

Enterprise IT Shared Services Service Level Agreement



NYSeMail Service Details

(Revision Date: June 14, 2012)

DOCUMENT CONTROL

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INTRODUCTION

The purpose of this document is to provide detailed Service Level Agreement (SLA) information about the NYSeMail service.

NYSeMail is CIO/OFT's centralized email and calendaring system for New York State agencies. It is based on Microsoft Exchange and Outlook. NYSeMail makes it easier for agencies to find email addresses using the Global Address List and scheduled meetings with other agencies.

This document is part of a set of SLA documents, and part of a group of documents and web pages that contain information about the NYSeMail service. The Resources Section of this document provides links to NYSeMail resources.

SERVICE DETAILS

MESSAGING/CALENDARING

Each user will receive up to 100MB of mailbox storage. This includes folders within the mailbox (inbox, drafts, calendar, tasks, and contacts, sent item, deleted folder, and notes). Users will have the option to create Personal Folder stores located on Customer Agency provided storage (e.g. user's hard drive or customer agency file share).

Additional storage options available include:

- Additional mailbox storage in 100MB increments. Selected users identified by the Customer Agency will be provided with mailbox storage in excess of the basic 100MB mailbox.
- Ability for users to create and access public folders for additional storage. Public folders will not affect the 100MB personal folder limitation.

REMOTE ACCESS

Primary remote access to NYSeMail is through Outlook Web Access (OWA). Agencies will control remote access to e-mail by individual user. This limitation can be defaulted to "no access," with access granted on an individual basis; or be defaulted so an agency can grant everyone access and deny access on an individual basis. Agencies can provide remote access to e-mail through VPN or RAS connections to the agency network.

PDA ACCESS

NYSeMail supports connectivity to Blackberry devices and other PDA devices. The Microsoft Outlook Client is compatible with PDA devices. Agency's PDA devices are the responsibility of the Customer Agency LAN admin staff, as they are attached to the client.

SECURITY AND BACKUPS

CIO/OFT will be responsible for performing backups and recovery operations specific to NYSeMail services.

- Daily progressive backups are performed for the operating system and application data.
- Online weekly full backups are performed twice each week for Exchange databases. Online differential backups are performed the remaining days of the week. Normal backup window is defined as daily from 7PM to 7AM.

- Backups are currently retained for 30 days. Backup tapes for NYSeMail only are off-sited, in Albany.
- Recovery from tape of a full Exchange user database loss should not exceed 120 minutes.
- Recovery from a complete server and database loss should not exceed 48 hours.

The Customer Agency data will be protected in the following ways:

Confidentiality

- Customer Agency e-mail shall be considered confidential and shall not be accessible by anyone other than the sender and receiver except as noted below.
- NYSeMail administrator access to e-mail contents shall be limited. Administrators will be subject to all CIO/OFT Information Security Policies and related standards, which prohibit purposefully viewing e-mail without prior Customer Agency approval. All access will be logged.

Security

CIO/OFT will provide a secure environment for the NYSeMail service. This includes user authentication and access, and single/dual audit trails.

- **Software Patches:** CIO/OFT shall proactively monitor appropriate media to identify security risks in the NYSeMail environment. CIO/OFT shall be available to investigate, identify and implement operating system or software patches required to mitigate identified security risks.
- **Physical Security:** CIO/OFT will provide a physically secured area that will house NYSeMail servers, data storage, and related equipment in full compliance with CIO/OFT security policies and standards. This area will be controlled and monitored for access twenty-four (24) hours per day, seven (7) days per week. Access rules and any subsequent modifications to those rules are available upon request.

Network encryption used via VPN tunnels over the NYeNet, and SSL over the Internet, is a requirement. When Agencies use NYSeMail, interagency e-mail will no longer be sent over the Internet. Encryption will be available between Customer Agency sites and the NYSeMail via VPN ePort connections to the CIO/OFT Data Center. NYSeMail has been designed to accommodate various client-based solutions for message level encryption, which Agencies can implement at their discretion (this is an optional service).

