Supplier implementation and ensure continual maintenance of standard tools and processes for risk management as determined by the Risk Management Framework.  | Y            |                   |
| R956. | 1.3. Support the appropriate ITISP governance forums with specific risk content as defined by VITA.   | Y            |                   |
| R957. | 2. Incorporate coverage of the interactions between Service Tower Suppliers to support the effective design and operation of key controls and monitoring and reporting of risk.   | Y            |                   |
| R958. | 3. Implement risk indicators across the services to monitor risk and assist in the detection of emerging trends and control failures.   | Y            |                   |
| R959. | 4. Coordinate activities with Event Management to detect risks and emerging trends.   | Y            |                   |
| R960. | 5. Identify security risks and vulnerabilities, and notify designated parties with recommended improvement opportunities for reducing the impact of such risks and vulnerabilities as they are identified.  | Y            |                   |
| R961. | 5.1. Assess and recommend continuous improvements via a monthly report based on security vulnerability and risk assessments.  | Y            |                   |
| R962. | 5.2. Implement such recommendations as approved by VITA and its Customers through the Change Management process.  | Y            |                   |
| R963. | 6. Create a Plan of Actions and Milestones (POAM) detailing the plan to remediate or mitigate risks within the timeframe established by VITA or the Customer and implement risk escalation and reporting across the services.   | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R964. | 7. Address known control weaknesses with controls operated within the existing services as notified to the Supplier and Service Tower Suppliers.   | Y            |                   |
| R965. | 8. Provide proposals to address new control requirements and propose options with costs for implementing such controls and mitigating the risks to VITA and Customers.   | Y            |                   |
| R966. | 9. Provides access to common risk and controls information, including reports, risk logs, action plans, key controls and risk indicator data, for VITA, ITISP Governance and Customers.  | Y            |                   |
| R967. | 10. Monitor Service Tower Suppliers' reporting, and conduct monthly reviews with the Service Tower Suppliers of the effectiveness of key controls to ensure compliance with regulations and VITA and Customer policies.  | Y            |                   |
| R968. | 11. Provide a system for performing risk analysis and reporting that supports the capture, analysis, and reporting on risk management. The Risk Management System shall support the capture and reporting on policy and regulatory compliance.   | Y            |                   |
| R969. | 12. Integrate provided business information and VITA GRC tools to provide a mechanism for VITA and Customers to identify and prioritize Mission Essential or Critical Business Functions, Primary Business Functions, Secondary Business functions and the assets in which these functions rely. Incorporate this information in the incident identification rating processes. | Y            |                   |
| R970. | 13. Integrate the governance, risk and compliance tool(s) with the CMDB, with two-way data exchange.   | Y            |                   |
| R971. | 14. Operate a quarterly forum with all the Service Tower Suppliers and ITISP Governance and VITA designated entities at which the following are jointly reviewed:  | Y            |                   |
| R972. | 14.1. Progress in addressing risks that need to be mitigated in the end-to-end delivery of services.   | Y            |                   |
| R973. | 14.2. Emerging trends and risks.   | Y            |                   |
| R974. | 14.3. The effectiveness of key controls.   | Y            |                   |
| R975. | 14.4. Progress in addressing known control deficiencies – arising from the Supplier and Service Tower Suppliers' own assurance activities, audits, any Statement on Standards for Attestation Engagements (SSAE) 16 reviews and any Customer or Supplier and Service Tower Supplier assurance activity   | Y            |                   |
| R976. | 15. Operate formal monthly meetings with each Service Tower Supplier at which the following are reviewed:  | Y            |                   |

| Ref#  | Requirement  | Comply (Y/N) | Supplier Response |
|-------|--|--------------|-------------------|
| R977. | 15.1. Progress in addressing risks that need to be mitigated in the Supplier and Service Tower Suppliers' services   | Y            |                   |
| R978. | 15.2. Emerging trends and risks.   | Y            |                   |
| R979. | 15.3. The effectiveness of key controls.   | Y            |                   |
| R980. | 15.4. Progress in addressing known control deficiencies – arising from the Service Tower Supplier's own assurance activities, audits, any SSAE 16 reviews and any Customer or Supplier and Service Tower Supplier assurance activity.                            | Y            |                   |
| R981. | <b>4.8.1 Risk Monitoring, Identification and Reporting</b>   |              |                   |
| R982. | Supplier responsibilities include:   |              |                   |
| R983. | 1. Lead regular, formal risk assessments, in accordance with VITA Rules and SMM, with VITA and Customers and the Service Tower Suppliers and document the results.   | Y            |                   |
| R984. | 2. Identify and report risks, including the service impact assessment, arising from the activities of the Supplier and Service Tower Suppliers in the delivery of the end-to-end services.   | Y            |                   |
| R985. | 3. Implement and facilitate the integration with the Commonwealth governance, risk, compliance system for on-going Risk Management Program.  | Y            |                   |
| R986. | 4. Report risks using a standard operational risk register, which will be maintained by the Supplier for all the ITISP Services and available for designated Users as defined in the SMM. The risk register should integrate with specified existing VITA tools. | Y            |                   |
| R987. | 5. Implement and maintain on-going monitoring of the operations of the Service Tower Suppliers for change and emerging risks and trends.   | Y            |                   |
| R988. | 6. Report and escalate the trends, changes and emerging risks to VITA and ITISP Governance.  | Y            |                   |
| R989. | 7. Monitor Incidents and assess those that could have, or did, result in loss to Customers to ensure risks of a repeat are assessed and mitigated.   | Y            |                   |
| R990. | 8. Facilitate the activities of Customer's staff, auditors or regulators in conducting assurance activities on the design and effectiveness of key controls across the end-to-end services.  | Y            |                   |
| R991. | 9. Manage and report on the activities of the Supplier and Service Tower Suppliers to address any control weaknesses identified in the above assurance activities.   | Y            |                   |
| R992. | <b>4.8.2 Risk Prevention and Mitigation</b>  |              |                   |
| R993. | Supplier responsibilities include:   |              |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R994.  | 1. Take appropriate proactive actions to prevent or mitigate new or emerging risks through the management and coordination of the activities with the Service Tower Suppliers.  | Y            |                   |
| R995.  | 2. Manage all risks assigned by VITA, including identifying and implementing treatments to mitigate the risks across the Supplier and Service Tower Suppliers.  | Y            |                   |
| R996.  | 3. Conduct regular risk assessments, in accordance with the SMM, of Service Management Systems, in compliance with VITA Rules.  | Y            |                   |
| R997.  | 4. Prepare proposals for approval by VITA and Supplier and Service Tower Governance, in conjunction with the Service Tower Suppliers, to prevent or mitigate risks. At a minimum, the risk treatment plan will include: | Y            |                   |
| R998.  | 4.1. Goals and objectives   | Y            |                   |
| R999.  | 4.2. Scope  | Y            |                   |
| R1000. | 4.3. Audience   | Y            |                   |
| R1001. | 4.4. Asset and attribute details  | Y            |                   |
| R1002. | 4.5. Risks  | Y            |                   |
| R1003. | 4.6. Existing controls  | Y            |                   |
| R1004. | 4.7. Controls to be implemented   | Y            |                   |
| R1005. | 4.8. Actions to be taken  | Y            |                   |
| R1006. | 4.9. Roles and responsibilities   | Y            |                   |
| R1007. | 5. Coordinate the implementation by Supplier and Service Tower Suppliers of key controls, and changes to existing controls, to address risks.   | Y            |                   |
| R1008. | 6. Conduct and report on Risk Assessments. The Risk Assessment report will, at a minimum, include:  | Y            |                   |
| R1009. | 6.1. Assets   | Y            |                   |
| R1010. | 6.1.1. Asset name   | Y            |                   |
| R1011. | 6.1.2. Asset category   | Y            |                   |
| R1012. | 6.1.3. Asset owner  | Y            |                   |
| R1013. | 6.2. Risk assessment  | Y            |                   |
| R1014. | 6.2.1. Risk analysis (threats and vulnerabilities)  | Y            |                   |
| R1015. | 6.2.2. Business impact  | Y            |                   |
| R1016. | 6.2.3. Likelihood   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1017. | 6.2.4. Risk evaluation  | Y            |                   |
| R1018. | 6.3. Risk treatment (controls)  | Y            |                   |
| R1019. | 6.3.1. Risk appetite  | Y            |                   |
| R1020. | 6.3.2. Risk mitigation  | Y            |                   |
| R1021. | 6.3.3. Controls   | Y            |                   |
| R1022. | 6.4. Risk residual  | Y            |                   |
| R1023. | <b>4.9 Supplier Management</b>  |              |                   |
| R1024. | The Supplier will manage the integrated delivery of the Tower Services by the Service Tower Suppliers in the best interests of the Commonwealth. The Supplier Management processes and responsibilities described in this section are as follows: |              |                   |
| R1025. | 1. Supplier will share oversight of Service Tower Suppliers with VITA and ITISP Governance. However, contracts will be established and owned by VITA.   | Y            |                   |
| R1026. | 1.1. Supplier will establish OLA with Service Tower Suppliers   | Y            |                   |
| R1027. | 1.2. Supplier will collect and report service level and key measure detail from STS   | Y            |                   |
| R1028. | 2. Supplier will work with Service Tower Suppliers where VITA or Customers report that Customers are experiencing performance problems  | Y            |                   |
| R1029. | 3. Supplier will establish acceptable methods of communication with Service Tower Suppliers and Third Party vendors to plan, resolve issues, mitigate risks, and resolve disputes.  | Y            |                   |
| R1030. | 4. Supplier will report to VITA and ITISP Governance the status of projects, issues, risks and disputes   | Y            |                   |
| R1031. | 5. Supplier will maintain the portfolio of projects and the involvement of Service Tower Suppliers in those projects  | Y            |                   |
| R1032. | 6. Supplier may recommend replacement or addition of Service Tower Suppliers and work with VITA to develop requests for proposals (RFP)   | Y            |                   |
| R1033. | 7. Supplier will coordinate the development of new and changed (significant changes) services with STS  | Y            |                   |
| R1034. | 8. Supplier will monitor business changes in the Service Tower Suppliers organizations and identify impact on the ITISP and report those to VITA.   | Y            |                   |
| R1035. | <b>5.0 SERVICE TRANSITION</b>   |              |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1036. | <p>The Supplier will undertake Service Transition processes and the management and coordination of the processes, systems, and functions required for the building, testing and deployment of new and changed Tower Services.</p> <p>The Service Transition processes described in this section are as follows:</p> <ul style="list-style-type: none"> <li>• Change Management</li> <li>• Change Evaluation</li> <li>• Project Management Transition Planning and Support</li> <li>• Release and Deployment Management</li> <li>• Service Validation and Testing</li> <li>• Service Asset and Configuration Management</li> <li>• Knowledge Management</li> </ul>  |              |                   |
| R1037. | <b>5.1 Change Management</b>   |              |                   |
| R1038. | <p>Change Management seeks to control the life-cycle of all Changes. Change Management comprises an end-to-end process that minimizes risk, cost and business disruption, while protecting the computing environment and the delivery of related Services. All changes to Configuration Items must be carried out in a planned and authorized manner. This includes identifying the specific Configuration Items (CI) and IT Services affected by the Change, planning the Change, communicating the Change, deploying the Change, testing the Change, and having a back-out plan should the Change result in a disruption of the Service. This also includes tracking and oversight for all Changes. Supplier responsibilities include:</p> |              |                   |
| R1039. | <p>1. Develop and implement a standardized, Integrated Change Management Process and supporting procedures for the efficient and effective handling of all changes to the integrated Tower Services, including the operation of Change Advisory Boards to oversee and assist with Operational Changes to the Tower Services, subject to approval from VITA and ITISP Governance, in a way that minimizes risk exposure and maximizes availability of the Tower Services.</p>   | Y            |                   |
| R1040. | <p>2. Document all Change Management activity in accordance with the requirements in the Services Management Manual and communicating such process and procedures to the Service Tower Suppliers.</p>  | Y            |                   |
| R1041. | <p>3. Work with VITA to define the criteria for Emergency Changes, Normal Changes and Standard Changes. Ensure clear definition for Standard Changes that can be actioned through the Request Fulfillment Process versus the Change Management.</p>  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1042. | 4. Require, facilitate and lead information exchange between and among the Service Tower Suppliers in order to drive an effective Integrated Change Management process.   | Y            |                   |
| R1043. | 5. Run the Change Advisory Board (CAB) to verify the effective execution of the Change Management and that an appropriate review of planned Operational Changes takes place with due consideration of the business and technology risk of planned Operational Changes.  | Y            |                   |
| R1044. | 6. Coordinate Change Management activities across all functions, Sites, regions, Service Tower Suppliers, and Third Party vendors that provide services to Customers.   | Y            |                   |
| R1045. | 7. Deploy tools to automate the process of scheduling, describing, tracking, and reporting on Operational Changes to the environment. Such automation will also provide for integration and linkage to other Systems that need to be updated as a result of Operational Changes.  | Y            |                   |
| R1046. | 8. Integrate Change Management tools to the CMDB.   | Y            |                   |
| R1047. | 9. Provide electronic interfaces to all such tools to allow the recording of all Change Management records by the Service Tower Suppliers.  | Y            |                   |
| R1048. | 10. Validate, gain assurance, and provide evidence of such assurance on request, that the Service Tower Suppliers create accurate and complete records detailing the Life-cycle of every individual Operational Change for every Request for Operational Change received (even those that are subsequently rejected) and storing the Change Records in the Configuration Management Database. | Y            |                   |
| R1049. | 11. Lead all Change Management meetings in accordance with SMM.   | Y            |                   |
| R1050. | 12. Coordinate the submission of proposed Operational Changes by the Service Tower Suppliers, in advance of Change Management meetings, to Customers.   | Y            |                   |
| R1051. | 13. For each Operational Change, verify compliance with Customers' policies (e.g., avoiding blackout dates, using scheduled patch or maintenance windows, etc.).  | Y            |                   |
| R1052. | 14. Review and update the documented approvals and groups for approvals of Changes with VITA and Customers as required in the Service Management Manual.  | Y            |                   |
| R1053. | 15. Provide for review of the CI's listed in the CMDB and operational documentation or Runbooks before changes are scheduled for specific notes on change procedures.   | Y            |                   |
| R1054. | 16. Review proposed Changes and schedules with Customers and the Service Tower Suppliers and coordinating and obtaining all necessary approvals for proposed Operational Changes.   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1055. | 17. Coordinate with Customers, all affected Service Tower Suppliers, Third Parties and designated representatives at Sites potentially affected by a Change in order to minimize disruption of normal business processes. | Y            |                   |
| R1056. | 18. Coordinate the reporting of the status of scheduled Operational Changes, including maintaining a comprehensive list of projects and dates.  | Y            |                   |
| R1057. | 19. Collect data on every Operational Change attempted.   | Y            |                   |
| R1058. | 20. Provide an audit trail of any and all Operational Changes to all environments, including a record of the Operational Change made and the authorization to make the Operational Change.                                | Y            |                   |
| R1059. | 21. Provide Customers with the ability to pre-approve Standard Changes. Such approvals will be documented in the Services Management Manual.  | Y            |                   |
| R1060. | 22. Create and maintain a log of all scheduled upcoming Releases and Operational Changes as part of the Change Management process.  | Y            |                   |
| R1061. | 23. Provide a calendar of expected future Release and Operational Changes to Customers projecting out for at least the next 90-days and renewed on a weekly basis.  | Y            |                   |
| R1062. | 24. Provide monthly Change Management reports in a format agreed with Customers as described in <b>Exhibit 3 (Reporting and Service Level Management)</b> .   | Y            |                   |
| R1063. | 25. Document regular periods for scheduled maintenance, standard changes, and emergency changes.  | Y            |                   |
| R1064. | 26. Provide a process for unscheduled maintenance and non-standard changes  | Y            |                   |
| R1065. | 27. Provide for Customers to define custom freeze periods based on their business requirements.   | Y            |                   |
| R1066. | 28. Execute Standard Changes within the defined Maintenance Periods.  | Y            |                   |
| R1067. | 29. Develop schedules in conformance with Customer defined freezes and Maintenance Periods.   | Y            |                   |
| R1068. | 30. Raise Operational Changes using the agreed request for Operational Change process as directed by Customers.   | Y            |                   |
| R1069. | 31. Assess the change and amend the Integrated IT Service Continuity Management plan, capacity plan, security plan and test plan accordingly.   | Y            |                   |
| R1070. | 32. Conduct Post Implementation Reviews (PIR) across all towers for Operational Changes to determine if the Operational Change was successful and to identify opportunities for improvement.                              | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1071. | 32.1. Include whether or not the change was completed on the first attempt  | Y            |                   |
| R1072. | 32.2. Include a measure of disruption associated with the change  | Y            |                   |
| R1073. | 33. Create rollout, test, and roll back plans for every request for an Operational Change to the Services.  | Y            |                   |
| R1074. | 34. Where successful Changes result in an Incident because of that Change, consider executing the roll back plan against the Change, as approved by Customers.  | Y            |                   |
| R1075. | 35. Coordinate activity across all Service Tower Suppliers to update all operational and other documentation affected by the Operational Change.  | Y            |                   |
| R1076. | 36. Interface with Customers, Service Tower Suppliers and Third Party Vendors to ensure compatibility of Software products where there are interfaces between Software products and systems.  | Y            |                   |
| R1077. | 37. Report the status of scheduled Operational Changes; include a comprehensive list of projects and dates.   | Y            |                   |
| R1078. | 38. Create and maintain an Operational Change schedule of upcoming Releases and Operational Changes as part of Customer's Change Management.  | Y            |                   |
| R1079. | 39. Ensure that security testing for all new, changed, and/or upgraded equipment, networks, software and services is conducted as part of the Change Management process. Security testing to include unit, System, vulnerability, integration and regression testing. | Y            |                   |
| R1080. | 40. Ensure that all new and upgraded service components are evaluated for compliance with VITA Rules as part of the Change Management process.  | Y            |                   |
| R1081. | <b>5.1.1 Change Management System</b>   |              |                   |
| R1082. | The Change Management System is a Service Management System. Supplier responsibilities include:   |              |                   |
| R1083. | 1. Develop and implement a standardized method and procedure for the efficient and effective handling of all Changes (an overall Change Management process), including the Change Advisory Board (CAB) to manage Changes to the Services.                             | Y            |                   |
| R1084. | 2. Deploy tools and processes to automate the recording, assessing, scheduling, documenting, tracking, and reporting on Changes to the environment.   | Y            |                   |
| R1085. | 3. Integrate the Change Management System to the Configuration Management System and CMDB.  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1086. | 4. Provide for logging all modifications to Change Records, to provide full tracking, audit trail and change control at the named-user level.   | Y            |                   |
| R1087. | 5. Provide a standard request for change form that will be used to request Changes and that will remain in use throughout the life of the change until formal closure as called for by the Change Management Process, and that will include the following information at a minimum: | Y            |                   |
| R1088. | 5.1. A unique identifier for the Change.  | Y            |                   |
| R1089. | 5.2. A description of the Change.   | Y            |                   |
| R1090. | 5.3. The purpose and justification for the Change (including information about the impact of not implementing the Change).  | Y            |                   |
| R1091. | 5.4. A list of Service(s) potentially affected by the Change.   | Y            |                   |
| R1092. | 5.5. A list of items to be changed and/or affected by the Change.   | Y            |                   |
| R1093. | 5.6. The category of the Change.  | Y            |                   |
| R1094. | 5.7. The priority of the Change.  | Y            |                   |
| R1095. | 5.8. Details of the assessment conducted for the Change.  | Y            |                   |
| R1096. | 5.9. Change authority and approver.   | Y            |                   |
| R1097. | 5.10. Date and time of change approval.   | Y            |                   |
