# REGION 4 EDUCATION SERVICE CENTER (ESC)

Contract R171403

*for*

Managed Print Solutions

*with*

Lexmark International, Inc.

Effective: March 1, 2018

The following documents comprise the executed contract between the Region 4 ESC and Lexmark International, Inc., effective March 1, 2018:

I. Appendix A Vendor Contract
II. Signature Form
III. Supplier's Response to the RFP, incorporated by reference

# ***APPENDIX A***
# VENDOR CONTRACT AND SIGNATURE FORM

*This Vendor Contract and Signature Form ("Contract") is made as of* October 24 ***2017****, by and between* Lexmark International, Inc. *and Region 4 Education Service Center ("Region 4 ESC") for the purchase of* ***Managed Print Solutions***

## RECITALS

WHEREAS, both parties agree and understand that the following pages will constitute the contract between the successful vendor(s) and Region 4 ESC, having its principal place of business at 7145 West Tidwell Road, Houston, TX 77092.

WHEREAS, Vendor agrees to include, in writing, any required exceptions or deviations from these terms, conditions, and specifications; and it is further understood that, if agreed to by Region 4 ESC, said exceptions or deviations will be incorporated into the final contract "Vendor Contract."

WHEREAS, this contract consists of the provisions set forth below, including provisions of all attachments referenced herein. ~~In the event of a conflict between the provisions set forth below and those contained in any attachment, the provisions set forth below shall control.~~

WHEREAS, the Vendor Contract will provide that any state, county, special district, local government, school district, private K-12 school, technical or vocational school, higher education institution (including community colleges, colleges and universities, both public and private), other government agencies or non-profit organization may purchase products and services at prices indicated in the Vendor Contract upon registering and becoming a member with TCPN; and it being further understood that Region 4 ESC shall act as the Lead Public Agency with respect to all such purchase agreements.

WHEREAS, TCPN has the administrative and legal capacity to administer purchases on behalf of Region 4 ESC under the Vendor Contract with participating public agencies and entities, as permitted by applicable law.

## ARTICLE 1- GENERAL TERMS AND CONDITIONS

1.1 TCPN shall be afforded all of the rights, privileges and indemnifications afforded to Region 4 ESC under the Vendor Contract, and such rights, privileges and indemnifications shall accrue and apply with equal effect to TCPN, including, without limitation, Vendors obligation to provide insurance and other indemnifications to Lead Public Agency.

1.2 Awarded vendor shall perform all duties, responsibilities, and obligations, set forth in this agreement, and required under the Vendor Contract.

1.3 Region 4 ESC and TCPN shall perform its duties, responsibilities, and obligations as administrator of purchases, set forth in this agreement, and required under the Vendor Contract.

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1.4 **Purchasing procedure**:

- Purchase orders, subject to vendor/reseller acceptance, are issued by participating governmental agencies to the awarded vendor/reseller indicating on the PO "**Per TCPN Contract** ~~# R_____~~." R171403
- Vendor/reseller delivers goods/services directly to the participating agency.
- Awarded vendor/reseller invoices the participating agency directly.
- Awarded vendor/reseller receives payment directly from the participating agency.
- Awarded vendor reports sales ~~monthly~~quarterly to TCPN.

1.5 **Customer Support**: The vendor shall provide timely and accurate technical advice and sales support to Region 4 ESC staff, TCPN staff and participating agencies. ~~The vendor shall respond to such requests within one (1) working day after receipt of the request.~~

## ARTICLE 2- ANTICIPATED TERM OF AGREEMENT

2.1 Unless otherwise stated, all contracts are for a period of three (3) years with an option to renew annually for an additional two (2) years if agreed to by Region 4 ESC and awarded vendor. Region 4 ESC will notify the vendor in writing if the contract is extended. Awarded vendor shall honor all administrative fees for any sales made based on the contact until the contract end date~~whether renewed or not~~.

2.2 Region 4 ESC shall review the contract prior to the renewal date and provide written notification~~y~~ to the current awarded vendor, no less than ninety (90) days, of Region 4 ESC's intent renew the contract. Upon receipt of notice, awarded vendor must notify Region 4 ESC if it elects not to renew. Awarded vendor shall honor the administrative fee for any sales incurred throughout the life of the contract on any sales made during the term of the ~~based on a Region 4 ESC~~ contract ~~whether awarded a renewal or not~~. Region 4 ESC reserves the right to exercise each two-year extension annually.

## ARTICLE 3- REPRESENTATIONS AND COVENANTS

3.1. **Scope**: This contract is based on the need to provide the economic benefits of volume purchasing and reduction in administrative costs through cooperative purchasing to schools and other members. Although contractors may restrict sales to certain public units (for example, state agencies or local government units), any contract that prohibits sales from being made to public school districts may not be considered. Sales without restriction to any Members are preferred. These types of contracts are commonly referred to as being "piggybackable".

3.2. **Compliance**: Cooperative Purchasing Agreements between TCPN and its Members have been established under state procurement law.

3.3. ~~**Offeror's Promise**: Offeror agrees all prices, terms, warranties, and benefits granted by Offeror to Members through this contract are comparable to or better than the equivalent terms offered by Offeror to any present customer meeting the same qualifications or requirements.~~

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## ARTICLE 4- FORMATION OF CONTRACT

4.1. **Offeror Contract Documents**: Region 4 ESC will review proposed offeror contract documents. Vendor's contract document shall not become part of Region 4 ESC's contract with vendor unless and until an authorized representative of Region 4 ESC reviews and approves it.

4.2. **Form of Contract**: The form of contract for this solicitation shall be the Vendor Contract ~~Request for Proposal~~, Tab 6 (Appendix C) of the awarded proposal(s) and best and final offer(s), and properly issued and reviewed Supplemental Agreement, Statement of Work and purchase orders ~~referencing the requirements of the Request for Proposals~~. If a firm submitting an offer requires Region 4 ESC and/or Member to sign an additional agreement, a copy of the proposed agreement must be included with the proposal.

**Lexmark response:**
We have included a sample Supplemental Agreement in Lexmark Attachment B as a response to your requirement in section *4.2. Form of Contract*.

4.3. **Entire Agreement (Parol evidence)**: The contract, as specified above, represents the final written expression of agreement. All agreements are contained herein and no other agreements or representations that materially alter it are acceptable.

4.4. **Assignment of Contract**: No assignment of contract may be made without the prior written approval of Region 4 ESC. Purchase orders and payment can only be made to awarded vendor/reseller unless otherwise approved by Region 4 ESC. Awarded vendor is required to notify Region 4 ESC when any material change in operations is made that may adversely affect members (i.e. bankruptcy, change of ownership, merger, etc.).

4.5. **Novation**: If contractor sells or transfers all assets or the entire portion of the assets used to perform this contract, a successor in interest must guarantee to perform all obligations under this contract. ~~Region 4 ESC reserves the right to accept or reject any new party~~. A simple change of name agreement will not change the contractual obligations of contractor.

4.6. **Contract Alterations**: No alterations to the terms of this contract shall be valid or binding unless authorized and signed by a Region 4 ESC staff member.

4.7. **Order of Precedence**: In the event of a conflict in the provisions of the contract as accepted by Region 4 ESC, the following order of precedence shall prevail:

- ~~Special terms and conditions~~
- Supplemental Agreement and Statement of Work
- Vendor Contract ~~General terms and conditions~~
- Appendix B, C, D, E, H, I, & Attachment A included in the solicitation
- ~~Specifications and scope of work~~
- ~~Attachments and exhibits~~
- ~~Documents referenced or included in the solicitation~~

4.8 **Supplemental Agreements**: The entity participating in the Region 4 ESC contract and awarded vendor may enter into a separate supplemental agreement to further define the level of service requirements over and above the minimum defined in this contract i.e. invoice requirements, ordering requirements, specialized delivery, etc. Any supplemental agreement developed as a result of this contract is exclusively between the participating entity and awarded vendor. Neither Region 4 ESC, TCPN, its agents, members and employees shall be made party to any claim for breach of such agreement.

4.9 **Adding authorized distributors/dealers**: Awarded vendors are prohibited from authorizing additional distributors or dealers~~, other than those identified at the time of submitting their proposal,~~ to sell under their contract award without notification and prior written approval from TCPN. Awarded vendors must notify TCPN each time it wishes to add an authorized distributor or dealer. ~~Purchase orders and payment can only be made to awarded vendor unless otherwise approved by TCPN.~~ Pricing provided to members by added distributors or dealers must also be less than or equal to the pricing offered by the awarded contract holder, unless otherwise approved by TCPN.

## ARTICLE 5- TERMINATION OF CONTRACT

5.1. **Cancellation for Non-Performance or Contractor Deficiency:** Region 4 ESC may terminate any contract if Members have not used the contract~~, or if purchase volume is determined to be low volume~~ in any 12-month period. Region 4 ESC reserves the right to cancel the whole or any part of this contract due to failure by contractor to carry out any obligation, term or condition of the contract. Region 4 ESC may issue a written deficiency notice to contractor for acting or failing to act in any of the following:

i. Providing material that does not meet the specifications of the contract;
ii. Providing work and/or material that was not awarded under the contract;
iii. Failing to adequately perform the services set forth in the scope of work and specifications;
iv. Failing to complete required work or furnish required materials within a reasonable amount of time;
v. Failing to make progress in performance of the contract and/or giving Region 4 ESC reason to believe that contractor will not or cannot perform the requirements of the contract; and/or
vi. Performing work or providing services under the contract prior to receiving an authorized purchase order from Region 4 ESC or participating member prior to such work

Upon receipt of a written deficiency notice, contractor shall have thirty (30)~~ten (10)~~ days to provide a satisfactory response to Region 4 ESC. Failure to adequately address all issues of concern may result in contract cancellation. ~~Upon cancellation under this paragraph, all goods, materials, work, documents, data and reports prepared by contractor under the contract shall become the property of the Member on demand.~~

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5.2 **Termination for Cause**: If, for any reason, either partythe Vendor fails to fulfill its obligations in a timely manner, or if the vendor violates any of the covenants, agreements, or stipulations of this contract, the wronged party shall notify the transgressing party of any wrongdoing and allow for remedy within a reasonable time. If wrongdoings are not remedied, the wronged party Region 4 ESC reserves the right to terminate the contract immediately and pursue all other applicable remedies afforded by law. Such termination shall be effective by delivery of notice, to the transgressing partyvendor, specifying the effective date of termination. In such event, all documents, data, studies, surveys, drawings, maps, models and reports prepared by vendor for this solicitation may become the property of the participating agency or entity. If such event does occur then vendor will be entitled to receive just and equitable compensation for the satisfactory work completed on such documents within the effective date of termination.

5.3 **Delivery/Service Failures**: Failure to deliver goods or services within the time specified, or within a reasonable time period as interpreted by the purchasing agent or failure to make replacements or corrections of rejected articles/services when so requested shall constitute grounds for the purchase ordercontract to be terminated. In the event that the participating agency or entity must purchase in an open market, contractor agrees to reimburse the participating agency or entity, within a reasonable time period, for all expenses incurred.

5.4 **Force Majeure**: If by reason of Force Majeure, either party hereto shall be rendered unable wholly or in part to carry out its obligations under this Agreement then such party shall give notice and full particulars of Force Majeure in writing to the other party within a reasonable time after occurrence of the event or cause relied upon, and the obligation of the party giving such notice, so far as it is affected by such Force Majeure, shall be suspended during the continuance of the inability then claimed, except as hereinafter provided, but for no longer period, and such party shall endeavor to remove or overcome such inability with all reasonable dispatch.
The term Force Majeure as employed herein, shall mean acts of God, strikes, lockouts, or other industrial disturbances, act of public enemy, orders of any kind of government of the United States or the State of Texas or any civil or military authority; insurrections; riots; epidemics; landslides; lighting; earthquake; fires; hurricanes; storms; floods; washouts; droughts; arrests; restraint of government and people; civil disturbances; explosions, breakage or accidents to machinery, pipelines or canals, or other causes not reasonably within the control of the party claiming such inability. It is understood and agreed that the settlement of strikes and lockouts shall be entirely within the discretion of the party having the difficulty, and that the above requirement that any Force Majeure shall be remedied with all reasonable dispatch shall not require the settlement of strikes and lockouts by acceding to the demands of the opposing party or parties when such settlement is unfavorable in the judgment of the party having the difficulty.

5.5 **Standard Cancellation**: Region 4 ESC may cancel this contract in whole or in part by providing written notice. The cancellation will take effect 30 business days after the other party receives the notice of cancellation. After the 30th business day all work will cease following completion of final purchase order. Vendor may be requested to provide additional items not already on contract at any time.

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## ARTICLE 6- LICENSES

6.1 **Duty to keep current license:** Vendor shall maintain in current status all applicable federal, state and local licenses, bonds and permits required for the operation of the business conducted by vendor. Vendor shall remain fully informed of and in compliance with all ordinances and regulations pertaining to the lawful provision of services under the contract. Region 4 ESC reserves the right to stop work ~~and/or cancel the contract~~ of any vendor whose license(s) expire, lapse, are suspended or terminated until the license(s) is made current.

6.2 **Survival Clause:** All applicable supplemental ~~software license agreements, warranties or service~~ agreements that were entered into between Vendor and Customer under the terms and conditions of the Contract shall survive the expiration or termination of the Contract. ~~All Purchase Orders issued and accepted by Order Fulfiller shall survive expiration or termination of the Contract.~~

## ARTICLE 7- DELIVERY PROVISIONS

7.1 **Delivery**: Vendor shall deliver said materials purchased on this contract to the Member issuing a Purchase Order. Conforming product shall be shipped within a reasonable time~~7 days~~ of receipt of Purchase Order. If delivery is not or cannot be made within a reasonable~~this~~ time period the vendor must notify ~~receive authorization from~~ the purchasing agency for the delayed delivery. At this point the participating entity may cancel the order if estimated shipping time is not acceptable.

7.2 **Inspection & Acceptance**: If defective or incorrect material is delivered, purchasing agency may make the determination to return the material to the vendor at no cost to the purchasing agency. The vendor agrees to pay all shipping costs for the return shipment. Vendor shall be responsible for arranging the return of the defective or incorrect material.

## ARTICLE 8- BILLING AND REPORTING

8.1 **Payments**: The entity using the contract will make payments directly to the awarded vendor/reseller. ~~Payment shall be made after satisfactory performance, in accordance with all provisions thereof, and upon receipt of a properly completed invoice.~~

8.2 **Invoices**: The awarded vendor/reseller shall submit invoices to the participating entity clearly indicating~~stating~~ ~~"~~*Per TCPN Contract*~~"~~ or similar denomination. The shipment tracking number or pertinent information for verification shall be made available upon request.

8.3 **Tax Exempt Status**: Since this is a national contract, knowing the tax laws in each state is the sole responsibility of the vendor.

8.4 **Reporting**: The awarded vendor shall provide Region 4 ESC~~TCPN~~ with an electronic accounting report, in a format prescribed by Region 4 ESC~~TCPN~~, on a ~~monthly~~ quarterly basis summarizing all contract Sales for the applicable quarter~~month~~.

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Reports of Contract Sales for Region 4 ESC and member agencies in each ~~calendar month~~ quarter shall be provided by awarded vendor to Region 4 ESC~~TCPN~~ by the ~~10th~~ 15th day of the following ~~month~~quarter. If there are no sales to report, Vendor is still required to communicate that information via email.

Failure to provide a monthly report of the administrative fees within the time and manner specified herein shall constitute a material breach of this contract and if not cured within thirty (30) days of written to ~~Supplier~~awarded vendor shall be deemed a cause for termination of the contract at Region4 ESC's sole discretion.

## ARTICLE 9- PRICING

9.1 **Best price guarantee**: ~~The awarded vendor agrees to provide pricing to Region 4 ESC and its participating entities that are the lowest pricing available and the pricing shall remain so throughout the duration of the contract. Pricing offered to Federal government buying consortiums for goods and services is exempt from this requirement. The awarded vendor, however, agrees to lower the cost of any product purchased through TCPN following a reduction in the manufacturer or publisher's direct cost.~~

9.2 **Price increase**: ~~Should it become necessary or proper~~ If during the term of this contract the vendor elects to make any change in design or any alterations that will increase the cost offerings in Appendix C,~~expense~~ Region 4 ESC must be notified ~~immediately~~ within fifteen (15) days of receipt of written notice. Price increases must be approved by Region 4 ESC within fifteen (15) days of receipt of written notice from Vendor, and no payment for additional materials or services, beyond the amount stipulated in the contract, shall be paid without prior approval. All price increases must be supported by manufacturer documentation, or a formal cost justification letter. In the event Region 4 ESC provides a written objection to the vendor's requested price increase, vendor will address the Region 4 ESC concerns within fifteen (15) days. After the price increase concerns have been resolved to the satisfaction of both parties, vendor's proposed price increase will become effective immediately.

Upon written request to Region ESC, the ~~A~~awarded vendor will~~must~~ honor previous prices for thirty (30) days after written approval ~~and written notification~~ from Region 4 ESC ~~if requested~~.

It is the awarded vendor's responsibility to keep all pricing up to date and on file with Region 4 ESC. All price changes must be provided to Region 4 ESC, using the same format as was accepted in the original contract.

9.3 **Additional Charges**: All standard deliveries shall be freight prepaid, F.O.B. destination and shall be included in all pricing offered unless otherwise clearly stated in writing.

9.4 **Price reduction and adjustment:** Price reduction may be offered at any time during contract and shall become effective upon notice ~~of acceptance from Region 4 ESC~~. Special, time-limited reductions are permissible under the following conditions: 1) reduction is available to all Members equally; 2) reduction is for a specific time period, normally not less than thirty (30) days; and 3) original price is not exceeded after the time-limit~~; and 4) Region 4 ESC has approved the new prices prior to any offer of the prices to a Member. Vendor shall offer Region 4 ESC any published price reduction during the contract period~~.

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9.5 **Prevailing Wage**: It shall be the responsibility of the Vendor to comply, when applicable, with the prevailing wage legislation in effect in the jurisdiction of the purchaser (Region 4 ESC or its Members). It shall further be the responsibility of the Vendor to monitor the prevailing wage rates as established by the appropriate department of labor for any increase in rates during the term of this contract and adjust wage rates accordingly.

9.6 **Administrative Fees:** All pricing submitted to Region 4 ESC shall include the administrative fee to be remitted to TCPN by the awarded vendor.

The awarded vendor agrees to pay administrative fees quarterly ~~monthly~~ to TCPN in the amount of ~~3~~2% of the total purchase amount paid to awarded vendor, less refunds, credits on returns, rebates and discounts, for the sale of products and/or services to Region 4 ESC and member agencies pursuant to the contract (as amended from time to time and including any renewal thereof) ("Contract Sales").

Administrative fee payments are to accompany the contract ~~monthly~~ quarterly sales report by the ~~10th~~ 15th day of the following ~~month~~quarter, in the amount indicated on the report as being due. Administrative fee payments are to be paid by the awarded vendor via Automated Clearing House to a TCPN designated financial institution.

Failure to provide a ~~monthly~~ quarterly payment of the administrative fees within the time and manner specified herein shall constitute a material breach of the contract and if not cured within thirty (30) day of written notice to awarded vendor shall be deemed a cause for termination of the contract, at Region 4 ESC's sole discretion.

~~All administrative fees not paid when due shall bear interest at a rate equal to the lesser of 1 ½% per month or the maximum rate permitted by law until paid in full.~~

## ARTICLE 10- PRICING AUDIT

10.1 **Audit rights:** Vendor shall, at Vendor's sole expense, maintain appropriate due diligence of all purchases made by Region 4 ESC and any entity that utilizes this Agreement. TCPN and Region 4 ESC each reserve the right to audit the ~~accounting~~ participating entities invoices for a period of three (3) years from the time such purchases are made. This audit right shall survive termination of this Agreement for a period of one (1) year from the effective date of termination. In the State of New Jersey, this audit right shall survive termination of this Agreement for a period of five (5) years from the date of final payment. Such records shall be made available to the New Jersey Office of the State Comptroller upon request. ~~Region 4 ESC shall have the authority to conduct random audits of Vendor's pricing that is offered to eligible entities at Region 4 ESC's sole cost and expense. Notwithstanding the foregoing, in the event that Region 4 ESC is made aware of any pricing being offered to eligible agencies that is materially inconsistent with the pricing under this agreement, Region 4 ESC shall have the ability to conduct an extensive audit of Vendor's pricing at Vendor's sole cost and expense.~~ Region 4 ESC may conduct the audit internally or may engage a third-party auditing firm. In the event of an audit, the requested materials shall be provided in the format and at the location ~~designated by Region 4 ESC or TCPN~~mutually agreed upon by both parties.

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## ARTICLE 11- OFFEROR PRODUCT LINE REQUIREMENTS

11.1 **Current products**: Proposals shall be for materials and equipment in current production and marketed to the general public and education/government agencies at the time of vendor's acceptance of a purchase order~~the proposal is submitted~~.

11.2 **Discontinued products**: If a product or model is discontinued by the manufacturer, vendor may substitute a new product or model if the replacement product meets or exceeds the specifications and performance of the discontinued model and if the discount is the same or greater than the discontinued model.

11.3 **New products/Services**: New products and/or services that meet the scope of work may be added to the contract. Pricing shall be equivalent to the percentage discount for other products. Vendor may replace or add product lines to an existing contract if the line is replacing or supplementing products on contract, is equal or superior to the original products offered, is discounted in a similar or to a greater degree, and if the products meet the requirements of the solicitation. No products and/or services may be added to avoid competitive procurement requirements. Region 4 ESC may require additions to be submitted with documentation from Members demonstrating an interest in, or a potential requirement for, the new product or service. Region 4 ESC may reject any additions without cause.