Investigations

With the exception of activities conducted by law enforcement agencies or the Inspector General's Office, the Customer Agency shall have the sole right and responsibility to investigate any violations of e-mail rules by the Customer Agency's user base. It shall be the Customer Agency's responsibility to head the investigation of any security breach or

allegation of misuse as it relates to their Agency. CIO/OFT staff will assist in the investigation by providing the Customer Agency with necessary information required to perform the investigation. Any exceptions to this provision would first need to be mutually agreed upon by both CIO/OFT and the Customer Agency.

Virus Protection

An enterprise-wide virus layered protection approach for server, workstation, and application assets, provides comprehensive coverage of the enterprise-computing environment. NYSeMail server assets are protected by employing anti-virus agents on all servers. Application level virus protection is also provided. This layered protection ensures that NYSeMail services and data will remain secure, protected and available, regardless of virus issues in any particular Agency. Anti-virus scanning of Customer Agency desktops is the responsibility of the various agencies. The added layer of protection is a critical part of a holistic enterprise virus protection strategy.

Retention

There are several aspects to e-mail retention. This includes the retention of current e-mail and calendar entries, retention limited by age of messages versus retention limited by mailbox size limits, retention periods for archived items, and retention of archived items moved to alternative storage. Retention may be affected by individual Customer Agency needs such as FOIL or discovery process requirements. The user will have some control of archiving of messages and calendar entries. The NYSeMail team will work with Agencies to develop retention and archiving rules. However, it is the Customer Agency responsibility that e-mail is managed and retained in a manner consistent with provisions of Section 57.05 of Arts and Cultural Affairs Law and related State Education Department regulations regarding legal disposition of records including:

- Legal minimum retention periods have been established by the Customer Agency and a valid Records Disposition Authorization exists for all records that CIO/OFT is asked to store or manage
- Customer Agencies must provide instructions to CIO/OFT concerning the disposal of information and media containing information conform to established retention requirements

Anti-Spam

CIO/OFT will be responsible for blocking junk mail from identified junk mail senders. Identification of junk mail sources will be the responsibility of the Agencies and reporting of junk mail sources to CIO/OFT.

ORDER PROCESS

There are three suggested options for moving to NYSeMail. CIO/OFT will recommend the best fit for the agency based on the agency situation and needs. A migration path will be designed and built by CIO/OFT based on the option selected.

Option 1 – Express Cutover (Customer Agency Migrates Email Data)

The Express Cut-Over provides a rapid transition from the legacy Customer Agency email solution to NYSeMail. Using this option eliminates the need to test and establish NYSeMail coexistence. It reduces the migration period from several weeks to a few days.

Express Cut-Over Activities include:

- Establish network connectivity from the customer client network to NYSeMail
- Recreate Customer Agency Distribution Lists, Listservs, Resources, and Shared Mailboxes in the NYSeMail system
- Generate a list of user accounts and default passwords
- Point Customer Agency mail delivery on a Friday at close of business (COB)
- Beginning on Monday, start to log into the NYSeMail system

Distribution lists can be created ahead of time but it is only after migration that the owner can be selected. The owner of the distribution list is then responsible for adding users to a group. NYSeMail can, in most cases, do this for the users.

The Customer Agency is responsible for migrating mailbox data to NYSeMail. This may be accomplished by saving data to a Personal Storage Table (PST), which can be uploaded to NYSeMail.

Option 2 – Cut-Over with Data Migration

The Cut-Over with Data Migration option provides a transition from the agency email solution to NYSeMail along with some limited data migration. A full coexistence is not established between NYSeMail and the customer, and features such as calendar free/busy between users on the legacy system and NYSeMail are not available. Three variants to this option are possible:

- Exchange Hosted Archive (EHA) - Ingest legacy data into EHA and use archive as end-user destination for historical data
- Personal Storage Table (PST) - Customer extracts data from the legacy system in PST format and delivers to NYSeMail staff for ingestion into NYSeMail system
- Network Connected - NYSeMail staff establishes connectivity to legacy customer system and move data over the network

Cut-Over with Data Migration Activities:

- Conduct steps identified in the Express Migration
- Prior to date of cut-over one of the data migration steps is completed

Option 3 – Coexistence Migration

The Coexistence Migration option is generally reserved for agencies with more than 5,000 clients, are geographically dispersed, or have a legacy email service other than Microsoft Exchange. It can be resource intensive for both CIO/OFT and the Customer Agency. It uses a “connector” software application that introduces another element of implementation and support in terms of hardware, software, connectivity and security.