| R1098. | 5.11. Decisions and recommendations accompanying the approval.  | Y            |                   |
| R1099. | 5.12. The proposed schedule, including implementation date(s) and approximate time(s) for determination of any existing conflict with business events.  | Y            |                   |
| R1100. | 5.13. The proposed implementation plans and procedures.   | Y            |                   |
| R1101. | 5.14. A back-out plan for removing the Change without having to initiate an Incident.   | Y            |                   |
| R1102. | 5.15. Identification of the Change Builders, Change Testers and Change Implementers.  | Y            |                   |
| R1103. | 5.16. Details of the Change implementation – including date, time and details of activities executed.   | Y            |                   |
| R1104. | 5.17. Change review details, including method of review, review findings, etc.  | Y            |                   |
| R1105. | 5.18. Details and links with other tickets, records and documentation related to Incidents, problems, changes, releases, etc.   | Y            |                   |
| R1106. | 5.19. Closure details, including date, time and who closed the record.  | Y            |                   |
| R1107. | 6. Detailed description of the communication plan associated with the Change.   | Y            |                   |
| R1108. | <b>5.2 Change Evaluation</b>  |              |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1109. | <p>Change Evaluation seeks to assess major Changes, like the introduction of a new service or a substantial change to an existing service, before those Changes are allowed to proceed to the next phase in their life-cycle.</p> <p>The Supplier will design, implement, maintain and operate a common and shared Change Evaluation Process, documented in the SMM as approved by VITA or ITISP Governance that completes the following activities for new or changed services:</p> <ul style="list-style-type: none"> <li>• Planning of the evaluation based on the Service Design Package</li> <li>• Evaluation of intended and unintended impact of the changes</li> <li>• Evaluation of risk and predicted performance of the solution against established requirements</li> <li>• Evaluation of and reporting on actual performance post-change</li> </ul> <p>The Supplier will coordinate and manage the Change Evaluation process across all Service Tower Suppliers.</p> <p>Supplier responsibilities include:</p> |              |                   |
| R1110. | 1. Overseeing the activities to achieve compliance with ITISP Governance and SMM policies and standards throughout the process, including VITA Rules.   | Y            |                   |
| R1111. | 2. Performing an evaluation of predicted performance to analyze the intended and unintended effects of a Change and providing a report to the appropriate ITISP Governance entity.  | Y            |                   |
| R1112. | 3. Performing a risk assessment based on the required specifications, predicted performance and the acceptance criteria for the proposed Change and reporting the evaluation findings to the appropriate ITISP Governance entity.   | Y            |                   |
| R1113. | 4. Coordinating the conduct of a technical risk assessment with the Security Tower Supplier(s)  | Y            |                   |
| R1114. | 5. After implementation of a Change, receiving input from the Service Tower Suppliers and Customers regarding actual performance of the Service.  | Y            |                   |
| R1115. | 6. Compiling all findings in an Evaluation Report, which will inform the Post Implementation Review (PIR) carried out by Change Management.   | Y            |                   |
| R1116. | <b>5.3 Release and Deployment Management</b>  |              |                   |
| R1117. | Release and Deployment Management seeks to plan, schedule and control the movement of solutions into test and then into live environments; with the primary goal of ensuring the integrity of that live environment.  |              |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
|        | Supplier responsibilities include:  |              |                   |
| R1118. | 1. Establish an Integrated Release and Deployment Management process so that any change to the Tower Services is controlled, tested, traceable, authorized, and implemented in a structured manner with an associated transition plan. The design of the controls and any changes to the design is subject to Customer's prior approval.  | Y            |                   |
| R1119. | 2. Establish measurement processes across all Service Towers to record and report the success and failure of Releases, including recording Incidents related to Release activities in the period following a Release.   | Y            |                   |
| R1120. | 3. Design the integrated Release packages to support the build and test environments subject to Customer approval.  | Y            |                   |
| R1121. | <b>5.3.1 Release Management</b>   |              |                   |
| R1122. | The Supplier will oversee, coordinate and execute the release and deployment into the Production environment of changes to the integrated Services and their component Configuration Items (including software, SM processes, hardware and associated documentation) across the Service Tower Suppliers and customers, where applicable, and in accordance with the Service Design Package - this includes: |              |                   |
| R1123. | 1. Oversight and coordination of the implementation of controls to manage risks and achieve compliance with regulations, Customer's policies and standards throughout the R&DM process, including VITA Rules.   | Y            |                   |
| R1124. | 2. Define the Release design, date, and time of day, subject to designated Customer's review and approval (such as big bang, phased, push and pull, automated, manual).   | Y            |                   |
| R1125. | 3. Construct the Release package, which may consist of a single Release Unit or a collection of Release Units.  | Y            |                   |
| R1126. | 4. Validate that all items being rolled out or changed are secure and traceable through the Configuration Management System and CMDB.   | Y            |                   |
| R1127. | 5. Establish Software control and distribution process, including the management of the Software Configuration Items and their distribution and implementation into the live Environment  | Y            |                   |
| R1128. | 6. Produce impact assessments in support of Customer's Release planning.  | Y            |                   |
| R1129. | 7. Develop implementation and back-out plans for approved Changes that will be included in a Release.   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1130. | 8. Design, build, track, and coordinate the testing, implementation, and, if necessary, back-out of all Releases.   | Y            |                   |
| R1131. | 9. Coordinate the resolution of Release issues across the Service Tower Suppliers   | Y            |                   |
| R1132. | 10. Assign a Single Point of Contact (SPOC) for each requested Release.   | Y            |                   |
| R1133. | 11. In coordination with VITA, Customers and the Service Tower Suppliers, developing and coordinating Release communications, preparation, and training activities.   | Y            |                   |
| R1134. | 12. Provide frequent updates to Customers regarding Release status.   | Y            |                   |
| R1135. | 13. Establish the provision of day-one and early life support from the Service Tower Suppliers for a period of time directly after the deployment of a new or changed IT Service to include a review of the Key Performance Indicators, Service Levels, monitoring Thresholds, and provision of additional resources for Incident and Problem Management. | Y            |                   |
| R1136. | 14. Establish a Build process that includes:  | Y            |                   |
| R1137. | 14.1. The release build stage starts with the change management's authorization to build the release.   | Y            |                   |
| R1138. | 14.2. Release manager should work closely with the software configuration manager to oversee the entire release build process and to ensure that the integrity of the release package and its constituent components is maintained throughout the transition activities.  | Y            |                   |
| R1139. | 14.3. Software configuration manager is responsible for carrying out the actual release build.  | Y            |                   |
| R1140. | 14.4. Release build activities include acquiring service assets (CIs) from developers/vendors, verifying (naming conventions, CI status, etc.), linking, compiling, packaging, assembling, installing, setting up parameters, baselining and calibrating hardware.  | Y            |                   |
| R1141. | 14.5. Software configuration manager should ensure that the release is built in a standard, consistent, and repeatable manner and that any changes to the CIs follow the defined guidelines.  | Y            |                   |
| R1142. | 14.6. Software configuration manager should ensure that the release packages are built so that individual release units can be removed in case defects are discovered during testing activities.  | Y            |                   |
| R1143. | <b>5.3.2 Service Validation and Testing (SV&amp;T)</b>  |              |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1144. | Service Validation and Testing is to ensure that deployed Services meet Customer expectations, and to verify that IT operations are able to support the Service (e.g. new services, additional services, projects, releases, and major changes). Supplier responsibilities include:   |              |                   |
| R1145. | 1. Design and establish an integrated SV&T process to ensure changes to the Services are tested and fit for purpose and use. The design of the testing controls and any changes to that design are subject to VITA and/or designated Customer's prior approval.   | Y            |                   |
| R1146. | 2. As directed by ITISP Governance, the following activities will be supported for releases with identified impact or risk to designated Customers:   | Y            |                   |
| R1147. | 2.1. Create SV&T plans, controls, pilot sites and/or checklists to validate designated Customer acceptance. Obtain designated Customer approval on the required level of validation and testing.  | Y            |                   |
| R1148. | 2.2. Integrate each Service Tower Supplier's testing process with Customer's integrated SV&T process, where the processes interact.   | Y            |                   |
| R1149. | 2.3. Integrate the Customers SV&T process with its other Service Management processes, especially Transition Planning and Support, Release and Deployment Management, Evaluation, Change Management, Service Asset and Configuration Management, and IT Service Continuity Management.  | Y            |                   |
| R1150. | 2.4. Implement validation processes defined by designated Customers and as documented in the service request. Record and report the success and failure of testing as a service including recording failed testing plans and any incidents related to failed testing activities in the period following a deployment of Services. | Y            |                   |
| R1151. | 3. Coordinate with Service Tower Suppliers, Third Party vendors and Customers on the selection of Integrated SV&T tools that support the execution of the integrated SV&T process.  | Y            |                   |
| R1152. | <b>5.3.3 Pre-Production Testing</b>   |              |                   |
| R1153. | Supplier will plan and ensure completion of an integrated pre-production test across all affected Service Towers prior to migrating a system and service into the Customer's Production Environment. Supplier responsibilities include:   |              |                   |
| R1154. | 1. Supplier will provide an independent Quality Assurance (QA) team to verify the release and deployment plan in order to identify risks, issues, and deviations related to the new or changed service.   | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1155. | 2. QA team will prioritize risks, issues, and deviations.  | Y            |                   |
| R1156. | 3. QA team will submit the Pre-Production Validation report to change management.  | Y            |                   |
| R1157. | 4. Incorporate the Pre-Production systems test plan developed by the Service Tower Supplier assigned responsibility for Systems Integration and validating that the tests were completed to Customer's satisfaction. Testing is to include the following as appropriate: | Y            |                   |
| R1158. | 4.1. Customers completion of Functional testing  | Y            |                   |
| R1159. | 4.2. Systems integration testing   | Y            |                   |
| R1160. | 4.3. Data conversion procedures  | Y            |                   |
| R1161. | 4.4. LAN/WAN connectivity testing  | Y            |                   |
| R1162. | 4.5. System load, reliability and performance testing  | Y            |                   |
| R1163. | 4.6. Regression testing  | Y            |                   |
| R1164. | 4.7. Application inter-connectivity testing which simulates Customer's Production Environment – including with COTS and custom-developed applications for compatibility  | Y            |                   |
| R1165. | 4.8. UAT – User Acceptance Testing of a complete whole application   | Y            |                   |
| R1166. | 4.9. Customer approval to release to Production  | Y            |                   |
| R1167. | 5. Perform quality assurance of the Service Management processes and tools to ensure operational readiness such that the new or changed service can be operated and maintained effectively (fit for purpose and use). Key areas to be tested include:                    | Y            |                   |
| R1168. | 5.1. ability of the Service Tower Suppliers to respond to and resolve Incidents within Service Levels (includes testing the accuracy of Configuration data and procedures to be followed);   | Y            |                   |
| R1169. | 5.2. monitoring and reporting tools;   | Y            |                   |
| R1170. | 5.3. effectiveness of training, operating procedures and documentation;  | Y            |                   |
| R1171. | 5.4. effectiveness of service continuity provisions;   | Y            |                   |
| R1172. | 5.5. security management and patching levels;  | Y            |                   |
| R1173. | 6. Manage completion of the approved integrated pre-production test plans prior to migrating code into the Customer's Production Environment.  | Y            |                   |
| R1174. | 7. Coordinate the resolution of test failure issues, including platform-integration-related issues with the appropriate Service Tower Supplier.  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1175. | 8. Consolidate and provide test reports to VITA and Customer that outlines test outcomes and actions being taken to address failures.  | Y            |                   |
| R1176. | 9. Manage completion of post-test mitigation items.  | Y            |                   |
| R1177. | 10. Obtain approval to release to Production.  | Y            |                   |
| R1178. | <b>5.3.4 Post Deployment End User Support</b>  |              |                   |
| R1179. | 1. Establish a special post-deployment support function to accept end user complaints, answer questions, and provide for a list of needed bug fixes.   | Y            |                   |
| R1180. | 2. Monitor and review production errors in order to improve test models over time.   | Y            |                   |
| R1181. | 3. Capture, document and report frequently asked questions.  | Y            |                   |
| R1182. | <b>5.4 Service Asset and Configuration Management (SACM)</b>   |              |                   |
| R1183. | <p>Configuration Management will provide a logical model of the IT infrastructure by identifying, controlling, maintaining, and verifying information related to all Configuration Items that support the Services offered to Customers.</p> <p>Configuration Management will include the implementation of a Configuration Management System which incorporates information from multiple databases (Configuration Management Databases – CMDBs) that contains details of the components or configuration items (CIs) that are used in the provision, support and management of IT Services provided by the ITISP Suppliers and VITA. This is more than just an “asset register,” since it will contain information that relates to the maintenance, movement, and problems experienced with the CI, and their relationships.</p> |              |                   |
| R1184. | <b>5.4.1 Configuration Management</b>  |              |                   |
| R1185. | Supplier responsibilities include:   |              |                   |
| R1186. | 1. Implement a consolidated Configuration Management system (CMS) comprising one or more Configuration Management Databases (CMDB), which contain details of the Configuration Items and their Attributes used in the provision and management of all of the Tower Services comprising the ITISP Services.   | Y            |                   |
| R1187. | 2. Provide electronic interfaces to the Service Tower Suppliers to allow transfer and update of all Configuration Items and their Attributes that are the Service Tower Suppliers’ responsibility.   | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1188. | 3. Create, implement, and maintain a Configuration Management process for all Tower Services comprising the end-to-end services in the Service Catalog that ensures:   | Y            |                   |
| R1189. | 3.1. Accurate Configuration data for the Configuration Items, including operations documents, Equipment, Software and Applications used to provide the Tower Services are maintained.  | Y            |                   |
| R1190. | 3.2. Only authorized and identifiable Configuration Items, including operations documents, Equipment, Software and Applications, are accepted and recorded from receipt to disposal.   | Y            |                   |
| R1191. | 3.3. The Configuration status of the Configuration Items, including operations documents, Equipment, Software and Applications, can be reproduced at any point in time throughout its life-cycle.  | Y            |                   |
| R1192. | 4. Maintain asset inventory for all Tower Services and Supplier managed assets, such that:   | Y            |                   |
| R1193. | 4.1. Enables Supplier and Service Tower Suppliers to record, the individual data elements for each asset as part of the inventory.   | Y            |                   |
| R1194. | 4.2. Enables VITA and Customers approval of the asset inventory and changes to the asset inventory.  | Y            |                   |
| R1195. | 4.3. Provides for controls, processes and notifications that support VITA and the Customers ability to approve and submit corrections to the asset inventory.  | Y            |                   |
| R1196. | 4.4. Enables a common view in terms of information access and presentation by Customers and the Service Tower Suppliers.   | Y            |                   |
| R1197. | 4.5. Provides for the single source to the IT Financial Management System and Chargeback.  | Y            |                   |
| R1198. | Conduct reviews and audits to verify the completeness and accuracy of Configuration Items, including operations documents, Equipment, Software, and Applications. The Supplier will quarterly reconcile, validate, and report that appropriate relationships exist for all Customer Configuration Items (CI) in the CMS. The Supplier will ensure that CIs are properly mapped (e.g. application to server; application to business priority; application to DR priority) in order to support Service Level measurements and the delivery of the Services. | Y            |                   |
| R1199. | 5. Provide Customers with online access to a mirrored copy of the CMS/CMDB which is updated on a no less than weekly basis.  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1200. | 6. Conduct the Configuration Management process to identify, control, maintain, and verify the Configuration Items (CIs) approved by Customers, as comprising the Equipment, Software, and Applications to provide the Services.                                     | Y            |                   |
| R1201. | 7. Implement controls to validate that any change to any CI record in the CMS/CMDB is the result of an approved Request for Change (RFC).  | Y            |                   |
| R1202. | 8. Validate, on a quarterly basis, the currency of the CMDB against source information systems within Service Tower Supplier systems.  | Y            |                   |
| R1203. | 9. Require and facilitate regular inventory reconciliation through random record-to-floor and floor-to-record verification of the Service Tower Suppliers' physical inventories as defined in the SMM.   | Y            |                   |
| R1204. | 10. Maintain a secure audit trail of all CMDB transactions.  | Y            |                   |
| R1205. | 11. Produce periodic reports as necessary, and responding in a timely manner to queries and requests concerning the inventory data or supporting information.  | Y            |                   |
| R1206. | 12. Maintain a secure Definitive Software Library (DSL) that holds the master copy and associated documentation for all Software associated with the ITISP Services, except those versions of Customers Application Software not released into the live environment. | Y            |                   |
| R1207. | 13. Coordinate and consolidate license compliance reporting across the Service Tower Suppliers.  | Y            |                   |
| R1208. | <b>5.4.2 Configuration Management System (CMS/CMDB)</b>  |              |                   |
| R1209. | The Configuration Management System and Configuration Management Database (CMS/CMDB) is a Service Management System. Supplier responsibilities include:  |              |                   |
| R1210. | 1. Provide and maintain a CMS / CMDB that will serve as the single source of information regarding all Configuration Items and assets for Supplier Services, Service Tower Supplier(s) Services, and designated Third Party vendors.                                 | Y            |                   |
| R1211. | 2. Ensure that all Configuration data related to the Services resides in the CMS / CMDB.   | Y            |                   |
| R1212. | 3. The CMS / CMDB will at a minimum support the following:   | Y            |                   |
| R1213. | 3.1. Maintain the relationships between all service components and any related Incidents, problems, known errors, change and release documentation.  | Y            |                   |
| R1214. | 3.2. Provide a customizable set of views for different stakeholders through the service life-cycle.  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1215. | 3.3. Consolidate data from several physical CMDBs as necessary, which may together constitute a federated CMS/CMDB.   | Y            |                   |
| R1216. | 3.4. Automate processes, discovery tools, inventory and validation tools, enterprise systems and network management tools, etc. to load and update the CMS / CMDB.                                      | Y            |                   |
| R1217. | 3.5. Mapping of logical information to physical assets (e.g. Applications, software, DR RTO/RPO, Billing Field, virtual server instance associations with physical hosts)                               | Y            |                   |
| R1218. | 4. Provide efficient methods for Customers and Service Tower Suppliers to validate and correct CMS/DMDB data which may include systems outside of ITISP support.  | Y            |                   |
| R1219. | <b>5.4.3 License Management and Compliance</b>  |              |                   |
| R1220. | Supplier responsibilities include the following:  |              |                   |
| R1221. | 1. Manage compliance with all Software licenses in accordance with the SMM.   | Y            |                   |
| R1222. | 2. Provide for Service Tower specific processes that support the particular licensing associated with the Service Tower Supplier and the Customer use of the Services.                                  | Y            |                   |
| R1223. | 3. Proactively manage the use of the Software in order to maintain strict compliance, including:  | Y            |                   |
| R1224. | 3.1. Immediately notify and advise Customers of all Software license compliance issues associated with the Services and Customers retained Software.  | Y            |                   |