11.4 **Options**: Optional equipment for products under contract may be added to the contract at the time they become available under the following conditions: 1) the option is priced at a discount similar to other options; 2) the option is an enhancement to the unit that improves performance or reliability.

11.5 **Product line**: Offerors with a published catalog may submit the entire catalog. Region 4 ESC reserves the right to request Offeror remove select products within the catalog for award~~ without having to award all contents. Region 4 ESC may reject any addition of equipment options without cause~~.

11.6 **Warranty conditions**: All supplies, equipment and services shall include manufacturer's minimum standard warranty and one (1) year labor warranty unless otherwise agreed to in writing.

~~11.7 **Buy American requirement:** (for New Jersey and all other applicable States) Vendors may only use unmanufactured construction material mined or produced in the United States, as required by the Buy American Act. Where trade agreements apply, to the extent permitted by applicable law, then unmanufactured construction material mined or produced in a designated country may also be used. Vendors are required to check state specific requirements to ensure compliance with this requirement.~~

## ARTICLE 12- SITE REQUIREMENTS

12.1 **Cleanup**: Vendor shall clean up and remove all debris and rubbish resulting from their work as required or directed by Member. Upon completion of the work, the premises shall be left in good repair and an orderly, neat, clean and unobstructed condition.

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12.2 **Preparation**: Vendor shall not begin a project for which Member has not prepared the site, unless vendor does the preparation work at no cost, or until Member includes the cost of site preparation in a purchase order. Site preparation includes, but is not limited to: moving furniture, installing wiring for networks or power, and similar pre-installation requirements.

12.3 **Registered sex offender restrictions**: For work to be performed at schools, vendor agrees that no employee or employee of a subcontractor who has been adjudicated to be a registered sex offender will perform work at any time when students are or are reasonably expected to be present. Vendor agrees that a violation of this condition shall be considered a material breach and may result in the cancellation of the purchase order at the Member's discretion. Vendor must identify any additional costs associated with compliance of this term. If no costs are specified, compliance with this term will be provided at no additional charge.

12.4 **Safety measures**: Participating entity and Vendor shall take all reasonable precautions for the safety of employees on the worksite, and shall erect and properly maintain all necessary applicable safeguards for protection of workers and the public. Participating entity and Vendor shall post warning signs against all hazards created by its operation and work in progress. Proper precautions shall be taken pursuant to state law and standard practices to protect workers, general public and existing structures from injury or damage.

12.5 **Smoking**: Persons working under the contract shall adhere to local smoking policies. Smoking will only be permitted in posted areas or off premises.

12.6 **Stored materials**: Upon prior written agreement between the vendor and Member, payment may be made for materials not incorporated in the work but delivered and suitably stored at the site or some other location, for installation at a later date. An inventory of the stored materials must be provided to Member prior to payment. Such materials must be stored and protected in a secure location, and be insured for their full value by the vendor against loss and damage. Vendor agrees to provide proof of coverage and/or addition of Member as an additional insured upon Member's request. Additionally, if stored offsite, the materials must also be clearly identified as property of buying Member and be separated from other materials. Member must be allowed reasonable opportunity to inspect and take inventory of stored materials, on or offsite, as necessary.

~~Until final acceptance by the Member, it shall be the Vendor's responsibility to protect all materials and equipment. The Vendor warrants and guarantees that title for all work, materials and equipment shall pass to the Member upon final acceptance.~~

## ARTICLE 13- MISCELLANEOUS

13.1 **Funding Out Clause**: Any/all contracts exceeding one (1) year shall include a standard "funding out" clause. A contract for the acquisition, including lease, of real or personal property is a commitment of the entity's current revenue only, provided the contract contains ~~either or both of~~ the following provisions:

"Retains to the entity the continuing right to terminate the contract at the expiration of each budget period during the term of the contract and is conditioned on best effort attempt by the entity to obtain appropriate funds for payment of the contract."

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13.2 **Disclosures**: Offeror affirms that he/she has not given, offered to give, nor intends to give at any time hereafter any prohibited economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor or service to a public servant in connection with this contract.
~~Include a complete description of any and all relationships that might be considered a conflict of interest in doing business with participants in TCPN.~~
The Offeror affirms that, to the best of his/her knowledge, the offer has been arrived at independently, and is submitted without collusion with anyone to obtain information or gain any favoritism that would in any way limit competition or give an unfair advantage over other vendors in the award of this contract.

13.3 **Indemnity**: The awarded vendor shall protect, indemnify, and hold harmless both Region 4 ESC and TCPN and its participants, administrators, employees and agents against all third party claims, damages, losses and expenses arising out of or resulting from the actions of the vendor, vendor employees or vendor subcontractors in the preparation of the solicitation and the later execution of the contract, including any supplemental agreements with members. Any litigation involving either Region 4 ESC or TCPN, its administrators and employees and agents will be in Harris County, Texas. Any litigation involving TCPN members shall be in the jurisdiction of the participating agency.

13.4 **Franchise Tax**: The Offeror hereby certifies that he/she is not currently delinquent in the payment of any franchise taxes.

13.5 **Marketing**: ~~Awarded vendor agrees to allow Region 4 ESC/TCPN to use their name and logo within website, marketing materials and advertisement. Any use of TCPN name and logo or any form of publicity, inclusive of press releases, regarding this contract by awarded vendor must have prior approval from TCPN.~~ Lexmark acknowledges and agrees that it will authorize ESC to use, on a nonexclusive basis and only during the term of any written agreement between the parties resulting from this bid response, the Lexmark trademarks identified and provide upon request (the "Lexmark Trademarks"), including the Lexmark logo, solely to identify Lexmark as the provider of MPS services and associated imaging products for ESC and other related, authorized users within its agency. ESC agrees to comply with the usage guidelines respecting the Lexmark Trademarks that may be provided by Lexmark and amended from time to time. The Lexmark Trademarks and the goodwill associated therewith are and shall remain the exclusive property of Lexmark. ESC and any related, authorized entities utilizing the products and services provided by Lexmark shall not: (a) use the Lexmark trademarks as part of any composite mark including any elements not approved in advance in writing by Lexmark; (b) challenge the validity or enforceability of the Lexmark Trademarks (unless such restriction is illegal); or (c) acquire any proprietary rights in the Lexmark Trademarks by reason of any activities under a written agreement between the parties or otherwise; or (d) use the Lexmark Trademarks or Lexmark's trade name in any manner which could cause confusion as to the source of Lexmark's products and services. All uses of the Lexmark Trademarks by ESC and any additional goodwill created thereby shall inure to the exclusive benefit of Lexmark. Lexmark, at all times during the term of any written agreement between the parties and on reasonable notice, shall have the right to inspect the marketing and other informational materials on or in connection with which the Lexmark Trademarks are used in order to assure Lexmark that the provisions of the written agreement between the parties pertaining to the Lexmark Trademarks are being observed. If at any time Lexmark shall reasonably object to any use to which the Lexmark Trademarks are put, ESC shall promptly correct or, at Lexmark's direction, cease any such use. ESC's rights to use the Lexmark Trademarks will cease immediately upon expiration or termination of the applicable written agreement between the parties.

**Lexmark confidential.** This page should be exempt from public disclosure. Pursuant to section 552.153 of the State of Texas Public Information Act, information provided in this proposal are marked "confidential" as pertained to term 2, part C. Competitor made privy to such information may gain an unjust advantage in replying to current or future opportunities of the governmental entity.

13.6 **Certificates of Insurance**: As agreed upon with the participating entity, ~~C~~certificates of insurance shall be delivered to the Region 4 ESC participant prior to commencement of work. The insurance company shall be licensed in the applicable state in which work is being conducted. ~~The awarded vendor shall give the participating entity a minimum of ten (10) days' notice prior to any modifications or cancellation of policies.~~ The awarded vendor shall require all subcontractors performing any work to maintain coverage as specified.

13.7 **Legal Obligations**: It is the Offeror's responsibility to be aware of and comply with all applicable local, state, and federal laws governing the sale of products/services identified in this RFP and any awarded contract and shall comply with all while fulfilling the RFP. Applicable laws and regulation must be followed even if not specifically identified herein.

13.8 **Open Records Policy**: Because Region 4 ESC contracts are awarded by a governmental entity, responses submitted are subject to release as public information after contracts are executed. If a vendor believes that its response, or parts of its response, may be exempted from disclosure, the vendor must specify page-by-page and line-by-line the parts of the response, which it believes, are exempt. In addition, the Offeror must specify which exception(s) are applicable and provide detailed reasons to substantiate the exception(s). Offeror must provide this information on the "Acknowledgement and Acceptance to Region 4 ESC's Open Record Policy" form found at the beginning of this solicitation. Any information that is unmarked will be considered public information and released, if requested under the Public Information Act.

The determination of whether information is confidential and not subject to disclosure is the duty of the Office of Attorney General (OAG). Region 4 ESC must provide the OAG sufficient information to render an opinion and therefore, vague and general claims to confidentiality by the Offeror are not acceptable. Region 4 ESC must comply with the opinions of the OAG. Region 4 ESC assumes no responsibility for asserting legal arguments on behalf of any vendor. Offeror are advised to consult with their legal counsel concerning disclosure issues resulting from this procurement process and to take precautions to safeguard trade secrets and other proprietary information.

After completion of award, these documents will be available for public inspection.

**Lexmark confidential.** This page should be exempt from public disclosure. Pursuant to section 552.153 of the State of Texas Public Information Act, information provided in this proposal are marked "confidential" as pertained to term 2, part C. Competitor made privy to such information may gain an unjust advantage in replying to current or future opportunities of the governmental entity.

# VENDOR CONTRACT SIGNATURE FORM

The undersigned hereby proposes and agrees to furnish goods and/or services in strict compliance with the terms, specifications and conditions at the prices proposed within response unless noted in writing. The undersigned further certifies that he/she is an officer of the company and has authority to negotiate and bind the company named below and has not prepared this proposal in collusion with any other Offeror and that the contents of this proposal as to prices, terms or conditions of said proposal have not been communicated by the undersigned nor by any employee or agent to any person engaged in this type of business prior to the official opening of this proposal.

Prices are guaranteed: **120 days**

| | |
|---|---|
| Company name | Lexmark International, Inc. |
| Address | 740 West New Circle Road |
| City/State/Zip | Lexington, KY 40550 |
| Telephone No. | 859/232-2000 |
| Fax No. | |
| Email address | jlarsen@lexmark.com |
| Printed name | Jeffrey Larsen |
| Position with company | Senior Director, World Wide Contracts |
| Authorized signature | |

**Acknowledgement of Addendum Number(s):** 02

**Accepted by The Cooperative Purchasing Network:**

**Term of contract** March 1, 2018 **to** February 28, 2021

Unless otherwise stated, all contracts are for a period of three (3) years with an option to renew annually for an additional two (2) years if agreed to by Region 4 ESC and the awarded vendor. Awarded vendor shall honor all administrative fees for any sales made based on a contract whether renewed or not.

Region 4 ESC Authorized Board Member — Date: 10/24/17

Print Name

Region 4 ESC Authorized Board Member — Date: 10/24/17

Print Name: Margaret Bass

**Region 4 Contract Number** R171403

# Region 4 Education Service Center

## (The Cooperative Purchasing Network)

## Managed Print Solutions
## Request for Proposal
## Solicitation Number 17-14

July 18, 2017

Kristine McNutt
Regional Manager
State and Local Government, and Education
Lexmark International, Inc.
E-mail: kmcnutt@lexmark.com
Phone: 214-257-0015

This page intentionally inserted to create proper document formatting when printed duplex.

July 18, 2017

Crystal Wallace
Purchasing Cooperative Specialist
Region 4 Education Service Center
7145 West Tidwell Road
Houston, Texas 77092

Dear Ms. Wallace,

Lexmark International, Inc. is pleased to provide the enclosed proposal in compliance with Region 4 Education Service Center (ESC) Managed Print Solutions (MPS) Request for Proposal (RFP), Solicitation Number 17-14. Lexmark appreciates the opportunity provided to us by Region 4 ESC to respond to this RFP. It is our understanding that the objective of Region 4 ESC and The Cooperative Purchasing Network (TCPN) in issuing this RFP is to seek a vendor or vendors to furnish and deliver best-in-class MPS and related software and other services. Additionally, we understand the importance of proposing a solution that gives Region 4 ESC and TCPN, and their members the services that it truly needs.

We are confident that you will see why Lexmark is the leader when it comes to MPS. We have over 20 years of experience in working with customers within the government and education industry, and we understand those environments. We are solely focused on output. Our level of focus allows us to concentrate on creating best-in-class industry solutions and products that are simply above the competition. We own all the core technologies in our devices, allowing us the flexibility to customize solutions for our clients with unparalleled speed.

Our holistic approach to output management means we assist customers in identifying and quantifying the total opportunity and impact with output. We consider the financial costs of output, but we can also help minimize the impact on your community and the environment.

Lexmark is well-qualified to address all of your requirements and concerns; delivering to you solutions and services that will far surpass that which is available from any other supplier.

All of us at Lexmark look forward to our continued partnership with Region 4 ESC, TCPN and your customers. Thank you in advance for your consideration.

Sincerely,

Kristine McNutt

Kristine McNutt
Regional Manager, State and Local Government, and Education
Lexmark International, Inc.
E-mail: kmcnutt@lexmark.com
Phone: 214-257-0015

Customers for Life
We make it happen today

This page intentionally inserted to create proper document formatting when printed duplex.

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# Executive Summary

Lexmark appreciates the opportunity to provide Region 4 ESC with a comprehensive response to your RFP for MPS. Lexmark is a global company with a sole focus on helping our customers manage information and output. IDC has recognized Lexmark's experience with large scale implementations compared to other providers in the market and we are excited about the opportunity to bring this experience to our Region 4 ESC customers.

> ***"Lexmark uses its unified, single-system infrastructure and platform to offer solutions that can be deployed globally, allowing end users to take advantage of capabilities and services from Lexmark regardless of location. This becomes important for Lexmark's large, multinational workflow clients that place high value on consistency and control across their enterprise."[1]***

Having invested over $200 million in an asset management system that provides real-time visibility to all connected devices and analytics within the environment, Lexmark is well positioned to meet Region 4 ESC customer objectives. This system, along with our other tools, will provide Region 4 ESC customers with detailed information on the full output environment and ability to quickly view detailed cost analysis information—not just year-end but ad hoc. With this information available at any time, our customers' focus can remain on the core business while having visibility to the continuous improvement of a Lexmark managed print environment.

## Proven position in the industry

Lexmark has proven experience in driving cost reductions for our clients while managing global, distributed output fleets. We currently provide managed services to thousands of customers, in support of billions of pages and over 800,000 assets across 170 countries supported by one global system.

Our processes have been refined by our best-in-class toolset and we have the customer results to prove it. Lexmark technology can be found in state agencies throughout the United States. These customers have chosen Lexmark because of our ability to deliver meaningful results and to manage the inherent risks involved with change. In fact, over the past five years Lexmark's renewal rate of MPS contracts was 95% globally.

[1] Frazier, Terry, Muscolino, Holly and Palmer, Robert (September 2016). IDC MarketScape: Worldwide Document Workflow Services Hardcopy 2016 Vendor Assessment # US40994416

## Ability to execute

As you narrow your list of prospective partners, we encourage you to look at our current customers and allow them to share their best practices and feedback around our ability to help them transition to an optimized fleet and manage that fleet for sustainable savings. You may read up on our references in Tab 5 and case studies in Lexmark Attachment A. There are inherent differences to Lexmark's approach versus our competition that benefit our customers:

- Lexmark's approach to infrastructure optimization focuses on end-user productivity as opposed to focusing solely on device productivity.
- We see the value of multifunction products (MFPs) to facilitate workflow and process improvement, as opposed to simple consolidation of devices (although that is an inherent benefit).
- We look to optimize the utilization of the output devices, including existing devices, where appropriate, and to reduce the number of pages printed versus simply transferring pages to large centralized devices.

## Driving continuous improvement

Post implementation, we develop a governance cadence focused on two areas—continued optimization of the fleet and fleet performance, and leveraging the optimized infrastructure for workflow and process efficiencies. Our value proposition is built on a foundation that goes against the grain of our competition. The Lexmark offering will change the way you think about output by implementing technologies to minimize pages and costs, enabling our customers to print less and save more.

Lexmark is recognized in its ability to optimize customers' workflows because we understand what streamlining work processes involves. While we are pleased by the recognition garnered from the industry analysts, there is no greater measurement for leadership in the MPS industry than contract renewal and retention rate. Our customers consistently state the value Lexmark generates throughout the life of the contract as the primary reason for contract renewal.

We are deeply committed to this initiative and firmly believe that there is no organization that is better positioned to help Region 4 ESC customers realize their defined goals and objectives. As the Region 4 ESC team moves through the evaluation process, we welcome the opportunity to present our vision and highlight how we would help the agency deploy best-in-class technology, optimize the user experience while minimizing the cost and environmental impact of your output infrastructure.

On behalf of the entire team at Lexmark, please allow me to thank you again for the opportunity to respond to this MPS RFP. We look forward to the opportunity to share our vision and provide further detail on the Lexmark response.

Thank you for your consideration.

# Tab 1 - Entire Vendor Contract and Signature Form (pgs. 1-15, Appendix A), General Terms and Conditions Acceptance Form (Appendix D)

This page intentionally inserted to create proper document formatting when printed duplex.

7145 West Tidwell Road ~ Houston, Texas 77092
(713) 462-7708
www.esc4.net

**Publication Date: June 1, 2017**

# NOTICE TO OFFEROR

## SUBMITTAL DEADLINE: Tuesday, July 18, 2017 @ 2:00 PM CT

**Questions regarding this solicitation must be submitted in writing to Crystal Wallace, Purchasing Cooperative Specialist at questions@esc4.net or (713) 744-8189 no later than June 23*, 2017 at 5pm CT*. All questions and answers will be posted to both www.esc4.net and www.tcpn.org under Solicitations. Offerors are responsible for viewing either website to review all questions and answers prior to submitting proposals. Please note that oral communications concerning this RFP shall not be binding and shall in no way excuse the responsive Offeror of the obligations set forth in this proposal.**

## Request for Proposal (RFP)
## by

## Region 4 Education Service Center ("ESC")

## for
## Managed Print Solutions

---

## On behalf of itself, other government agencies and non-profits, made available through The Cooperative Purchasing Network "TCPN."

## Solicitation Number 17-14

**Note: Envelopes must be sealed, prominently marked with the RFP solicitation number, RFP title, RFP opening time/date and name of vendor. Electronic submissions of the RFP will not be accepted. Submissions must be received by the Region 4 ESC office at: 7145 West Tidwell Road, Houston, TX 77092 no later than 2:00 pm CT, at which time the bid opening process shall commence. Proposals will be collected in a conference room to be determined by Region 4 ESC and opened and recorded publicly. Any proposal received later than the specified time, whether delivered in person, courier or mailed, shall be disqualified.**

# ATTENTION OFFERORS:

**Submission of a proposal confers NO RIGHT on an Offeror to an award or to a subsequent contract. Region 4 ESC, in its sole discretion and for any reason or no reason, reserves the rights to reject any or all proposals, accept only a part of any proposal, accept the proposal deemed most advantageous to Region 4 ESC, and waive any technicalities. The issuance of this RFP does not obligate Region 4 ESC to make an award or negotiate or execute a contract. Region 4 ESC reserves the right to amend the terms and provisions of the RFP, negotiate with a proposer, add, delete, or modify the contract and/or the terms of any proposal submitted, extend the deadline for submission of proposals, ask for best and final offers, or withdraw the RFP entirely for any reason solely at Region 4 ESC's discretion. An individual proposal may be rejected if it fails to meet any requirement of this RFP. Region 4 ESC may seek clarification from a proposer at any time, and failure to respond within a reasonable time frame is cause for rejection of a proposal.**

**Please be advised that all information and documents submitted will be subject to the Public Information Act requirements governed by the State of Texas.**

Because contracts are awarded by a governmental entity, all responses submitted are subject to release as public information after contracts are executed. If an Offeror believes that its response, or parts of its response, may be exempted from disclosure, the Offeror must specify page-by-page and line-by-line the parts of the response, which it believes, are exempt. In addition, the Offeror must specify which exception(s) are applicable and provide detailed reasons to substantiate the exception(s). Offeror must provide this information on the "Acknowledgement and Acceptance to Region 4 ESC's Open Record Policy" form found on the next page of this solicitation. Any information that is unmarked will be considered public information and released, if requested under the Public Information Act.

The determination of whether information is confidential and not subject to disclosure is the duty of the Office of Attorney General (OAG). Region 4 Education Service Center ("ESC") must provide the OAG sufficient information to render an opinion and therefore, vague and general claims to confidentiality by the Offeror are not acceptable. Region 4 ESC must comply with the opinions of the OAG. Region 4 ESC assumes no responsibility for asserting legal arguments on behalf of any Offeror. Offerors are advised to consult with their legal counsel concerning disclosure issues resulting from this procurement process and to take precautions to safeguard trade secrets and other proprietary information.

After completion of award, these documents will be available for public inspection.

# ACKNOWLEDGMENT AND ACCEPTANCE
# OF REGION 4 ESC's OPEN RECORDS POLICY

*Signature below certifies complete acceptance of Region 4 ESC's Open Records Policy, except as noted below (additional pages may be attached, if necessary).*

**Check one of the following responses to the Acknowledgment and Acceptance of Region 4 ESC's Open Records Policy below:**

☐ We acknowledge Region 4 ESC's Open Records Policy and declare that no information submitted with this proposal, or any part of our proposal, is exempt from disclosure under the Public Information Act.