The goal is to establish interoperability for mail, calendar and other functions between the legacy agency mail solution and NYSeMail. Features such as free/busy sync between the legacy system and NYSeMail are available, depending on the remote legacy platform’s capability.

If a Coexistence Migration is chosen, during the coexistence period NYSeMail will establish coexistence using an SMTP connector only. This connector will not allow free/busy search to take place between users in the customer legacy environment and users in NYSeMail.

Customer agencies begin paying for mailboxes on the day that coexistence begins, and customers will incur all of the costs associated with running two mail systems for the length of coexistence. Cut-over with coexistence activities and budget will be determined and documented on a case-by-case basis.

CIO/OFT has a dedicated staff of Customer Relations Managers (CRM) who will work with Customer agencies to understand any unique business requirements and how services can best help meet the agency’s needs.

CHANGE PROCESS

The nature of email usage in an organization is that there is a frequent need to add and delete user accounts and mailboxes. CIO/OFT will provide a delegation tool so the Customer Agency can retain control over and easily self-administer common tasks.

The Customer Agency will have the ability to create, manage, and delete the following:

- User mailboxes
- Server-side distribution lists
- Shared mailboxes
- Resource mailboxes
- Equipment mailboxes

Customer Agency Delegated Administrators will be provided with a provisioning tool that will empower them with management functionalities such as:

- Create, manage and delete users
- Change user information
- Create, manage and delete Blackberry users

Other NYSeMail requests for listserv distribution lists (dls), or simple questions, can be directed to NYSeMail “Work Requests” shared mailbox (oft.sm.cns.nysemail@cio.ny.gov).

ROLES AND RESPONSIBILITIES

CIO/OFT Responsibilities

CIO/OFT Is Expected To:

- Ensure NYSeMail operates in a consolidated secure environment by:
 - Ensuring NYSeMail is functional 99% of the time in a 24x7x365 environment, excluding scheduled down time.
 - Providing recovery of deleted mailbox contents for up to ten (10) days 100% of the time;
 - Keep server software releases current to no more than three releases which are fully supportable;
- Provide professional and reliable customer service by:
 - Ensuring an annual customer satisfaction rating of no less than 4.1 on a 5 point scale.
 - Assist agencies in developing training plans for NYSeMail users.
- Meet Service Level Performance Measurement Targets as defined in Table 5 in the Service Level Agreement for IT Shared Services.

Agency Administration of Users

The Customer Agency will have the ability to create, manage and delete user accounts, security on user accounts, and create and maintain public distribution lists. Customer Agency delegated administrators will be provided with a provisioning tool that will allow various functions, such as: add users, change user information, delete users administer public folders, and create public distribution lists. The Customer Agency will have the ability to limit users from sending e-mail to the Internet. They will not be able to restrict users from sending e-mail to any other users within the NYSeMail system. The Customer Agency will be able to control remote access to e-mail by individual users. This limitation can be defaulted to “no access,” with access granted on an individual basis; or be defaulted to granting everyone access and denial of access on an individual basis.

VPN Devices and Connectivity

The NYSeMail servers reside in the Enterprise Data Center. Network access to the Enterprise Data Center is via the NYeNet as an ePort, over a secure VPN tunnel. The Customer Agency will provide and administer the VPN device on their side of the VPN tunnel. CIO/OFT will provide and administer the VPN device on its side of the tunnel.

Client access via the Internet is also available using the OWA. See the Remote Access services section for further detail.