| R1225. | 3.2. For Customers retained Software, track and maintain the applicable licensing and use information received from Customers business units.   | Y            |                   |
| R1226. | 3.3. Report on Equipment with the presence of any unauthorized or non-standard Software.  | Y            |                   |
| R1227. | 3.4. Track license counts and associations including all relevant details (e.g. #cores) within the CMDB.  | Y            |                   |
| R1228. | 3.5. Manage and track security certificates used to secure confidential sessions (e.g. SSL) for Internet and Intranet transactions and communications, including processes and procedures for renewals. | Y            |                   |
| R1229. | 4. Confirm the presence and version of Software installed on a particular device and that those attributes are recorded in the asset management system.   | Y            |                   |
| R1230. | 5. Provide reporting of license information and compliance to Customers, at least quarterly or as directed by Customers.  | Y            |                   |
| R1231. | 6. Provide a mechanism to export data in an automated fashion.  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1232. | 7. Coordinate, require and facilitate the audit and verification of Third Parties as identified by VITA and Customers.  | Y            |                   |
| R1233. | <b>5.5 Knowledge Management</b>   |              |                   |
| R1234. | Knowledge Management seeks to gather, analyze, store and share knowledge and information within the ITISP to improve efficiency by reducing the need to rediscover knowledge. All documentation maintained by Supplier will be subject to approval by VITA and will conform to the documentation standards and format agreed upon and documented in the SMM. Supplier responsibilities include: |              |                   |
| R1235. | 1. Formulate and deploy a Knowledge Management strategy, subject to consultation and approval from VITA and ITISP Governance, to identify relevant service management and governance knowledge and the data and information that support this knowledge.  | Y            |                   |
| R1236. | 2. Formulate a knowledge management taxonomy, which will be approved by VITA.   | Y            |                   |
| R1237. | 3. Deploy and maintain a Service Knowledge Management System (SKMS) that may include designated Customer details within which the Service Tower Suppliers will capture, store, and present information needed to manage the in-scope Services.  | Y            |                   |
| R1238. | 4. Self Help articles should be created and maintained by the supplier and accessible to all Users. Articles available to end-users will be approved by VITA.   | Y            |                   |
| R1239. | 5. Ingestion of current knowledgebase and self-help articles from the current knowledge management tool.  | Y            |                   |
| R1240. | 6. Knowledge articles, available to Service Desk personnel, will include at a minimum:  | Y            |                   |
| R1241. | 6.1. A description of the application/service   | Y            |                   |
| R1242. | 6.2. How to properly categorize the application/service within the SMS  | Y            |                   |
| R1243. | 6.3. Based on impact, the appropriate priority that should be assigned to the Incident or Service Request.  | Y            |                   |
| R1244. | 6.4. In the event the incident can't be resolved, instructions on where (i.e. what queue) the ticket should be routed.  | Y            |                   |
| R1245. | 6.5. When available, a POC/business owner of the applications/service.  | Y            |                   |
| R1246. | 7. Integrate the SKMS within the SMS so knowledge articles can be associated with Incidents and Service Requests.   | Y            |                   |
| R1247. | 8. Provide Customers and Service Tower Suppliers with the ability to review knowledge articles and a process that enables, as needed, changes to existing articles and creation   | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
|        | of new ones. Provide Customers and Service Tower Suppliers with the ability to review knowledge articles related to them; and, provide a process that enables, as needed, changes to existing articles and creation of new ones. |              |                   |
| R1248. | 9. The knowledge management tool should be accessible via all modern browsers (e.g. IE, Chrome, Firefox, etc.)   | Y            |                   |
| R1249. | 10. Develop, implement and maintain a Quality Management process to ensure knowledge articles are captured, stored, and presented accurately and completely.   | Y            |                   |
| R1250. | 11. Provision for integration of existing data (e.g. Knowledgebase Articles, DMDB, Service Desk  | Y            |                   |
| R1251. | <b>5.5.1 Training and Education</b>  |              |                   |
| R1252. | Supplier responsibilities include:   |              |                   |
| R1253. | 1. Schedule and provide and maintain training on Supplier Service Management Systems and the supporting processes to Suppliers, Customers and designated Third Party vendors.  | Y            |                   |
| R1254. | 1.1. Provide on-going methods for training as tools and processes are updated.   | Y            |                   |
| R1255. | 1.2. Ensure that all training is specific to the Managed Environment and applicable to Customers and Suppliers.  | Y            |                   |
| R1256. | 1.3. Training material should be made available online for future reference of for Customers that cannot attend live training.   | Y            |                   |
| R1257. | 1.4. Online training material should be accessible by all Users and in the form of CBTs.   | Y            |                   |
| R1258. | 1.5. Provide onsite, live training, for Customers that manage queues within the tool, are responsible for pulling data, etc.   | Y            |                   |
| R1259. | 1.6. Onsite training should cover, at a minimum:   | Y            |                   |
| R1260. | 1.6.1. How to login/logout   | Y            |                   |
| R1261. | 1.6.2. Explanation of basic fields needed to understand the Customer impacted, the service/application impacted, the priority, who submitted the request, etc.   | Y            |                   |
| R1262. | 1.6.3. How to access tickets assigned to their queue and the ability to reassign them to another queue.  | Y            |                   |
| R1263. | 1.6.4. How to resolve/close an Incident or Service Request   | Y            |                   |
| R1264. | 1.6.5. How to export data from the tool  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1265. | 1.6.6. Method to request changes such as adding/removing users from assignment groups/queues.   | Y            |                   |
| R1266. | 2. Maintain training material for Supplier staff and Service Tower Supplier staff that includes at least the following information: the Services being provided, the value of these Services to Customers, the financial structure of charges, orientation and summaries on Customers business units, VITA Rules, Security Policies, security awareness training, orientation to all applicable laws and regulations, the location of document stores, and the structure and location of the Service Management Manual. | Y            |                   |
| R1267. | 3. Satisfy Customers that all Training material meets the minimum requirements for preparing Supplier staff to support the delivery of Services, and engaging in updates of Training material shown to be deficient within designated timeframes.   | Y            |                   |
| R1268. | 4. Provide that all staff interacting with Customers business units have reviewed the minimum set of documentation.   | Y            |                   |
| R1269. | 5. Report on the effectiveness of such training and the metrics associated with each staff that received training.  | Y            |                   |
| R1270. | 6. Upon request provide such documentation and training to Customers or designated Third Parties.   | Y            |                   |
| R1271. | 7. Ensure that knowledge from previous staff in particular functions and positions is transitioned to new staff and documented in the SKMS.   | Y            |                   |
| R1272. | 8. Provide the ability to report on who has attended training to include Users, Supplier Personnel and Key Users. Identify potential training requirements, and provide recommended training actions to VITA and ITISP Governance.  | Y            |                   |
| R1273. | 9. Schedule and provide training on basic IT services for Users, based on the needs of Customers  | Y            |                   |
| R1274. | 9.1. Provide online and, as needed, onsite training The content of the class, as approved by VITA, will include the following:  | Y            |                   |
| R1275. | 9.1.1. A general introduction to Customers policies and procedures, and typical Equipment and Software for Users.   | Y            |                   |
| R1276. | 9.1.2. Basic security policy and security awareness.  | Y            |                   |
| R1277. | 10. Schedule and provide training, as approved by VITA, to serve the specific users designated by Customers associated with the consumption of the Services. The training   | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
|        | would be associated with any systems and tools provided by Supplier and Service Tower Suppliers. The content of the class, as approved by VITA, will include the following:  |              |                   |
| R1278. | 10.1. Provide Key User training and associated documentation (e.g. user guide) for all Services.   | Y            |                   |
| R1279. | 10.2. Schedule and provide for individual products either on a requested basis or as a proactive step as part of an implementation project of a new technology or Standard Services.   | Y            |                   |
| R1280. | 10.3. Customize such training so that it is specific to the Key Users for the Services within the Customers environment.   | Y            |                   |
| R1281. | 10.4. Provide multiple levels of training for specific Supplier applications (e.g. beginner and intermediate training in standard applications used by Key Users and provided as part of Services).  | Y            |                   |
| R1282. | 10.5. Provide training in the use of Equipment and/or Software that are used by Key Users (or that will be used as part of a new technology or service roll-out).  | Y            |                   |
| R1283. | 10.6. Continually investigate and analyze Key User training needs. Such analysis will be performed with the objectives of reducing the frequency of Calls to the Service Desk and preparing Key Users for the introduction of new technology and procedures.   | Y            |                   |
| R1284. | <b>5.5.2 Document Data Store</b>   |              |                   |
| R1285. | Supplier is responsible for providing tools and processes for the storage of account documentation, including the Service Management Manual, Service Knowledge Management System, knowledge bases of Incident and Problem resolution workarounds, Training Material, FAQs, and similar documentation for their own organization as well as from Service Tower Suppliers, VITA, Customers and designated Third Parties. These tools, processes and procedures must provide for effective data sharing and profiling across Service Tower Suppliers and Third Party vendors, and Customers business units.<br><br>The Document Data Store is a Service Management System. Supplier responsibilities include: |              |                   |
| R1286. | 1. Provide processes, procedures and tools for integration to the Document Data Store.   | Y            |                   |
| R1287. | 2. Provide select users and suppliers with access to the SMS, SKMS, etc. Implement process and procedures for the storage of documentation, including the Service Management Manual, knowledge base of Incident and problem resolution   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
|        | workarounds, Training Material, FAQs, and similar documentation for their own organization.   |              |                   |
| R1288. | 3. Cooperate with Service Tower Suppliers and Third Party vendors, Customers business units, as specified by Customers to facilitate effective data sharing and profiling.  | Y            |                   |
| R1289. | <b>5.5.3 Contract Management</b>  |              |                   |
| R1290. | Effective governance and integration of the ITISP Services requires a clear understanding of the obligations and responsibilities of the Supplier's agreement and the Service Tower Supplier agreements. As such, Supplier must be involved in a level of contract management with VITA. Supplier responsibilities include: |              |                   |
| R1291. | 1. Provide a document management system for the controlled versioning of contracts across multiple providers.   | Y            |                   |
| R1292. | 2. Track changes in contractual agreements across the ITISP Services.   | Y            |                   |
| R1293. | 3. Provide a system for compliance obligation management that captures, analyzes and reports on the execution of the Services against contractual obligations.  | Y            |                   |
| R1294. | 4. Capture the obligations and responsibilities of all Supplier and Service Tower Suppliers.  | Y            |                   |
| R1295. | 5. Track the performance and compliance of all Supplier and Service Tower Suppliers in meeting contractual obligations and responsibilities.  | Y            |                   |
| R1296. | <b>5.5.4 Site Information Management</b>  |              |                   |
| R1297. | Supplier responsibilities include:  |              |                   |
| R1298. | 1. Manage the inventory of all locations receiving Services and designated by VITA, and validate the site information.  | Y            |                   |
| R1299. | 2. Maintain a comprehensive and master listing of Customer sites receiving ITISP Services.  | Y            |                   |
| R1300. | 3. Maintain meaningful cross-references to site nomenclature and identifiers from VITA, Customer and Third Party vendor systems.  | Y            |                   |
| R1301. | 4. Ensure that site information is accurately maintained and distributed to support the delivery of Services, and in a manner consistent with all of Configuration Management and Knowledge Management.   | Y            |                   |
| R1302. | 5. Provide automated procedures for Customers to request changes to the site information.   | Y            |                   |
| R1303. | <b>5.5.5 Customer Information Management</b>  |              |                   |
| R1304. | Supplier responsibilities include:  |              |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1305. | 1. Manage a list of Customer information for use by the Service Tower Suppliers with detail identified in the SMM  | Y            |                   |
| R1306. | 2. Provide for the Customer information to support the Service Management Systems  | Y            |                   |
| R1307. | 3. Track the users of Customer information   | Y            |                   |
| R1308. | 4. Provide for tracking business units of Customers and sub-units  | Y            |                   |
| R1309. | <b>6.0 SERVICE OPERATION</b>   |              |                   |
|        | <b>6.1 Service Desk</b>  |              |                   |
| R1310. | <p>The Supplier will undertake Service Operation processes for providing and managing Service for Customer's business and Users within the Service Levels for all Tower Services. Refer to <b><i>Environment Overview Appendix B6: Service Desk Environment</i></b> for an overview of the existing Service Desk operations.</p> <p>The Service Operation processes described in this section are as follows:<br/>Service Desk</p> <ul style="list-style-type: none"> <li>• Event Management</li> <li>• Incident Management</li> <li>• Problem Management</li> <li>• Request Management and Fulfillment</li> <li>• Access Management</li> </ul> <p>The Service Desk provides a strategic central point of contact for Customers regarding the Services provided by the Service Tower Suppliers. The Service Desk supports the Main Processes for Service Operations (i.e. Event Management, Incident Management, Problem Management, Request Management, Access Management) providing an operational single point of contact to manage information, communication and service delivery. Supplier responsibilities include:</p> |              |                   |
| R1311. | 1. Require and facilitate Service Tower Supplier(s) support for Users for both inbound and outbound support (e.g. contacts to other levels of support, vendors and support groups). Users can call the Service Desk for all services, which are considered in-scope.   | Y            |                   |
| R1312. | 2. Creation and management of all contacts from Users relating to in-scope Services, including the following:  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1313. | 2.1. Log all relevant details, within an Incident or Service Request, in the appropriate Service Management System (SMS).  | Y            |                   |
| R1314. | 2.2. Assign categorization and prioritization codes.   | Y            |                   |
| R1315. | 2.3. Prioritization of Incidents and Service Requests will be based on the priority matrix provided by VITA.   | Y            |                   |
| R1316. | 2.4. Providing first-line investigation and triage in an attempt to resolve customer issues.   | Y            |                   |
| R1317. | 2.5. Resolving tickets in accordance with the agreed upon Service Levels.  | Y            |                   |
| R1318. | 3. Develop and maintain a Knowledge Database that is accurate, compliant and accessible by all Service Desk Personnel  | Y            |                   |
| R1319. | 4. Ensure contacts (e.g. call for an Incident or Service Request) are routed to the appropriate resolver. The % of Incidents/Service Requests, which were misrouted, should be provided to VITA.                         | Y            |                   |
| R1320. | 4.1. Provide centralized account administration to perform tasks such as account provisioning, password resets, account unlocks, etc.  | Y            |                   |
| R1321. | 4.2. Provide tools and staff to remote into User's PCs to improve first call resolution and reduce mean time to resolution.  | Y            |                   |
| R1322. | 4.3. Escalate Incidents and Service Requests that are not resolved within the agreed upon Service Levels.  | Y            |                   |
| R1323. | 4.4. Communicate with Users by keeping them informed of Incident and Service Request creation, suspension, actions requiring their input/approval, resolution and closure.   | Y            |                   |
| R1324. | 4.5. Make appropriate updates to the Service Management Systems (SMS) in compliance with their Main Processes (e.g. updating Configuration Management System in compliance with the Configuration Management processes). | Y            |                   |
| R1325. | 4.6. Ensure that communications, notices and updates to the Service Management Systems (SMS) are completed in the timeframes as prescribed in the Main Processes policy and process documentation.                       | Y            |                   |
| R1326. | 4.7. Ensure closure of all tickets (e.g. Resolved Incidents, Completed Service Requests) from contacts in accordance with the Service Management Manual.   | Y            |                   |
| R1327. | 4.8. Retain overall responsibility and ownership of all Incidents and Service Requests from the time they're created until they are resolved.  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1328. | 4.9. Require and facilitate improvements in the environment to reduce contact volume to the Service Desk (e.g. continuous improvement and enhancement of the Portal and the self-help features and functions)   | Y            |                   |
| R1329. | 5. Provide multiple methods for contacts for Users, including at a minimum phone calls, email, chat, and web entry and other methods as approved by VITA.   | Y            |                   |
| R1330. | 6. Provide processes, controls and tools to enable entitlement/identification of Users as approved by VITA.   | Y            |                   |
| R1331. | 7. Provide processes to support the use and Customer review of Customer provided Service Desk attendant scripts that include Customer specific scripts as required, for supporting Incidents and Service Requests related to the ITISP Services, Customers specific Applications, systems, sites, etc.  | Y            |                   |
| R1332. | 8. Provide controls and procedures for Support groups to contact each other in the most efficient manner (e.g. Service Tower to Service Tower, or Application Support to Service Tower, Service Tower to Customer Service Desk, or MSI Service Desk to Customer Service Desk) that meets the objectives of Incident Management.                         | Y            |                   |
| R1333. | 9. Provide a means for Users to provide feedback, via a survey, upon ticket resolution.   | Y            |                   |
| R1334. | 10. The Request Management Systems needs to have the ability to manage request dependencies through a Parent/child relationship. Users should be given the ability to reopen an Incident, or Service Request, in the event their issue hasn't been resolved/completed. The % of Incidents/Service Requests requiring rework should be provided to VITA. | Y            |                   |
| R1335. | 11. Develop and document processes regarding interfaces, interaction, and responsibilities between differing support levels, and any other internal or external persons or entities (e.g., Customer application support) that may either submit or receive a ticket.  | Y            |                   |
| R1336. | 12. Provide process for the continuous evaluation (e.g. ticket and call quality) of Service Desk personnel on behalf of the Service Tower Suppliers, VITA and Customers.  | Y            |                   |
| R1337. | 13. Provide for correlation of Events and Incidents for proactive actions.  | Y            |                   |
| R1338. | 14. Investigate related Events from the Event Correlation and Monitoring System.  | Y            |                   |
| R1339. | 15. Investigate related Incidents from the Incident Management System.  | Y            |                   |
| R1340. | 16. Provide analysis to create any required Incidents and Problems.   | Y            |                   |
| R1341. | 17. Provide routing of Incidents and Problems to appropriate resolver groups in a timely fashion.   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1342. | 18. Ensure that the Service Desk is available at all times (i.e. 24x7x365).   | Y            |                   |
| R1343. | 19. Provide a single, toll-free telephone number for external calls to the Service Desk from Users, and provide VITA and local Customers with an alternative local number.  | Y            |                   |
| R1344. | 20. The telephony system implemented should meet the following requirements:  | Y            |                   |
| R1345. | 20.1. Infrastructure should reside in the continental US.   | Y            |                   |
| R1346. | 20.2. All calls should be recorded, and made available to Customers, for an agreed upon period of time  | Y            |                   |
| R1347. | 20.3. Provide the ability to assign multiple front-end options  | Y            |                   |
| R1348. | 20.4. Provide the ability to post a global outage message on the front-end  | Y            |                   |
| R1349. | 20.5. Ability to route to a number of skillsets and the ability to limit some calls from rolling out a particular skillset.   | Y            |                   |
| R1350. | 20.6. Capability for "blind option" which, when selected, will put a user ahead of other callers.   | Y            |                   |
| R1351. | 20.7. Provide "soft phone" capabilities, which allows associates to log into the telephony system when not onsite.  | Y            |                   |
| R1352. | 20.8. Failover capabilities in the event of a disaster or if production infrastructure fails.   | Y            |                   |
| R1353. | 21. Ensure that each work shift has a turnover process to update the next work shift regarding status of key incidents, incident hand-offs and general knowledge transfer to ensure that Customer problems are resolved in a timely manner. | Y            |                   |
| R1354. | 22. Provide an effective means of using industry recognized methods to determine, measure and monitor staffing levels, requirements and allocations, including the use of the following considerations:                                     | Y            |                   |