(*Note: All information believed to be a trade secret or proprietary must be listed below. It is further understood that failure to identify such information, in strict accordance with the instructions below, will result in that information being considered public information and released, if requested under the Public Information Act.)*

☑ We declare the following information to be a trade secret or proprietary and exempt from disclosure under the Public Information Act.

*(Note: Offeror must specify page-by-page and line-by-line the parts of the response, which it believes, are exempt. In addition, Offeror must specify which exception(s) are applicable and provide detailed reasons to substantiate the exception(s).*

**Lexmark response:**

Following is a list of the sections marked as "Lexmark confidential" and should be exempt from public disclosure. Pursuant to section 552.153 of the State of Texas Public Information Act, information provided in this proposal are marked "confidential" as pertained to term 2, part C. Competitor made privy to such information may gain an unjust advantage in replying to current or future opportunities of the governmental entity.

- Tab 1 - Appendix A - Vendor Contract and Signature Form
- Tab 1 - Appendix D - General Terms and Conditions Acceptance Form
- Tab 5 - References (Appendix F)
- Lexmark Attachment O - Pricing

July 13, 2017
*Date*

Sr. Dir., World Wide Contracts
*Authorized Signature & Title*

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# A. INTRODUCTION

## I. Background on Region 4 Education Service Center

Region 4 Education Service Center ("Region 4 ESC" herein "Lead Public Agency") on behalf of itself, the state of Hawaii and all its state and local government entities and all state, local governments, school districts, and higher education institutions in the United States of America, and other government agencies and non-profit organizations (herein "Participating Agencies") solicits proposals from qualified Offerors to enter into a Vendor Contract ("contract") for the goods or services solicited in this proposal.

Contracts are approved and awarded by a single governmental entity, Region 4 ESC, and are only available for use and benefit of all entities complying with state procurement laws and regulations (public and private schools, colleges and universities, cities, counties, non-profits, and all governmental entities). These types of contracts are commonly referred to as being "piggybackable".

Region 4 ESC's purchasing cooperative was established in 1997 as a means to increase their economic and operational efficiency. The purchasing cooperative has since evolved into a National Cooperative used to assist other government and public entities increase their economical and operational efficiency when procuring goods and services.

## II. What is the role of The Cooperative Purchasing Network ("TCPN")

The Cooperative Purchasing Network ("TCPN") assists Region 4 ESC in helping other public agencies and non-profits reap the benefits of national leveraged pricing, with no cost to the member. TCPN leverages one of the largest pools of purchasing potential. This is accomplished by competitively soliciting proposals and awarding contracts for commonly purchased products and services. Through the TCPN solicitation process, Region 4 ESC awards contracts covering Facilities, Furniture, Office Supplies & Equipment, Security Systems, and Technology and other goods and services industries.

## III. Purpose of TCPN

- Provide governmental and public entities opportunities for greater efficiency and economy in procuring goods and services.
- Take advantage of state-of-the-art purchasing procedures to ensure the most competitive contracts.
- Provide competitive price and bulk purchasing for multiple government or public entities that yields economic benefits unobtainable by the individual entity.
- Provide quick and efficient delivery of goods and services.
- Equalize purchasing power for smaller agencies that are unable to command the best contracts for themselves.
- Help in assisting with use of best business practices.

## IV. Customer Service

- TCPN is dedicated to making our contracts successful for both our members and our awarded vendors.
- TCPN is committed to providing our members and awarded vendors with high quality service.
- TCPN has dedicated staff available to answer questions, offer guidance and help in any way possible.

## B. SCOPE

It is the intention of Region 4 ESC to establish a contract with vendor(s) for **Managed Print Solutions**. Awarded vendor(s) shall perform covered services under the terms of this agreement. Offerors shall provide pricing based on a discount from a manufacturer's price list or catalog, or fixed price, or a combination of both with indefinite quantities. Electronic Catalog and/or price lists must accompany the proposal. Include an electronic copy of the catalog from which discount, or fixed price, is calculated. Multiple percentage discount structure is also acceptable. Please specify where different percentage discounts apply. Additional pricing and/or discounts may be included. If Offeror has existing cooperative contracts in place, Offeror is requested to submit pricing equal or better than those in place.

Each service proposed is to be priced separately with all ineligible items identified. Services may be awarded to multiple vendors. Offerors may elect to limit their proposals to a single service within any category, or multiple services within any or all categories

Region 4 ESC is seeking a service provider that has the depth, breadth and quality of resources necessary to complete all phases of this contract. In addition, TCPN also requests any value add commodity or service that could be provided under this contract.

While this solicitation specifically covers **Managed Print Solutions.** Offerors are encouraged to submit an offering on any and all products or services available that they currently perform in their normal course of business.

## C. KEY DEFINITIONS

**Days:** means calendar days.

**Lead agency:** means the government entity advertising, soliciting, evaluating and awarding the contract. This definition also includes a public agency that meets the definition of a political subdivision, including a county, city, school district, state, public higher education or special district.

**Lowest Pricing Available:** means the overall lowest not-to-exceed price available for the specified goods or services at the time the vendor submits their proposal.

**Procurement**: means buying, purchasing, renting, leasing or otherwise acquiring any materials, services or construction. Procurement also includes all functions that pertain to the obtaining of any material, service, or construction, including description of requirements, selection and solicitation of sources, preparation and award of contract and all phases of contract administration.

**Responsive Offeror**: means a person, company, firm, corporation, partnership or other organization who submits a proposal which conforms in all material respects to the invitation for bids or request for proposals.

**Solicitation**: means an invitation for bids, a request for technical offers, a request for proposals, a request for quotations or any other invitation or request by which we invite a person to participate in a procurement.

**Specifications**: means any description of physical or functional characteristics, or of the nature of a material, service or construction of item. Specifications may include a description or any requirement for inspecting, testing or preparing a material, service or construction item for delivery.

**Vendor:** means any provider or seller of goods and/or services that has a contractual relationship with Region 4 or TCPN.

## D. GENERAL TERMS AND INSTRUCTIONS TO OFFERORS

**I.** **Submission of Response:** Unless otherwise specified in the solicitation, all submitted proposals must contain two (2) bound and signed original copies of the solicitation, and two (2) electronic copies on flash drives shall be provided. Please see format requirements below. **Vendor must also submit two (2) electronic proposals (on USB drives) free of propriety information to be posted on Vendor information page if awarded a contract.**

Only sealed responses will be accepted. Faxed or electronically transmitted responses will not be accepted. Sealed responses may be submitted on any or all items, unless stated otherwise. Proposal may be rejected for failure to comply with the requirements set forth in this proposal.

Deviations from any terms, conditions and/or specifications must be conspicuously noted in writing by the Offeror and shall be included with the response. (See Appendix D).

**II.** **Proposal Format:** Responses must be provided in a three-ring binder or report cover using 8.5 x 11 paper clearly identified with the name of the Offeror's company and the solicitation name and number on both the outside front cover and vertical spine. All forms are to be completed electronically.

Tabs should be used to separate the proposal into sections. Each tabulated section should contain both the section of the RFP referenced and the Offeror's response to that section. The following items identified must be included behind the tabs listed below. Offerors failing to organize in the manner listed may be considered non-responsive and may not be evaluated.

**III.** **Binder Tabs:**

Tab 1 – Entire Vendor Contract and Signature Form (pgs. 1-15, Appendix A)
– General Terms and Conditions Acceptance Form (Appendix D)
Tab 2 – Questionnaire (Appendix E)
Tab 3 – Company Profile (Appendix F, excluding References section)
Tab 4 – Product / Services (Appendix B)
Tab 5 – References (Appendix F)
Tab 6 – Pricing (Appendix C)
Tab 7 – Value Add (Appendix G)
Tab 8 – Required Documents
– Additional Required Documents (Appendix H)
– Acknowledgement & Acceptance of Region 4 ESC Open Records Policy (Page 4).

**IV.** **Mailing of Proposals:** All bids and proposals submitted in response to the solicitation must be clearly identified as listed below with the solicitation number, title, name and address of the company responding. All packages must be clearly identified as listed below, sealed and delivered to the Region 4 ESC office no later than the submittal deadline assigned for this solicitation.

From_____
Company_____
Address_____
City, State, Zip _____
Solicitation Name and Number _____Due Date and Time_____

**V.** **Time for Receiving Proposals**: Proposals received prior to the submittal deadline will be time-stamped upon receipt and kept secure and unopened. At the submittal deadline, Region 4 will begin the process of opening all bids publicly by collecting all proposals received before the deadline in the room designated for the bid opening. No proposals received after the submittal time and deadline will be considered. Late proposals will be returned to sender unopened.

**VI.** **Inquiries and/or Discrepancies**: Questions regarding this solicitation must be submitted in writing to Crystal Wallace, Purchasing Cooperative Specialist at **questions@esc4.net** or (713) 744-8189 no later than June 23, 2017. All questions and answers will be posted to both **www.esc4.net** and **www.tcpn.org** under **Solicitations**. Offerors are responsible for viewing either website to review all questions and answers prior to submitting proposals. Please note that oral communications concerning this RFP shall not be binding and shall in no way excuse the responsive Offeror of the obligations set forth in this proposal.

**VII.** **Restricted and Prohibited Communications with Region 4 ESC:** During the period between the date Region 4 ESC issues this RFP and the selection of the vendor who is awarded a contract by Region 4 ESC, if any, Offerors shall restrict all contact with Region 4 ESC and direct all questions regarding this RFP, including questions regarding terms and conditions, only to the individual identified above in Section "Inquiries and/or Discrepancies" in the specified manner. **Do not contact members of the Board of Directors, other employees of Region 4 ESC or any of Region 4 ESC's agents or administrators. Contact with any of these prohibited individuals after issuance of this RFP and before selection is made, may result in disqualification of the Offeror.**

The communications prohibition shall terminate when the contract is recommended by the administration, considered by the Board of Directors at a noticed public meeting, and a contract has been awarded. In the event the Board of Directors refers the recommendation back to staff for reconsideration, the communications prohibition shall be re-imposed. Additionally, during the time period between the award by the Board of Directors and the execution of the contract, Offerors shall not engage in any prohibited communications as described in this section.

Prohibited communications includes direct contact, discussion, or promotion of any Offeror's response with any member of Region 4 ESC's Board of Directors or employees except for communications with Region 4 ESC's designated representative as set forth in this RFP and only in the course of inquiries, briefings, interviews, or presentations. This prohibition is intended to create a level playing field for all potential Offerors, assure that decisions are made in public, and to protect the integrity of the RFP process. Except as provided in the above stated exceptions, the following communications regarding a particular invitation for bids, requests for proposal, requests for qualifications, or other solicitation are prohibited:

- Communications between a potential vendor, service provider, bidder, offeror, lobbyist or consultant and any member of Region 4 ESC's Board of Directors;
- Communications between any director and any member of a selection or evaluation committee; and
- Communications between any director and administrator or employee.

The communications prohibition shall not apply to the following:

- Communications with Region 4 ESC's purchasing agent specifically named and authorized to conduct and receive such communications under this RFP or upon the request of Region 4 ESC, with Region 4 ESC's legal counsel; and
- Presentations made to the Board of Directors during any duly noticed public meeting.

Nothing contained herein shall prohibit any person or entity from publicly addressing Region 4 ESC's Board of Directors during any duly noticed public meeting, in accordance with applicable Board policies, on a matter other than this RFP or in connection with a presentation requested by Region 4 ESC's representatives.

**VIII.** **Calendar of Events (subject to change)**:

| **Event** | **Date:** |
|---|---|
| Issue RFP | June 1, 2017 |
| Pre-proposal Conference | June 21, 2017 |
| Deadline for receipt of questions via email | June 23, 2017 |
| Issue Addendum/a (if required) | To Be Determined |
| Proposal Due Date | July 18, 2017 |
| Approval from Region 4 ESC | October 2017 |
| Contract Effective Date | March 1, 2018 |

## CONDITIONS OF SUBMITTING PROPOSALS

**IX.** **Amendment of Proposal**: A proposal may be amended up to the time of opening by submitting a sealed letter to the location indicated on the front page of this solicitation.

**X.** **Withdrawal of Proposals**: Withdrawal of proposals prior to the opening date will be permitted. Withdrawal of response will not be allowed for a period of 120 days following the opening. Pricing will remain firm for 120 days from submittal. However, consideration may be given in cases where Offeror advises that it made a clerical error that is substantially lower than it intended. In such case, Offeror must provide written notice of their desire to withdraw, along with supporting documents, within 3 business days of receiving the acceptance letter or of being requested by Region 4 ESC for clarification of the proposal, whichever is later. Any contracts entered into prior to Region 4 ESC receiving notice must be honored.

No Offeror should assume that their withdrawal request has been accepted unless, and until, they receive written acknowledgment and acceptance of their proposal withdrawal.

**XI.** **Clarifications**: Offeror may receive a written request to clarify, in writing, its proposal in order to determine whether a proposal should be considered for award. The process of clarification is not an opportunity for an Offeror to revise or modify its proposal, and any response by an Offeror to a written request for clarification that attempts to revise or modify its proposal shall be given no effect. The purpose of the request for clarification will be solely made for the purpose of eliminating minor irregularities, informalities, or apparent clerical mistakes in the proposal, which may be corrected or waived in the leading agency's sole discretion.

**XII.** **Non-Responsive Proposals**: All proposals will be reviewed for responsiveness to the material requirements of the solicitation. A proposal that is not materially responsive shall not be eligible for further consideration for award of the contract, and the Offeror shall receive notice of the rejection of its proposal.

**XIII.** **Negotiations**: Region 4 ESC shall determine which responsive proposals are in the competitive range and/or are reasonably susceptible of being selected for award. Proposals not in the competitive range may not be further evaluated. Proposals in the competitive range shall be evaluated on the basis of price and the other evaluation criteria set forth in the solicitation. In the event that Region 4 ESC decides to conduct negotiations, notice shall be provided to each Offeror whose proposal is being considered for award, which notice may identify, in general terms, the elements or factors upon which Region 4 ESC intends to base its negotiations. Offerors will not be assisted, in any way, to bring their proposal up to the level of other proposals through discussions. During the course of negotiations, no Offeror's technical proposal or pricing shall be revealed to any other Offeror or to any other person who is not involved with the evaluation process. Region 4 ESC will also not indicate to Offeror a cost or price that it must meet to either obtain further consideration nor will it provide any information about other Offerors' proposals or prices.

**XIV.** **Best and Final Offer**: Region 4 ESC, in its sole discretion, may request all Offerors in the competitive range to submit a Best and Final Offer. Offerors must submit their Best and Final Offers in writing. If an Offeror does not respond to the request for a Best and Final Offer, that Offeror's most recent prior offer will be considered to be its Best and Final Offer.

**XV.** **Specifications**: When a solicitation contains a specification that states no substitutions, no deviation from this requirement will be permitted. Offeror must comply with the true intent of the specifications and drawings and not take advantage of any unintentional error or omission. In cases where no type and kind of product is specified, specifications have been developed to indicate minimal standards as to the usage, materials, and contents based on the needs of the members.

References to manufacturer's specifications (Design Guides), when used by Region 4 ESC, are to be considered informative to give the Offeror information as to the general style, type and kind requested. Responses proposing goods, materials or equipment regularly produced by a reputable manufacturer shall be evaluated by Region 4 ESC which will, in its sole discretion, determine whether such proposed goods, materials or equipment are substantially equivalent to the Design Guides, considering quality, workmanship, economy of operation, and suitability for the purpose intended. Offerors should include all documentation required to evaluate whether or not their proposed goods, materials or equipment are substantially equivalent to the Design Guides.

**XVI.** **Quality of Materials or Services**: Offeror shall state the brand name and number of the materials being provided. If none is indicated then it is understood that the offeror is quoting on the exact brand name and number specified or mentioned in the solicitation.

However, unless specifically stated otherwise, comparable substitutions will be permitted in cases where the material is equal to that specified, considering quality, workmanship, economy of operation and suitability for the purpose intended.

**XVII.** **Samples**: Upon request, samples shall be furnished, free of cost, within seven (7) days after receiving notice of such request. By submitting the proposal Offeror certifies that all materials conform to all applicable requirements of this solicitation and of those required by law. Offeror agrees to bear the costs for laboratory testing, if results show that the sample does not comply with solicitation requirements.

Submissions may be rejected for failing to submit samples as requested.

**XVIII.** **Deviations and Exceptions**: Deviations or exceptions stipulated in response may result in disqualification. It is the intent of Region 4 ESC to award a manufacturer's complete line of products, when possible.

**XIX.** **Formation of Contract**: A response to this solicitation is an offer to contract with Region 4 ESC based upon the terms, conditions, scope of work, and specifications contained in this request. A solicitation does not become a contract until it is awarded by Region 4 ESC. A contract is formed when Region 4 ESC's board signs the Vendor Contract Signature Form. The prospective vendor must submit a signed Vendor Signature Form with the response thus, eliminating the need for a formal signing process.

**XX.** **Estimated Quantities**: Region 4 ESC anticipates that a substantial number of participating members will enter into contracts resulting from this solicitation based on multiple surveys and usage of other contracts that may have included similar services, however, Region 4 ESC makes no guarantee or commitment of any kind concerning quantities or usage of contracts resulting from this solicitation. The volume for this contract is estimated to be up to and in excess of $13__ million a year. This information is provided solely as an aid to contract vendors in preparing proposals only. The successful Vendor(s) discount and pricing schedule shall apply regardless of the volume of business under the contract.

**XXI.** **Multiple Awards**: membership includes a large number of potential entities which may utilize this contract throughout the nation. In order to assure that any ensuing contract(s) will allow Region 4 ESC

to fulfill current and future needs, Region 4 ESC reserves the right to award contract(s) to multiple vendors. The decision to award multiple contracts, award only one contract, or to make no awards rests solely with Region 4 ESC.

**XXII.** **Non-Exclusive**: Any contract resulting from this solicitation shall be awarded with the understanding and agreement that it is for to sole convenience and benefit of participating members. Region 4 ESC and participating entities reserve the right to obtain like goods and services from other sources.

## AWARD PROCESS

**XXIII.** **Award or Rejection of Proposals**: In accordance with applicable laws, rules, and regulations for public purchasing, award(s) will be made to the prospective vendor whose response is determined to be the most advantageous to participating agencies, price and other factors considered. Region 4 ESC reserves the right to use a "Market Basket Survey" method, based on randomly selected criteria to determine the most advantageous response. To qualify for evaluation, a proposal must have been submitted on time, and satisfy all mandatory requirements identified in this solicitation. Proposals that are materially non-responsive will be rejected and the Offeror will be provided notice of such rejection.

**XXIV.** **Evaluation Process**: In evaluating the responses the following predetermined criteria is considered:

**Products/Pricing (40 Points)**

1. Scope and breadth of products available
2. All products and services available
3. Pricing for all available products and services
4. Pricing for warranties on all products and services
5. Ability of Customers to verify that they received contract pricing
6. Payment methods
7. Other factors relevant to this section as submitted by the proposer

**Performance Capability (25 Points)**

1. Ability to deliver products and services nationally
2. Response to emergency orders
3. Average Fill Rate
4. Average on time delivery rate
5. Shipping charges
6. Return and restocking policy and applicable fees
7. History of meeting the shipping and delivery timelines
8. Ability to meet service and warranty needs of members
9. Customer service/problem resolution
10. Invoicing process
11. Contract implementation/Customer transition
12. Financial condition of vendor
13. Website ease of use, availability, and capabilities related to ordering, returns and reporting
14. Offeror's safety record
15. Instructional materials
16. Other factors relevant to this section as submitted by the proposer

**Qualification and Experience (25 Points)**

1. Offeror's reputation in the marketplace
2. Reputation of products and services in the marketplace
3. Past relationship with Region 4 ESC and/or TCPN members
4. Experience and qualification of key employees

5. Location and number of sales persons who will work on this contract
6. Past experience working with the government sector
7. Exhibited understanding of cooperative purchasing
8. Past litigation, bankruptcy, reorganization, state investigations of entity or current officers and directors
9. Minimum of 10 customer references relating to the products and services within this RFP
10. Other factors relevant to this section as submitted by the proposer

**Value Add (10 Points)**

1. Marketing plan and capability
2. Sales force training
3. Other factors relevant to this section as submitted by the proposer

**XXV.** **Competitive Range**: It may be necessary to establish a competitive range. Factors from the predetermined criteria will be used to make this determination. Responses not in the competitive range are unacceptable and do not receive further award consideration.

**XXVI.** **Evaluation**: A committee will review and evaluate all responses and make a recommendation for award of contract(s). The recommendation for contract awards will be based on the predetermined criteria factors outlined in this solicitation, where each factor is assigned a point value based on its importance.

**XXVII.** **Past Performance**: An Offeror's performance and actions under previously awarded contracts are relevant in determining whether or not the Offeror is likely to provide quality goods and services to TCPN members; including the administrative aspects of performance; the Offeror's history of reasonable and cooperative behavior and commitment to customer satisfaction; and generally, the Offeror's businesslike concern for the interests of the customer.

## OPEN RECORDS POLICY

**XXVIII.** **Proprietary Information**: Because contracts are awarded by a governmental entity, all responses submitted are subject to release as public information after contracts are executed. If an Offeror believes that its response, or parts of its response, may be exempted from disclosure, the Offeror must specify page-by-page and line-by-line the parts of the response, which it believes, are exempt. In addition, the Offeror must specify which exception(s) are applicable and provide detailed reasons to substantiate the exception(s). Offeror must provide this information on the "Acknowledge and Acceptance to Region 4 ESC's Open Record Policy" form found at the beginning of this solicitation. Any information that is unmarked will be considered public information and released, if requested under the Public Information Act.