For further information on NYeNet connectivity see service description for the NYeNet <http://www.cio.ny.gov/assets/documents/SLA/NYeNetfeatures.pdf>

Software Versions

Agencies will be responsible for installing and supporting the required level of client software on the desktop. CIO/OFT will make client updates and upgrades available to Agencies. The distribution and customization of the client software is the individual Customer Agency's responsibility. CIO/OFT will be responsible for all server software updates required to remain current and secure.

Mail-Enabled Applications

The Customer Agency is responsible for the client mail enabled apps (e.g. Lotus Notes application databases will continue to be maintained within the Agency).

Training

The Customer Agency is responsible for the education and training of its staff on the use of NYSeMail client tools such as Microsoft Outlook client and OWA. CIO/OFT will provide sample NYSeMail training plans. The CIO/OFT Technology Academy is available to provide a limited amount of training at no charge and can arrange additional training for a fee.

Citrix

NYSeMail will not support Citrix servers. Agencies can deploy NYSeMail using the Citrix application. Responsibility for supporting the Citrix server will reside with the Customer Agency.

NYSeMail Maintenance

The standard NYSeMail maintenance windows are Wednesdays and Fridays, from 4:30 AM to 7:00 AM. There will be times when a larger maintenance window is required. CIO/OFT will work with all Agencies to ensure minimal disruption to work.

<Customer Agency> Responsibilities

<Customer Agency> Is Expected To:

- Provide a primary and secondary email administrative contact for <Customer Agency>;
 - Note: These individuals will be empowered to perform various administrative and provisioning tasks for <Customer Agency> users. All NYSeMail service bulletins and notifications will be delivered to these users.

- Provide and administer the VPN device on the <Customer Agency> side of the VPN tunnel in collaboration with CIO/OFT;
- Administer Client Access Licenses;
- Install and support the required level of client software on the desktop;
- Distribute and customize the client software;
- Support client mail-enabled applications;
- Train <Customer Agency> end users;
- Support Citrix servers, if required; and
- Procure and maintain mobile devices that access the NYSeMail system.

Note: ActiveSync devices must be capable of complying with remote wipe and encryption policy.

SUPPORT

CIO/OFT supports and maintains the core email infrastructure, network availability, overall directory, backup and restore, and issue resolution. The Customer Care Center (CCC) provides Level 1 support to Customer Agency help desks for NYSeMail. Direct end-user support is an available option.

The Customer Care Center (CCC) is the main contact point for all CIO/OFT customers. The CCC Level 1 technicians are highly experienced and trained in resolving incidents. If an incident cannot be resolved during the initial call, a ticket is generated and assigned to the appropriate resolver for resolution.

The Customer Care Center is staffed 24x7x365 days a year, and can be reached at 1-800-697-1323. Each call to the CCC will incur a fee to the agency.

CIO/OFT works closely with agencies to develop a migration strategy tailored to the Customer Agency's unique needs. A range of migration options will be presented to the agency, such as the creation of new mailboxes with no data migration, data transfer to an alternate form such as .pst or other files, and full transfer of mailbox and data. In addition, CIO/OFT can assist the agency in developing an email training plan for users.

NYSeMail lets Customer Agencies maintain control of email services by giving Customer Agency-designated mail administrators the ability to add users, change user information, administer public folders, create public distribution lists, and create and administer agency resource rooms. At the same time, NYSeMail eliminates the burden of managing the email infrastructure by providing the following services:

- Server installation redundancy and backup/restore
- Anti-Virus/Anti-Spam solutions
- Support services

How are severity levels determined by the CCC?

Severity 1:

- a) Designates the highest priority for an incident and requires the highest level(s) of response and effort to resolve the incident
- b) Severity 1 incidents for any assignment group are monitored by L1 CIO/OFT CCC Incident Management
- c) The Incident Management Team sends Initial notification, hourly updates, significant updates (as needed) and restored notifications

Severity 2:

- a) A subgroup of users (e.g. a portion of a unit, office group or site [per Customer]) is unable to perform its business function due to a service failure

- b) Severity 2 Incidents require significant effort by CIO/OFT to diagnose the incident as soon as possible. During this time, appropriate technical resources will be applied until resolution.
- c) Severity 2 notifications include an Initial notification, 1 hour update, 4 hour update, 8 hour update, significant updates (as needed) and restored notifications.