| R1355. | 22.1. Meet, or exceed, the agreed upon Service Levels.  | Y            |                   |
| R1356. | 22.2. Ability to scale in order to handle an unexpected increase in call volume.  | Y            |                   |
| R1357. | 22.3. Infrastructure is scoped, designed and built to handle the expected number of concurrent calls, emails, web tickets, chats, etc.  | Y            |                   |
| R1358. | 22.4. Ability to produce agent specific measures needed for effective call center management (e.g. wrap-up, idle, occupancy, sign-on%, adherence/compliance, etc.).   | Y            |                   |
| R1359. | 22.5. Contact types (e.g. Incidents, Service Requests), including duration of time required for call types, local or external expertise required, and the volume of Contact types.  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1360. | 23. Providing evidence to Customers that agents have taken Customer specific training on completion and upon request produce evidence (e.g. a certificate) that agents have taken Customer specific training. | Y            |                   |
| R1361. | 23.1. Appropriately staff based on the expected volume of responses required (e.g. chat, telephone, and email).   | Y            |                   |
| R1362. | 23.2. Ensure Service Desk staff are able to attend training on new products/services or required training as defined by Customers and documented in SMM.  | Y            |                   |
| R1363. | 24. Provide training to Service Desk personnel on ITISP procedures, Service Tower Suppliers, Customer processes, etc.   | Y            |                   |
| R1364. | 24.1. Provide onboarding training and, as needed, ongoing training for Service Desk personnel   | Y            |                   |
| R1365. | 24.2. Training to ensure Service Desk personnel can support current and future technologies introduced into the environment.  | Y            |                   |
| R1366. | 24.3. Training for specific Service Desk personnel to meet Customer specific requirements   | Y            |                   |
| R1367. | 24.4. Provide background checks as needed for specific Customers.   | Y            |                   |
| R1368. | 24.5. Communicate to Users in English, using terms that are clearly understood by the Users and consistent with those used by VITA.   | Y            |                   |
| R1369. | 25. The Service Desk will be located in approved Supplier facilities (i.e., an off-site location from VITA), approved by VITA, within the continental United States (U.S.).                                   | Y            |                   |
| R1370. | 25.1. Where more than one Supplier facility is approved by VITA, any switching/failover between the sites must be transparent to Users.   | Y            |                   |
| R1371. | 25.2. All Service Desk personnel must be U.S. citizens or legally authorized to work in the US.   | Y            |                   |
| R1372. | 25.3. Ensure that Service Desk personnel possess the appropriate technical and soft skill competencies to provide Service Desk Services.  | Y            |                   |
| R1373. | 25.4. Supplier will register and participate in the Federal Employment Eligibility Verification Program "E-Verify".   | Y            |                   |
| R1374. | 25.5. The Service Desk will maintain a list of users with approval authority for Incidents and Service Requests.  | Y            |                   |
| R1375. | 25.6. The Service Desk will maintain a list of VIP users that will receive expedited services.  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1376. | 26. Conduct continual improvement activities to review Service Desk processes, procedures and knowledgebase articles.   | Y            |                   |
| R1377. | 27. Provide input and feedback to the Knowledge Database based on analysis of contacts, Incidents and Problems.   | Y            |                   |
| R1378. | <b>6.1.1 Service Desk FAQ</b>   |              |                   |
| R1379. | Supplier responsibilities include:  |              |                   |
| R1380. | 1. Provide and routinely update, in accordance with the Service Management Manual, a list of Frequently Asked Questions regarding the Services on the Portal. | Y            |                   |
| R1381. | 2. Compile lists of FAQs where recommended solutions can be made available to Users to increase their ability to Resolve Incidents.                           | Y            |                   |
| R1382. | 3. FAQ should be published on a site that is accessible internally and external of the domain.  | Y            |                   |
| R1383. | 4. Integrate into SSO solution in order to provide the capability to limit information to customers that are only applicable to their agency.                 | Y            |                   |
| R1384. | 5. Publish FAQs lists for Customers, subject to approval by VITA.   | Y            |                   |
| R1385. | <b>6.1.2 Service Desk Reporting</b>   |              |                   |
| R1386. | Supplier responsibilities include:  |              |                   |
| R1387. | 1. Provide daily, monthly, and as requested ad hoc reports to VITA on Service Desk activities and performance, which at a minimum includes:                   | Y            |                   |
| R1388. | 1.1. Key issues relating to Service Desk processes, improvements, script development.   | Y            |                   |
| R1389. | 1.2. Status as to Service Desk staffing, training, and authorization.   | Y            |                   |
| R1390. | 1.3. Integration activities and issues with other Service Desks belonging to Customers and Service Tower Suppliers as directed by VITA.                       | Y            |                   |
| R1391. | 1.4. Trend analysis during the thirteen (13) most recent months.  | Y            |                   |
| R1392. | 1.4.1. Number of contacts, to include all methods of contacts (e.g., calls, email, web, chat)   | Y            |                   |
| R1393. | 1.4.2. Percent of calls abandoned, % of tickets resolved, average speed to answer, average call duration, and average time to abandon                         | Y            |                   |
| R1394. | 1.4.3. Number and percentage of contacts passed to other Service Desks.   | Y            |                   |
| R1395. | 1.4.4. Daily and Month-to-date numbers for Incidents and Service Requests by priority.  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1396. | 1.4.5. Aging reports of tickets left unresolved   | Y            |                   |
| R1397. | 1.4.6. Other reports as needed regarding Service Desk operation and performance and any report included in <b>Exhibit 3.4 (Reports Matrix)</b>  | Y            |                   |
| R1398. | <b>6.1.3 Service Desk Location</b>  |              |                   |
| R1399. | In support of legislative findings that the economy of Southwest Virginia has not kept pace with that of the rest of the Commonwealth, and consistent with the allocation of public funds in support of economic development activities in Southwest Virginia, Service Desk support is currently provided to the Commonwealth by resources located in Southwest Virginia. The Commonwealth has a strong desire for Service Desk support services to be located in and provided from Southwest Virginia going forward. For this purpose, "Southwest Virginia" means the seven county and one city region of Virginia: Lee, Wise, Scott, Buchanan, Russell, Tazewell and Dickenson Counties and the City of Norton. |              |                   |
| R1400. | <p>1. Provide Service Desk support services to meet proposed support levels with resources located in Southwest Virginia.</p> <p>If yes, use the applicable section of <b>Exhibit 2.3 (Solution)</b> to describe the manner in which Supplier's solution will meet this Requirement, and within <b>Exhibit 4.1 (Pricing and Volumes Matrix)</b> provide a cost analysis identifying any additional cost of having the Service Desk support resources located in Southwest Virginia versus the cost of providing Service Desk support with resources located elsewhere.</p>  | Y            |                   |
| R1401. | <p>2. Provide Service Desk support services to meet proposed support levels with resources located in Virginia but outside Southwest Virginia.</p> <p>If yes, use the applicable section of <b>Exhibit 2.3 (Solution)</b> to describe the manner in which Supplier's solution will meet this goal, and within <b>Exhibit 4.1 (Pricing and Volumes Matrix)</b> provide a cost analysis identifying any additional cost of having the Service Desk located elsewhere in Virginia versus the cost of providing Service Desk support with resources located outside Virginia.</p>   | Y            |                   |
| R1402. | <b>6.2 Incident Management</b>  |              |                   |
| R1403. | Incident Management seeks to manage the life-cycle of all Incidents. The Incident Management discipline will encompass Incident Management processes deployed across all Service Tower Suppliers that are designed to: restore service as quickly as possible, minimize disruption to the   |              |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
|        | Customers or Customers business unit, aim for best levels of availability and service quality, promote completely transparent and auditable delivery of service, promote clear communications and the highest level of user satisfaction. Supplier responsibilities include:   |              |                   |
| R1404. | 1. Provide an Incident Management process that will restore service operation as quickly as possible with minimum disruption to the business, Develop and document processes and procedures regarding interfaces, interaction, and responsibilities between various levels of Support and any other internal or external persons or entities that may report an Incident, receive an Incident, or support the Resolution of Incidents. | Y            |                   |
| R1405. | 2. Provide a mechanism for handling of Incidents according to the agreed to prioritization model, provided by VITA, used to assign Severity Level in compliance with the Incident Management and Problem Management Processes described in the Service Management Manual.  | Y            |                   |
| R1406. | 3. Develop and maintain a process to prioritize and escalate Incidents from Customers, designated Users, VIP Users, etc.   | Y            |                   |
| R1407. | 4. Provide a mechanism for expedited handling and increased communication of Incidents that are of high business priority to VITA, Customers, and Third Party Vendor(s), based on the assigned Severity Level, in compliance with the Escalation Processes described in the Service Management Manual.   | Y            |                   |
| R1408. | 5. Provide a process that will ensure that Supplier coordinates multi-tower tickets between towers and Customers.  | Y            |                   |
| R1409. | 6. Develop and maintain processes and personnel for the purpose of managing critical incidents within the environment. Activities should include:  | Y            |                   |
| R1410. | 6.1. Escalation of incident to resolver, or resolvers, to ensure incident receives immediate attention.  | Y            |                   |
| R1411. | 6.2. When needed, coordinate conference calls with the necessary towers/vendors in order to appropriately triage the issue.  | Y            |                   |
| R1412. | 6.3. Provide ongoing communications to Customers and key stake holders regarding that status of a critical issue until it has been resolved.   | Y            |                   |
| R1413. | 7. Oversee and coordinate restoration of normal service operations as quickly as possible, with minimum disruption to Customer's Business operations, and in compliance with Service Levels.   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1414. | 8. Review completeness of Critical Incidents (e.g. work detail notes) and perform a management review by Service Towers every week and report accordingly to VITA and in accordance with the SMM. | Y            |                   |
| R1415. | 9. Coordinate Incident tracking efforts, and provide and maintain regular communications, per the Service Management Manual, between all parties and Users until Incident Resolution.             | Y            |                   |
| R1416. | 10. Develop, utilize, manage and continually improve an inventory of defined and documented Incident models that incorporate at a minimum the following elements:                                 | Y            |                   |
| R1417. | 10.1. Sequences of tasks, actions or steps to execute the Incident model and resolve the Incident.  | Y            |                   |
| R1418. | 10.2. Identification of required dependencies, data sources, etc. that must be considered in executing the Incident model.  | Y            |                   |
| R1419. | 10.3. Definition of responsibilities and roles to execute the Incident model.   | Y            |                   |
| R1420. | 10.4. Timescales, milestones and thresholds for executing the Incident model.   | Y            |                   |
| R1421. | 10.5. Anticipated escalation points and escalation procedures associated with the Incident model.   | Y            |                   |
| R1422. | 11. Initiate Problem Management as appropriate and at a minimum when:   | Y            |                   |
| R1423. | 11.1. The service is still interrupted, and a workaround is not available;  | Y            |                   |
| R1424. | 11.2. The root cause of the Incident has not been identified;   | Y            |                   |
| R1425. | 11.3. Multiple occurrences of an Incident warrant a Root Cause Analysis; or   | Y            |                   |
| R1426. | 11.4. VITA or Customers request (see Problem Management).   | Y            |                   |
| R1427. | 12. Analyze Incident trends, and recommend and implement actions to reduce Incidents, including:  | Y            |                   |
| R1428. | 12.1. Communicate to VITA and Customers with alerts advising of any new or changed information to the handling of Incidents.  | Y            |                   |
| R1429. | 12.2. Collate Incident information from Users regarding suggested improvements to Supplier's service.   | Y            |                   |
| R1430. | 12.3. Develop an Action Plan on a quarterly basis to address these suggested improvements.  | Y            |                   |
| R1431. | 12.4. Review the Action Plan with ITISP Governance and implement with VITA's approval.  | Y            |                   |
| R1432. | <b>6.2.1 All Incidents</b>  |              |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1433. | Supplier responsibilities include:   |              |                   |
| R1434. | 1. Receive and record all Incidents (including submissions received by telephone, electronically, or other means approved by VITA) in an Incident Record or Service Request Record as appropriate, including classification and initial support.     | Y            |                   |
| R1435. | 2. Enable Incident detection by Supplier and Service Tower Suppliers (including links to event monitoring tools), reporting, recording, classification and initial support.  | Y            |                   |
| R1436. | 3. Establish the priority of Incident based on prioritization criteria (e.g. scripts, diagnostic tools, etc.) as approved by VITA.   | Y            |                   |
| R1437. | 4. Provide Incident investigation, diagnosis, impact analysis, and reclassification as required.   | Y            |                   |
| R1438. | 5. Utilize and update the Incident Management System with all relevant information relating to an Incident within the designated time and in a complete manner.  | Y            |                   |
| R1439. | 6. Make an initial determination of the potential Resolution and document in the Incident Management System.   | Y            |                   |
| R1440. | 7. Resolve Incidents requiring Level 1 Support and close after receiving confirmation to close from the affected User.   | Y            |                   |
| R1441. | 8. For Incidents reported via an Event detection tool, receive confirmation to close from Supplier and Service Tower Supplier support personnel.   | Y            |                   |
| R1442. | 9. Ensure resolution of Incidents arising from or related to the Services, including break/fix Hardware and Software support.  | Y            |                   |
| R1443. | 10. Act proactively, and coordinate with all other third parties to Resolve Incidents and action Service Requests in a way that ensures effective coordination and avoids conflict of resource allocations, control objectives, etc.                 | Y            |                   |
| R1444. | 11. Transfer Incidents within specified time limits to the appropriate party without compromising Service Levels or security requirements.   | Y            |                   |
| R1445. | 12. Ensure that proper escalation and prioritization policies and procedures are properly managed to ensure that Incident response and resolution is handled within the intents and guidelines of the prioritization model as documented in the SMM. | Y            |                   |
| R1446. | 13. Provide or coordinate the final Resolution including Service Request Management.   | Y            |                   |
| R1447. | 14. Ensure proper testing of Incident resolution responses to ensure effective resolution and closure of the Incident while avoiding and minimizing impact to the Customer.  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1448. | 15. Escalate issues to the appropriate levels and functions for Resolution in accordance with escalation procedures approved by VITA.  | Y            |                   |
| R1449. | 16. Escalate an Incident where the Incident cannot be Resolved within the Service Levels or agreed timeframe.  | Y            |                   |
| R1450. | 17. Ensure consistent ownership of the Incident from recording to Resolution.  | Y            |                   |
| R1451. | 18. Record all information on the details of the Incident and the corrective action for later statistical analysis.  | Y            |                   |
| R1452. | 19. Review Incidents as necessary to ensure proper categorization, documentation, confirmation of resolution and activities required to initiate appropriate actions (e.g. configuration information updates, creation of problem records, etc.).                | Y            |                   |
| R1453. | 20. Provide review to VITA to show conformance to policy and process requirements.   | Y            |                   |
| R1454. | 21. Review Incident Record(s) to show all User interactions, including all customer notifications, customer agreement as to closure, and customer agreement as to classification prior to closure.   | Y            |                   |
| R1455. | 22. Review Incident Record(s) to assure that associated Incidents, such as duplicate Incidents, are properly noted to preserve complete and accurate record.   | Y            |                   |
| R1456. | 23. Leverage a knowledge base to assist with the Resolution of Incidents and the processing of Service Requests, including:  | Y            |                   |
| R1457. | 23.1. Make the knowledge base available on the Portal to Users for user self-help.   | Y            |                   |
| R1458. | 23.2. Track the use of the knowledge base and report usage statistics to VITA on a monthly basis, or as requested by VITA (i.e. the number of Incidents Resolved using the knowledge base).  | Y            |                   |
| R1459. | 24. Where Incidents relate to the move of Assets, update in all relevant configuration management systems (e.g. CMS / CMDB), or coordinate with the relevant process to confirm updates are made.  | Y            |                   |
| R1460. | 25. Where Incidents require the changing of software or hardware assets submit a request for change through the Change Management Process and update the Definitive Software Library (DSL) or coordinate using the relevant process to confirm updates are made. | Y            |                   |
| R1461. | 26. Where Incidents result in a Change in the IT environment, initiate and manage such Changes through the Change Management process as appropriate.   | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1462. | 27. Reviewing and recommending resolution plans for Priority 1 and 2 Incidents to the relevant Customers service owner based on the Supplier recommendation, and managing implementation after Customer's approval.  | Y            |                   |
| R1463. | 28. Provide for closure procedures   | Y            |                   |
| R1464. | 29. Require confirmation of the affected User before closing a ticket.   | Y            |                   |
| R1465. | 30. Prompt for closure when Incident is indicated as Resolved.   | Y            |                   |
| R1466. | 31. Resolve Incidents by matching Incidents to known errors that are stored in a Known Error Database.   | Y            |                   |
| R1467. | <b>6.2.2 Incidents Only Partially Related to Services</b>  |              |                   |
| R1468. | Supplier responsibilities include:   |              |                   |
| R1469. | 1. Continue to work toward Resolution of the portion of the Incident relevant and related to Services, in compliance with All Incident processes, the Service Management Manual and within agreed Service Levels.  | Y            |                   |
| R1470. | 2. Assign the resolution of the remaining part(s) with Customers or other Third Party, without compromising Service Levels.  | Y            |                   |
| R1471. | 3. Record the Incident or other tracking information provided by Customers or other Third Party.   | Y            |                   |
| R1472. | 4. Record contact information of other parties as appropriate to ensure appropriate follow-up and facilitate auditing (e.g. names, phone numbers, emails, etc.).   | Y            |                   |
| R1473. | 5. Communicate status updates to Customers and Users in compliance with the Service Management Manual and within agreed Service Levels.  | Y            |                   |
| R1474. | <b>6.2.3 Major Incident Management</b>   |              |                   |
| R1475. | Major Incident Management is a specialized form of Incident Management, to provide swift recovery to serious interruptions of business activities and must be Resolved with high degree of urgency. Major Incidents often require additional levels of communication and coordination and engage specialist support groups or Third Party Vendors (e.g. Level 3 Support).<br><br>Major Incidents are defined by the impact outage has or could have on Customer's business and may be determined by the urgency and priority of the Incident. Supplier responsibilities include: |              |                   |
| R1476. | 1. Develop and document the standard process for managing Major Incidents (the highest level of prioritization according to the agreed prioritization model) from identification through closure.  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1477. | 2. Provide identification and assignment of the Incident (and the execution of the applicable processes) to an Incident Manager that provides an appropriate level of dedicated attention to the Incident.  | Y            |                   |
| R1478. | 3. Formulate a team (scoped as appropriate to the type of Incident) to work under the direct leadership of the Incident Manager, in order to concentrate on this Incident alone to ensure that adequate resources and focus are provided to finding a swift resolution. | Y            |                   |
| R1479. | 4. Establish and provision any supporting conference bridges, on-line work spaces, or war rooms that may be required to support the effective facilitation of Incident diagnosis and resolution.  | Y            |                   |
| R1480. | 5. Provide management and control of the Incident from identification to resolution, including the following:   | Y            |                   |
| R1481. | 5.1. Review the proposed Resolution time for each Incident with the appropriate party and update the status accordingly.  | Y            |                   |
| R1482. | 5.2. Coordinate Incident tracking efforts, and provide and maintain regular communications between all parties and Users until Incident Resolution.   | Y            |                   |
| R1483. | 5.3. Keep Customers informed of changes in Incident status throughout the Incident life cycle, in accordance with Service Levels.   | Y            |                   |
| R1484. | 5.4. Keep Customers informed of anticipated Resolution times for active Incidents.  | Y            |                   |
| R1485. | <b>6.2.4 Incident Escalation</b>  |              |                   |