The determination of whether information is confidential and not subject to disclosure is the duty of the Office of Attorney General (OAG). Region 4 ESC must provide the OAG sufficient information to render an opinion and therefore, vague and general claims to confidentiality by the Offeror are not acceptable. Region 4 ESC must comply with the opinions of the OAG. Region 4 ESC assumes no responsibility for asserting legal arguments on behalf of any Offeror. Offeror is advised to consult with their legal counsel concerning disclosure issues resulting from this procurement process and to take precautions to safeguard trade secrets and other proprietary information.

After completion of award, these documents will be available for public inspection.

## PROTEST OF NON-AWARD

**XXIX.** **Protest Procedure**: Any protest of an award or proposed award must be filed in writing within ten (10) days from the date of the official award notification and must be received by 5:00 pm CT. No protest shall lie for a claim that the selected Vendor is not a responsible Offeror. Protests shall be filed with Robert Zingelmann and sent to the Region 4 ESC office at: 7145 West Tidwell Road, Houston, TX 77092. Protests shall include the following:

1. Name, address and telephone number of protester
2. Original signature of protester or its representative
3. Identification of the solicitation by RFP number
4. Detailed statement of legal and factual grounds including copies of relevant documents; and the form of relief requested.
5. Any protest review and action shall be considered final with no further formalities being considered.

## LIMITATION OF LIABILITY

**XXX.** **Waiver**: BY SUBMITTING A PROPOSAL, OFFER EXPRESSLY AGREES TO WAIVE ANY CLAIM IT HAS OR MAY HAVE AGAINST BOTH THE COOPERATIVE PURCHASING NETWORK AND REGION 4 EDUCATION SERVICE CENTER, ITS DIRECTORS, OFFICERS, ITS TRUSTEES, OR AGENTS ARISING OUT OF OR IN CONNECTION WITH (1) THE ADMINISTRATION, EVALUATION, RECOMMENDATION OF ANY PROPOSAL; (2) ANY REQUIREMENTS UNDER THE SOLICITATION, PROPOSAL PACKAGE, OR RELATED DOCUMENTS; (3) THE REJECTION OF ANY PROPOSAL OR ANY PART OF ANY PROPOSAL; AND/OR (4) THE AWARD OF A CONTRACT, IF ANY.

**XXXI.** NEITHER REGION 4 ESC NOR TCPN SHALL BE RESPONSIBLE OR LIABLE FOR ANY COSTS INCURRED BY PROPOSERS OR THE SELECTED VENDOR IN CONNECTION WITH RESPONDING TO THE RFP, PREPARING FOR ORAL PRESENTATIONS, PREPARING AND SUBMITTING A PROPOSAL, ENTERING OR NEGOTIATING THE TERMS OF A CONTRACT, OR ANY OTHER EXPENSES INCURRED BY A PROPOSER. THE PROPOSER OR SELECTED VENDOR IS WHOLLY RESPONSIBLE FOR ANY SUCH COSTS AND EXPENSES AND SHALL NOT BE REIMBURSED IN ANY MANNER BY REGION 4 ESC OR TCPN.

# VENDOR CONTRACT SIGNATURE FORM

The undersigned hereby proposes and agrees to furnish goods and/or services in strict compliance with the terms, specifications and conditions at the prices proposed within response unless noted in writing. The undersigned further certifies that he/she is an officer of the company and has authority to negotiate and bind the company named below and has not prepared this proposal in collusion with any other Offeror and that the contents of this proposal as to prices, terms or conditions of said proposal have not been communicated by the undersigned nor by any employee or agent to any person engaged in this type of business prior to the official opening of this proposal.

Prices are guaranteed: **120 days**

| | |
|---|---|
| Company name | Lexmark International, Inc. |
| Address | 740 West New Circle Road |
| City/State/Zip | Lexington, KY 40550 |
| Telephone No. | 859/232-2000 |
| Fax No. | |
| Email address | jlarsen@lexmark.com |
| Printed name | Jeffrey Larsen |
| Position with company | Senior Director, World Wide Contracts |
| Authorized signature | |

**Accepted by The Cooperative Purchasing Network:**

**Term of contract _____ to _____**

Unless otherwise stated, all contracts are for a period of three (3) years with an option to renew annually for an additional two (2) years if agreed to by Region 4 ESC and the awarded vendor. Awarded vendor shall honor all administrative fees for any sales made based on a contract whether renewed or not.

_____ _____

Region 4 ESC Authorized Board Member Date

_____

Print Name

_____ _____

Region 4 ESC Authorized Board Member Date

_____

Print Name

**Region 4 Contract Number** _____

7145 West Tidwell Road ~ Houston, Texas 77092
(713) 462-7708
www.esc4.net

**Publication Date: June 1, 2017**

**ADDENDUM NO.1**
**SUBMITTAL DEADLINE: Tuesday, July 18, 2017 @ 2:00 PM CT**

**Questions regarding this solicitation must be submitted in writing to Crystal Wallace, Purchasing Cooperative Specialist at questions@esc4.net or (713) 744-8189 no later than June 23*, 2017 at 5pm CT*. All questions and answers will be posted to both www.esc4.net and www.tcpn.org under Solicitations. Offerors are responsible for viewing either website to review all questions and answers prior to submitting proposals. Please note that oral communications concerning this RFP shall not be binding and shall in no way excuse the responsive Offeror of the obligations set forth in this proposal.**

# Request for Proposal (RFP)
# by

# Region 4 Education Service Center ("ESC")

# for
# Managed Print Solutions

---

## On behalf of itself, other government agencies and non-profits, made available through The Cooperative Purchasing Network "TCPN."

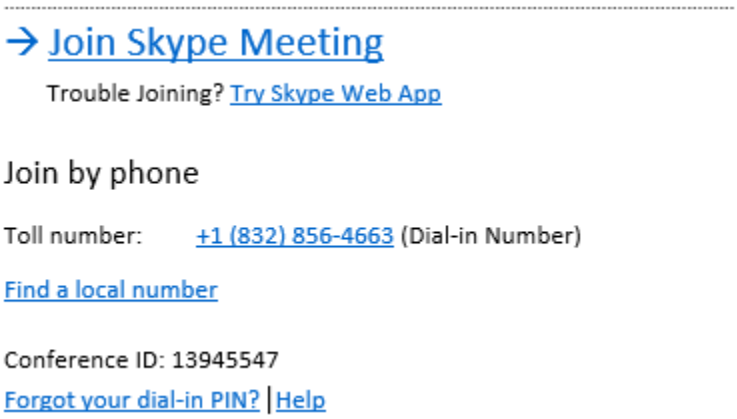
## Solicitation Number 17-14

**Note: Envelopes must be sealed, prominently marked with the RFP solicitation number, RFP title, RFP opening time/date and name of vendor. Electronic submissions of the RFP will not be accepted. Submissions must be received by the Region 4 ESC office at: 7145 West Tidwell Road, Houston, TX 77092 no later than 2:00 pm CT, at which time the bid opening process shall commence. Proposals will be collected in a conference room to be determined by Region 4 ESC and opened and recorded publicly. Any proposal received later than the specified time, whether delivered in person, courier or mailed, shall be disqualified.**

**This Addendum No. 1 amends the Request for Proposals (RFP) for Managed Print Solutions 17-14 ("Addendum"). To the extent of any discrepancy between the original RFP and this Addendum, this Addendum shall prevail.**

**This Addendum 1 is hereby issued to address the following:**

1. **Pre-Proposal Conference: June 21, 2017 from 11:00 AM to Noon, Central Standard Time,** attended via a conference call (no face-to-face meeting will be provided):




2. Per Para 4.9, Specifically, "...Purchase orders and payment can only be made to awarded vendor unless otherwise approved by TCPN." Is this an approval we can receive at the time of submission or will it only be made post award? Answer: Yes, as long as the resellers are named in your response. Region 4 ESC must approve all future resellers, dealers, or distributors. The reason I am inquiring is we prefer to have resellers perform smaller engagements as they have a local presence and are able to service smaller clients with the appropriate scope and depth of service while larger more robust engagements allow us to utilize our technology and/or on-site based solutions. While we will use resellers both direct and indirect, it is really our preference to have the option for both so we can maximize our offerings to any and all customers.

   Will TCPN allow for us to submit a proposal that upon award will give us the option to add distributors/dealers in a manner that allows them to directly receive purchase orders and payments from authorized TCPN users? Answer: Yes, however the contract holder is responsible for reporting all sales under the agreement.

   Referenced section provided below:
   4.9. Adding authorized distributors/dealers: Awarded vendors are prohibited from authorizing additional distributors or dealers, other than those identified at the time of submitting their proposal, to sell under their contract award without notification and prior written approval from TCPN. Awarded vendors must notify TCPN each time it wishes to add an authorized distributor or dealer. Purchase orders and payment can only be made to awarded vendor unless otherwise approved by TCPN. Pricing provided to members by added distributors or dealers must also be less than or equal to the pricing offered by the awarded contract holder, unless otherwise approved by TCPN.

3. Is physical attendance of pre-proposal conference required on June 21, 2017? Answer: No, you may attend via conference call number listed in #1.

4. RFP states that there will be a pre-bid meeting on June 21st but we do not see location or time of pre-bid meeting in RFP document. Can you provide information and also if there will be a call in number for those wishing or needing to attend remotely? Answer: See #1 for call in details

5. RFP asks for "Value Add" offerings in Appendix G. If we offer Multifunctional Devices (ie: Copier and Printer Based Multifunctional Devices), Wide Format Printers/Copiers, Software Solutions, Digital Duplicators and other related products and services, should we bid these items and will Region 4 ESC consider for award? Answer: Yes, you may respond with additional offerings. Please review page 12 of 163 and page 13 of 163 for award process details.

6. Will there be a Pricing Template or spreadsheet provided for pricing/cost responses? Answer: No. If no, is each vendor to create or provide its own template or schedules? Answer: Yes.

# VENDOR CONTRACT SIGNATURE FORM

The undersigned hereby proposes and agrees to furnish goods and/or services in strict compliance with the terms, specifications and conditions at the prices proposed within response unless noted in writing. The undersigned further certifies that he/she is an officer of the company and has authority to negotiate and bind the company named below and has not prepared this proposal in collusion with any other Offeror and that the contents of this proposal as to prices, terms or conditions of said proposal have not been communicated by the undersigned nor by any employee or agent to any person engaged in this type of business prior to the official opening of this proposal.

Prices are guaranteed: **120 days**

| | |
|---|---|
| Company name | Lexmark International, Inc. |
| Address | 740 West New Circle Road |
| City/State/Zip | Lexington, KY 40550 |
| Telephone No. | 859/232-2000 |
| Fax No. | |
| Email address | jlarsen@lexmark.com |
| Printed name | Jeffrey Larsen |
| Position with company | Senior Director, World Wide Contracts |
| Authorized signature | |

**Acknowledgement of Addendum Number(s):** 01

**Accepted by The Cooperative Purchasing Network:**

**Term of contract** _____ **to** _____

Unless otherwise stated, all contracts are for a period of three (3) years with an option to renew annually for an additional two (2) years if agreed to by Region 4 ESC and the awarded vendor. Awarded vendor shall honor all administrative fees for any sales made based on a contract whether renewed or not.

_____ _____
Region 4 ESC Authorized Board Member Date

_____
Print Name

_____ _____
Region 4 ESC Authorized Board Member Date

_____
Print Name

**Region 4 Contract Number** _____

7145 West Tidwell Road ~ Houston, Texas 77092
(713) 462-7708
www.esc4.net

**Publication Date: June 1, 2017**

**ADDENDUM NO.2**
**SUBMITTAL DEADLINE: Tuesday, July 18, 2017 @ 2:00 PM CT**

**Questions regarding this solicitation must be submitted in writing to Crystal Wallace, Purchasing Cooperative Specialist at questions@esc4.net or (713) 744-8189 no later than June 23*, 2017 at 5pm CT*. All questions and answers will be posted to both www.esc4.net and www.tcpn.org under Solicitations. Offerors are responsible for viewing either website to review all questions and answers prior to submitting proposals. Please note that oral communications concerning this RFP shall not be binding and shall in no way excuse the responsive Offeror of the obligations set forth in this proposal.**

# Request for Proposal (RFP)
# by

# Region 4 Education Service Center ("ESC")

# for
# Managed Print Solutions

---

## On behalf of itself, other government agencies and non-profits, made available through The Cooperative Purchasing Network "TCPN."

## Solicitation Number 17-14

**Note: Envelopes must be sealed, prominently marked with the RFP solicitation number, RFP title, RFP opening time/date and name of vendor. Electronic submissions of the RFP will not be accepted. Submissions must be received by the Region 4 ESC office at: 7145 West Tidwell Road, Houston, TX 77092 no later than 2:00 pm CT, at which time the bid opening process shall commence. Proposals will be collected in a conference room to be determined by Region 4 ESC and opened and recorded publicly. Any proposal received later than the specified time, whether delivered in person, courier or mailed, shall be disqualified.**

# VENDOR CONTRACT SIGNATURE FORM

The undersigned hereby proposes and agrees to furnish goods and/or services in strict compliance with the terms, specifications and conditions at the prices proposed within response unless noted in writing. The undersigned further certifies that he/she is an officer of the company and has authority to negotiate and bind the company named below and has not prepared this proposal in collusion with any other Offeror and that the contents of this proposal as to prices, terms or conditions of said proposal have not been communicated by the undersigned nor by any employee or agent to any person engaged in this type of business prior to the official opening of this proposal.

Prices are guaranteed: **120 days**

| | |
|---|---|
| Company name | Lexmark International, Inc. |
| Address | 740 West New Circle Road |
| City/State/Zip | Lexington, KY 40550 |
| Telephone No. | 859/232-2000 |
| Fax No. | |
| Email address | jlarsen@lexmark.com |
| Printed name | Jeffrey Larsen |
| Position with company | Senior Director, World Wide Contracts |
| Authorized signature | |

**Acknowledgement of Addendum Number(s):** 02

**Accepted by The Cooperative Purchasing Network:**

**Term of contract _____ to _____**

Unless otherwise stated, all contracts are for a period of three (3) years with an option to renew annually for an additional two (2) years if agreed to by Region 4 ESC and the awarded vendor. Awarded vendor shall honor all administrative fees for any sales made based on a contract whether renewed or not.

Region 4 ESC Authorized Board Member — Date

Print Name

Region 4 ESC Authorized Board Member — Date

Print Name

**Region 4 Contract Number** _____

**This Addendum No. 2 amends the Request for Proposals (RFP) for Managed Print Solutions 17-14 ("Addendum"). To the extent of any discrepancy between the original RFP and this Addendum, this Addendum shall prevail.**

**This Addendum 2 is hereby issued to address the following:**

1. To correct link in ATTACHMENT A, Participating Addendum – State of Hawaii (page 63 of 163):

The validity of this Addendum, any of its terms or provisions, as well as the rights and duties of the parties to this Addendum, shall be governed by the laws of the State of Hawaii. A copy of the Attorney General's General Conditions, which is made a part of this Addendum, can be found at

http://spo.hawaii.gov/wp-content/uploads/2014/02/103D-General-Conditions.pdf

Any action at law or in equity to enforce or interpret the provisions of this Addendum shall be brought in a court of competent jurisdiction in Honolulu, Hawaii.

2. To replace links in DOC #11, C.271 POLICITICAL CONTRIBUTION DISCLOSURE FORM - *Introduction paragraph and 4.(a) on page 56 of 163). Also, the below mentioned link will replace the box indicating customizable form.*

New Jersey's current Political Contributions form updated link:
www.nj.gov/dca/divisions/dlgs/resources/poli_docs/polit_contrib_disc_form.doc.

# Vendor Contract Launch

Vendors must commit to attending a contract launch meeting with a member of the Business Development Team should they be awarded a contract with Region 4 ESC through this RFP. Vendor contract launches are meant to establish a good relationship with awarded vendors and help to ensure compliance and effective administration over the life of the contract.

It is highly recommended that the individuals who will handle contract management, reporting and marketing are in attendance.

**If awarded,** please provide contact information for scheduling:

**Lexmark International, Inc.**
Vendor

**Kristine McNutt**
Point of Contact

**District Manager, State and Local Government, and Education**
Title

**214-257-0015**
Phone Number

**kmcnutt@lexmark.com**
Email Address

Signature: Kristine McNutt Date: **July 12, 2017**

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# Tab 2 - Questionnaire (Appendix E)

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**Please provide responses to the following questions that address your company's operations, organization, structure and processes for providing products and services.**

## 1. States Covered

**Offeror must indicate all states where products and services can be offered.**
**Please indicate the price co-efficient for each state if it varies. (If applicable)**

**Lexmark response:**

- [x] **50 States & District of Columbia (Selecting this box is equal to checking all boxes below)**
  - [ ] **Alabama**
  - [ ] **Alaska**
  - [ ] **Arizona**
  - [ ] **Arkansas**
  - [ ] **California**
  - [ ] **Colorado**
  - [ ] **Connecticut**
  - [ ] **Delaware**
  - [ ] **District of Columbia**
  - [ ] **Florida**
  - [ ] **Georgia**
  - [ ] **Hawaii**
  - [ ] **Idaho**
  - [ ] **Illinois**
  - [ ] **Indiana**
  - [ ] **Iowa**
  - [ ] **Kansas**
  - [ ] **Kentucky**
  - [ ] **Louisiana**
  - [ ] **Maine**
  - [ ] **Maryland**
  - [ ] **Massachusetts**
  - [ ] **Michigan**
  - [ ] **Minnesota**
  - [ ] **Mississippi**
  - [ ] **Missouri**
  - [ ] **Montana**
  - [ ] **Nebraska**
  - [ ] **Nevada**
  - [ ] **New Hampshire**
  - [ ] **New Jersey**
  - [ ] **New Mexico**
  - [ ] **New York**
  - [ ] **North Carolina**
  - [ ] **North Dakota**
  - [ ] **Ohio**
  - [ ] **Oklahoma**
  - [ ] **Oregon**
  - [ ] **Pennsylvania**
  - [ ] **Rhode Island**
  - [ ] **South Carolina**
  - [ ] **South Dakota**
  - [ ] **Tennessee**
  - [ ] **Texas**
  - [ ] **Utah**
  - [ ] **Vermont**
  - [ ] **Virginia**
  - [ ] **Washington**
  - [ ] **West Virginia**
  - [ ] **Wisconsin**
  - [ ] **Wyoming**
- [x] **Territories & Outlying Areas (Selecting this box is equal to checking all boxes below)**
  - [ ] **American Samoa**
  - [ ] **Federated States of Micronesia**
  - [ ] **Guam**
  - [ ] **Midway Islands**
  - [ ] **Northern Marina Islands**
  - [ ] **Puerto Rico**
  - [ ] **U.S. Virgin Islands**

## 2. Diversity Programs

- **Do you currently have a diversity program or any diversity partners that you do business with?**

**Lexmark response:** ☑ **Yes** ☐ **No**

- **If the answer is yes, do you plan to offer your program or partnership through TCPN**

***(If the answer is yes, attach a statement detailing the structure of your program, along with a list of your diversity alliances and a copy of their certifications.)***

**Lexmark response:** ☑ **Yes** ☐ **No**

Please see Lexmark Attachment C for more information about our diversity program.

