



Service Level Management

Procedures

Office of Technology Services

Version 1.0

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1. Service Level Management (SLM)

SLM is responsible for gathering service requirements, negotiating Service Level Agreements, as well as monitoring and reporting with regards to agreed service levels. SLM is also operational level agreements and underpinning contracts appropriate for the Service Level Agreements (SLA). The SLM program is to ensure that IT services meet the agreed upon availability levels between the provider and customer.

1.1 SLM Objectives

- Establish ITIL-aligned Service Level Management policies, processes, and procedures
- Operate business-aligned IT services through a constant cycle of agreeing, monitoring, and reporting
- Identify dedicated Service Level Management Process Owner
- Practice holistic management over IT services versus independent technical silos
- Refine and update the IT Service Catalog
- Establish service level agreements for customers of IT services
- Establish operational level agreements and underpinning contracts with IT suppliers
- Develop reports on the quality of IT services on a regular basis
- Take proactive actions to seek service improvements where needed
- Take proactive actions to eradicate unacceptable levels of service

1.2 Critical Success Factors (CSFs)

- Ensure services meet customer needs and priorities
- Ensure services meet agreed upon service levels
- Measure service delivery partner performance
- Maintain a customer and quality- focused service culture



2. Procedures

2.1 Service Monitoring and Reporting Team

The Service Monitoring and Reporting Team (SMART) will analyze the cumulative impact of the service interruptions for a given month, and compare the actual service availability to the Service Level Agreement (SLA) thresholds. The team includes management from the Operations and Customer Delivery Divisions, and OTech managers responsible for the services with published SLAs:

- Mainframe
- CA.Mail
- CES
- CGEN

2.2 Communicating SLAs to Customers

OTech SLAs were developed for Mainframe, CA.Mail, CES, and CGEN. The OTech Director, Chief Deputy Director, and Deputy Directors will communicate the terms of the SLAs to customers in the following manner:

1. **Tech Alerts:** The Customer Delivery Division (CDD) will announce the implementation of SLAs, and the SLA procedures customers should follow, via a Tech Alert notification.
2. **Website Notification:** The SLAs will be published on the www.otech.ca.gov web page.
3. **Face-to-Face Meetings:** OTech executives will have face-to-face meetings with the largest customer users of each service under the SLA. This meeting will include the CIOs and their management teams to provide an overview of the SLA terms and conditions.
4. **Customer Forums:** OTech executives will host customer forums with CIOs, managers, supervisors, technical staff, and accounting staff. These meetings will provide an overview of the SLA terms and conditions.

2.3 Service Interruption Analysis (SIA)

Service Interruption Analysis (SIA) is produced to improve the overall availability of the services. The SIA objectives identify:

- underlying causes of service interruptions
- service restoration efforts conducted
- opportunities to enhance the reliability of service availability

The SIA is developed for internal service and process improvements and is provided to impacted subscribing customers.



As a result of a service incident that impacts participating services, the respective OTech Service Manager(s) will complete an SIA to document the cause of the service interruption. SIAs shall include the following:

A. Service Incident Summary

- General description of service incident(s)
- Date(s), time(s), and duration(s) of impact
- Impacted OTech services
- Impacted customer(s) and system(s)

B. Cause of Service Interruption

The cause and contributing factors will include:

- Source of service interruption (internal, external, process, procedure, physical)
- Any action(s) taken, or not taken, that caused the service incident
- Any action(s) that added to the impact of the service incident, or delayed service restoration
- Whether the service incident was caused from not adhering to an OTech process or the absence of a process

C. Resolution

Document how the service was restored including:

- Who, what, when, where, why, and how from each service group involved in resolution of the service incident.
- If the recovery solution will be applied across other related areas

D. Corrective Action

Identify all actions taken to resolve the issue and prevent recurrence.

E. Service Restoration Notification

Attach the Service Restoration Notification from the OTech Service Desk, if applicable.

2.3.1 SIA Review, Approve, and Publish

The Deputy Director of the impacted service area must approve the SIA. Once approved, the Service Manager will distribute the SIA to the Director, Chief Deputy Director, Deputy Directors, and the SMART. OTech's Account Management Branch will distribute the SIA to the impacted customers. The OTech Operations Division will be the custodian of all SIAs.

A detailed SIA will be published within 15 business days of a documented service interruption.



2.4 SLA Reporting

The SMART will meet monthly to determine if SLAs were met. These meetings will be facilitated by the Operations Deputy Director or designee.