| R1486. | Supplier responsibilities include:  |              |                   |
| R1487. | 1. For Incidents not resolved in the agreed time frame, provide a process for escalating to Supplier's management.  | Y            |                   |
| R1488. | 2. Provide process and procedures for Customers and Service Tower Supplier(s) to escalate Incidents.  | Y            |                   |
| R1489. | 3. Define and maintain Incident escalation procedures in the Service Management Manual.   | Y            |                   |
| R1490. | 4. Escalate Incidents according to processes and procedures documented in the Service Management Manual.  | Y            |                   |
| R1491. | 5. Automatically prioritize high-impact Incidents, as defined by VITA, such that they are treated with the highest priority.  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1492. | 6. Implement escalation process and procedures that reflect and describe at a minimum the following items:  | Y            |                   |
| R1493. | 6.1. Severity Level of the Incident.  | Y            |                   |
| R1494. | 6.2. Impact on affected Users (e.g. location of the Incident, names and/or number of users).  | Y            |                   |
| R1495. | 6.3. Priority of the User (e.g. Executive Director, Legislative request, etc.).   | Y            |                   |
| R1496. | 6.4. Elapsed time before an Incident is escalated for Resolution as if it were the next higher Severity Level.  | Y            |                   |
| R1497. | 6.5. The levels of involvement (and notification), for escalation of Incidents, of Supplier management and Customers management at each Severity Level.       | Y            |                   |
| R1498. | 6.6. Investigative and diagnostic activities to identify temporary workarounds for each Incident.   | Y            |                   |
| R1499. | 6.7. Incident Resolution activities to restore normal service in compliance with the Service Levels.  | Y            |                   |
| R1500. | 6.8. Ability to Resolve Incidents by matching Incidents to known errors that are stored in a Known Error Database.  | Y            |                   |
| R1501. | 6.9. Ability to Resolve Incidents by implementing workarounds that are stored in a Known Error Database.  | Y            |                   |
| R1502. | 6.10. Process used to escalate Incidents to appropriate support teams when necessary.   | Y            |                   |
| R1503. | 6.11. Process used to escalate Incidents to Supplier's management team or VITA's and Customers' management team.  | Y            |                   |
| R1504. | 7. Track information regarding escalations to include frequency of usage by Customers and Service Tower Supplier.   | Y            |                   |
| R1505. | <b>6.2.5 Incident Management System</b>   |              |                   |
| R1506. | The Incident Management System and the central Knowledge Database are Service Management Systems. Supplier responsibilities include:                          |              |                   |
| R1507. | 1. All infrastructure supporting the Service Desk (e.g. VRU, SMS, etc.) will be located within the continental United States.                                 | Y            |                   |
| R1508. | 2. The SMS, SKMS, and other systems used by Service Desk personnel, Users, etc. must adhere to VITA Rules.  | Y            |                   |
| R1509. | 3. The SMS, SKMS and other systems needs to have the ability to report on the number of tickets logged against a critical outage (Parent/child relationship). | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1510. | 4. All Commonwealth data (e.g. recorded calls, tickets, etc.) will stay within the continental United States.  | Y            |                   |
| R1511. | 5. The SMS, SKMS and other tools should be accessible via all modern browsers (e.g. IE, Chrome, Firefox, etc.)   | Y            |                   |
| R1512. | 6. The SMS, SKMS and supporting systems should leverage the available SSO solution.  | Y            |                   |
| R1513. | 7. Provide access to the SMS to Service Tower Supplier(s), VITA, Customers, and authorized Third Party vendors, including all appropriate and required licenses and/or interfaces.                             | Y            |                   |
| R1514. | 8. The central Knowledge Database will:  | Y            |                   |
| R1515. | 8.1. Securely segregate Customer data so that it can be accessed only by those that are authorized   | Y            |                   |
| R1516. | 8.2. Provide for granting additional access in support of other designated Users (e.g. Audits) upon the request and as directed by VITA.   | Y            |                   |
| R1517. | 8.3. Provide information necessary to record Incidents, track Incidents, and support Incident Management for each Incident submitted to (or originating from) the Service Desk, including, but not limited to: | Y            |                   |
| R1518. | 8.3.1. Incident Identifier   | Y            |                   |
| R1519. | 8.3.2. Category (based on required categorization schema agreed with VITA and documented in the SMM)   | Y            |                   |
| R1520. | 8.3.3. Prioritization (including impact and urgency, based on required prioritization schema agreed with VITA and documented in the SMM)   | Y            |                   |
| R1521. | 8.3.4. Reported by or "contact" (person, system, etc.)   | Y            |                   |
| R1522. | 8.3.5. Ability to attach common document formats (*.DOC, *.XLS, etc.) to an Incident or Service Request.   | Y            |                   |
| R1523. | 8.3.6. Issues experienced, symptoms of Incident, etc.  | Y            |                   |
| R1524. | 8.3.7. Primary and Secondary assignment groups   | Y            |                   |
| R1525. | 8.3.8. Action taken to diagnose and resolve Incident   | Y            |                   |
| R1526. | 8.3.9. Cause and resolution by Service Tower   | Y            |                   |
| R1527. | 8.3.10. Incident open date/time  | Y            |                   |
| R1528. | 8.3.11. Response time  | Y            |                   |
| R1529. | 8.3.12. Outage or Downtime start /end  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1530. | 8.3.13. Incident close date/time   | Y            |                   |
| R1531. | 8.3.14. Escalation details   | Y            |                   |
| R1532. | 8.3.15. Ability to suspend a ticket or Service Request, based on criteria agreed upon with VITA and documented in the SMM  | Y            |                   |
| R1533. | 8.3.16. Other information as needed to support the Service Level metrics   | Y            |                   |
| R1534. | 8.3.17. Other information as needed to support reporting or as requested by VITA   | Y            |                   |
| R1535. | 8.4. Identify designated Users identified by VITA and Customers.   | Y            |                   |
| R1536. | 8.5. Capture data pertaining to volumes to include Incident types by hour per day; Service Desk call abandonment, telephone call queue lengths, and time-to-answer rates for telephone calls; and time-to-log for email, facsimile, and Web-based Incidents.       | Y            |                   |
| R1537. | 8.6. Provide for logging all modifications to Incident Records, to provide full tracking, audit trail and change control at the named-user level.  | Y            |                   |
| R1538. | 8.7. Provide functionality to manage information for each Incident submitted to, and originating from, Supplier.   | Y            |                   |
| R1539. | 8.8. Maintain a central Knowledge Database (SKMS) used to capture, store, and retrieve information and solutions for reuse by Supplier personnel, Service Tower Supplier(s), authorized Third Party Vendor(s), and Customers. The central Knowledge Database will: | Y            |                   |
| R1540. | 8.8.1. Enable the sharing of policies, procedures, best practices, and methods to Resolve Incidents among Supplier personnel, Service Tower Supplier(s), authorized Third Party vendors(s), and Customers.   | Y            |                   |
| R1541. | 8.8.2. Collect information from the Service Desk based on processing of Incidents and Service Requests   | Y            |                   |
| R1542. | 8.8.3. Collect information from Projects and Ongoing Programs  | Y            |                   |
| R1543. | <b>6.2.6 Incident Management Notifications</b>   |              |                   |
| R1544. | Supplier responsibilities include:   |              |                   |
| R1545. | 1. Provide regular progress notifications to Customers on current Incidents for all Severity Levels.   | Y            |                   |
| R1546. | 1.1. The frequency of such notification will be determined by the severity of the Incident as determined using the definitions given in Section 3 of <b>Exhibit 3 (Reporting and Service Level Management)</b> .   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1547. | 1.2. The frequency for Critical Incident notifications will be determined and provided by VITA and documented in the SMM.   | Y            |                   |
| R1548. | 1.3. At a minimum the tool will generate notifications when an Incident or Service Request is created, suspended or resolved.   | Y            |                   |
| R1549. | 2. Provide prompt notification to Customers of system outages on critical systems identified in the Incident Management System; and otherwise provide affected Users with regular progress updates within designated timeframes, as prescribed in the Incident Management notification section of the Service Management Manual, that clearly indicate the following: | Y            |                   |
| R1550. | 2.1. Nature and scope of the Incident.  | Y            |                   |
| R1551. | 2.2. Estimated time to completion.  | Y            |                   |
| R1552. | 2.3. Potential short-term alternatives.   | Y            |                   |
| R1553. | 3. Maintain communications and provide status reports to Customers, Service Desk and appropriate Third Party Vendor(s) from the time an Incident is identified through Resolution, and, as necessary, through any follow-up communication and work required post-resolution as defined in the Service Management Manual.  | Y            |                   |
| R1554. | 4. Provide optional methods of distributing notifications/communications via various channels (i.e. not just email).  | Y            |                   |
| R1555. | <b>6.2.7 Incident Management Reporting</b>  |              |                   |
| R1556. | Supplier responsibilities include:  |              |                   |
| R1557. | 1. Provide reports on compliance with Supplier ability to record detailed audit trail information, as requested by Customers.   | Y            |                   |
| R1558. | 2. Provide monthly report(s) in electronic copy to Customers, in the VITA approved format as documented in the SMM, which at a minimum includes:  | Y            |                   |
| R1559. | 2.1. Key issues relating to Incident Management processes.  | Y            |                   |
| R1560. | 2.2. Number of Incidents during the month, grouped by severity, service and STS, agency, region, classification or other criteria as appropriate.   | Y            |                   |
| R1561. | 2.3. List of Incidents, short description, reference number, and a shortcut to detailed description.  | Y            |                   |
| R1562. | 2.4. Detailed description, including timing of activities.  | Y            |                   |
| R1563. | 2.5. Links to Problems and Known Errors.  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1564. | 2.6. Trend analysis of the Incidents reported during the thirteen (13) most recent months.   | Y            |                   |
| R1565. | 2.7. Calculate metrics and provide monthly reports to Customers, which include:  | Y            |                   |
| R1566. | 2.7.1. The number of Incidents.  | Y            |                   |
| R1567. | 2.7.2. Sources of the Incidents.   | Y            |                   |
| R1568. | 2.7.3. Frequency regarding the types or categories of Incidents.   | Y            |                   |
| R1569. | 2.7.4. The duration of open Incident (average and quantities by age).  | Y            |                   |
| R1570. | 2.7.5. Number and percentage of Incidents Resolved upon first contact.   | Y            |                   |
| R1571. | 2.7.6. Trending metrics in terms of MTTRS (mean time to restore service) by category, priority and by service or Service Level.  | Y            |                   |
| R1572. | 2.7.7. Number and percentage of Service Level impacting Incidents.   | Y            |                   |
| R1573. | 2.7.8. Number and percentage of Incidents (by category, priority, service and Service Level) that were handled within the Service Level targets.   | Y            |                   |
| R1574. | 2.7.9. Number and percentage of Incidents (by category, priority, service and Service Level) reopened.   | Y            |                   |
| R1575. | 2.7.10. Number and percentage of Incidents (by category, priority, service and Service Level) reoccurring.   | Y            |                   |
| R1576. | 2.7.11. Number and percentage of Incidents that have resulted in the creation of Problem Records.  | Y            |                   |
| R1577. | 2.7.12. Percentage (by category, type and priority) of Incidents that were resolved by use of an Incident Model;   | Y            |                   |
| R1578. | 2.7.13. Number and percentage of Incidents escalated by organization, category, priority and Service.  | Y            |                   |
| R1579. | 2.7.14. The association of Incidents by cause and resolution by Service Tower.   | Y            |                   |
| R1580. | 2.7.15. Other pertinent information regarding Incident Resolution, including Service Level measurement reporting.  | Y            |                   |
| R1581. | 2.7.16. Agency escalation reports.   | Y            |                   |
| R1582. | <b>6.3 Event Management</b>  |              |                   |
| R1583. | Events are any detectable or discernable occurrence that has significance to the management of the Managed Environment or Customer business. Events are typically notifications from IT services and monitoring tools. Event Management is the process that monitors all events that |              |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
|        | occur through the infrastructure and detects and appropriately actions and escalates exception conditions. Our goal is to have end-to-end event management across the ITISP Services with correlation between each Service Tower as required to improve proactive response to Incidents and operational issues. Supplier responsibilities include:  |              |                   |
| R1584. | 1. Provide centralized Event monitoring, tracking and reporting for all in-scope Services, including those of Service Tower Suppliers where required and where the Service Tower Supplier's systems are collecting such information. This includes all environments within the ITISP services (e.g. Production, Pre-production, Test and Development Environments, Applications, Network, Midrange and Distributed Environments). | Y            |                   |
| R1585. | 2. Design, implement and manage an integrated, proactive Event Management process and automated tools so that all Tower Services are monitored such that any Events occurring in the Tower Services are identified, promptly actioned, recorded and reported.   | Y            |                   |
| R1586. | 3. Consult with Customers regarding the setting of appropriate thresholds for triggering events based on the level of acceptable risk to Customers  | Y            |                   |
| R1587. | 4. Monitor the IT systems, infrastructure, environment, alarm systems and environmental controls and take appropriate action to ensure no Event is inappropriately lost or ignored.   | Y            |                   |
| R1588. | 5. Provide controls to ensure that monitoring is occurring in the Managed Environment as required (e.g. hardware monitoring from a Service Tower), and escalate areas where monitoring is not occurring to VITA and ITISP Governance.   | Y            |                   |
| R1589. | 6. Measure actual performance against Service Levels and analyze performance metrics to identify whether performance has exceeded trigger-points indicating an increased risk of service level failure; raise such issues as an Event.  | Y            |                   |
| R1590. | 7. This may include the use of data measuring performance of the services provided by one Service Tower Supplier regarding the performance of a Service Tower where the provider's systems are the key method for capturing this data.  | Y            |                   |
| R1591. | 8. Manage and record all Events in an event log and maintain event log history in compliance with VITA Rules.   | Y            |                   |
| R1592. | 9. Correlate Events to facilitate Problem Management and Root Cause Analysis of service failures  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1593. | 10. Define and execute a process in which an alert, when needed, evolves into an Incident and is escalated for resolution.   | Y            |                   |
| R1594. | 11. Produce trend reports for Customers and the Service Tower Suppliers to highlight underlying production issues, emerging risks and responding proactively to potential areas of weakness or concern.  | Y            |                   |
| R1595. | 12. With respect to system management, work with all Third Party Suppliers, Service Tower Suppliers and Customers to:  | Y            |                   |
| R1596. | 12.1. Assist in processing unassigned, or un-assignable, Application and Infrastructure Events and breached Thresholds.  | Y            |                   |
| R1597. | 12.2. Lead joint coordination meetings to address Events.  | Y            |                   |
| R1598. | 12.3. Prevent unnecessary rerouting or reassignments of Events.  | Y            |                   |
| R1599. | 12.4. Receive and handle Events generated from other sources, such as Network monitoring, third party surveillance, and so forth. For each Event, a documented action must be defined between the parties.   | Y            |                   |
| R1600. | <b>6.3.1 Event Management and Correlation System</b>   |              |                   |
| R1601. | The Event Management and Correlation System is a Service Management System. Supplier responsibilities include:   |              |                   |
| R1602. | 1. Implement, manage and operate an Event Management and Correlation System across all Tower Services providing Services.  | Y            |                   |
| R1603. | 2. Provide and maintain the Event Management database that will serve as the single source of information regarding known Events for Supplier Services, Service Tower Supplier(s) Services, and designated Third Party vendors.  | Y            |                   |
| R1604. | 3. Require, facilitate and coordinate the update of the Event Management and Correlation System within designated timeframes with the Event information (Event categories, Event types, thresholds, defined actions) for the defined services and Configuration Items under management and any other relevant information. | Y            |                   |
| R1605. | 4. The Event Management and Correlation System will at a minimum support the following:  | Y            |                   |
| R1606. | 4.1. Track Events by services, Service Tower, Configuration Items, data source, sites and Customer information   | Y            |                   |
| R1607. | 4.2. Correlation of Events, alerts and alarms from multiple sources  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1608. | 4.3. Capability to receive Events, alerts and alarms from other Event Management systems (e.g. those used by Service Tower Suppliers to manage devices)  | Y            |                   |
| R1609. | 4.4. Establish and define filtering criteria for Events  | Y            |                   |
| R1610. | 4.5. Categorization of Events to defined actions (informational, warnings, exceptions)   | Y            |                   |
| R1611. | 4.6. Integration with the CMS / CMDB for defined Configuration Items   | Y            |                   |
| R1612. | 4.7. Integration with other Service Management Systems to allow for the appropriate initiation of Incidents and Problems.  | Y            |                   |
| R1613. | 4.8. Integration with active monitoring tools or agents, which interrogate key Configuration Items to ascertain essential information such as availability   | Y            |                   |
| R1614. | 4.9. Integration with passive monitoring tools, which detect and process alarm signals from configuration items.   | Y            |                   |
| R1615. | <b>6.4 Problem Management</b>  |              |                   |
| R1616. | Problem Management seeks to manage the life-cycle of all Problems. The primary objectives of Problem Management are to prevent Incidents from happening, and to minimize the impact of Incidents that cannot be prevented. Proactive Problem Management analyzes Incident records, services, and processes and uses data collected from these processes to identify trends or significant Problems. The Problem Management Process will minimize the adverse effect on the business of Incidents and Problems caused by errors in the IT infrastructure, Applications, systems, processes, and supporting components, and will proactively prevent the occurrence of Incidents and Problems by identifying and eliminating causes of failure. Supplier responsibilities include: |              |                   |
| R1617. | 1. Design and manage an integrated Problem Management process across the Service Tower Suppliers to reduce the recurrence of Incidents.  | Y            |                   |
| R1618. | 2. Manage the Root Cause Analysis (RCA) process across the Service Tower Suppliers to identify the fault(s) in the Service Tower(s) that caused the Incident to occur.   | Y            |                   |
| R1619. | 3. Conduct regularly scheduled Problem Management meetings with all Service Tower Suppliers to prioritize the resolution of Problems.  | Y            |                   |
| R1620. | 4. Regularly surveying Incidents to identify reoccurring Incidents for which the cause is unknown and any action that can be taken to identify the root cause and resolution with the objectives of automating the Problem Management process and predicting Problems before they occur.   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1621. | 5. Implement controls to validate that Problem resolution and corrective actions taken are sufficient to address the Root Cause fully and that it does not reoccur in the same or similar Environments or under similar conditions. This includes update of manuals, procedures, and other documentation. | Y            |                   |
| R1622. | 6. Support Customers to define the criteria for prioritization of Problems, in accordance with the Severity Levels set out in <b>Exhibit 3 (Reporting and Service Level Management)</b> .   | Y            |                   |
| R1623. | 7. Escalate to appropriate management within the Service Tower Suppliers and Customers if corrective actions are not being taken.   | Y            |                   |
| R1624. | 8. Document and publish Problem Management meetings status reports to Customers and Service Tower Suppliers.  | Y            |                   |
| R1625. | 9. Continuously perform trend analyses on the volume and nature of Problems in order to identify areas for improvement, and report on the trend analyses and improvements to Customers and Service Tower Suppliers on at least a quarterly basis.   | Y            |                   |
| R1626. | 10. Develop tools, scripts and enhanced processes to proactively perform Problem Management, with the objectives of automating the Problem Management process and predicting Problems before they occur.  | Y            |                   |
| R1627. | 11. Implement measures to avoid unnecessary reoccurrence of Problems. This includes initiating Change Management to remediate faults in the IT Infrastructure, processes, services, and application systems.  | Y            |                   |
| R1628. | 12. Coordinate Problem tracking efforts and notifications to the Service Desk and Service Tower Suppliers, and maintaining regular communications between all parties until Problem Resolution.   | Y            |                   |
| R1629. | 13. Provide a monthly report in a format approved by Customers as described in <b>Exhibit 3 (Reporting and Service Level Management)</b> .  | Y            |                   |