- **Will the products accessible through your diversity program or partnership be offered to TCPN members at the same pricing offered by your company?**

**Lexmark response:** ☑ **Yes** ☐ **No**

***(If answer is no, attach a statement detailing how pricing for participants would be calculated.)***

## 3. Minority and Women Business Enterprise (M/WBE) and (HUB) Participation

**It is the policy of some entities participating in TCPN to involve minority and women business enterprises (M/WBE), small and/or disadvantaged business enterprises, disable veterans business enterprises, historically underutilized businesses (HUB) and other diversity recognized businesses in the purchase of goods and services. Offerors shall indicate below whether or not they hold certification in any of the classified areas and include proof of such certification with their response.**

**Lexmark response:**

a. **Minority and Women Business Enterprise. Offeror certifies that this firm is an M/WBE.**
   ☐ **Yes** ☑ **No** **List certifying agency:** _____

b. **Small Business Enterprise (SBE) or Disadvantaged Business Enterprise (DBE). Offeror certifies that this firm is a SBE or DBE.**
   ☐ **Yes** ☑ **No** **List certifying agency:** _____

c. **Disabled Veterans Business Enterprise (DVBE). Offeror certifies that this firm is a DVBE.**
   ☐ **Yes** ☑ **No** **List certifying agency:** _____

d. **Historically Underutilized Businesses (HUB). Offeror certifies that this firm is a HUB.**
   ☐ **Yes** ☑ **No** **List certifying agency:** _____

e. **Historically Underutilized Business Zone Enterprise (HUB Zone). Offeror certifies that this firm is a HUB Zone.**
   ☐ **Yes** ☑ **No** **List certifying agency:** _____

f. **Other. Offeror certifies that this firm is a recognized diversity.**
   ☐ **Yes** ☑ **No** **List certifying agency:** _____

## 4. Residency

**Lexmark response:**

**Responding Company's principal place of business is in the city of Lexington State of Kentucky.**

## 5. Felony Conviction Notice

**Please check applicable box:**

**Lexmark response:**

- ☐ **A publicly held corporation; therefore, this reporting requirement is not applicable.**
- ☑ **Is not owned or operated by anyone who has been convicted of a felony.**
- ☐ **Is owned or operated by the following individual(s) who has/have been convicted of a felony.**

***If the third box is checked a detailed explanation of the names and convictions must be attached.**

## 6. Processing Information

**Company contact for:**

**Lexmark response:**

**Contract Management**

| | | | | | |
|---|---|---|---|---|---|
| **Contact Person:** | Geoff Parker | | | | |
| **Title:** | Contract Manager | | | | |
| **Company:** | Lexmark International, Inc. | | | | |
| **Address:** | One Lexmark Centre Drive, 740 West New Circle Road | | | | |
| **City:** | Lexington | **State:** | Kentucky | **Zip:** | 40550 |
| **Phone:** | 859-232-1935 | | **Fax:** | 859-232-2156 | |
| **Email:** | geoff.parker@lexmark.com | | | | |

**Billing & Reporting/Accounts Payable**

| | | | | | |
|---|---|---|---|---|---|
| **Contact Person:** | Kristine McNutt | | | | |
| **Title:** | Regional Manager, State and Local Government, and Education | | | | |
| **Company:** | Lexmark International, Inc. (remittance address) | | | | |
| **Address:** | PO Box 96612 | | | | |
| **City:** | Chicago | **State:** | Illinois | **Zip:** | 60693-6612 |
| **Phone:** | 859-232-2349 | | **Fax:** | 859-232-2156 | |
| **Email:** | payables@lexmark.com | | | | |

**Marketing**

| | | | | | |
|---|---|---|---|---|---|
| **Contact Person:** | Susan Macke | | | | |
| **Title:** | Vice President, Portfolio Marketing | | | | |
| **Company:** | Lexmark International, Inc. | | | | |
| **Address:** | One Lexmark Centre Drive, 740 West New Circle Road | | | | |
| **City:** | Lexington | **State:** | Kentucky | **Zip:** | 40550 |
| **Phone:** | 859-232-4213 | | **Fax:** | 859-232-2156 | |
| **Email:** | sjmacke@lexmark.com | | | | |

## 7. Distribution Channel

**Which best describes your company's position in the distribution channel:**

**Lexmark response:**

- ☑ **Manufacturer direct**
- ☐ **Authorized distributor**
- ☐ **Value-added reseller**
- ☐ **Certified education/government reseller**
- ☐ **Manufacturer marketing through reseller**
- ☐ **Other**

## 8. Pricing Information

- **In addition to the current typical unit pricing furnished herein, the Vendor agrees to offer all future product introductions at prices that are proportionate to Contract Pricing.**

***(If answer is no, attach a statement detailing how pricing for participants would be calculated.)***

**Lexmark response:** ☑ **Yes** ☐ **No**

- **Pricing submitted includes the required administrative fee.**

***(Fee calculated based on invoice price to customer)***

**Lexmark response:** ☑ **Yes** ☐ **No**

Pricing includes administrative fee. The fee has been added after discount is applied to MSRP.

- **Additional discounts for purchase of a guaranteed quantity?**

**Lexmark response:** ☑ **Yes** ☐ **No**

Once details are confirmed for volume purchase, Lexmark will consider additional fixed pricing for the specific opportunity.

# 9. Cooperatives

**List any other cooperative or state contracts currently held or in the process of securing**

**Lexmark response:**

| Cooperative/State agency | Discount offered | Expires | Annual sales volume |
|---|---|---|---|
| NASPO ValuePoint MPS<br>Contract # 40-000-14-00107 AB | Varies by opportunity | 4/15/2018 | Lexmark confidential |
| PEPPM<br>Lexmark product line | 0–15% off National Education Price (NEP) | 12/31/2017 | Lexmark confidential |
| PEPPM 2015 MPS<br>Managed Print Services | Varies by opportunity | 9/17/2018 | Lexmark confidential |
| State of Arkansas - Copier, Printer, Scanner Purchase<br>Contract # 4600023456 | Varies by select model | 4/30/2018 | Lexmark confidential |
| California Multiple Award Schedule (CMAS)<br>Contract # 4-15-75-0055A | Equal to GSA Schedule 75 | 11/30/2018 | Lexmark confidential |
| California Multiple Award Schedule (CMAS)<br>Contract # 3-15-70-2204B | Equal to GSA Schedule 70 | 12/31/2019 | Lexmark confidential |
| State of Florida - Multifunction Products, Printers, Facsimile Equipment, Scanners, Related Software, Supplies, and Services<br>Contract # 600-000-11-1 | 15–40% off MSRP on select models | 8/3/2018 | Lexmark confidential |
| State of Florida - Information Technology (IT) Consulting Services<br>Contract # 973-561-10-1 | Varies by opportunity | 2/28/2017 | Lexmark confidential |
| Kentucky Education Technology System (KETS) Laser Printer<br>Contract # MA-758-1400000338 | 20–40% off MSRP on select models | 6/30/2017 | Lexmark confidential |
| State of Mississippi - Copiers- Purchase and Rental<br>Contract # 8200031429 | Varies | 4/30/2018 | Lexmark confidential |
| MS Hardware Express EPL 3760<br>Contract # 40731011-3760 | 0–10% off NEP | 6/30/2017 | Lexmark confidential |
| State of New Jersey - G-2075 COPIERS, MAINT., AND SUPPLIES<br>Contract # 40466 | Equal to GSA Schedule 36 | 1/11/2018 | Lexmark confidential |
| NY OGS - Office Equipment (Workgroup Printers and Multifunction Printers)<br>Contract # PT65960 | 15–40% off MSRP | 2/28/2018 | Lexmark confidential |

| Cooperative/State agency | Discount offered | Expires | Annual sales volume |
|---|---|---|---|
| NY OGS - Printing and Imaging Equipment<br>Contract # PT66609 | 15–40% off MSRP | 8/31/2017 | Lexmark confidential |
| State Term Contract 920M - ITS-400095<br>Contract # 920M | Varies by opportunity | 3/31/2020 | Lexmark confidential |
| Ohio State Term Schedule<br>Contract # 534524 | Equal to GSA Schedule 70 | 9/28/2019 | Lexmark confidential |
| Pennsylvania - Master Information Technology (IT) Services Initiation to Qualify (ITQ) Contract<br>Contract # 4400014868 | Varies by opportunity | 12/31/9999 | Lexmark confidential |
| Texas Department of Information Resources (DIR)<br>Contract # DIR-TSO-3103 | 12–35% off MSRP | 8/13/2017 | Lexmark confidential |
| Virginia Information Technologies Agency (VITA) - Statewide Printing Devices and Managed Print Services Information Technology Contract<br>Contract # VA-130405-LII | 25–40% off MSRP on select models | 4/4/2018 | Lexmark confidential |

# Tab 3 - Company Profile (Appendix F, excluding References section)

This page intentionally inserted to create proper document formatting when printed duplex.

**Please provide the following:**

1. **Company's official registered name.**

**Lexmark response:**

Lexmark International, Inc.

2. **Brief history of your company, including the year it was established.**

**Lexmark response:**

Since 1991, Lexmark International, Inc. has provided innovative printing and imaging products, software, business process solutions and services for customers around the world

As a global leader in imaging and output solutions that help organizations better manage their information, Lexmark sells products in more than 170 countries throughout North America, South America, Europe, the Middle East, Africa, Asia, the Pacific Rim and the Caribbean.

In November 2016, Lexmark was acquired by a Chinese Consortium comprised of Ninestar Corporation (~51%), PAG Asia Capital (~43%) and Legend Capital (~6%).

3. **Company's Dun & Bradstreet (D&B) number.**

**Lexmark response:**

62-333-1717

4. **Corporate office location.**

**Lexmark response:**

One Lexmark Centre Drive
740 West New Circle Road
Lexington, Kentucky 40550

5. **List the total number of sales persons employed by your organization within the United States, broken down by market.**

**Lexmark response:**

As of May 2017, of the approximately 15,000 employees worldwide, 4,500 are located in the United States. We have a total of 523 sales employees. Our major subcontractors also employ hundreds of Lexmark-certified service technicians.

6. **List the number and location of offices, or service centers for all states being offered in solicitation. Additionally, list the names of key contacts at each location with title, address, phone and e-mail address.**

**Lexmark response:**

The main point of contact for any sales concerns is Kristine McNutt, Regional Manager, State and Local Government, and Education. You may reach her at kmcnutt@lexmark.com or 214-257-0015.

Lexmark has sales offices in more than 70 countries, and 33 office locations in the United States. Please refer to following table for the details of our US field office locations:

| Field location | Address suite |
|---|---|
| **Alpharetta, GA** | 2400 Lakeview Parkway, Suite 150 and 250<br>Alpharetta, GA 30004-7912 |
| **Auburn, CA** | 12919 Earhart Ave<br>Auburn, CA 95602 |
| **Bentonville, AR** | 609 S.W. 8th Street, 235 and 230<br>Bentonville, AR 72712 |
| **Bloomington, MN** | 8009 34th Avenue South, Suites 900<br>Bloomington, MN 55425 |
| **Boulder, CO** | 6300 Diagonal Highway, Buildings 030/031<br>Boulder, CO 80301 |
| **Coral Gables, FL** | 804 Douglas Road (S.W. 37 Ave.)<br>North Tower, Suite 700<br>Coral Gables, FL 33134-3131 |
| **Greenwood Village, CO** | 5299 DTC Boulevard Floor 14<br>Greenwood Village, CO 80111 |
| **Houston, TX** | 16225 Park Ten Place 546 & 547<br>Houston, TX 77084 |
| **Irvine, CA** | 2211 Michelson Drive 600<br>Irvine, CA 92612 |
| **Irving, TX** | 5215 North O'Connor Blvd, Suite 480<br>Irving, TX 75039 |
| **Lenexa, KS** | 8900 Renner Blvd<br>Lenexa, KS 66219 |
| **Lexington, KY** | 740 West New Circle Road,<br>Lexington, KY 40550 |
| **Metairie, LA** | 3838 North Causeway Boulevard, Suite 2400, 2430, Floor 24<br>Metairie, LA 70002 |
| **Minneapolis, MN** | 801 Nicollet Mall and 800 Marquette Avenue, 9th Floor, Suite 920E<br>Minneapolis, MN 55402 |
| **New York, NY** | 100 Park Avenue 26th floor<br>New York, NY 10017-5502 |
| **Park Ridge, NJ** | One Maynard Drive, NSU Corporate Plaza Portion of 2nd Floor<br>Park Ridge, NJ 07656 |
| **Pflugerville, TX** | 1202 FM 685, Pflugerville Oasis Park,<br>Suite C-9<br>Pflugerville, TX 78660 |

| Field location | Address suite |
|---|---|
| **Pleasanton, CA** | 4309 Hacienda Drive, Suite 530<br>Floor 5, S-012, Basement<br>Pleasanton, CA 94588 |
| **Redmond, WA** | 8383 158th Avenue NE, Suite 200<br>Redmond, WA 98052 |
| **Schaumburg, IL** | 10 North Martingale Road 140<br>Schaumburg, IL 60173 |
| **Seattle, WA** | 3131 Western Ave., King County<br>M520, M522, M527 & M530, Floor 5<br>Seattle, WA 98121 |
| **Southfield, MI** | 2000 Town Center 1400<br>Southfield, MI 48075 |
| **Washington, DC** | 901 New York Avenue, N.W., Floor 4,<br>East Tower<br>Washington, DC 2001 |

7. **Please provide contact information for the person(s) who will be responsible for the following areas, including resumes:**
   a. **Sales**
   b. **Sales Support**
   c. **Marketing**
   d. **Financial Reporting**
   e. **Executive Support**

**Lexmark response:**

## a. Sales

### Kristine McNutt

Regional Manager, State and Local Government, and Education
E-mail: kmcnutt@lexmark.com
Phone: 214-257-0015

Kristine is a regional manager providing strategic sales support and is the first point of escalation for her team of six territory managers, serving the Western United States. She has been exclusively focused on State Government, Local Government and Education accounts for the past five years. Prior to her current role, Kristine served as a senior account manager, specializing in the financial services industry, growing her territory by 25% and managing the largest banks and financial institutions in the Texas region. She also served as an application consultant for Lexmark's central and western US regions, helping customers reduce costs and improve productivity by streamlining their paper-intensive business processes. With Lexmark since 1999, Kristine received the coveted *Account Manager of the Year* award in 2003 and is the recipient of four *Achiever's Club* awards. Kristine graduated from Western Kentucky University with a bachelor's degree in corporate and organizational communications.

## b. Sales support

### John E. Salsman, III

Vice President, Professional Services
E-mail: jsalsman@lexmark.com
Phone: 859-825-4800
As director of US professional services for Lexmark International's Imaging Solutions and Services (ISS), John Salsman is responsible for technical sales support and consulting for ISS sales engagements in the United States. John has been in this role since April 2006. Previously, he served as director of worldwide software alliances for Lexmark's former Printing Solutions and Services Division (PS&SD). In that role he managed the team responsible for software alliances supporting PS&SD large account sales worldwide. Before that he served as industry director of financial services. John has been with Lexmark since 1999. Prior to joining Lexmark, John worked for Xerox Corporation for 14 years, holding management and sales roles. John holds a bachelor's degree in computer science from the University of Kentucky and a master's degree in business administration from Xavier University.

## c. Marketing

### Susan Macke

Vice President, Portfolio Marketing
E-mail: sjmacke@lexmark.com
Phone: 859-232-4213
Susan Macke is vice president of portfolio marketing for Lexmark International, Inc. She is responsible for driving Lexmark's leadership in output, content and process management by defining and bringing to market a hardware, software, solutions and services portfolio of integrated offerings for the enterprise customer. Susan joined Lexmark in December 2013 with more than 25 years of experience in technology, including sales, marketing and product development. Before Lexmark, Susan led marketing and strategy at Neopost and International Game Technology, defining innovation in devices and developing new services. Previous roles include VP of product and portfolio marketing at HP and VP of strategic marketing at Nokia. She has also worked for Sendo, Motorola and IBM, and has 20 years of experience leading global teams. Susan holds a bachelor's degree in computer science and operations research from Lebanon Valley College.

## d. Financial reporting

### Mary Beth Carter

Public Sector Contract Specialist
E-mail: carterm@lexmark.com
Phone: 859-232-2116
Mary Beth Carter has more than 13 years of experience working with public sector technology contracts, including three years as a vendor manager with the Commonwealth of Kentucky. Since joining the Lexmark team in 2007, Mary Beth has been responsible for the contract administration of all State and Local Government, and Education contracts held by Lexmark, including the Western State Contracting Alliance Personal Computers and Related Devices contract. Mary Beth serves as administrator for contracts valued at approximately $20 million.

## e. Executive support

### David Baird

National Sales Director, State and Local Government, and Education
E-mail: davidb@lexmark.com
Phone: 859-232-1547

Dave Baird is the national sales director for Lexmark's State, Local and Education (SLED) Channel team. The vision of this team is to expand Lexmark's presence throughout the United States by leveraging Lexmark's reach through the various channel segments. Lexmark is viewed as a leader in Education and Government, focused on providing solutions that improve business processes throughout our customer base. Since joining Lexmark in 1992, Dave has held sales leadership roles in both Lexmark's enterprise and channel business. These roles have included: district sales manager, industry director (SLED) and national channel sales director. Most recently, he started an important initiative within Lexmark, focused on penetrating the mid-market by leveraging Lexmark's channel partners. Dave's team consists of 14 territory managers and two districts that will cover the country through all of Lexmark's channel segments. Dave holds a Bachelor of Science from West Chester University of Pennsylvania.

**8. Define your standard terms of payment.**

**Lexmark response:**

Lexmark’s standard payment terms are net 30 from date of invoice. This allows us to offer Region 4 ESC our most aggressive pricing. Any extension of these terms would impact pricing and would need to be mutually negotiated.

**9. Who is your competition in the marketplace?**

**Lexmark response:**

The distributed printing market is extremely competitive. The market share leader in the distributed laser printing market is HP Inc. (HP), which has a widely recognized brand name and has been identified as the market leader as measured in annual units shipped. With the convergence of traditional printer and copier markets, major laser competitors now include traditional copier companies such as Canon, Ricoh and Xerox. Other laser competitors include Brother, Konica Minolta, Kyocera, Okidata and Samsung.

Lexmark’s main competitors in the laser space are Hewlett-Packard, Samsung and Brother. Lexmark’s global market share for laser products is approximately 4%.

In the Managed Print Services (MPS) marketplace, Lexmark’s top three competitors are Ricoh, Xerox and HP. Their strengths include the fact that they are established firms that have a global presence and have been in business for many years. Xerox and Ricoh come from a copier background; HP had its beginnings as a developer/manufacturer of computing hardware. The next tier of competitors include Konica Minolta, Canon and Toshiba.

Like the top three competitors listed, Lexmark is also an established firm with a global presence and has been in business for many years. However, Lexmark started out as a firm solely focused on print/imaging and our background, experience, capabilities and approach to MPS differ from our competitors.

Lexmark has been in the MPS business since 1998 and we have deep experience managing distributed (versus centralized) output environments. Firms that come from a copier background often employ a centralized approach to MPS and may emphasize sending more and more pages to large devices in central locations. Such an approach can negatively impact end-user productivity. Most print jobs are less than five pages and are best handled by work group devices located near the end user's work space. Lexmark from the start focused on managing distributed output environments and Lexmark systems, tools and processes have been developed to manage large fleets of distributed devices, the most complex of output environments. By utilizing a single, global system Lexmark is able to provide unparalleled visibility and control over output devices. No longer must disparate reports from multiple, independent systems be consolidated by hand. Enhanced reporting eliminates fragmentation and allows for improved decision making. And with Lexmark devices, you can place feature/function close to the end user.

Other ways that our background, experience, capabilities and approach to MPS differentiate us include the following:

- **Deeper industry expertise:** Our resources are aligned and focused by industry. We listen to the needs of customers and we can apply our technology to solve problems on an industry-specific basis. With many years of accumulated customer insight from working with many of the world's largest enterprises, our industry experts and dedicated development resources are able to deliver enterprise class solutions for the very specific issues our customers face, regardless of the industry segment they may be in. Lexmark's level of industry focus, targeted industry solutions and industry expertise is unique in the MPS marketplace.
- **Exceptional customer engagement:** Lexmark spends a lot of time with its customers understanding their needs, their business, their priorities and the culture. This deep knowledge of our customers enables us to really understand their particular pain points and to solve their business problems. We are also sensitive to the change management issues and strive to make the solutions easy for customer employees to use. When we combine our knowledge of their business with our deep industry knowledge we can bring to them best practices that will fit in their environment and we truly function as a thought leader to add value to their business.
- **Business process transformation:** Lexmark is the industry leader in implementing solutions that transform business processes. Industry analysts recognize that while many MPS vendors talk about optimizing customers' workflows, Lexmark understands what is required to streamline and improve those processes. Lexmark has a long history of developing and implementing both industry-specific and back-office document workflows.
- **Operational execution:** This is the foundation for Lexmark. Lexmark is focused on the operational execution on services and solutions for their customers. This is evident from our very high MPS renewal rates of over 95% for the last six years.

## Delivering on our promise with award-winning products

Lexmark's portfolio has received industry accolades for superior design, performance and reliability from Buyer's Lab, the world's leading independent test lab. Our newest color products received 2016 Pick Awards in five different categories:

- **CS725 Series**, *Outstanding Color Printer for SMBs*: Strong value, overall performance, image quality, touch screen and mobile options.
- **CX725 Series**, *Outstanding Color MFP for SMBs*: Impressive performance, low total cost of ownership, minimal downtime, strong print productivity, easy touch screen use, easy touch screen panel and mobile options.
- **CS820 Series**, *Outstanding Departmental Color Printer*: Maximum uptime thanks to excellent reliability and simple routine maintenance, with a separate consumable design and ultra-high-yield toners.
- **CX820/CX825 Series**, *Outstanding Color MFP for Large Workgroups*: Outstanding value, functionality, low total cost of ownership, reliability, production performance and mobile apps.
- **CX860 Series**, *Outstanding Departmental Color MFP*: Exceptional value, functionality and media handling, low total cost of ownership, scan and copy functionality, touch screen control panel and mobile printout support productivity performance in all modes tested.

More recently, the **CX825 Series** has been named a *Better Buys Innovative Product of the Year for 2017* following an evaluation based on a range of criteria, including unique features, value to customer and price. The Lexmark CX825 Series of A4 color laser MFPs brings production-level performance and quality to the office with the most advanced imaging technology in its class. The Lexmark 800 Series color devices deliver the highest toner capacities in their class and industry-leading long-life imaging components, resulting in fewer user interventions and Lexmark's best-ever color total cost of ownership.

Lexmark has also been awarded *2017 Color Printer/MFP Line of the Year*. BLI honored Lexmark as offering the best and most complete color printer/MFP line in terms of excellent reliability, consistently superb color output, intuitive design and outstanding value. Lexmark's flagship offering, the Lexmark CX860 Series, offers the highest toner capacity, the largest input capacity and the most flexible media support of any A4 color laser MFP. The Lexmark CX860 Series is so advanced it rivals the capabilities of A3 products, allowing businesses to bring color production in-house. With a tablet-like touch screen interface and flexible media handling, these products are easy to use, require minimal training and enable future integration of business process solutions.

## Analyst insights

### Lexmark named Leader in Gartner Magic Quadrant for Managed Print and Content Services, worldwide

Lexmark has once again been positioned in the Leaders quadrant by leading industry analyst firm Gartner, Inc. in its "Magic Quadrant: Managed Print and Content Services Worldwide" report[2]. For five consecutive years, Lexmark has been positioned as a Leader in the firm's Magic Quadrant report.