**** The major difference between a Severity 1 and a Severity 2 is the frequency of incident status updates required.*

Severity 3:

- a) Designates a lower priority for an incident, usually involving a single user rather than multiple users. A Severity 3 incident is declared for all other incidents that do not meet the Severity 1 or Severity 2 criteria.
- b) The CCC Incident Management team does not monitor or notify on Severity 3 Incidents.

LEGAL AND SECURITY ISSUES

How will CIO/OFT respond to Freedom of Information Law (FOIL) requests for customer agency e-mails?

CIO/OFT will forward the FOIL request to the customer agency within five (5) days of its receipt, and notify the requestor that the response will be coming from the customer.

How will CIO/OFT respond to subpoenas and other legal process or requests for customer agency e-mails?

Subpoenas and other formal requests for customer owned data in CIO/OFT's custody shall be referred to CIO/OFT Counsel for consideration and appropriate action. CIO/OFT Counsel will notify the customer agency's legal counsel that it has received such a request, unless otherwise prohibited from doing so, prior to CIO/OFT taking any action relative to such process or requests.

CIO/OFT will not be entering into individual MOUs with customer agencies for NYSeMail services.

Archiving

NYSeMail provides a delegated provisioning capability. This means that NYSeMail customers may establish roles and responsibilities for different users. An agency's designated "compliance manager" has the greatest number of privileges and access permissions, with an ability to view all user e-mail messages and run all reports, update accounts, set up supervisory terms, and set sample rates. NYSeMail customer compliance managers can set archival time periods, view copies of all user e-mails, run reports, update accounts, and set up supervisory terms and other functions, and are the only individuals who will have visibility into the e-mail archive.

During the initial phase, NYSeMail customers must subscribe to the Microsoft Exchange Hosted Archive. This service is available to NYSeMail customers under the NYS Office of General Services backdrop contract at a cost of \$2.71, in which the vendor has warranted full compliance with all security procedures of the State and any authorized users of the contract, and will maintain the confidentiality of the State's data, and not share it with third parties. Whether NYSeMail customers use this backdrop contract, or obtain the Microsoft Exchange Hosted Archive service through other licensing arrangements, all are encouraged to obtain security assurances in any agreement.

The archiving service will automatically archive all e-mails sent or received by a customer agency for a certain time period pre-determined by CIO/OFT. Agencies will have access to the archived e-mails while they are retained in the archive, and you can then retrieve, hold and produce emails in response to a discovery request received during that time.

Archiving is increasingly viewed as an essential practice supporting e-discovery. Experience demonstrates that without archiving as a required component of this service, production of e-mails

during the discovery phase of litigation and for trial is difficult, extremely expensive, cumbersome and time consuming.

Data cannot be deleted from the archive during the initial minimum number of months that all emails will be retained in the archive. During that time period deletion will be an extremely rare process done only by CIO/OFT in accordance with checks and balances contained in the policy. The minimum time period for archive retention of emails is five months, and is applicable to all e-mails for all NYSeMail mailboxes, without exception.

Retention

The NYSeMail system is not designed to manage retention and storage of e-mail. Customer agencies retain responsibility under State Archives requirements, the Arts and Cultural Affairs Law, or other applicable statutes for retention and disposition of e-mail records and managing email records independently from the NYSeMail archive.

CIO/OFT is not at this time offering a technical records retention solution. Customer agencies will need to identify a “filing system” where your e-mail records will be deposited and maintained for record retention or other legal or business purposes.

RATES

Required Licenses

NYSeMail is powered by Microsoft Exchange, which has several licensing requirements:

- Microsoft Windows Server
- Microsoft Exchange Server (Standard/Enterprise)
- Microsoft Exchange Standard Client Access License
- Microsoft Exchange Enhanced Client Access License
- Microsoft Office Outlook

Details of Microsoft Exchange licensing can be found at:

<http://www.microsoft.com/exchange/2010/en/us/licensing.aspx>

Details of Microsoft Office volume licensing programs can be found at:

<http://www.microsoft.com/licensing/about-licensing/office2010.aspx>

Licenses included in the CIO/OFT NYSeMail rate.