| R1630. | 14. Provide communications to Customers and, as necessary, affected Users and to Service Tower Suppliers, from the time a Problem is identified through to Resolution. As necessary, also providing any follow-up communications and reporting required post-resolution.                                  | Y            |                   |
| R1631. | 15. Track and report any backlog of unresolved Problems on at least a monthly basis to the Customer Problem Manager, or more frequently as requested by Customers.  | Y            |                   |
| R1632. | <b>6.4.1 Problem Escalation</b>   |              |                   |
| R1633. | Supplier responsibilities include:  |              |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1634. | 1. Provide process and procedures for VITA, Customers and Service Tower Supplier(s) to escalate Problems, and document in the SMM                       | Y            |                   |
| R1635. | 2. Escalate Problems according to processes and procedures documented in the Service Management Manual.   | Y            |                   |
| R1636. | 3. Automatically prioritize high-impact Problems, as defined by VITA, such that they are treated with the highest priority.                             | Y            |                   |
| R1637. | <b>6.4.2 Root Cause Analysis</b>  |              |                   |
| R1638. | Supplier responsibilities include:  |              |                   |
| R1639. | 1. Effective execution of Root Cause Analysis (RCA) in compliance with the processes defined in the Service Management Manual.                          | Y            |                   |
| R1640. | 2. Require, facilitate and orchestrate the RCA process from initiation to closure.  | Y            |                   |
| R1641. | 2.1. The MSI will initiate a RCA for all Severity 1 Incidents   | Y            |                   |
| R1642. | 2.2. The MSI will initiate a RCA when requested by VITA or Customers.   | Y            |                   |
| R1643. | 3. Provide standard tools, forms and criteria for documenting RCAs, as approved by VITA.  | Y            |                   |
| R1644. | 4. Ensure that all appropriate roles are engaged to perform the RCA process, including, but not limited to VITA, Customers and Service Tower Suppliers. | Y            |                   |
| R1645. | 5. Track all such requests and provide status.  | Y            |                   |
| R1646. | 6. Provide for an RCA Coordinator to act as the day-to-day interface into the RCA process.  | Y            |                   |
| R1647. | 7. Document the RCA activity and outcomes in records associated with Problems, Known Errors, workarounds and Major Problem reviews.                     | Y            |                   |
| R1648. | 8. Track open RCAs; coordinate, require and facilitate the closure of RCAs that require increased focus to meet committed service levels.               | Y            |                   |
| R1649. | 9. Provide process for VITA and Customers to escalate non-performing RCAs, as required.   | Y            |                   |
| R1650. | 10. Provide RCA reporting as documented in the Service Management Manual.   | Y            |                   |
| R1651. | <b>6.4.3 Major Problem Management</b>   |              |                   |
| R1652. | Supplier responsibilities include:  |              |                   |
| R1653. | 1. Develop and document the standard process for managing Major Problems from identification through closure.   | Y            |                   |
| R1654. | 2. Provide management and control of the Major Problem from identification to resolution.   | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1655. | 3. Provide identification and assignment of the Problem to a Problem Manager that provides an appropriate level of dedicated attention.  | Y            |                   |
| R1656. | 4. Formulate a team (scoped as appropriate to the type of Problem) to work under the direct leadership of the Problem Manager, in order to concentrate on this Problem alone to ensure that adequate resources and focus are provided to finding a swift resolution. | Y            |                   |
| R1657. | 5. Establish and provision any supporting conference bridges, on-line work spaces, or war rooms that may be required to support the effective facilitation diagnosis and resolution.   | Y            |                   |
| R1658. | 6. Notifications of the formation of conference bridges to Customers as identified by VITA.  | Y            |                   |
| R1659. | <b>6.4.4 Problem Management System and Known Error Database</b>  |              |                   |
| R1660. | The Problem Management System and Known Error Database are Service Management Systems. Supplier responsibilities include:  |              |                   |
| R1661. | 1. Implement, manage and operate a Problem Management System (PMS), and a Known Error Database (KEDB) across all Tower Services providing ITISP Services that will serve as the single source of information regarding Problems.                                     | Y            |                   |
| R1662. | 2. Provide Customers and Service Tower Suppliers with the ability to enter Problem Records directly into the PMS and Known Error Records into the KEDB.  | Y            |                   |
| R1663. | 3. Develop tools, scripts and enhanced processes to proactively perform Problem Management, with the objectives of automating the Problem Management process and predicting Problems before they occur.  | Y            |                   |
| R1664. | <b>6.4.5 Problem Management Reporting</b>  |              |                   |
| R1665. | Supplier responsibilities include:   |              |                   |
| R1666. | 1. Provide a monthly report in a format approved by VITA as described in <b>Exhibit 3 (Reporting and Service Level Management)</b> and documented in the SMM. This report includes:  | Y            |                   |
| R1667. | 1.1. The number of Problems in total and grouped by type, severity, status, Customer, region, reason code, classification or other criteria as appropriate and whether a Known Error;  | Y            |                   |
| R1668. | 1.2. Problem reviews;  | Y            |                   |
| R1669. | 1.3. Problem trend analysis findings and recommendations;  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1670. | 1.4. Any issues relating to the Problem Management service, such as any other information that may improve or facilitate a better Problem Management process, including decisions to be made by VITA and the Supplier; and  | Y            |                   |
| R1671. | 1.5. Trend analysis of Problems reported during the thirteen (13) most recent months.   | Y            |                   |
| R1672. | <b>6.5 Request Management and Fulfillment</b>   |              |                   |
| R1673. | Request Management & Fulfillment seeks to fulfill and manage all requests for ITISP related Services from designated Users. Requests are managed from the initial request through fulfillment of such requests via Services from multiple sources, such as Service Tower Suppliers, and Third Party vendors. Refer to <b>Environment Overview Appendix B10: Service Request Environment</b> for an overview of the existing Request Management processes.<br><br>While the majority of Service Requests are minor, the Request Management Main Process directs more complicated requests to the solution design process. Supplier responsibilities include: |              |                   |
| R1674. | 1. Execute Request Management to achieve its primary purpose to fulfill service requests within the agreed Service Levels and timeframes, and to promote Customer and User satisfaction.  | Y            |                   |
| R1675. | 2. Provide systems to support ordering and billing from Service Tower Supplier(s) and designated Third Party vendors, for requests associated with the delivery of Services and where authorized by VITA or Customers.  | Y            |                   |
| R1676. | 3. Integrate with fulfillment systems of the Commonwealth, Service Tower Suppliers, and Third Party Suppliers as needed   | Y            |                   |
| R1677. | 4. Document for VITA approval and inclusion in the Service Management Manual, the categorization of Requests such as Service Request, Telecommunication Service Request (TSR), Solution Request, and any other requests. Identify the systems provided for managing each Request type.  | Y            |                   |
| R1678. | 5. Designate end-to-end responsibility to a single or multiple Service Tower Suppliers  | Y            |                   |
| R1679. | 6. Working with VITA, establish processes for properly establishing the priority of Requests.   | Y            |                   |
| R1680. | 7. Establish processes to support expedited handling of Requests.   | Y            |                   |
| R1681. | 8. Expedite the handling of Requests from designated Users or as authorized by VITA.  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1682. | 9. Provide criteria and describe how you would establish processes for VITA, Customers, and designated Third Party Vendor(s) to escalate Requests.   | Y            |                   |
| R1683. | 10. Escalate a Service Request where the Service Request cannot be completed within the relevant Service Levels or agreed timeframe, in accordance with the relevant Service Management Manual.  | Y            |                   |
| R1684. | 11. Establish processes that properly route Service Requests across multiple Supplier and Service Tower Suppliers and organizations.   | Y            |                   |
| R1685. | 12. Provide effective Request Governance to ensure the following:  | Y            |                   |
| R1686. | 12.1. Clearly define and document the type of Requests that will be handled within the Request Management processes so that all parties are absolutely clear on the scope of Requests and the Request Management process.  | Y            |                   |
| R1687. | 12.2. Establish and continually maintain mapping of all services to the appropriate Request fulfillment process.   | Y            |                   |
| R1688. | 12.3. Establish and continually maintain Users lists on who are authorized to make Requests and what requests they are entitled to make.   | Y            |                   |
| R1689. | 12.4. Communication to VITA and Customers on the Request Management processes and changes thereto.   | Y            |                   |
| R1690. | 12.5. Provide regular training opportunities for Users on Request Management processes, service definitions, and request mediums, and access to current training material.   | Y            |                   |
| R1691. | 12.6. Regularly collect feedback from Users on the effectiveness of Request Management, and use for improvements.  | Y            |                   |
| R1692. | 12.7. Establish and track information on delivery performance (e.g. delivery timeframes, request aging, mis-queued requests, mis-assigned requests). This includes the development of performance reporting tools accessible by users (access limited based on their role and segmented by supplier and customer). | Y            |                   |
| R1693. | 13. Enable multiple mediums for accepting Requests, including the Service Desk, online Web portal, and Service Catalog. Offer online self-service as much as possible.   | Y            |                   |
| R1694. | 14. Develop and document processes and procedures regarding interfaces, interaction, and responsibilities between Level 1 Support personnel, Level 2 Support personnel, and any other internal or external persons or entities that may support the fulfillment of Service Requests.                               | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1695. | 15. Update required information on Service Requests within designated timeframes to support an up-to-date accurate view of Service Requests.  | Y            |                   |
| R1696. | 16. Ensure proper approval (including any financial costs) associated with the Request (through automated means where practical) prior to Request fulfillment. Approval includes receipt of customer approval and supplier notification of approval.            | Y            |                   |
| R1697. | 17. With the Service Tower Suppliers, develop, document, utilize, manage and continually improve an inventory of defined and documented Request Models as found in the SMM.   | Y            |                   |
| R1698. | 18. Provide and maintain regular communications between all parties as required until Service Request fulfillment and document the communications as required per the Request Management processes.   | Y            |                   |
| R1699. | 19. The frequency and nature of such communications will be in compliance with Request policies and procedures as documented in the SMM.  | Y            |                   |
| R1700. | 20. Keep VITA and Customer informed of any issues with the completion of Requests and status changes throughout the Service Request life cycle and in accordance with agreed Service Levels.  | Y            |                   |
| R1701. | 21. Provide anticipated completion times for active Requests and update notification systems as required in the Request Management processes to keep Customers informed.  | Y            |                   |
| R1702. | 22. Review Service Request prior to closure to ensure proper categorization, documentation, confirmation of completion and activities required to initiate other appropriate actions (e.g. configuration information updates, disaster recovery updates, etc.). | Y            |                   |
| R1703. | 23. Track the progress of fulfillment efforts and the status of all Requests, including:  | Y            |                   |
| R1704. | 23.1. Review the proposed fulfillment time for each Request with the appropriate party and update the status accordingly.   | Y            |                   |
| R1705. | 23.2. Provide regular updates within designated timeframes as to the status of all Service Requests.  | Y            |                   |
| R1706. | 23.3. Coordinate Request tracking efforts, and provide and maintain regular communications, per the Service Management Manual, between all parties and Users until Request completion.  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1707. | 23.4. When a Request cannot be completed in the committed timeframe, provide a revised completion time after consultation with the requesting Customer.  | Y            |                   |
| R1708. | 24. Ensure that Requests follow the Change Management process as appropriate.  | Y            |                   |
| R1709. | <b>6.5.1 Request Management System</b>   | Y            |                   |
| R1710. | The Request Management System is a component or multiple, integrated components of the Service Management System. Supplier responsibilities include:   |              |                   |
| R1711. | 1. If multiple systems are proposed for Request Management, they should be presented to Customers in an integrated fashion.  | Y            |                   |
| R1712. | 2. Request Management and Fulfillment should seek to minimize the number of systems involved to promote Customer ease of use   | Y            |                   |
| R1713. | 3. Receive and record all Requests (including submissions received by telephone, electronically, or other means approved by VITA) in a Request Record, including classification and initial support. | Y            |                   |
| R1714. | 4. Utilize and update the Request Management System with all relevant information relating to a Service Request.   | Y            |                   |
| R1715. | 5. Archive the Requests for analysis and audit   | Y            |                   |
| R1716. | <b>6.5.2 Solution Request (RFS)</b>  |              |                   |
| R1717. | Supplier responsibilities include:   |              |                   |
| R1718. | 1. Effective and efficient design review of Customer-provided solution design which includes:  | Y            |                   |
| R1719. | 1.1. Ensure that the customer-proposed solution leverages existing infrastructure and designs for the most efficient and effective cost solutions  | Y            |                   |
| R1720. | 1.2. Provide technical leadership to Customer, VITA and Service Tower Suppliers  | Y            |                   |
| R1721. | 2. Provide solution design services which include:   | Y            |                   |
| R1722. | 2.1. Leverage existing infrastructure and designs for the most efficient and effective cost solutions  | Y            |                   |
| R1723. | 2.2. Provide technical leadership to Customer, VITA and Service Tower Suppliers  | Y            |                   |
| R1724. | 2.3. Architect solutions coordinating with Service Tower Suppliers and Customers   | Y            |                   |
| R1725. | 3. Effectively develop a Request for Solution processes and appropriate mechanisms for the fulfillment of requests, requiring requirements gathering coordination with the                           | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
|        | customer, design, pricing, solution and proposals; including appropriate communications to adequately set expectations and promote good customer service.  |              |                   |
| R1726. | 4. Effectively develop a Solution processes and appropriate mechanisms for the fulfillment of requests, requiring requirements gathering coordination with the customer, design, price, solution and proposals; including appropriate communications to adequately set expectations and promote good customer service. | Y            |                   |
| R1727. | 5. Develop a Request for Estimate (RFE) processes and appropriate mechanisms to support rapid proposal development that provides a level of accuracy for budgetary information without requiring a full solution but including a rough order of magnitude (ROM) estimate of schedule and costs.                        | Y            |                   |
| R1728. | 6. Requirements gathering coordination and preparation of RFS and RFE proposals are at no additional charge to VITA.   | Y            |                   |
| R1729. | 7. Requests for new or significantly changed Services should be guided by VITA.  | Y            |                   |
| R1730. | 8. Provide necessary materials and artifacts to VITA or the Customer   | Y            |                   |
| R1731. | 9. Provide a timeframe to the Customer for delivering a solution once requirements are accepted by Customer.   | Y            |                   |
| R1732. | 10. Provide a proposed approach to solution to the Customer. The approach should be presented in the written format agreed to by VITA and outlined in the Service Management Manual.   | Y            |                   |
| R1733. | 11. Work with Service Tower Supplier(s) and Third Party vendors as required formulating a complete solution and proposal.  | Y            |                   |
| R1734. | 12. Ensure all requests are solution within the VITA approved architecture and standards.  | Y            |                   |
| R1735. | 13. Ensure all requests are solutioned in compliance with VITA Rules.  | Y            |                   |
| R1736. | 14. Develop standard proposal mechanisms and obtain VITA approval  | Y            |                   |
| R1737. | 15. Provide proposal responses and rework proposal responses in a timeframe required by the VITA.  | Y            |                   |
| R1738. | <b>6.5.3 Service and Solution Request Reporting</b>  |              |                   |
| R1739. | Supplier responsibilities include:   |              |                   |
| R1740. | 1. Utilize the Knowledgebase to fulfil Service Requests.   | Y            |                   |
| R1741. | 2. Recommend additions to the Knowledgebase to improve handling of Service Requests.   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1742. | 3. Provide reporting via an online tool that is part of the Service Management System that would allow on-demand reporting by VITA and Customers to include progress toward fulfilment and the status of all Service Requests.                | Y            |                   |
| R1743. | 3.1. Committed fulfilment timeframes, anticipated completion times, and status.   | Y            |                   |
| R1744. | 3.2. Ownership and activities toward fulfilment for all open Service Requests.  | Y            |                   |
| R1745. | 3.3. Changes in Service Request status throughout the Service Request life-cycle.   | Y            |                   |
| R1746. | 3.4. Volume and Categories of Service Requests, by Customer   | Y            |                   |
| R1747. | 3.5. Staff activities on Service Requests.  | Y            |                   |
| R1748. | 3.6. Outstanding and aging Service Requests and the trends thereof.   | Y            |                   |
| R1749. | 4. Contribute to reports on the effectiveness of the Request for Solution process including, but not limited to, time-to-solution, time-to-respond, accuracy of proposals, accuracy of forecast and comparing captured to cancelled requests. | Y            |                   |
| R1750. | <b>6.5.4 Service Request Reporting</b>  |              |                   |
| R1751. | Supplier responsibilities include:  |              |                   |
| R1752. | 1. Provide a monthly report on use of the knowledge base to fulfil Service Requests.  | Y            |                   |
| R1753. | 2. Provide reporting via an online tool that would allow on-demand reporting by VITA and Customers.   | Y            |                   |
| R1754. | 2.1. Progress toward fulfilment and the status of all Service Requests.   | Y            |                   |
| R1755. | 2.2. Committed fulfilment timeframes, anticipated completion times, and status.   | Y            |                   |
| R1756. | 2.3. Ownership and activities toward fulfilment for all open Service Requests.  | Y            |                   |
| R1757. | 2.4. Changes in Service Request status throughout the Service Request life-cycle.   | Y            |                   |
| R1758. | 2.5. Categories of Service Requests, by Customer  | Y            |                   |
| R1759. | 2.6. Staff activities on Service Requests.  | Y            |                   |
| R1760. | 2.7. Outstanding and aging Service Requests and the trends thereof.   | Y            |                   |
| R1761. | 3. Provide reports on all requesting mediums to show demand, forecasts on demand, trends, product health, spend, problem areas, and backlogs.   | Y            |                   |
| R1762. | 4. Provide reports on the effectiveness of the Request for Solution process, including (but not limited to): time-to-solution, time-to-respond, accuracy of proposals, accuracy of forecast and comparing captured to cancelled requests.     | Y            |                   |
| R1763. | <b>6.6 Access Management</b>  |              |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1764. | <p>Identity and Access Management (IAM) seeks to provide authoritative identification of users and to grant designated users the right to use a service, while preventing unauthorized access. <b>Refer Environment Overview Appendix B9: Directory Services Environment</b> for an overview of the existing Directory Services environment.</p> <p>The Supplier will define, implement and operate IAM protocols, tools and processes across the Service Towers that enable access rights and identities to be established, controlled, authorized, administered, reported, and audited in adherence with the VITA Rules and Customer requirements as maintained in the Service Management Manual. Supplier responsibilities include:</p> |              |                   |
| R1765. | 1. Provide notification of suspicious or malicious account activity to the designated parties included in the SMM immediately upon discovery   | Y            |                   |
| R1766. | 2. Provide Systems and Tools which:  | Y            |                   |
| R1767. | 2.1. Provide capability to manage accounts (e.g. individually and in mass, provision, reactivate, modify, de-provision, suspend, etc.) in order to govern access.  | Y            |                   |
| R1768. | 2.2. Provide account management interoperability with third party applications. (i.e. APIs or Web services, scripting).  | Y            |                   |
| R1769. | 2.3. Provide for the capability to present a dashboard of account, role, monitoring information and any other relevant data, with multiple tiers of reporting and management access.   | Y            |                   |
| R1770. | 2.4. Provide for the capability to delegate the account management for individual Customers while maintaining centralized governance in accordance with the SMM.   | Y            |                   |
| R1771. | 2.5. Provide for the capability to prioritize account management functions.  | Y            |                   |
| R1772. | 2.6. Provide Customers with the capability to exercise authority for approval of all data and System access requirements.  | Y            |                   |