Within the last 24 months, Lexmark has competed for and won 23 MPS contracts with companies listed on either the Global 500 or Fortune 500 lists, representing new, incremental business to Lexmark. Lexmark also retained existing MPS customers, reporting a 95% renewal rate in the last five years.

### IDC recognizes Lexmark as a Leader in MarketScape Smart MFP Report

In March 2015, Lexmark International, Inc. was recognized as a Leader in smart multifunction peripherals in the *IDC MarketScape: U.S. Smart Multifunction Peripheral 2014–2015 Vendor Assessment*, which analyzes the strategies and current capabilities of companies providing smart MFPs. This is the second time in a row that IDC has given Lexmark the same recognition.

As defined by the IDC MarketScape, "Leaders are companies that have led and continue to lead the market in both breadth of offering and strategic intent."

Lexmark stood out for its approach of acquiring solutions which aim to develop its own technologies in-house. "What makes Lexmark's approach different and unique is that the company is taking a more solutions and business process stance in preparation for the future market," the report stated.[3]

**IDC MarketScape U.S. Smart MFP Vendor Assessment**

Source: IDC, 2015

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[2] Mitani, Tomoko and Weilerstein, Ken (21 December 2015). Gartner, Inc., Magic Quadrant for Managed Print and Content Services, Worldwide.

***About the Magic Quadrant***

*Gartner does not endorse any vendor, product or service depicted in its research publications, and does not advise technology users to select only those vendors with the highest ratings. Gartner research publications consist of the opinions of Gartner's research organization and should not be construed as statements of fact. Gartner disclaims all warranties, expressed or implied, with respect to this research, including any warranties of merchantability or fitness for a particular purpose.*

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[3] IDC MarketScape: U.S. Smart Multifunction Peripheral 2014-2015 Vendor Assessment, Doc #254761, March 2015.

***About IDC MarketScape***

In relation to its MPS offering, the report noted that "IDC has recognized Lexmark as a Leader in managed print services. Its smart MFP portfolio, business process acquisition activity, and leading MPS position put Lexmark in a strong position to provide for hardware, software, and services requirements around the document and workflow."

## Quocirca names Lexmark as leader for fourth year in a row

Lexmark was named by European research and analysis company Quocirca as a market leader in their *Managed Print Services Landscape, 2015* report. This is the fourth time that Lexmark has ranked prominently in the report.

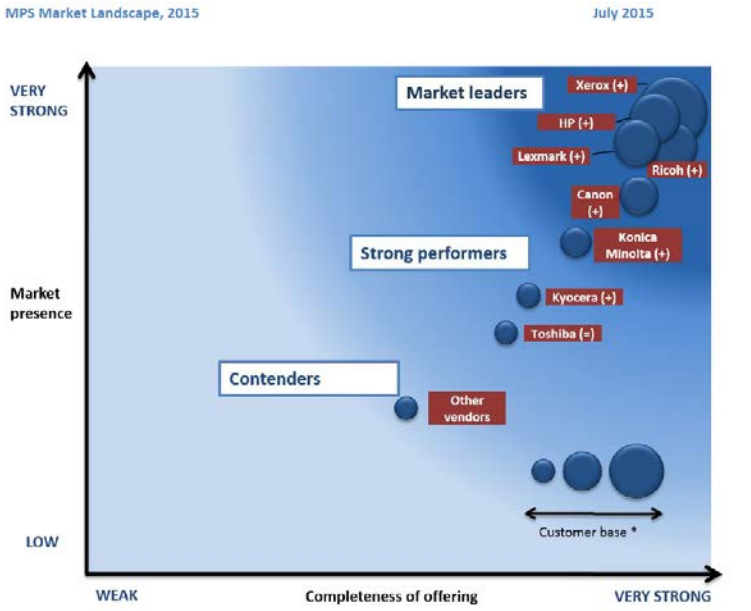


**Figure 6: Quocirca MPS vendor positioning**

** Customer base: Please note that enterprise customer figures and estimated devices under management have been considered when determining customer base bubble size.*

Quocirca defines market leaders as "vendors that lead the market in both strategic vision and depth of service offering. Leaders have made significant investments in their service portfolio and infrastructure and are supported by strong delivery capabilities."

Lexmark's strengths that were highlighted in the report include:

- **Global execution:** "Lexmark has strong credentials when it comes to global execution. Lexmark offers a single global system to support its entire MPS business, which enables it to deliver consolidated global reporting and analytics. Although its global delivery model will appeal to large multinational enterprises, it also offers strong regional delivery capabilities that allow for local customization. Its scalable service offering also ensures that business of all sizes can benefit from a customized MPS offering."
- **Business process expertise:** "Lexmark is the most capable amongst the traditional MPS providers in delivering improved business processes, workflow automation, industry solutions, and helping customers tackle the explosion in unstructured content."

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*IDC MarketScape vendor analysis model is designed to provide an overview of the competitive fitness of ICT suppliers in a given market. The research methodology utilizes a rigorous scoring methodology based on both qualitative and quantitative criteria that results in a single graphical illustration of each vendor's position within a given market. The Capabilities score measures vendor product, go-to-market and business execution in the short-term. The Strategy score measures alignment of vendor strategies with customer requirements in a 3–5-year timeframe. Vendor market share is represented by the size of the circles. Vendor year-over-year growth rate relative to the given market is indicated by a plus, neutral or minus next to the vendor name.*

- **A growing cloud strategy:** “Lexmark has developed a comprehensive cloud platform, including the ability to deliver solutions through the cloud, on-premise, or in a hybrid model... Notable is its mobile print platform, which is an integrated mobile print platform rather than requiring separate solutions for each print device or mobile operating system.”
- **Big Data/ECM:** “Lexmark is making significant investments in the use of analytics to optimize the output environments for its MPS customers and improve device availability and streamline business processes.”

In the final ranking, Lexmark was given “very strong” marks in both market presence and completeness of offering.

**10. Overall annual sales for last three (3) years; 2014, 2015, 2016.**

**Lexmark response:**

2014 - $3.7 billion
2015 - $3.6 billion
2016, third quarter - $2.5 billion

**11. Overall public sector sales, excluding Federal Government, for last three (3) years; 2014, 2015, 2016.**

**Lexmark response:**

Lexmark does not report this level of detail in our financial documents, but overall public sector sales are less than 5% of total stated revenues.

**12. What is your strategy to increase market share?**

**Lexmark response:**

According to research/analyst firms that track and forecast the MPS marketplace, Lexmark has a 9%+ share of the worldwide MPS marketplace. Lexmark has grown MPS revenue year-over-year for each of the last three years. In fact Lexmark has shown growth in MPS revenue for 30 consecutive quarters, being the only major MPS vendor to have such a record of achievement.

Lexmark’s strategy is based on a business model of investing in technology to develop and sell printing and imaging, and content and process management solutions, including printers, MFPs and software solutions with the objective of growing an installed base of hardware devices and software installations, which drives recurring printing supplies sales and software subscription, maintenance and services revenue. Supplies have traditionally been the primary profit engine of the business model. Supplies profit has helped fund new technology investments in products, solutions, services and software. As Lexmark continues to increase its mix of MPS and content and process management software solutions, management anticipates that Lexmark’s annuity mix will increasingly include software and services, in addition to printing supplies.

Lexmark's management believes that Lexmark has the following strengths related to this business model:

- First, Lexmark is highly focused on delivering printing, imaging, and content and process management software solutions and services for specific industries and business processes in distributed work environments. Lexmark's management believes that this focus has enabled Lexmark to be responsive and flexible in meeting specific business customer needs.
- Second, Lexmark internally develops both monochrome and color laser printing technology. The Company's monochrome laser technology product platform has historically allowed Lexmark to provide one of the best values in enterprise network printer-based products and also build unique capabilities into its products that enable it to offer targeted printing and document workflow solutions. Lexmark also internally develops its print and fleet management, content and process management software platforms and tools that enable it to provide leading edge MPS and content and process management solutions. This combination of platform, product and solutions is integrated into a customer's existing IT infrastructure and is designed to be easy to use, which drives user adoption and accelerates the customer's process improvements.
- Third, Lexmark has leveraged its technological capabilities and its commitment to flexibility and responsiveness to build strong relationships with large enterprise customers and channel partners, including distributors and value-added resellers. Lexmark's path-to-market includes industry-focused consultative sales and services teams that deliver unique and differentiated solutions to large accounts and channel partners that sell into Lexmark's target industries.
- And finally, we plan to leverage our Solution Dealer Network to expand our reach. These partners offer similar MPS programs and services with a local touch for small to medium public sector entities.

Lexmark is focused on driving long-term performance by strategically investing in technology, hardware and software products and solutions to secure high value product installations and capture profitable supplies, and software subscriptions, maintenance and service annuities in content-intensive industries and business processes.

Lexmark continues to focus on capturing profitable supplies and service annuities generated from its monochrome and color laser printers and MFPs. Associated strategic initiatives include:

- Expanding and strengthening Lexmark's product line of work group, color and MFP devices.
- Advancing and strengthening Lexmark's industry solutions to maintain and grow Lexmark's penetration in selected industries.
- Advancing and growing Lexmark's MPS business.
- Expanding Lexmark's rate of participation in market opportunities and channels.

Lexmark's strategy requires that it provide an array of high-quality, technologically-advanced products and solutions at competitive prices. Lexmark continually enhances its products to ensure that they function efficiently in increasingly-complex enterprise network environments. It also provides flexible tools to enable network administrators to improve productivity. Lexmark's target markets include large corporations, small and medium businesses (SMBs), and the public sector. Lexmark's strategy requires that it continually identify and focus on industry-specific print and document process-related issues so that it can differentiate itself by offering unique industry solutions and related services.

Lexmark's research and development investments continue to strengthen the breadth and depth of its work group laser line that includes color laser and laser MFPs.

Because of Lexmark's strength and focus on printing and document process solutions, Lexmark has formed alliances and original equipment manufacturer (OEM) arrangements to pursue incremental business opportunities through its alliance partners.

Lexmark has worked closely with school districts for more than 18 years to produce uniquely tailored, education-specific printing and software solutions that help districts reduce costs, spend less time on paperwork and more time with students. Here are some statistics on Lexmark's presence in the education and government sectors:

- **Education**
  - Lexmark output management solutions are deployed in 6 of the top 10 US K-12 school districts.
  - Lexmark manages the fleets of some of the largest public school districts in the United States.
  - 75% of the top 100 school districts in the United States rely on Lexmark.
  - Completed 1,000+ education workshops and discoveries.

*Disclaimer: *As ranked by US News & World Report*

- **Government**
  - All 10 of the Top US federal agencies use Lexmark products and services.
  - Government organizations around the world use Lexmark solutions to improve citizen service delivery, streamline military operations and secure information.

**13. What differentiates your company from competitors?**

**Lexmark response:**

## Open the possibilities

Focusing in on what matters and opening up new opportunities is the driving force behind Lexmark's unique mix of services, technology and solution development. Lexmark specializes in adding value to your operation by delivering customized solutions and services that help you remove the inefficiencies and limitations of information silos. It's a customer-centric, industry-specific approach that makes it easy for you to focus on your core competencies and the challenges that you face. The overall solution recommendations from Lexmark will allow Region 4 ESC to connect their people to the information they need at the moment they need it. Region 4 ESC will be able to bridge your structured core business systems to the sources of valuable information outside your control, deliver relevant information exactly when it's needed in the context of one managed view, remove costly process friction with people-centric automation and adaptable workflow and enhance productivity across the business by removing the hassle of chasing or manually processing content.

Lexmark is different. And we are successful because we are different. Our customers include Coca-Cola Refreshments, Walmart, Kuehne + Nagel and UBS, where billions of pages are produced annually. These giants in their fields chose Lexmark after they had the opportunity to thoroughly test the technology, service and support that we offer.

After they carefully reviewed our experience, approach, infrastructure, tools, methodology, processes, practices and disciplines, intellectual property and commitment, their decision was clear: Lexmark represented the best solution to suit their needs. Lexmark continues to deliver significant cost savings and improved end-user satisfaction and productivity for these customers and hundreds more like them. As a matter of fact, Lexmark is the benchmark these companies use when it comes to deciding on other large management contracts worldwide. And Lexmark can deliver these same advantages for Region 4 ESC.

Lexmark differs markedly from its competitors in three primary areas: agile technology approach, deep industry expertise and exceptional customer engagement.

## Agile technology approach

Rather than piecing together technologies from outside providers, Lexmark builds and owns its industry-recognized product portfolio, giving us a level of agility and responsiveness our competitors can't match.

It starts with comprehensive output management for your unstructured paper information. Our MPS program has hundreds of thousands of assets under management and is recognized by industry experts like Gartner, Forrester and IDC.

Next, our content management platform provides fast, scalable technology trusted by organizations worldwide to capture, manage and access content within the context of their processes, applications and user roles.

Finally, process management tools connect unstructured information and processes with the people and applications that need it most. This powerful business process management software enables organizations to discover, design, execute and improve their processes.

Owning key technologies means very fast innovation on industry-specific solutions and flexibility to meet the needs of almost any customer environment. It also means rock-solid support from a single source: Lexmark.

## Deep industry expertise

Our platforms are highly scalable and able to address the needs of the largest most complex global enterprises as well as serve the needs of mid-size companies. As appropriate, they can be deployed on premise in the cloud or as a hybrid. Our portfolio of products and services are combined to create a unified environment to manage all forms of high-value content that typically resides outside systems of record.

Our industry experts leverage these platforms to create solutions for common content problems seen within specific industries or within back-office operations. And because no two organizations are exactly the same, each deployment is tailored for the specific needs of each customer.

The important point here is that we are not starting from scratch when it comes to solving your document and content challenges, rather we tap into a deep well of knowledge and apply flexible, sophisticated technologies to create the precise solution.

## Exceptional customer engagement

Finally, and most importantly, we promote a culture of inquiry, collaboration and responsiveness that reinforces a deep, two-way connection with all of our customers through both the solutions we create and the ongoing care we provide. That dedication is reflected in customer loyalty rates that exceed 95% across our worldwide customer base.

**14. Describe the capabilities and functionality of your firm's on-line catalog/ordering website.**

**Lexmark response:**

Lexmark offers hosted and personalized online solutions for select customers featuring contracted products and pricing shipped direct to the customer.

The customized websites are designed with easy-to-use features and functionality. Depending on Region 4 ESC's needs, the site can be set up for browsing only or can be enabled for online purchasing. Purchasing websites can be integrated with a variety of electronic procurement systems such as Ariba. Costs of implementing a personalized website for a particular customer or agreement can be explored upon discussion of further requirements.

Features of a Region 4 ESC-specific e-commerce site include:

- Updatable website of printers and supplies that are specific to your contract.
- Supplies finder and search features.
- Click-to-chat provides immediate customer assistance.
- Purchasing via credit card and/or purchase orders.
- Access to order tracking including:
  - Shipping and delivery Information.
  - Order history.
  - Payment information.
- 24/7 access.

Additional features can include the following:

- An E-quote function that allows Region 4 ESC to send, save and retrieve shopping cart information for up to 60 days from the date of creation. This is helpful if you need to get internal approval for purchases before buying.
- White papers, troubleshooting documents and important links can be integrated throughout the website.
- Sites can be in different languages and different currencies.
- Sites are built following best practices and implementing industry standards, ensuring safe and secure browsing for Region 4 ESC.
- Third-party integrations can include a catalog and/or punch-out functionality; with commerce eXtensible Markup Language (cXML) and electronic data interchange (EDI) formats supported as well.

Lexmark currently works with Ariba and Oracle to provide an integrated solution which provides:

- Catalogs
- Punch-out
- Invoicing

Lexmark can also provide a global online solution which includes the previously mentioned features plus:

- Appropriate currency.
- Local taxes, fees and tariffs.
- Purchasing options for geographic regions where Lexmark does not have a legal presence.

Lexmark has an eBusiness program team that will work with Region 4 ESC to understand purchasing challenges and provide an online solution that makes sense for both Lexmark and Region 4 ESC.

Lexmark also offers the capability for our MPS customers to order hardware and consumables via our Managed Services Web Portal. Access to this portal is included in any MPS agreement and would not incur additional cost to utilize.

**15. Describe your company's Customer Service Department (hours of operation, number of service centers, etc.).**

**Lexmark response:**

Lexmark can assume the management and accountability of all break-fix functions for the output fleet. We will have Lexmark-authorized technicians on call, and they will be dispatched to repair the device and restore it to a ready state.

The service process can be designed and customized to meet specific customer needs, but typically begins with the end user placing a call or being transferred to centralized Lexmark's Customer Support Center. If the call is determined to be a printer malfunction (as opposed to software, network, etc.), Lexmark's Customer Support Center agents will attempt to resolve problems over the phone, as 60–70% of print failures are typically resolved through help desk diagnostics, avoiding on-site resolution.

To initiate a call, Region 4 ESC would contact the Lexmark Customer Support Center. The standard process is:

- User calls Customer Support Center.
- Customer Support Center performs initial diagnosis/resolution.
- Customer Support Center closes call or dispatches field technician.
- Field technician arrives at customer, parts arrive at customer.
- Field technician restores device.
- Field technician calls designated customer contact to verify resolution.
- Service call is logged in customer service history.

The standard hours of the Customer Support Center for North America are:

- Mondays through Fridays, 9 a.m. to 9 p.m. Eastern time.
- Saturdays, 12 p.m. to 6 p.m. Eastern time.

If telephone support is required past the standard hours, Lexmark can work with the specific customer to design a support process that meets their needs.

**16. Provide information regarding whether your firm, either presently or in the past, has been involved in any litigation, bankruptcy, or reorganization.**

**Lexmark response:**

Lexmark is involved in lawsuits, claims, investigations and proceedings, consisting of intellectual property, commercial, employment, employee benefits and environmental matters that arise in the ordinary course of business. In addition, various governmental authorities have from time to time initiated inquiries and investigations, some of which are ongoing, including concerns regarding the activities of participants in the markets for printers and supplies. Lexmark intends to continue to cooperate fully with those governmental authorities in these matters. Lexmark does not believe that any such actions will materially impact Lexmark's ability to provide the services defined in the RFP. Lexmark has, in the past, been willing to make such a representation in any eventual contract.

In November 2016, Lexmark announced the successful completion of the acquisition by a consortium of investors (Apex Technology Co. Ltd., now Ninestar Corporation, and PAG Asia Capital). Under the plan of the merger, after the closing of the transaction, Lexmark International, Inc. remains a stand-alone, US-based independent legal entity continuing to be incorporated in Delaware as it has for the prior 25 years. Our headquarters will remain in Lexington, Kentucky. Lexmark remains fully committed to its government customers and ensuring they receive any needed support. Lexmark intends to continue doing business with the government customers in the future.

## Marketing / Sales

17. **Detail how your organization plans to market this contract within the first ninety (90) days of the award date. This should include, but not be limited to:**
    a. **A co-branded press release within first 30 days**
    b. **Announcement of award through any applicable social media sites**
    c. **Direct mail campaigns**
    d. **Co-branded collateral pieces**
    e. **Advertisement of contract in regional or national publications**
    f. **Participation in trade shows**
    g. **Dedicated TCPN and Region 4 ESC internet web-based homepage with:**
        i. **TCPN and Region 4 ESC Logo**
        ii. **Link to TCPN and Region 4 ESC website**
        iii. **Summary of contract and services offered**
        iv. **Due Diligence Documents including; copy of solicitation, copy of contract and any amendments, marketing materials**

**Lexmark response:**

Upon award of the Region 4 ESC contract, Lexmark will implement a multi-dimensional marketing plan to ensure success during the duration of the contract.

- Develop marketing brochures for both partner deliverable and direct.
- Develop PDF version for e-mail campaigns for both partners and Lexmark.
- Create sales rep e-mail messaging for both partners and Lexmark sales reps.
- Participate in state, education and agency trade show events.

18. **Describe how your company will demonstrate the benefits of this contract to eligible entities if awarded.**

**Lexmark response:**

Today's schools are overwhelmed by documents, forms and data. And the ever-increasing number of printers, copiers, mobile devices and more makes it even more difficult to control the flood of information—not to mention control costs and support green initiatives. Lexmark MPS for education bridges the gaps between your systems and output devices, connecting staff, students and administrators with the information they need, at the moment they need it. With Lexmark MPS, you will:

- Significantly reduce paper usage and energy costs in your school and across your district.
- Consolidate information in a single, secure repository, in sync with other classroom technologies and devices.
- Cost-effectively manage student records throughout their life cycle to comply with your district's retention policies.

For government agencies, Lexmark MPS delivers these benefits, among others:

- Creation of secure and traceable workflows.
- Reduced dependence on print.
- Improved demonstration of compliance.

Lexmark also plans to have two channels to market and sell off this contract:

1. **Lexmark Enterprise Direct:** Lexmark has direct sales representatives calling on the largest schools and state agencies across the Unites States.
2. **Lexmark Authorized Solution Dealers:** Lexmark has dealers placed across the Unites States. They focus on selling to small- and medium-sized public sector accounts. These partners offer MPS solutions similar to the offers Lexmark brings to the market. All partners will be vetted by Lexmark to ensure they meet the terms and conditions of the contract. These partners offer a local touch and bring the same value added solutions to the public sector accounts in their area. Lexmark will work with Region 4 ESC to approve authorized dealers. A list of partners can be provided if requested.

**19. Explain how your company plans to market this agreement to existing government customers.**

**Lexmark response:**

Upon award to Lexmark of this new Region 4 ESC contract, Lexmark will promote the contract through both internal and external communications as approved by Region 4 ESC and participating states. Following is an overview of the different marketing items Lexmark plans to generate during the contract term with the approval of Region 4 ESC.