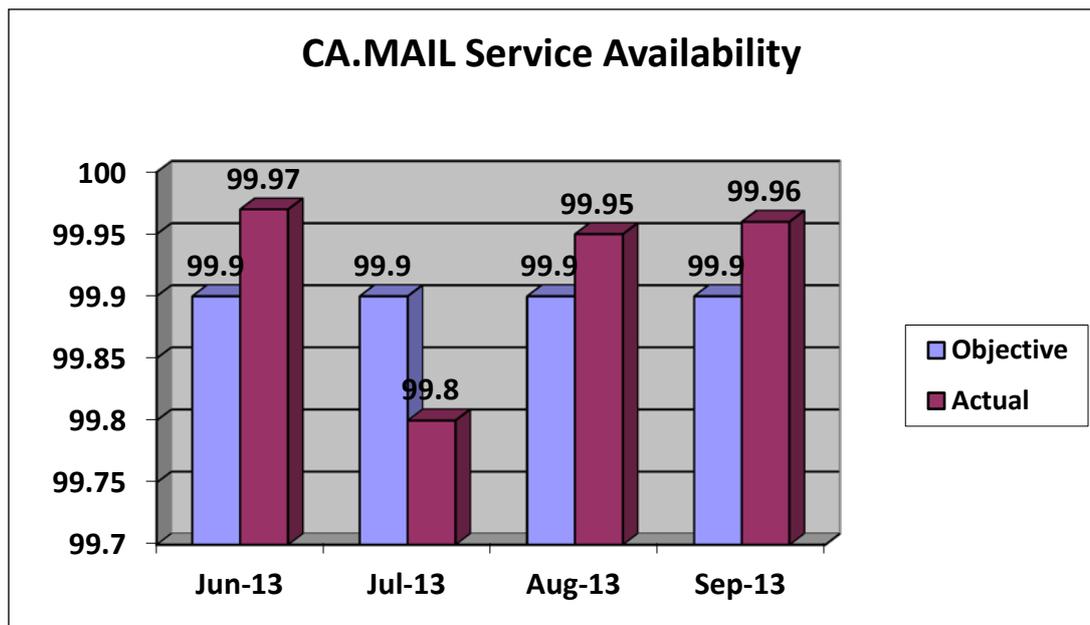
The SMART will evaluate the accumulation of service interruptions in a given month for each participating service to determine whether the total downtime resulted in an SLA violation. This analysis must be completed within 30 calendar days from the last day of the month being reviewed. SMART will develop a monthly report to the Directorate to identify:

1. Services that met the SLAs during the prior month: including the cumulative downtime for that service during that month compared to the SLA.
2. Services that did not meet the SLAs during the prior month: including the cumulative downtime for that service during that month, the amount of downtime above the agreed upon SLA (the portion that is subject to a customer refund), and the list of customers impacted by each service interruption.
3. Any related SIA's addressing service interruptions for the month in review.

2.4.1 Service Availability Report

A service availability report will be produced 15 business days following the close of the reporting period. Reporting periods begin the first day of the month and concludes on the last day of the month.

Service availability reports will be published at www.otech.ca.gov after they are reviewed and approved by SLA service owners and the OTech Deputy Directors.





2.5 Customer Service Credits

The Deputy Director of the impacted service area will provide final approval when a credit is due. The Rates and Cost Recovery Unit, within the Administration Division, will be responsible for determining the appropriate customer credits (if required) for SLA deviations. All service credits provided will be applied to the customer's monthly invoice.

SLA credits can be initiated in two ways:

1. Interruptions Impacting Multiple Customers:

The service area(s) with SLA violations will submit an SLA work order (WO) titled: "SLA Credit" to the Rates and Cost Recovery Unit on behalf of all the customers impacted by the cumulative service interruption for that month. This WO should be submitted to the Rates and Cost Recovery Unit no later than 15 business days following the published service availability report from the SMART. The WO must include the OTech 110 form (Credit Request) and a spreadsheet detailing the following information:

- A. List of all service incident numbers (INC#s) that led to the SLA violation
- B. Name of the service being credited (e.g., CGEN)
- C. List of customers impacted
- D. Cumulative amount of time subject to a credit (e.g., time exceeding the SLA)

2. Interruptions Impacting a Single Customer:

The customer should open a WO if they believe they experienced an SLA violation that is not identified as a violation in the monthly SLA report.

The customer may submit a request for credit within 60 calendar days from the last day of the month that the service incident occurred. The WO titled "SLA Credit" must include the OTech 110 form (Credit Request) with the following information:

- A. List of all service incident numbers (INC#s) that lead to the possible SLA violation
- B. Name of the service being credited (e.g., CGEN)
- C. List of billing codes impacted
- D. Cumulative amount of time subject to a credit (e.g., time exceeding the SLA)
- E. Supporting documentation, if available

The Service Manager along with the SMART will review the request and supporting information within 30 calendar days from receipt to accept or deny the request. If accepted the Service Manager will approve the WO, then send it to the Rates and Cost Recovery Unit for processing. If rejected the Service Manager will provide a draft response to the OTech AMB Account Lead to ensure the customer understands the reason for the denial.



2.6 Customer Disputes

A customer may dispute the SLA credit if an interruption occurred and a credit was issued but the customer disagrees with the credited amount.

The following process has been defined to handle these disputes:

2.6.1 Dispute Notification

- A. The customer will have 30 calendar days from the receipt date of the credit, to dispute the amount. The customer can dispute the amount by submitting a WO via the OTech Service Desk. The WO must include the OTech 110 form (Credit Request), the basis for the dispute, and detailed supporting information. These work orders will be assigned to the Rates and Cost Recovery Unit.

2.6.2 Billing and Service Dispute Resolution and Escalation Process

The customer dispute WO will be managed by the Rates and Cost Recovery Unit in conjunction with the SMART, the manager of the impacted service area, and the AMB Account Lead.

- A. The Rates and Cost Recovery Unit, SMART, AMB Account Lead and the Service Manager will work together to resolve the dispute and document any findings accordingly.
- B. If the dispute cannot be resolved, the dispute will be escalated to the next level of management.
- C. If dispute resolution can still not be achieved, the dispute will be escalated to the appropriate Deputy Directors.
- D. Once the dispute is resolved, any changes to the amount of the credit issued will be processed by the Rates and Cost Recovery Unit.
- E. The outcome of the dispute will be documented in an email sent to the customer by the Rates and Cost Recovery Unit. The customer notification email will be attached to the WO.
- F. The dispute WO is closed.