| R1773. | 2.7. Provide for capability to simultaneously fully integrate with industry-standard directory services (e.g., X.500, LDAP, Active Directory).   | Y            |                   |
| R1774. | 2.8. Provide a solution that includes single on capabilities which integrate with industry-standard directory services.  | Y            |                   |
| R1775. | 2.9. Provide the capability to manage privileged accounts.   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1776. | 2.10. Provide the capability for identity federation that supports all Federal Assurance Levels (FAL), as defined in NIST 800-63, with single sign-on (SSO) functionality.                                | Y            |                   |
| R1777. | 2.11. Provide for the capability to utilize the most current or version as identified in the SMM Security Assertion Markup Language (SAML), Oauth, and others as required by Systems Management Services. | Y            |                   |
| R1778. | 2.12. Provide for the capability for each Customer to perform on-demand access audits.  | Y            |                   |
| R1779. | 2.13. Provide for the capability to create custom workflows and interfaces that can integrate with third party application APIs and web services using industry standard data formats.                    | Y            |                   |
| R1780. | 2.14. Provide the capability to log all account identity, access, and authorization activity and allow Customers to generate custom reports using this data.  | Y            |                   |
| R1781. | 2.15. Provide the capability to log all system activity and generate custom reports using this data.  | Y            |                   |
| R1782. | 2.16. Provide the capability to retain all log data generated by the solution in accordance with VITA Rules and the SMM and log all data to the identified centralized logging service.                   | Y            |                   |
| R1783. | 2.17. Provide the capability to support Role-based Access Control (RBAC), Access Control List (ACL), Organization-based access control, and Attribute-based Access Control (ABAC) models.                 | Y            |                   |
| R1784. | 2.18. Provide the capability to collect, monitor, alert and report on separation-of-duty access requirements for accounts as defined by the Customer.   | Y            |                   |
| R1785. | 2.19. Provide the capability for temporary account provisioning, reactivation, modification, de-provisioning, suspension, and governance.   | Y            |                   |
| R1786. | 2.20. Provide the capability to support Multifactor Authentication (MFA) which supports industry standards (e.g. PIV-I card standard).  | Y            |                   |
| R1787. | 2.21. Provide the capability to clone or replicate access profiles, roles, and/or other classification identifiers with grouped attributes.   | Y            |                   |
| R1788. | 2.22. Provide the capability of self-service for integration with third party applications.   | Y            |                   |
| R1789. | 2.23. Provide the capability for behavioral and/or situational access controls including but not limited to time based restrictions and geo location restrictions.  | Y            |                   |
| R1790. | 2.24. Provide the capability to offer password vaulting for accounts.   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1791. | 2.25. Provide the capability for a self-service portal to provision, reactivate, modify, de-provision, suspend, and govern accounts.                              | Y            |                   |
| R1792. | 2.26. Provide the capability to monitor, report, send alerts, and enable automated response to access management exceptions and violations.                       | Y            |                   |
| R1793. | 2.27. Provide the capability to integrate and/or correlate threat intelligence and security information event management (SIEM) data with account activity.       | Y            |                   |
| R1794. | 2.28. Provide capability for account management for all platforms (e.g., Windows, Unix, Linux, Network, Network Devices, Managed Devices, Mac, Mainframe).        | Y            |                   |
| R1795. | 2.29. Provide the capability to document all role changes, template changes, and approval authorities in the identified secure online change management database. | Y            |                   |
| R1796. | 2.30. Provide access to a self-service portal to provision, reactivate, modify, de-provision, suspend, and govern User accounts.                                  | Y            |                   |
| R1797. | 2.31. Provide an on demand ability to review access rights that have been granted.  | Y            |                   |
| R1798. | 2.32. Provide monitoring, reporting, alerting, and automated response to access management exceptions and violations as directed by Customer.                     | Y            |                   |
| R1799. | 3. Service Desk   | Y            |                   |
| R1800. | 3.1. Provide each Customer with the capability to exercise its authority for approval of all physical access and data and System access requests.                 | Y            |                   |
| R1801. | 3.2. Notify the Customer regarding the entities and personnel to be granted access to Supplier-operated Systems and the level of Security access granted to each. | Y            |                   |
| R1802. | 3.3. Follow Customer's instructions and procedures regarding such access as designated by Customers   | Y            |                   |
| R1803. | 3.4. Provide for policies and processes that prefer a least-privilege approach to granting access.  | Y            |                   |
| R1804. | 3.5. Provision, reactivate, de-provision, suspend, and govern accounts as directed by Customer.   | Y            |                   |
| R1805. | 3.6. Mass provision, reactivate, de-provision, suspend, and govern accounts as directed by Customer.  | Y            |                   |
| R1806. | 3.7. Temporary account provisioning, reactivation, de-provisioning, suspension, and governance as directed by the Customer.                                       | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1807. | 3.8. Support and enable processes for the delegation of provisioning, reactivation, de-provisioning, suspension, and governance of accounts for individual agencies while maintaining centralized governance with VITA. | Y            |                   |
| R1808. | 3.9. Provide Customers with the capability to exercise authority for approval of all data and System access requirements.   | Y            |                   |
| R1809. | 3.10. Provision, reactivate, de-provision, suspend, and govern accounts utilizing federated identities, supporting all Federal Assurance Levels (FAL), as defined in NIST 800-63.                                       | Y            |                   |
| R1810. | 3.11. Provision, reactivate, de-provision, suspend, and govern single sign-on capability for all accounts requiring this functionality as directed by Customers.  | Y            |                   |
| R1811. | 3.12. Provision, reactivate, de-provision, suspend, and govern multi-factor authentication (MFA) capability for all accounts requiring this functionality as directed by Customers                                      | Y            |                   |
| R1812. | 3.13. Perform on-demand access audits at the request of the Customer.   | Y            |                   |
| R1813. | 3.14. Create and modify custom workflows as directed by Customer.   | Y            |                   |
| R1814. | 3.15. Maintain and provide access to IAM reporting dashboard with multiple tiers of reporting and management access as directed by Customer.  | Y            |                   |
| R1815. | 3.16. Manage log retention as directed.   | Y            |                   |
| R1816. | 3.17. Provide for and manage password vault deployment and support as directed by Customer.   | Y            |                   |
| R1817. | 3.18. Follow the Customer's instructions and procedures regarding such access as designated by Customer   | Y            |                   |
| R1818. | 4. Provide ability for Customer to grant role-based permissions.  | Y            |                   |
| R1819. | 5. Notify the Customers regarding the entities and personnel to be granted access and the level of access granted to each.  | Y            |                   |
| R1820. | 6. Follow Customer's instructions and procedures regarding such access as designated by Customers.  | Y            |                   |
| R1821. | 7. Maintain Security rules and access rights according to Customer's notifications and revise from time to time regarding these rights and rules.   | Y            |                   |
| R1822. | 8. Provide for policies and processes that prefer a least-privilege approach to granting access.  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1823. | 9. Conduct a review of access that has been granted with VITA and Customers at least on a quarterly basis.  | Y            |                   |
| R1824. | 10. Monitor, report and address access management exceptions and violations.  | Y            |                   |
| R1825. | 11. Establish procedures, forms, and approval levels for assigning, resetting, and disabling access by designated users, subject to Customer's review.  | Y            |                   |
| R1826. | 12. Implement and maintain a secure online database of all requests for access, access rights granted, and access approval authorities.   | Y            |                   |
| R1827. | 13. Ensure that access privileges for Supplier and Service Tower Supplier personnel are promptly removed upon departure from the ITISP.   | Y            |                   |
| R1828. | 14. VITA will have the ability to authorize Customers to grant or remove access privileges as required for onboarding, off-boarding, and emergency off-boarding.  | Y            |                   |
| R1829. | 15. Customers will have access to view and change access privileges only for their own data and systems.  | Y            |                   |
| R1830. | <b>6.6.1 Physical Access Management</b>   |              |                   |
| R1831. | Supplier responsibilities include:  |              |                   |
| R1832. | 1. Provide Customers with the capability to manage access as granted to all the Supplier and Service Tower Supplier for all VITA and Customer facilities.   | Y            |                   |
| R1833. | 2. Implement VITA security standards, guidelines, and procedures regarding access control and facility hardening measures to prevent unauthorized access or damage to facilities that contain VITA data and information processing systems and equipment. | Y            |                   |
| R1834. | <b>6.6.2 Logical Access Management</b>  |              |                   |
| R1835. | Supplier responsibilities include:  |              |                   |
| R1836. | 1. Provide Customers with the capability to manage and administer access to all the Supplier and Service Tower Supplier operated Systems, Networks, Software, and Customers data.   | Y            |                   |
| R1837. | 2. Implement a process that enables Customer's IT Security department to exercise full administrative rights to the Systems providing the Services, including full access to audit trails and logs.   | Y            |                   |
| R1838. | 3. Establish processes and controls for administrating IDs and passwords used for data or System, including:  | Y            |                   |
| R1839. | 3.1. Executing all related administration for user identification (IDs) and passwords.  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1840. | 3.2. Administering user IDs and passwords for Service Tower Supplier operated Systems.   | Y            |                   |
| R1841. | <b>6.7 Supplier IT Operations</b>  |              |                   |
| R1842. | Supplier responsibilities include:   |              |                   |
| R1843. | 1. Maintaining current patch levels on their own systems used to support VITA and the Customers.   | Y            |                   |
| R1844. | 2. Patching to current patch levels the assets provided through their services to Customers utilizing tools provided by Supplier.  | Y            |                   |
| R1845. | 3. Develop a mechanism for all Service Tower Suppliers to report plans, schedules, and results of patch activity using systems and process outlined in the Service Management Manual.                                | Y            |                   |
| R1846. | 4. Set up a Joint Operations Center  | Y            |                   |
| R1847. | 4.1. Operations center will be in proximity to the central data center   | Y            |                   |
| R1848. | 4.2. Provide all necessary equipment and software  | Y            |                   |
| R1849. | 4.3. Provide ability to monitor the environment in coordination with all Service Tower Suppliers   | Y            |                   |
| R1850. | 4.4. Participating with all Service Tower Suppliers, staff the Joint Operations Center on a 24x7x365 basis   | Y            |                   |
| R1851. | 5. Establish process and tools with Service Tower Suppliers in monitoring the environment in the Joint Operations Center.  | Y            |                   |
| R1852. | 6. Supplier systems hosted in the centralized Data Center will utilize the services of the Server Supplier to support the Customers.   | Y            |                   |
| R1853. | 7. If Supplier chooses to implement Services in facilities outside of the centralized Data Center, Supplier will provide the network connections from those locations to the central Data Center.                    | Y            |                   |
| R1854. | <b>7.0 CONTINUAL SERVICE IMPROVEMENT</b>   |              |                   |
| R1855. | The Supplier will establish and undertake Continual Service Improvement processes in order to manage improvements to Tower Service performance by continually measuring, reporting and coordinating service results. | Y            |                   |
| R1856. | <b>7.1 Service Review and Reporting</b>  |              |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1857. | <p>The Supplier will provide consolidated service reporting for the ITISP Services using a dashboard that shows current period, prior periods, and data trends and results. Reporting is achieved through Supplier gathered data and data provided by all Service Tower Suppliers. The reports are accompanied by the Supplier's and Service Tower Suppliers' assessment of risks, issues, lessons learned and opportunities for improvement and includes reporting for VITA, Customers, Service Tower Suppliers and specific Customer's business units.</p> <p>Service Level reporting and general reporting requirements are set out in <b>Exhibit 3 (Reporting and Service Level Management)</b>. The reports are to be accompanied by the Supplier's assessment of risks, issues and opportunities for improvement, as approved by VITA or ITISP Governance.</p> |              |                   |
| R1858. | <p><b>7.2 Process Evaluation and Currency</b></p>  |              |                   |
| R1859. | <p>The Supplier will administer a process to evaluate all processes on a regular basis, at least annually, and more frequently for processes where targeted process metrics have not been reached. This includes identifying areas where the targeted process metrics are and are not reached, and holding regular benchmarks, audits, maturity assessments and reviews. The process includes conducting an annual audit on the performance of core processes that identifies best practices and opportunities for improvement on each of the main and sub-processes. The results of these annual audits will be reviewed and follow-up actions agreed to in accordance with ITISP Governance. Supplier responsibilities include:</p>  |              |                   |
| R1860. | <p>1. Provide a process review plan for the evaluation of processes.</p>   | Y            |                   |
| R1861. | <p>2. Require, facilitate and coordinate the appropriate involvement of VITA and Supplier and Service Tower Suppliers to review proposed improvements and solicit ongoing feedback.</p>  | Y            |                   |
| R1862. | <p>3. Create and maintain an ongoing process improvement plan to address the process improvement opportunities identified.</p>   | Y            |                   |
| R1863. | <p>4. Report to VITA and ITISP Governance on process evaluation results and process currency and the accomplishment of process improvements in the delivery of ITISP Services.</p>   | Y            |                   |
| R1864. | <p><b>7.2.1 Service Management Manual (SMM) Currency</b></p>   |              |                   |
| R1865. | <p>The Supplier will provide for a program to maintain the Service Management Manual (SMM) and other relevant operational documentation. The Service Management Manual Currency is an</p>  |              |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
|        | On-Going Program with minor revisions at least quarterly and major revisions annually. Supplier responsibilities include:  |              |                   |
| R1866. | 1. Provide a maintenance plan for the review and update of all Service Management Manual areas, as approved by VITA.   | Y            |                   |
| R1867. | 2. Facilitate and coordinate the appropriate involvement of VITA, Customers, ITISP Governance, Service Tower Suppliers and Third-Party Suppliers. Other Stakeholders, including designated users, may review proposed changes and provide ongoing feedback.  | Y            |                   |
| R1868. | 3. Ensure all Policies have a named owner in accordance with ITISP Governance.   | Y            |                   |
| R1869. | 4. Ensure all Main and Sub-Processes have a named owner within Supplier.   | Y            |                   |
| R1870. | 5. Ensure all documents of the SMM (e.g. sub-processes, procedures, working documents, and desk-level instructions) have a named owner within the Supplier and Service Tower Suppliers.  | Y            |                   |
| R1871. | 6. Provide for VITA to approve procedures, work instructions and other materials relevant for Customer sites and business units.   | Y            |                   |
| R1872. | 7. Publish the SMM for VITA and designated users online and provide an online feedback mechanism to solicit and resolve user comments, corrections, and questions.   | Y            |                   |
| R1873. | 8. Log SMM issues via the Service Desk and resolve Problems and corrective actions opened against SMM processes.   | Y            |                   |
| R1874. | 9. Create a VITA-approved SMM Currency reporting plan that outlines the content, frequency, access, and action items associated with the maintenance of the SMM.   | Y            |                   |
| R1875. | 10. Report on Problem and corrective action resolution progress monthly.   | Y            |                   |
| R1876. | 11. Report to VITA and ITISP Governance on SMM Currency and the accomplishment of process improvements in the delivery of ITISP Services. The Supplier will provide an annual schedule for reviewing and updating all sections of the Service Management Manual. The Supplier will also provide a quarterly report of the review findings which demonstrates the currency and accuracy of the Policy and Procedure Manual or Service Management Manual sections reviewed in that quarter, as applicable. | Y            |                   |
| R1877. | <b>7.3 Service Measurement</b>   |              |                   |
| R1878. | The Supplier will provide monitoring and measures for the overall success of IT Service Management within the Customer's organization.   |              |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1879. | <b>7.3.1 Overall Program Measures</b>  |              |                   |
| R1880. | The Supplier will provide program measures that demonstrate the effectiveness of the entire ITISP and such that the value of the program can be demonstrated to its stakeholders. Supplier responsibilities include: |              |                   |
| R1881. | 1. Establish Overall Program Measures with Supplier and Service Tower Suppliers and Customers, as approved by VITA, within the following guidelines:   | Y            |                   |
| R1882. | 1.1. Design measures that reflect the overall objectives of VITA for the ITISP (e.g. improve service delivery, innovate and evolve service offerings, ensure cost competitiveness and transparency).                 | Y            |                   |
| R1883. | 1.2. Design the measures to reflect comprehensive end-to-end service (i.e. not a single process or program) and enterprise.  | Y            |                   |
| R1884. | 1.3. Design the measures to reflect multiple levels of activity (e.g. not a single functional area or program).  | Y            |                   |
| R1885. | 1.4. Design the measures to reflect industry standard metrics.   | Y            |                   |
| R1886. | 1.5. Manage the number of Overall Program Measures to provide focus and broad applicability.   | Y            |                   |
| R1887. | 1.6. Provide for controls and processes that collect information supporting the measures across Supplier and Service Tower Suppliers and Customers.  | Y            |                   |
| R1888. | 1.7. Provide for a trial and baseline of the initial and any new Overall Program Measures over an appropriate period of time to ensure viability.  | Y            |                   |
| R1889. | 1.8. Provide analysis on the viability of the Overall Program Measure to VITA.   | Y            |                   |
| R1890. | 1.9. Provide recommendations for adjusting processes, measures, and controls.  | Y            |                   |
| R1891. | 1.10. Establish initial Overall Program Measures within six (6) months of Commencement and provide recommendations for revising Overall Program Measures on an annual basis.   | Y            |                   |
| R1892. | 1.11. Create a VITA-approved Overall Program Measures reporting plan that outlines the content, frequency, access, and action items associated with the maintenance of program measures and measurement reports.     | Y            |                   |
| R1893. | 1.12. Generate reports to VITA and ITISP stakeholders (e.g., Governor's office, ITISP Governance).   | Y            |                   |
| R1894. | 1.13. Provide the capability to publish results online via the IT Information dashboard.   | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1895. | 1.14. Provide corrective actions and program management to improve the program measurement approach and track improvements across the life of the Overall Program. Measure Provide review on a monthly basis and upon request.   | Y            |                   |
| R1896. | <b>7.3.2 Quality Assurance</b>   |              |                   |
| R1897. | The Supplier will implement and operate Quality Assurance across the Supplier services and Service Tower Supplier services to improve Business-aligned IT service quality. The Supplier will employ a Quality Assurance (QA) program, tools, and processes as approved by VITA. Supplier responsibilities include:               |              |                   |
| R1898. | 1. Develop and employ a Quality Assurance program, designed to promote performance of the Services to optimize Overall Program Measures and ITISP business results. Focus on measuring and improving quality, reliability, speed, cost-effectiveness, security, the customer experience and Customers' satisfaction.             | Y            |                   |
| R1899. | 2. Create a Quality Assurance Strategy and Plan that outlines the elements and planned execution of the proposed Quality Assurance program.  | Y            |                   |
| R1900. | 3. Design, document, implement and maintain procedures, processes and measurements for all Quality Assurance activities across the Integrated Services.  | Y            |                   |
| R1901. | 4. Gather, analyze, summarize, and portray quality assurance data.   | Y            |                   |
| R1902. | 5. Verify and document ongoing compliance with the quality assurance program, procedures and standards.  | Y            |                   |
| R1903. | 6. Provide oversight and validate Service Tower Supplier implementation of required quality improvement changes.   | Y            |                   |
| R1904. | 7. Test results, Validate test results, determine level of improvement and report findings at least monthly to Customers as designated.  | Y            |                   |
| R1905. | <b>7.4 Improvement Planning</b>  |              |                   |