- Advertising:
  - Brochure
  - PDF
  - Handouts
  - Web banners
  - Promotion of contract at national and state events
  - Blog and tweet of new contract
- Meetings with individual participating entities to promote and educate the value of the contract

## Communication planning

The communications or marketing plan is often used interchangeably with change management. However, when a communications plan is created in the absence of a structured change management approach, it ends up being a “telling” plan that simply informs employees about the progress of the project.

Lexmark assists with developing a communications plan as a part of our structured change management approach. The goal of the plan is to answer the questions that employees may have regarding the program and how it will impact them. Working jointly with Region 4 ESC is very important to ensure that the communication plan enables Region 4 ESC to send the right message to the right audience at the right time, and from the right sender and appropriate channel.

The process for developing a communication plan (following is a template example) involves identifying the impacted audience, gathering feedback or concerns from impacted audiences, selecting key messages and timing, determining content and delivery methods as well as the owner and sender of each message.

| Message | Objective | Vehicle | Audience | Timing | Owner | Status |
|---|---|---|---|---|---|---|
| Announcement of MPS | Communicate strategic initiative | Intranet | All impacted employees | One month before output assessments | Corp communication /highest level sponsor | In process |

## Communication package

The communication package will detail the steps that will be executed to guide employees through the change and provide the information necessary to be prepared for the process adoption that is expected of them. Based on Region 4 ESC's requirements, the communication package could include any or all of the following:

- Announcement of strategic initiative published by C-level executive to all employees.
- Stakeholder and end-user communication documents.
- Post corporate output guidelines.
- Publish updates/feedback on implementations.
- Publish implementation plan.
- Publish processes for who to contact for help, issues, questions and supplies.
- Host output/solution demonstration days.
- Post quick reference guides and tips at devices.

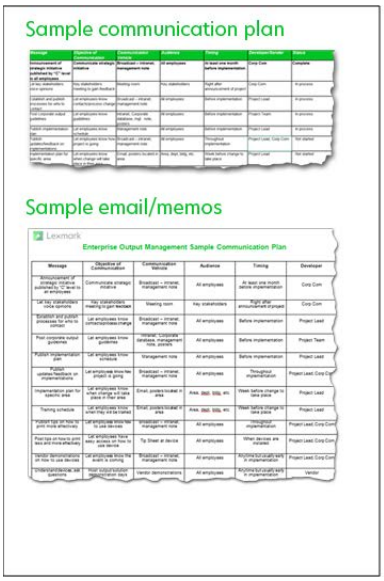
There are many venues that can be used to educate and address questions that employees may have about the program. Based on what has worked successfully in the past for Region 4 ESC, any of the following could be used. Lexmark has found that using multiple venues throughout the project will increase awareness, adoption and reinforcement of the change.

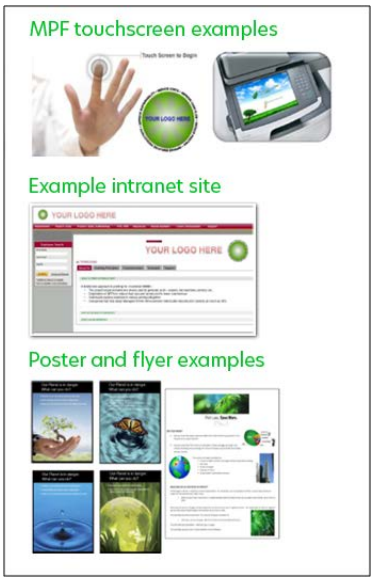
- **Executive announcements:** The sponsor, typically a higher level executive, sends out the initial communication about the MPS program discussing why there's a change and what the benefits are. The communication also encourages everyone to participate.
- **Face-to-face executive announcements:** Face to face is the most effective communication for invoking a change. If the company has executive meetings or staff meetings that meet regularly, this is an opportunity to make the group aware of the program. They are provided with materials that help them embrace the program and assist them with making it a part of their personal communications to their teams.
- **Face-to-face line of business meetings/announcements:** Like the face-to-face executive announcements, this is an opportunity to make the group aware of the program. They are provided with materials that help them embrace the program and assist them with making it a part of their personal communications to their teams.
- **Device fairs:** Headquarter facilities, with 200 or more users, are excellent locations to set up a device fair. The fair shows each of the devices that will be installed and is set up in or close to an auditorium or cafeteria area. The device fair gives users the opportunity to see, use and ask questions about the device prior to install.

- **Elevator/bulletin board/output area poster flashes:** A public area to post information at a location is a good place to put up a flyer. Flyers are a great way to communicate information about the program and installation of devices. Flyers generally do not contain a lot of detail but should point them intranet site for details.
- **Intranet sites:** Intranet sites are a great place to post all content related to the program, items such as governing policy and principles, FAQ and contact names. This is a great venue to let the end users know what is happening. The intranet site can be used throughout the project and into the steady state.
- **Stakeholder meetings:** A great way to share information about the MFP program and get feedback is to conduct stakeholder meetings. Stakeholders could include administrative assistants and key departments or teams to share the specifics of the MPS program. This session is interactive and allows for answers and questions and is a great way to gain insight into how the end-user group views the change and allows for the project team to address items prior to rollout.
- **Installation communication:** Installation communications usually come in the form of e-mail or poster/flyer venues and goes to a specific site/ building/floor prior to implementation. The 30-day (or appropriate timeframe) is a high level communication letting the end users know when their location will be impacted and what they can do to prepare. Fifteen to seven days prior (or appropriate timeframe) to that, another communication is sent/posted that provides the site/building/floor with the final details and preparation for installation. The last communication is sent/posted shortly before (one or two days), with details around how to print, where to print/copy/fax and training details. Print queue or driver details are usually included in the last communication.

A communications package will keep the program messaging in front of Region 4 ESC employees. We recommend tying Region 4 ESC's output program to sustainability as it resonates well with employees and their own personal concerns for environmental improvements. Within Lexmark, we leveraged a marketing campaign when implementing our own technology and processes at our global facilities.

**Marketing campaign examples**



**20. Provide a detailed ninety (90) day plan describing how the contract will be implemented within your firm.**

**Lexmark response:**

Lexmark has contract resources that will be dedicated to the administration of the contract. Lexmark has established internal processes that support the implementation of new contracts. Below are the two primary contacts for the administration of the contract:


**Mary Beth Carter**

Public Sector Contract Specialist
E-mail: carterm@lexmark.com
Phone: 859-232-2116

**Kristine McNutt**

Regional Manager, State and Local Government, and Education
E-mail: kmcnutt@lexmark.com
Phone: 214-257-0015


Below is an outline of the primary actions that will need to be accomplished to implement anticipated contract resulting from this solicitation.

## Contract award notification

### Administration: 30–60 days

- Archive fully executed/signed agreement in accordance with Lexmark internal contract compliance requirements.
- Fully executed contract to be properly extended within Lexmark internal systems.
  - Order management.
  - Lexmark websites/portals (Lexmark.com, etc.)
- Update any web content (contacts, links, etc.)
  - Update sales contacts.
  - Ordering information.
  - Key links (Lexmark and Region 4 ESC).
  - Update value-add offerings/pricing.

### Sales and marketing: 60–90 days

- Launch meeting with Region 4 ESC workshop and local Lexmark office.
- E-mail contract announcement to Lexmark Public Sector Sales. Announcement will include the contract summary brief which will include (but not be limited to) the contract number, scope, effective dates, products and services, pricing, etc.
- Update sales contacts to reflect any changes that may have occurred since the submission of the RFP.
- Targeted communications to Lexmark resellers.
- Internal training for Lexmark Public Sector Sales (conference calls, in-person at sales centers) for both Inside and Outside Sales.
- Submit first monthly sales report to Region 4 ESC.

**21. Describe how you intend on train your national sales force on the Region 4 ESC agreement.**

**Lexmark response:**

Lexmark will send an e-mail contract announcement to Lexmark's Preferred Partner network. This announcement will include details such as products, services, pricing, contract dates, contract number, contract scope and contact information.

We would also host and record a national WebEx to educate our partners on the contract details, terms, services, products, pricing, etc. The recorded WebEx will be added to our partner portal, PartnerNet, for viewing.

In addition, we would host and record a national WebEx to educate our internal sales team on the contract details, terms, services, products, pricing, etc. The recorded WebEx will be added to our internal document sharing site for viewing.

Lexmark would add contract information and details by state on Lexmark.com, and list contract details on our partner portal, PartnerNet, for our partners to gather more information about the contract.

During the contract term, any questions concerning the contract that arise from end users or a partner can be directed to the Lexmark contract resources that will be assigned to the administration of the contract. Listed here are the three primary contacts for contract administration:

- Mary Beth Carter, Public Sector Contract Specialist, carterm@lexmark.com.
- Geoff Parker, Contract Manager, geoff.parker@lexmark.com.
- Jeff Larsen, Director, WW Contract Management and Administration, jlarsen@lexmark.com.

**22. Acknowledge that your organization agrees to provide its company logo(s) to Region 4 ESC and agrees to provide permission for reproduction of such logo in marketing communications and promotions.**

**Lexmark response:**

Lexmark acknowledges and agrees that it will authorize Region 4 ESC to use, on a nonexclusive basis and only during the term of any written agreement between the parties resulting from this bid response, the Lexmark trademarks identified and included in the flash drive (the "Lexmark Trademarks"), including the Lexmark logo, solely to identify Lexmark as the provider of MPS services and associated imaging products for Region 4 ESC and other related, authorized users within its agency. Region 4 ESC agrees to comply with the usage guidelines respecting the Lexmark Trademarks that may be provided by Lexmark and amended from time to time. The Lexmark Trademarks and the goodwill associated therewith are and shall remain the exclusive property of Lexmark. Region 4 ESC and any related, authorized entities utilizing the products and services provided by Lexmark shall not: (a) use the Lexmark trademarks as part of any composite mark including any elements not approved in advance in writing by Lexmark; (b) challenge the validity or enforceability of the Lexmark Trademarks (unless such restriction is illegal); or (c) acquire any proprietary rights in the Lexmark Trademarks by reason of any activities under a written agreement between the parties or otherwise; or (d) use the Lexmark Trademarks or Lexmark's trade name in any manner which could cause confusion as to the source of Lexmark's products and services.

All uses of the Lexmark Trademarks by Region 4 ESC and any additional goodwill created thereby shall inure to the exclusive benefit of Lexmark. Lexmark, at all times during the term of any written agreement between the parties and on reasonable notice, shall have the right to inspect the marketing and other informational materials on or in connection with which the Lexmark Trademarks are used in order to assure Lexmark that the provisions of the written agreement between the parties pertaining to the Lexmark Trademarks are being observed. If at any time Lexmark shall reasonably object to any use to which the Lexmark Trademarks are put, Region 4 ESC shall promptly correct or, at Lexmark's direction, cease any such use. Region 4 ESC's rights to use the Lexmark Trademarks will cease immediately upon expiration or termination of the applicable written agreement between the parties.

**23. Provide the revenue that your organization anticipates each year for the first three (3) years of this agreement.**

**$ _____ in year one**

**$ _____ in year two**

**$ _____ in year three**

**Lexmark response:**

$1 million in year one

$1 million in year two

$1 million in year three

## Administration

**24. Describe your company's implementation and success with existing cooperative purchasing programs, if any, and provide the cooperative's name(s), contact person(s) and contact information as reference(s).**

**Lexmark response:**

Through dedicated sales and support teams for State and Local Government, and Education customers, Lexmark International, Inc. provides products and services to the customer directly and through authorized resellers. Implementation plans for MPS opportunities secured through cooperative purchasing programs are crafted to meet individual customers' needs. The following list is a sample of existing cooperative purchasing programs held by Lexmark:

- **NASPO - Managed Print Services - 40-000-14-00107**
  Teri Arevalo
  teri.arevalo@state.nm.us
  505-827-0266
- **PEPPM Managed Print Services**
  Jared Lehman
  jlehman@csiu.org
  570-523-1155, extension 2169
- **Texas DIR - Managed Print Services - DIR-TSO-3103**
  Kelly Welch
  kelly.welch@dir.texas.gov
  512-475-4543

**25. Describe the capacity of your company to report monthly sales through this agreement.**

**Lexmark response:**

Lexmark has a team dedicated to public sector revenue reporting. The majority of our public sector contracts require revenue reporting on either a monthly or quarterly basis. We are capable of reporting through a variety of methods, such as reporting through an online portal as well as completing a customer supplied template. Lexmark already has the people and processes in place to provide monthly revenue reporting and processing of administrative fees.

**26. Describe the capacity of your company to provide management reports, i.e. consolidated billing by location, time and attendance reports, etc. for each eligible agency.**

**Lexmark response:**

Lexmark's significant investment in the MPS infrastructure means that near-real-time updates to key standard reports are available 24/7 to the Region 4 ESC team.

At the core of a Lexmark services engagement is the ability to capture information on individual assets. Lexmark's MPS offering relies on the Lexmark Data Collection Manager (LDCM) to provide this functionality. The LDCM is Lexmark's hardware and software solution that is to reside within Region 4 ESC's network environment. This provides a secure and automated way to collect asset information, transmit the information back to Lexmark and take action on assets.

The timely information provided by the LDCM is joined with information in the Lexmark Asset Relationship Management System (ARMS) to provide a complete picture of Region 4 ESC's output environment. This allows Lexmark to partner with Region 4 ESC to drive lower costs and higher productivity in document technologies and output solutions.

The LDCM is a key technology component that increases the efficiency of Lexmark's MPS services business. This technology coupled with Lexmark's proven business processes/methodologies and experienced resources will help you tap into one of the last opportunities for sustained operational cost savings. MPS will help you print less, move information faster and better manage output across your organization.

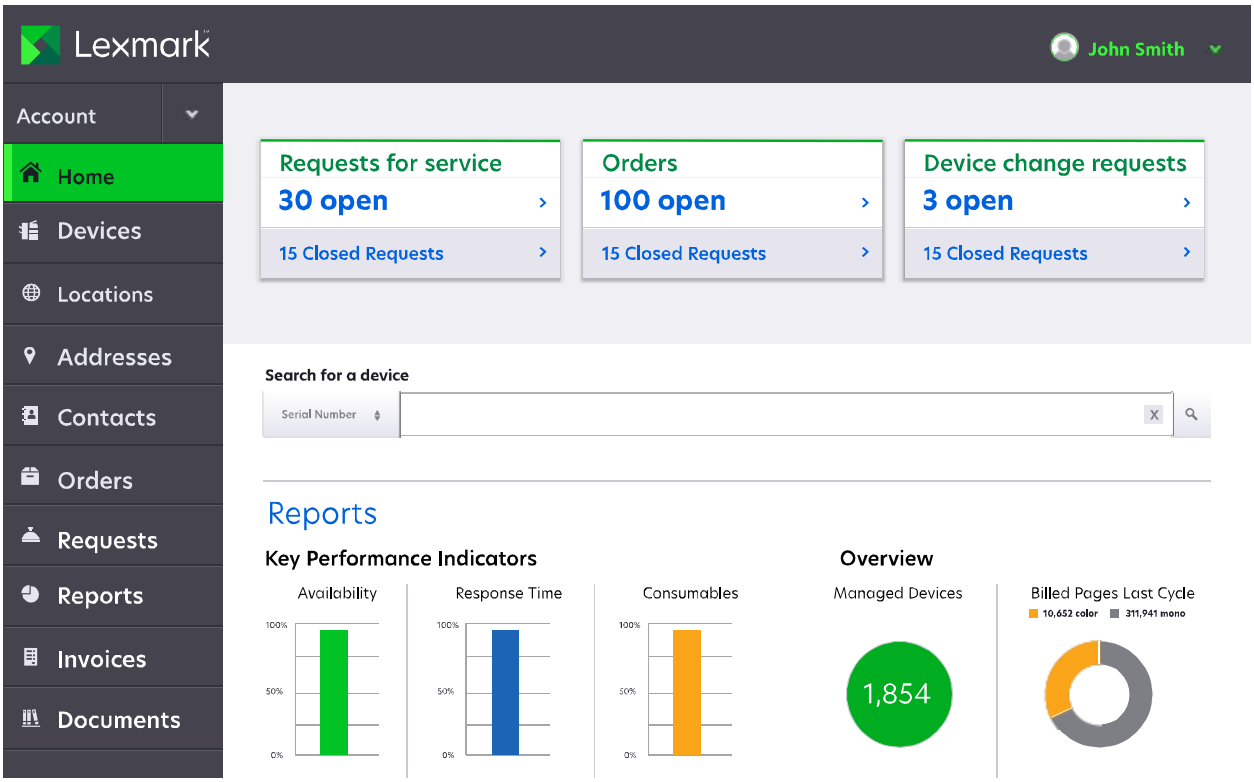
## Available standard reports

Lexmark has the capability to generate a wide variety of standard reports and invoicing formats. We will work with your company to generate customized reports based on your specific needs. As part of our standard reporting package, we can generate reports that clearly define print-related costs on both a summary level and a printer level. We can also generate asset management reports to ensure proper utilization and compliance with any output device policies developed by Region 4 ESC.

The Lexmark Managed Services Web Portal provides a complete view of departments/agencies under MPS engagement. The information you need can be accessed with few simple clicks. This new portal offers a personalized, convenient and intuitive experience:

- Improved usability: Quickly complete transactions and run reports with simple clicks.
- Document sharing on the portal allows for the sharing of useful information such as custom reports, training materials and contractual documents—putting all relevant information about your output fleet at your fingertips.
- Technical architecture is built for 24/7 availability and fast performance.
- Visibility is adjustable by role and/or locale: Choose to view a little, view a lot or view your entire operation.
- Robust reporting interface provides accurate and instant status on all requests.
- Customer IT administrators and staff can make requests and check status.
- Mobile friendly for on-the-go access.

All presented information will be available to Region 4 ESC and its clients via the Managed Services Web Portal—Document Library. In addition, our standard reports are available 24/7 for our clients to access. They are available in several formats including PDF, HTML and CSV.




Lexmark's Managed Services Web Portal provides eight standard reports that are available to all portal users. A customer can run these reports at any time and export the detailed results. Reports with an asterisk (*) include additional dashboard chart preview with hover details.

1. **Asset Register:** The Asset Register report provides current line by line detail for all Managed Output Devices actively registered in the asset database under a customer agreement. The report includes current detail for each device, by serial number, including location, customer asset tag, model type, IP address, hostname, lifetime page counts, cost center, accepted status, install date, term start and end dates, and more. There are no prompts or customizable parameters for this report: the Asset Register report runs immediately when selected by the customer.
2. **Device Changes (move, add, delete, change)*:** The Device Changes report provides detail of all occurrences that caused a change to the customer's fleet including moves, adds, decommissions, changes, and swaps, over a selected date range. The report details includes information about changes to a device's network identifiers, asset tag, location, and more, and is sortable by even type and/or date. The user may select to filter by move, add, delete, change event type, and/or date range when running this report.
3. **Missing Meter Reads*:** The Missing Meter Reads report shows devices that have not reported a page count meter read to Lexmark in 'X' number of days. The user can select to filter by meter type (automated, manual, or all) and by the number of days a device has not reported (the default is 60 days).

4. **Consumables Orders*:** The Consumables Orders report provides detail of all consumables supplies orders recorded for a selected date range, whether manually placed or automated. Details include order creation, shipment, and delivery dates, status, device model and detail, part number, description, tracking number, location, quantity, order type, etc. The user can select to filter by date range when running this report.
5. **Hardware Orders*:** The Hardware Orders report provides detail of all hardware orders recorded for a selected date range. Details include order creation, shipment, and delivery dates, status, hardware model number and detail, part number, description, tracking number, location, quantity, type, etc. The user can select to filter by date range when running this report.
6. **Pages Billed*:** The Pages Billed report provides line by line detail of pages billed, by device serial number, for the selected date range.
7. **Hardware Installation Requests*:** The Hardware Installation Requests report provides details for all hardware installation requests and the details associated with the installs. The output includes order creation, shipment, and delivery date, location, contact, quantity, type, model, order numbers, purchase order number, shipping method, product description, customer reference number, etc. The user can select to filter by date range when running this report.
8. **Service Detail Report:** The Service Detail Report provides line by line detail for break-fix service requests and actions, by asset, for a selected date range. The output includes request creation and completion date, status, parts shipped, device type and details, location, service summary, cost center, and more. The user can select to filter by date range when running this report.

## Key performance indicators

In addition to the eight standard reports, the Managed Services Web Portal provides three at-a-glance key performance indicator (KPI) visualizations:

- Fleet Availability: Shows the percentage of the total fleet that was operational, or “up”, versus the total number of potential operational hours for the last full month.
- Service Response Time: Shows the percentage of initial responses to service calls that were achieved within the time designated by the SLA for the last full month.
- Supplies Shipments: Shows the overall percentage of service and/or supplies orders that were shipped within the contracted SLA for the last full month.

## Governance reports

Reports and analysis developed as part of our governance process may be posted in the Managed Services Web Portal for customer to access at any time. These reports include:

- Fleet governance reports: Performance measurement, fleet analysis, and recommendations regarding fleet optimization, cost, and day-to-day operational activity.
- Business governance reports: Sustainability reporting; Lexmark MPS Process Analytics to help identify business process inefficiencies and workflow improvement opportunities and recommendations.

## Custom reports

The Managed Services Web Portal provides for additional flexibility to allow additional customization as required.

- Custom filter views: In the Managed Services Web Portal user interface, the user has the ability to easily navigate and view devices, orders, and requests using filters, date parameters, bookmarks, etc. and can export any view to a clean flat excel format as desired.
- Additional custom reports: Should Lexmark and customer mutually agree to additional custom reports, they may be posted in the Managed Services Web Portal for customer to access at any time. Custom report development may incur additional fees per the attached pricing template.