CIO/OFT will purchase and maintain:

- Microsoft Windows Server
- Microsoft Exchange Server
- Microsoft Exchange Enhanced Client Access License (CAL)

Customer Agencies are responsible for purchasing and maintaining:

- Microsoft Exchange Client Standard Access License
- Customer agencies are expected to maintain current licensing, either by licensing Microsoft products using Software Assurance or purchasing products as needed.

FREQUENTLY ASKED QUESTIONS (FAQ)

Why does my agency have to buy the Exchange Standard CAL, when CIO/OFT is purchasing the Exchange Enhanced CAL?

Microsoft Exchange uses “additive” client access licenses to license advanced functionality. The Exchange Enhanced CAL allows use of information protection, information management, anti-malware, and unified messaging features.

Why isn't CIO/OFT purchasing the Exchange Standard CAL?

Many agencies with a significant Microsoft software footprint can license client access licenses at a lower overall cost by bundling licensing together using the “Core CAL Suite” from Microsoft.

Purchasing Exchange Standard CALs separately would increase overall cost of licensing Microsoft products for significant numbers of state agencies.

More information on CAL Suites is available here:

<http://www.microsoft.com/calsuites/en/us/products/default.aspx>

Agencies do not have to purchase Microsoft Office for all users; Users may use the webmail functionality without Microsoft Office or Microsoft Windows.

For Outlook users, CIO/OFT requires that agencies use a currently supported and fully patched version of Microsoft Outlook in order to access NYSeMail. This generally means that agencies may “skip” one version of Microsoft Office, depending on the Microsoft release cycle.

Are there other costs?

Calls to the CCC will incur a fee to the agency (each call).

The NYSeMail team supports the Blackberry servers and connectivity. The Customer Agency is responsible for supporting the actual device.

HOW RATES ARE CALCULATED

Messaging and Calendaring

Metric:

- Flat rate - per user account
- Flat rate - per additional storage amount

OWA:

- No charge

PDA:

- Flat rate - per device
- Phone carrier and data access are the responsibility of the agency.

Security and Backup

Microsoft Exchange Hosted Encryption:

- Per user

Opportunistic TLS encryption and Force TLS encryption:

- No Charge

Archival

- Billed directly to the agency by Microsoft

RESOURCES

CIO/OFT Service Level Agreement Home Page

<http://www.cio.ny.gov/SLA.htm>

NYSeMail Migration Home Page

<http://www.cio.ny.gov/NYSeMailMigration.htm>

NYSeMail General Information

http://www.cio.ny.gov/nysemail_migration

NYSeMail Detail Sheet

<http://www.cio.ny.gov/nysemail>

NYSeMail Frequently Asked Questions

<http://www.cio.ny.gov/assets/documents/NYSeMailMigrationFAQ.pdf>

Microsoft Licensing Information

Details of Microsoft Exchange licensing can be found here:

<http://www.microsoft.com/exchange/2010/en/us/licensing.aspx>

Details of Microsoft Office volume licensing programs can be found here:

<http://www.microsoft.com/licensing/about-licensing/office2010.aspx>

More information on CAL Suites is available here:

<http://www.microsoft.com/calsuites/en/us/products/default.aspx>

CONTACT US

Customer Care Center Home Page

http://www.cio.ny.gov/customer_care_center

Customer Relations Managers listed by State Agency

<http://www.cio.ny.gov/support/ContStateCRMs.htm>

Contact CIO/OFT Customer Relations Managers or the Customer Care Center at

1-866-789-4638 or 518-402-2537

When You Call

Option 1: Technical Support

Additional Choices:

1. Customer Care Center
2. Data Center Operations
3. NYeNet Network Operations Center (NOC)
4. Voice Services

Option 2: State and Local Government Customer Service (for Customer Relations Managers)

Option 3: New York State Directory Assistance Operator

OR by E-Mail at: customer.relations@cio.ny.gov