| R1906. | The Supplier will conduct improvement planning across the services and towers to improve Business-aligned IT service quality. Improvement planning will be based upon captured results from the process evaluation, service measurement, and quality assurance programs, as approved by VITA. Supplier responsibilities include: |              |                   |
| R1907. | 1. Develop, monitor and maintain a joint Service Improvement Plan across Supplier and Service Tower Suppliers and manage the delivery of the ITIL Continual Service  | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
|        | Improvement Framework (CIF) and the Service Improvement Programs, as approved by ITISP Governance   |              |                   |
| R1908. | 2. Facilitating, on a quarterly basis, a CIF and SIP review meeting with all Service Tower Suppliers, VITA and ITISP Governance.  | Y            |                   |
| R1909. | 3. Prepare reporting with the outcomes of CIF and SIP review, and publish to Users of the dashboard.  | Y            |                   |
| R1910. | <b>7.5 Technical Innovation</b>   |              |                   |
| R1911. | The Supplier will conduct technical innovation across the services and towers to improve Business-aligned IT service quality. Technical innovation will be based upon captured results from the process evaluation, service measurement, and quality assurance programs and the improvement planning activities. Supplier responsibilities include: |              |                   |
| R1912. | 1. Summarize and present the continual improvement opportunities associated with the SIP and CSI activities.  | Y            |                   |
| R1913. | 2. Coordinate and facilitate, at least every six (6) months, a forum for Service Tower Supplier innovation. Include participants as directed by VITA and ITISP Governance.  | Y            |                   |
| R1914. | 3. Identify areas of technical innovation to improve service delivery.  | Y            |                   |
| R1915. | 4. Align activities to the Technology Plan, the Security Plan, Customer business strategies and needs, forecasts from Service Portfolio Management and Demand Management, and other analyses and priorities as directed by VITA.  | Y            |                   |
| R1916. | 5. Deliver a consolidated Innovation Plan, and update the plan annually thereafter for the remainder of the term.   | Y            |                   |
| R1917. | 6. Develop a process for to manage the Consolidated Innovation Plan that will include at a minimum:   | Y            |                   |
| R1918. | 6.1. The process and method for production of innovation ideas;   | Y            |                   |
| R1919. | 6.2. The process for determining which ideas to submit;   | Y            |                   |
| R1920. | 6.3. The governance to be used to ensure that viable innovation proposals are produced and that they are relevant to the business needs of Customers;   | Y            |                   |
| R1921. | 7. The consolidated Innovation Plan will include, at a minimum:   | Y            |                   |
| R1922. | 7.1. The desired outcomes from Customers as they are identified and refined;  | Y            |                   |
| R1923. | 7.2. The implementation status of each proposal delivered under the previous plans.   | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1924. | 7.3. Include in the Innovation Plan a description of the activities the Supplier and Service Tower Suppliers will undertake in order to deliver on the desired outcomes of the Innovation Plan.  | Y            |                   |
| R1925. | 8. The innovation plan will be reviewed at least every six (6) months to:  | Y            |                   |
| R1926. | 8.1. Compare the improvements to the baseline  | Y            |                   |
| R1927. | 8.2. Verify if the objectives have been achieved   | Y            |                   |
| R1928. | 8.3. Review discrepancies and identify action plans to resolve them  | Y            |                   |
| R1929. | 8.4. Identify the need to update any policies and procedures   | Y            |                   |
| R1930. | <b>7.6 Technical Currency</b>  |              |                   |
| R1931. | Technical Currency will be an On-Going Program. This program produces the Refresh and Currency Plan and ensures the execution of Refresh projects and Software currency project The Plan will address currency as defined in the Technology Plan. Supplier responsibilities include:   |              |                   |
| R1932. | 1. Establish an on-going Technical Currency Program that accomplishes the goals of Refresh and Software Currency and coordinates the activities of VITA, Customers, Service Tower Suppliers and designated Third Party vendors.  | Y            |                   |
| R1933. | 2. Develop a consolidated annual plan for Technical Currency (the Currency Plan) in coordination with the Service Tower Suppliers, including:  | Y            |                   |
| R1934. | 2.1. Submit plan for VITA and ITISP Governance approval  | Y            |                   |
| R1935. | 2.2. On a quarterly basis, review the asset inventory and produce a report that lists the assets that are due to be refreshed in the upcoming plan year, and provide such report to Customers.   | Y            |                   |
| R1936. | 2.3. The asset refresh planned dates should be continuously available to VITA and the Customers.   | Y            |                   |
| R1937. | 3. Refresh as required in <b>Exhibit 4 (Pricing and Financial Provisions)</b> throughout the Term, for purposes that include meeting VITA's and Customers' business requirements; preventing technological obsolescence or failure; and accommodating volume changes, the ability to increase efficiency, the ability to lower costs, or the need to maintain the required Third Party Vendor support. | Y            |                   |
| R1938. | 4. Working with Service Tower Suppliers to coordinate, monitor and manage the execution of Refresh responsibilities. Supplier and Service Tower Suppliers will deploy  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
|        | Equipment and Software associated with any Refresh in accordance with the standards of the Technology Plan.  |              |                   |
| R1939. | 5. Supplier and Service Tower Suppliers will deploy equipment and software on schedules approved by VITA and coordinated with the Customers  | Y            |                   |
| R1940. | <b>7.6.1 Currency Planning</b>   |              |                   |
| R1941. | Supplier responsibilities include:   |              |                   |
| R1942. | 1. In coordination with VITA, Customers and Supplier and Service Tower Suppliers develop and manage a continual plan for Technical Currency (the Currency Plan), including:  | Y            |                   |
| R1943. | 1.1. Coordinate planning activities with VITA, Customers, Service Tower Suppliers and designated Third Party vendors.  | Y            |                   |
| R1944. | 1.2. At Service Commencement Date of Service Tower Suppliers, Supplier and VITA will consider the usability of existing assets and review alternatives to replace, re-lease, consolidate, or retain the assets. Based on the results of this review, Supplier and Service Tower Supplier(s) will deliver the initial recommendations regarding such assets to VITA within thirty (30) days after the review. | Y            |                   |
| R1945. | 1.3. For Supplier-owned assets and Software, Supplier and VITA will mutually determine the appropriate replacement date.   | Y            |                   |
| R1946. | 1.4. If Software Changes or additional Software license are required due to replacement of assets, Supplier, in consultation with the VITA, will review alternatives for making changes to such Software.  | Y            |                   |
| R1947. | 1.5. Such replacement of the assets and Software will be at Supplier's expense if the replacement is required to facilitate achievement of the agreed upon Service Levels or because the asset is obsolete (e.g., replacement parts cannot be acquired, asset has become unserviceable, etc.).   | Y            |                   |
| R1948. | 1.6. For Customer-owned and leased assets, provide a proposal for refresh of those assets to VITA.   | Y            |                   |
| R1949. | 1.7. For VITA owned Software, provide a proposal for upgrade of the Software (replacement at VITA's expense) to VITA.  | Y            |                   |
| R1950. | 2. Adhere to VITA's approved Currency Plan, and execute that plan utilizing established procurement processes, to initiate refresh, software upgrades and retirement activities.   | Y            |                   |
| R1951. | 3. Provide monthly reports, starting 180 days prior to lease or license expiration date, showing assets to be refreshed and Software to be upgraded.   | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R1952. | 4. Notify VITA monthly of all open agreements related to assets that are retired or will retire within 180 days of the report date.   | Y            |                   |
| R1953. | 5. Track and report on the completion progress of the Currency Plan.  | Y            |                   |
| R1954. | 6. Update and archive configuration records after retirement of Software or system assets.  | Y            |                   |
| R1955. | <b>7.7 Cloud Broker for SaaS, IaaS, and PaaS</b>  |              |                   |
| R1956. | Software as a Service (SaaS), Infrastructure as a Service (IaaS), and Platform as a Service (PaaS) are desired as catalog offerings. These offerings should be centrally managed to make administration and licensing effective, efficient and create economies of scale.<br>Supplier responsibilities include: |              |                   |
| R1957. | 1. Manage the use, performance and delivery of cloud services.  | Y            |                   |
| R1958. | 1.1. Perform as the intermediary between the Customer of Cloud services and the sellers of that service   | Y            |                   |
| R1959. | 1.2. Negotiates relationships between cloud providers and Customers; act as a vendor-neutral go-between for Customers and various cloud service providers.  | Y            |                   |
| R1960. | 1.3. Research services from different vendors and provide the Customer with information about how to use cloud computing to support business goals  | Y            |                   |
| R1961. | 1.4. Supplier will have pre-existing relationships with a range of vendors (e.g. analytics, testing, document management, human resource management) and pre-negotiated rates and contracts, allowing organizations to save time and money during the acquisition process.                                      | Y            |                   |
| R1962. | 1.5. The catalog of services will include rules-based tools that can automatically select services that most closely align with the Customer's pre-defined criteria (e.g., cost, compliance, SLAs)  | Y            |                   |
| R1963. | 2. Aggregate multiple services and ensure the interoperability and security of data between systems.  | Y            |                   |
| R1964. | 3. Advise Customers, where appropriate, on the best solutions, providing budgeting guidance, and procuring and managing multiple cloud services.  | Y            |                   |
| R1965. | 3.1. Work with the Customer to understand work processes, provisioning needs, budgeting and data management requirements when requested.  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response   |
|--------|--|--------------|---|
| R1966. | 4. Analyze Customer demand for services and enhance the cloud offerings to meet and anticipate Customer demand.  | Y            |   |
| R1967. | 5. Provide flexibility by offering multiple similar services to select from.   | Y            |   |
| R1968. | 6. Provide value added services on top of existing cloud platforms, such as identity or access management capabilities.  | Y            |   |
| R1969. | 7. Provide integration between cloud services and on-premises services and ensure data flows smoothly.   | Y            |   |
| R1970. | 8. Provide Customer with encryption and transfer of the Customer's data to the cloud   | Y            |   |
| R1971. | 9. Develop additional features or fine-tunes the cloud services to meet a Customer's unique needs.   | Y            |   |
| R1972. | 10. Provide administration services (e.g. establish and configure Customer-specific instance/project)  | Y            |   |
| R1973. | 11. Provide monitoring of Cloud-based services   | Y            |   |
| R1974. | <b>8.0 FACILITIES COLOCATION</b>   |              |   |
| R1975. | 1. Provide space in the SAIC Richmond facility for 25 individuals, to be used by VITA and other STS's. The space will include 5 walled offices and 20 workstation/cubicles. Services at the facility shall include receptionist, network and internet access including wireless / Wi-Fi, telephones, badge controlled access, guard services/parking, furniture, office supplies, kitchen, and coffee. | Y            | Subject to VITA providing written notice to proceed 30 days, but not later than within 60 days, following the Effective Date. |
| R1976. | 2. Provide a conference room at the SAIC Richmond facility, including audio visual (A/V) and presentation devices and Wi-Fi Internet access, which can accommodate up to 75 people.  | Y            | Subject to VITA providing written notice to proceed 30 days, but not later than within 60 days, following the Effective Date. |
| R1977. | <b>9.0 ESignature Management</b>   | Y            |   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1978. | Supplier will provision the infrastructure for eSignature and Digital Transaction Management (DocuSign) at Location. The DocuSign platform will be used for providing the capability to support digital signatures and certificates from multiple certificate authorities.   | Y            |                   |
| R1979. | Supplier will work with Supplier's DocuSign Vendor to create an account for Customer within the eSignature Cloud based infrastructure.   | Y            |                   |
| R1980. | Supplier will establish a parent account and configure it to manage multiple child accounts within the organization's container defined by the vendor. Role based accounts will also be created by Suppliers to allow certain users permissions to manage user memberships, access controls, and other administration tasks. | Y            |                   |
| R1981. | Suppliers will also work with Supplier's DocuSign Vendor to establish integrations with the Suppliers authentication/account management tools to allow only authorized access to the eSignature environment.   | Y            |                   |
| R1982. | Define notification, regional, retention and security settings.  | Y            |                   |
| R1983. | Setup the eSignature Infrastructure and associated one-time costs.<br><br>eSignature service will continue to be processed through SPLM to establish appropriate service offering and RU rates for licenses.   | Y            |                   |
| R1984. | Configure Commonwealth Tenant in DocuSign Environment  | Y            |                   |
| R1985. | Configure agency specific tenant/subscription for use of agency e-signature services including end user permission profiles  | Y            |                   |
| R1986. | Assign and track agency user license and configure end user permissions for e-signature service.   | Y            |                   |
| R1987. | Provide ongoing direct agency and agency end user support & issue resolution for e-Signature service.  | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
| R1988. | View, manage, and request status of all envelopes for the account through DocuSign administrative tools.   | Y            |                   |
| R1989. | Transfer envelope custody and set custody transfer rules as applicable.  | Y            |                   |
| R1990. | Track, manage and report on e-signature license assignment and available licenses monthly or when available licenses fall under a VITA specified threshold   | Y            |                   |
| R1991. | <b>10.0 Low Code Application Platform (LCAP) Software SaaS for DSS</b>   | Y            |                   |
| R1992. | Supplier will provision LCAP (Salesforce) licensing.   | Y            |                   |
| R1993. | Provide, at a minimum, the following licensing options until June 30, 2022: Lightning Service Cloud Unlimited Edition, Salesforce Shield, Additional Objects for Customer Community Plus, myTrailhead for Employees – Unlimited Addition, Unlimited Edition Government Cloud, Customer Community Plus Logins Unlimited Edition, and Customer Community Plus Members Unlimited Edition. | Y            |                   |
| R1994. | Supplier will setup, configure, and implement any required authentication structures and any security policies.  | Y            |                   |
| R1995. | Provide testing of solution for the production environment.  | Y            |                   |
| R1996. | <p>Account Provisioning</p> <ul style="list-style-type: none"> <li>• User Account Management (Add, Remove, Update users to existing Roles and Profiles)</li> <li>• Permissions, Profiles &amp; Roles administration (Platform)</li> <li>• Profile and Role configuration</li> <li>• Managing group admins</li> <li>• Troubleshoot user and resolve platform level issues</li> </ul>    | Y            |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
|        | <ul style="list-style-type: none"> <li>Troubleshoot user access issues in Salesforce environment</li> </ul>   |              |                   |
| R1997. | Coordinate Platform Security Changes  | Y            |                   |
| R1998. | Escalate issues for support and resolution to Salesforce on behalf of user  | Y            |                   |
| R1999. | Ensure successful integration and access to Salesforce platform for new DSS users   | Y            |                   |
| R2000. | Reporting for DSS on Salesforce usage   | Y            |                   |
| R2001. | Platform reports  | Y            |                   |
| R2002. | Existing integration configuration  | Y            |                   |
| R2003. | Platform support escalation path  | Y            |                   |
| R2004. | Ongoing SSO/MFA support (test integration with new releases, troubleshoot SSO issues with environment)  | Y            |                   |
| R2005. | Ongoing SEIM integration support (test integration with new releases, troubleshoot SEIM integration & configuration issues with environment)  | Y            |                   |
| R2006. | <b>11.0 EVA KEYSTONE EDGE INTEGRATION</b>   | Y            |                   |
| R2007. | Supplier will integrate ServiceNow into the eVA system. ServiceNow is referred to as Keystone Edge (KSE)  | Y            |                   |
| R2008. | Initial Build Out: Supplier will enable Service Now to communicate with the eVA system  |              |                   |
| R2009. | 1. Supplier will integrate eVA with KSE using the standard agreed upon processes  | Y            |                   |
| R2010. | 2. Supplier will develop a new bifurcated workflow to replace the primary and secondary workflows currently within Key Stone Edge. One leg of this workflow will integrate with the eVA punch-out for all items that present with a cost. This will allow for | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
|        | configurations and approvals to now take place within eVA and then be ingested back into Key Stone Edge to follow the current provisioning workflow.   |              |                   |
| R2011. | 3. Workflow in eVA punchout can push up to fifteen (15) attributes from ServiceNow to eVA via cXML integration for the “priced” catalog itemdesk   | Y            |                   |
| R2012. | 4. One (1) URL routing to a page designed to display the ServiceNow “price” Catalog  | Y            |                   |
| R2013. | 5. One cXML integration that allows Arriba to send one (1) update to ServiceNow per request specifying “approve” or “reject.”  | Y            |                   |
| R2014. | 6. Supplier will ensure that features within the current eVA and KSE workflows are evaluated for necessity and included in the delivered solution, as approved by VITA and Customer, in order to provide the same functionality of eVA to Customers and Suppliers. This relates to traceability, accuracy and reporting. | Y            |                   |
| R2015. | eVA Ongoing Maintenance will include Catalog Maintenance, Workflow maintenance, Upgrade maintenance.   | Y            |                   |
| R2016. | 1. Catalog Maintenance – MSI will update on an as needed basis to ensure catalog updates are properly displayed in KSE and eVA   | Y            |                   |
| R2017. | 2. Workflow Maintenance - Maintain newly created workflow covering tasks for requests through fulfillment. Maintenance will include any updates to the workflow to include testing   | Y            |                   |
| R2018. | 3. Upgrade Maintenance – Ensure upgrades to KSE and/or eVA do not impact the customers’ ability to submit requests through fulfillment.  | Y            |                   |
| R2019. | 4. Supplier will ensure that eVA Ongoing Maintenance will not interfere with and will have no impacts to any other updates to the Service Management Systems.  |              |                   |
| R2020. | <b>12.0 CyberArk SaaS Solution</b>   |              |                   |

| Ref#   | Requirement   | Comply (Y/N) | Supplier Response |
|--------|---|--------------|-------------------|
| R2021. | 1. Implement a SaaS solution that enables agencies to securely store, rotate and isolate credentials for users, record sessions and deliver scalable risk reduction to the business   | Y            |                   |
| R2022. | 2. Changes passwords automatically on remote machines and stores the new passwords in a vault, with no human intervention, according to the organizational policy.  | Y            |                   |
| R2023. | 3. User credentials are stored and rotated after each use or by policy. Users must checkout the credentials   | Y            |                   |
| R2024. | 4. Permits inbound traffic only from specific IP address ranges   | Y            |                   |
| R2025. | 5. Enable users to log onto remote (target) machines or open applications securely through a proxy machine without having access to the secure password   | Y            |                   |
| R2026. | 6. Security teams can view privileged sessions in real-time   | Y            |                   |
| R2027. | 7. Maintains a comprehensive, searchable audit trail of privileged user activity  | Y            |                   |
| R2028. | 8. Maintains strict isolation between endpoints and targets allows security teams to mitigate the risk of malware spreading from infected endpoints to critical systems by not exposing endpoints to privileged credentials.  | Y            |                   |
| R2029. | 9. Has a connector/ proxy server inside the COV network to access targets within the internal network to enable password rotation and session isolation capabilities  | Y            |                   |
| R2030. | 10. Provides privileged Single Sign-On capabilities and allows users to connect to target devices without being exposed to the or having knowledge of connection privileged password.   | Y            |                   |
| R2031. | 11. Supports these Unix platforms at a minimum <ul style="list-style-type: none"> <li>• RHEL 4-7.1</li> <li>• Solaris Intel and Solaris SPARC 9, 10, 11</li> <li>• AIX 5.3, 6.1, 7.1</li> <li>• ESXi 5.0, 5.1</li> <li>• SUSE 10</li> <li>• Fedora 18,19, 20</li> </ul> | Y            |                   |

| Ref#   | Requirement  | Comply (Y/N) | Supplier Response |
|--------|--|--------------|-------------------|
|        | <ul style="list-style-type: none"> <li>• CentOS 6</li> <li>• Oracle Linux 5</li> </ul>   |              |                   |
| R2032. | 12. Uses SSH to enable users to connect to target UNIX systems   | Y            |                   |
| R2033. | 13. Uses RDP to enable users to connect to target Windows systems  | Y            |                   |
| R2034. | <p>14. Supports these Windows Platforms at a minimum</p> <p>Windows server versions</p> <ul style="list-style-type: none"> <li>• Windows 2012</li> <li>• Windows 2016</li> <li>• Windows 2019</li> </ul> <p>Windows client versions</p> <ul style="list-style-type: none"> <li>• Windows 10 [VDI]</li> </ul> | Y            |                   |
| R2035. | 15. Manages passwords in the COV AD instance   | Y            |                   |
| R2036. | 16. Minimum of 99.9% uptime  | Y            |                   |
| R2037. | 17. In the event where CyberArk environment is inaccessible through LDAP or SAML authentication, an alternative method to access CyberArk is to use a break glass local CyberArk administrator account to access the CyberArk environment.   | Y            |                   |