**27. Please provide any suggested improvements and alternatives for doing business with your company that will make this arrangement more cost effective for your company and Participating Public Agencies.**

**Lexmark response:**

Lexmark has long engaged in quality and productivity improvement activities aimed at improving customer satisfaction. The core of our process improvement efforts is to establish a data-driven problem-solving methodology to continuously improve customer satisfaction. To that end, Lexmark has implemented methodologies such as Lean, to eliminate waste in our processes using value stream mapping and other Lean enterprise tools.

Lexmark also applies our continuous improvement approach to driving ongoing cost reductions in MPS engagements. Lexmark conducts monthly performance reviews with each customer. Performance reviews contain the following key elements:

- Current status review
- SLA performance
- Trends and analysis
- Opportunities for cost reduction
- Strategic planning

Each review ends with an assignment of action items to address any issues and begins with a summary of resolutions for all action items from the prior meeting. To maintain consistency and a strong level of communication, all Lexmark employees who are directly responsible for services to the customer, as well as executive-level personnel, attend the reviews.

We have found a reasonable target for ongoing cost reduction initiatives is 15% year-on-year through the implementation of workflow improvements. Significant improvements in workflow can be achieved using Lexmark's customizable MFP operator panels. For example, one major freight carrier was successful in eliminating a significant number of days from their cash cycle by leveraging Lexmark MFP technology to automate the distribution of bills of lading, resulting in the faster collection of accounts receivable.

# Green Initiatives

**We are committed to helping to build a cleaner future! As our business grows, we want to make sure we minimize our impact on the Earth's climate. So we are taking every step we can to implement innovative and responsible environmental practices throughout Region 4 ESC to reduce our carbon footprint, reduce waste, promote energy conservation, ensure efficient computing, and much more. We would like vendors to partner with us in this enterprise. To that effort, we ask Offerors to provide their companies environmental policy and/or green initiative.**

**28. Please provide your company's environmental policy and/or green initiative.**

**Lexmark response:**

## Corporate Environmental, Health and Safety Policy

Lexmark is committed to sustainable excellence in all our business activities, products and services. Through continual improvement in our environmental, health and safety programs, Lexmark is committed to the following:

- Being an environmentally responsible provider of high-quality products and services.
- Being a good environmental steward by preserving and protecting our natural resources and practicing pollution prevention.
- Being a responsible neighbor and employer, committed to compliance with relevant environmental, safety and health regulations as well as laws and other criteria to which Lexmark subscribes.
- Being a provider of safe and healthy workplaces.

Lexmark senior management is responsible for this policy and its scope, for communicating it and for ensuring its implementation. Lexmark managers are responsible for integrating these commitments into their decision-making processes and their operational practices with objectives to measure and improve performance. All employees are expected to conduct themselves in a manner consistent with this policy.

You will find our *Corporate Social Responsibility Policy*, *Climate Change Policy*, and the rest of our policies and statements on this page: http://csr.lexmark.com/csr-policies-statements.html.

## Lexmark environmental awards

### CR's 100 Best Corporate Citizens 2016

Lexmark was ranked 9th in Corporate Responsibility (CR) Magazine's annual listing. This publication recognizes top performing US public companies. The Ratings are based on disclosure and performance data from publicly available information in Environment, Climate Change, Human Rights, Employee Relations, Corporate Governance, Philanthropy and Finance.

### Global Compact 100

Lexmark is recognized in the top 100 companies in the United Nations Global Compact (UNGC) global stock index, which combines corporate sustainability and baseline financial performance. GC-100 was developed by UNGC in partnership with research firm Sustainalytics. Lexmark has been included since its first index in 2013.

## EcoVadis Gold CSR Rating

Lexmark received gold recognition level based on the EcoVadis CSR rating for the third consecutive year. Lexmark is in the top 1% of suppliers assessed from 95 countries, 20,000 companies, across 145 business sectors on corporate policies, initiatives and achievements in areas concerning the environment, labor practices, fair business practices and supply chain.

## Green Check Partner

Lexmark is a Silver rated Green Check Partner. This certification program, by Lexington Environmental Quality and Public Works and Bluegrass Greensource, recognizes companies for outstanding sustainability initiatives.

## Highlights from some of Lexmark's environmental initiatives from over the years

**2016**

- Lexmark was awarded Distinctive ESR 2016 - Empresa Socialmente Responsable by the Mexican Center for Philanthropy (Cemefi) and the Alliance for Social Corporate Responsibility (AliaRSE), for the third consecutive year. This recognition is for companies committed to socially responsible management and continuous improvement.
- Lexmark was recognized as the High Achiever in Sustainability Leadership for the Toner Pave project that uses recycled toner. Two additional awards were received: Customer Value Leadership for customer setup transformation, and, Enterprise Technology Leadership for enterprise social networking.

**2015**

- Lexmark Juarez received Clean Industry (Industria Limpia) Certification from the Mexican Federal Environmental Protection Agency (PROFEPA)

**2012**

- Lexmark was ranked 15th out of the top 100 companies on the 2012 Maplecroft Climate Innovation Index.
- Lexmark was recognized as a Sustainability Leader by Swiss investment firm (SAM) in their 2012 Sustainability Yearbook.
- Lexmark Sustainability Manager, John Gagel, was the recipient of the 2012 Earth Day Award, presented by the Kentucky Environmental Quality Commission.
- The Lexmark team in Boulder earned a Gold Leader Award for their Colorado Environmental Leader Program (ELP).

**2011**

- In 2011, Lexmark was added to the prestigious Dow Jones Sustainability World Enlarged Index (DJSI World Enlarged).

**2010**

- Lexmark's ranking in the Bloomberg Maplecroft Climate Innovation Indexes jumps from number 77 to number 7.
- Lexmark's building in Juárez won gold for Leadership in Energy and Environmental Design (LEED).

**2009**

- Lexmark was awarded the Best Green IT Tool for its innovative Eco-Simulator by Byte magazine in their 18th annual awards ceremony.

**2008**

- The Cebu, Philippines, site was named to the Philippine Economic Zone Authority (PEZA) Hall of Fame in Manila during Earth Week last April 2008 for having won PEZA's Top Environmental Award three times (2002, 2005 and 2007).
- Lexmark's Lexington, Kentucky site received an environmental award from Cintas for its paper recycling efforts.

**2007**

- Lexmark's business products facility in Juárez, Mexico, received an award from the state government of Chihuahua for fully complying with the state's legal requirements pertaining to the environment in association with the program "Self Assessing of Environmental Compliance."
- At its Lexington Earth Day Fair, Lexmark is awarded master-level membership in Kentucky.

Additional details regarding Lexmark's leadership in sustainable environmental practices can be found in this link: http://csr.lexmark.com/csr-awards-recognition.html.

## Operations

For Lexmark, being a responsible neighbor, employer and global corporate citizen is woven into everything we do. It's part of who we are as individuals and as a corporate community.

Operating sustainably is part of Lexmark's corporate vision and values. Using internationally recognized standards for environmental management at multiple sites helps us maintain focus on setting and achieving specific goals for environmental health and safety. Environmental reporting also helps Lexmark focus on areas of operation where processes may be improved, yielding benefit for the business and communities around us.

### Environmental management

ISO 14001 is a voluntary standard that provides a framework for environmental management. Lexmark-owned and leased facilities in Lexington, Kentucky; Boulder, Colorado; Budapest, Hungary; Cebu, Philippines; Juárez, Mexico; Shenzhen, China; the United Kingdom; Istanbul, Turkey; and the Netherlands have received ISO 14001 certification. These include all of our production locations and some research and development and administration facilities.

All facilities that do not hold ISO 14001 certification attest to standard conformance and adhere to the Lexmark Corporate Environmental, Health and Safety Instructions. For a full list of our ISO 14001 and OHSAS 18001 certificates, you may go to this page: http://csr.lexmark.com/environmental-management.html. Please see Lexmark Attachment D where we've included a copy of our ISO certificates.

## Energy consumption

Lexmark continues to focus on maintaining efficient use of natural resources at our leased and owned manufacturing facilities, research and development facilities, and office spaces worldwide, tracking data since 2005 and meeting aggressive goals. In 2016, we continued to make progress toward our 2020 goal to reduce energy 10% compared to the 2015 baseline. More details are found on this page: http://csr.lexmark.com/energy-consumption.html.

## Greenhouse gas emissions

Lexmark is committed to operating responsibly, which includes tracking, reporting and reducing greenhouse gas (GHG) emissions. We have made conscious efforts in both employee travel and commute, and worldwide logistics, product transportation and distribution. We have also followed innovative methods of emissions avoidance in terms of product testing and service delivery, among other things. More information can be found here: http://csr.lexmark.com/greenhouse-gas-emissions.html.

## Water management

Lexmark is focused on efficiently managing water usage at our facilities and has established a 2020 goal to reduce water use by 8% from 2015. Full details, including our water management program, are here: http://csr.lexmark.com/water-management.html.

## Waste management

At Lexmark, we're committed to disposing waste generated by our worldwide facilities in a safe and responsible manner. Our facilities measure and report our generated waste and disposal methods to ensure we are making progress in our overall waste-reduction efforts.

Waste management programs at our offices and manufacturing sites promote recycling and provide guidance to ensure our waste is responsibly managed. You can find more information on how we manage the waste we generate as well as our recycling program here: http://csr.lexmark.com/waste-management.html.

## Supply chain

At Lexmark, we work closely with our suppliers to ensure our products and services have a positive impact on people, communities, and the environment. We choose suppliers who share our vision of corporate citizenship and agree to conform to Lexmark's expectations and standards. We monitor and audit the performance and compliance of our suppliers by analyzing on a regular basis their social, environmental and economic data. All Lexmark suppliers are expected to comply with the EICC and Lexmark Supplier Code of Conduct. More details can be found here: http://csr.lexmark.com/supply-chain.html.

## Land and biodiversity

Lexmark strives to ensure that our operations do not harm the local environment. Understanding our responsibility to help maintain balance in the natural world, we engage our communities primarily in reforestation programs and watershed protection. More information about the standards we follow as well as our initiatives are on this page: http://csr.lexmark.com/land-biodiversity.html.

## Products and solutions

Lexmark concentrates efforts on the design, manufacture, delivery and use of products that can be employed in an environmentally and socially responsible manner. The Lexmark product portfolio is a dynamic mix of software, electronic data tools, long-lasting hardware, and management services. As our company continues to evolve, our commitment to being a leader in global citizenship through our thoughts and actions remains a guiding principle for our business.

## Innovation

Innovation is central to Lexmark's business strategy. We focus our efforts on seeking new ways to solve our customers' issues while benefiting society and the environment. Our hardware, software, tools and services comprise a set of innovative solutions that improve the operation of everyday tasks and processes in an environmentally conscious manner. Our employees are encouraged to discover effective and eco-friendly ways of helping our customers and safeguarding the environment. Whether it's improved energy efficiency in our facilities or new ways of creating, packaging and shipping our products, all employees are challenged to think outside the box. More details regarding our innovative solutions are on this page: http://csr.lexmark.com/innovation.html.

- **Product innovation:** The Lexmark CX725 Series of color printers and MFPs continues our commitment to protecting the environment and helping our customers through innovation. This series incorporates our latest designs promoting sustainability, featuring improvements in power consumption, long life performance and more.
- **Innovations in recycling plastic:** Lexmark's commitment to incorporating recycled materials into our products has been evident for over 20 years. Processes created by our engineers recover material from empty Lexmark cartridges through the Lexmark Cartridge Collection Program (LCCP). Cartridges returned by our customers are easily disassembled for possible reuse or remanufacturing. If remanufacturing is no longer an option, the cartridge is sent to be recycled. Lexmark engineers reclaim post-consumer recycled (PCR) plastic from cartridges and return the material to near virgin quality for use in printer components. The ingenuity behind our PCR closed-loop process involves every production step taking place at our Lexmark LCCP facility in Juarez, Mexico. The closed-loop recycling system at the LCCP facility removes the plastic, grinds it, and then integrates the PCR plastics into new parts. In 2016, 594 metric tons of plastic were extracted from our used cartridges and pelletized for reuse in new products. The closed-loop recycling process demonstrates Lexmark's commitment to the environment by conserving plastics for reuse, resulting in fewer natural resources being mined or extracted. Locating all steps of the process at the same facility reduces the impact on the environment by increasing our resource efficiency and eliminating the need for fuel to transport the parts. Operating sustainably is part of Lexmark's corporate vision and values. Creating new processes to reuse supplies in an efficient manner is integral to every new product Lexmark designs.

- **Innovations in cartridge reuse:** Being a good environmental steward by preserving our natural resources is incorporated into the design of every Lexmark product, with preference placed on conserving and reusing product materials. Lexmark created an innovative process at our LCCP recycling plant in Juarez, Mexico, to reuse a major component of our laser cartridges. Reuse of developer rollers results in substantial environmental savings for Lexmark. Using a reconditioned developer roller instead of a new one protects natural resources and prevents pollution caused by harvesting new raw materials. In 2016 over 200,000 rollers were reused in remanufactured cartridges. In addition, over 400,000 gallons of water was saved by incorporating a process to reuse the water during the cleaning. Lexmark was awarded a ML100 Award by Frost & Sullivan's Manufacturing Leadership Council in Sustainability Leadership for reconditioning our developer rollers.
- **Innovations in material reuse:** Lexmark laser printers contain photoconductor units, which are imaging cylinders with photosensitive coatings. At our facilities in Boulder, Colorado, we replace the photosensitive coating on nearly two million photoconductors per year, saving energy and materials. In 2016, over 1.2 million photoconductors from our returned cartridges were collected and sent back to Boulder for recoating and reuse. An additional 300,000 photoconductors were recovered from the manufacturing line resulting in the reuse of 119 metric tons of aluminum.

## Product certifications

Lexmark products are designed to meet or exceed the strict criteria of some of the world's most prominent standards and certifications. These certifications may require testing, analysis, audit, third-party review, standard declaration or disclosure of business or product information.

- **ISO 14024 - Type I Environmental Labeling:** Lexmark has a long history of designing print systems to meet the Blue Angel standard for environmental performance. The Blue Angel ecolabel, originating in Germany, was established in 1978 and is one the most prestigious environmental certifications worldwide. The Blue Angel criteria are regularly reviewed and revised—the most recent revision being RAL-UZ 205, January 2017. The majority of Lexmark print systems announced after October 2012 received RAL-UZ 171 certification and are expected to meet the RAL-UZ 205 criteria and receive certification.

- **ISO 14021 – Type II Self-declared environmental claims The Eco Declaration (ECMA-370):** Formerly known as IT Eco Declarations, ECMA-370 declarations provide objective and comparable environmental information. In June 2011, Lexmark signed the Industry Voluntary Agreement to Improve the Environmental Performance of Imaging Equipment Placed on the European Market, which requires manufacturers to make certain environmental improvements. Manufacturers are also required to make product environmental performance data publicly available, such as through The Eco Declaration (ECMA-370).

- **Electronic Product Environmental Assessment Tool (EPEAT):** Lexmark is committed to providing our customers products that are environmentally preferable. The EPEAT is one resource used to recognize products that meet this qualification. EPEAT uses the IEEE 1680 standard as the basis for requirements of the program. Lexmark supports our customers in their goals of environmental stewardship, energy efficiency and resource efficiency by registering products through EPEAT. In 2015, we listed our first EPEAT-registered Gold products—the MX710 Series MFPs and MX810 Series MFPs. In 2016, Lexmark launched the CS720, CX720, CS820, CX820, CX825 and CX860 Series printers and MFPs as EPEAT-registered Gold products. The remaining Lexmark EPEAT-registered products are Silver.
- **ENERGY STAR:** Lexmark is committed to designing energy efficient products. A high percentage of Lexmark products maintain ENERGY STAR qualification year after year. Launched in 1992, ENERGY STAR is the globally recognized program of the US Environmental Protection Agency (EPA) and the US Department of Energy that awards certification to the most energy efficient models in a product category. The ENERGY STAR specification evolves requirements in order to drive continued energy improvements, and Lexmark seeks recertification to the latest available ENERGY STAR specification. In 2016, 90% of Lexmark products held the latest version of certification—ENERGY STAR V2.0. Lexmark is actively participating in ENERGY STAR Imaging Equipment Specification V3.0 development.
- **EC 801:** EC 801/2013 is the implementing measure for ErP Lot 26 (Network Standby). As part of this regulation, manufacturers are required to post information about the Network Standby ("sleep") modes of products, including the available network connections, power consumption in sleep mode for each connection and the default timeout to sleep mode.

Please view this link for more information: http://csr.lexmark.com/product-certifications.html.

## Product life cycle

As part of Lexmark's commitment to sustainable products, Lexmark has conducted Life Cycle Assessments (LCAs) on 46 of its printer and MFP models as of January 2017. Lexmark uses the data from the LCAs to create and publish ISO 14025 Type III Environmental Product Declarations (EPDs), which summarize the complex information in an LCA. LCAs technically evaluate the environmental impact of the product design, manufacturing, distribution, use and end-of-life of our products. Lexmark is committed to performing LCAs on future product models. More details, especially on how we use data from this report in our process and design improvements, can be found here: http://csr.lexmark.com/product-lifecycle.html.

## Materials

At Lexmark, we look at the environmental impact of our products throughout their life cycle. We see where we can deliver optimal environmental performance by incorporating innovative circular design concepts and material improvements. Our materials management approach is broad, ranging from our focus on materials used and sourced from our suppliers, to our active participation in industry trade associations.

Lexmark engineers design our products with a focus on recyclability. Over 90% of the materials used in hardware products by weight are recyclable. The majority of these materials are polymers and metals that are formed into components through injection molding or stamping operations.

High-impact polystyrene (HIPS) and acrylonitrile butadiene styrene (ABS) are most often used; however, other plastics such as acetals, polyesters, polyamides and filled or blended versions of these materials are also utilized. Lexmark chooses to offset a portion of our virgin polymer purchases by boldly pursuing recycled options and reuse of parts. Our use of recycled materials ensures that waste formerly destined for landfill has a new destination and purpose, helping protect natural resources and fulfill our sustainability goals. The metal content in Lexmark printers is dominated by steel products sourced from both recycled and new materials. We see the environmental benefits of reusing metal content with the understanding that recycled metal stock can be used for some—but not all—metal components. You can read more details on our materials management and regulatory insights on this page: http://csr.lexmark.com/materials.html.

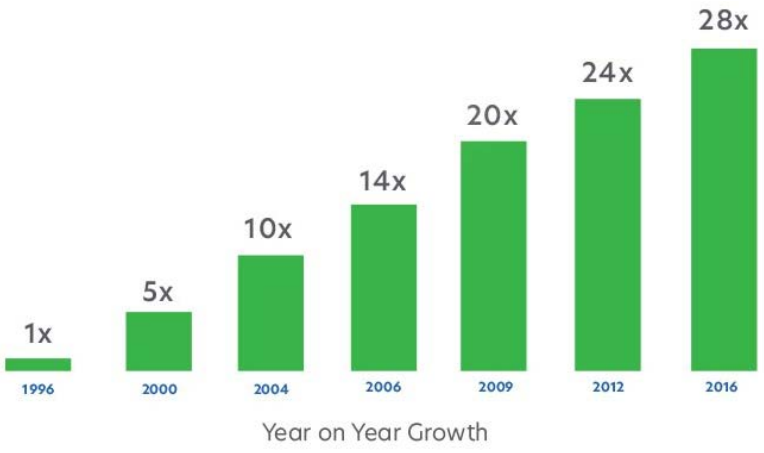
## Return and recycle

Lexmark continuously seeks new ways to reduce its footprint. While making great strides in waste reduction at our global manufacturing facilities, Lexmark also provides an opportunity for our customers to reduce their waste and increase the number of Lexmark products that are reused and recycled.

By incorporating LCA results in our product design process, we develop sustainable products that combine high standards of performance, efficiency and environmental stewardship through each life cycle stage. At the end of product life, Lexmark recovers components and parts to reuse or recycle via our customer return methods: the Lexmark Cartridge Collection Program (LCCP) and the Lexmark Equipment Collection Program (LECP). Additional information on Lexmark's product return and recycle programs are here: http://www.lexmark.com/en_us/products/supplies-and-accessories/collection-and-recycling-program.html.

### Cartridge collection

Our extensive cartridge collection network has made Lexmark an industry leader in the recovery, remanufacturing and recycling of used toner cartridges. In 2016, through the efforts of Lexmark customers, more than 38% of the total toner cartridges shipped worldwide were returned through the LCCP. In some regions, the return rate was higher. For example, the United States continues to average approximately 50% return rates. We estimate the industry average collection rates to be between 20% and 30%.




Our products are designed and optimized for a cycle of disassembly and reuse. Lexmark develops processes to divert reclaimed materials from waste streams and cycle them back into new products. Our processes provide the opportunity to reduce waste through the reuse of toner, cartridge components and materials. Last year, approximately 29% of the cartridge materials by weight returned to Lexmark were reused. We have established a goal to increase this to 50% by 2018.

In 2007 Lexmark established a recycling plant in Juarez, Mexico, to provide customers a place to return their empty laser cartridges for responsible end-of-life reuse or recycling. The LCCP processes approximately 23,000 empty toner cartridges per day. Select components in empty cartridges are removed and reprocessed for reuse. In the last 12 years, Lexmark has been able to incorporate more than 52 million pounds of materials recovered through the LCCP into the production of laser cartridges.

The LCCP facility complies with the highest industry standards and best practices for environmental responsibility by using a tracking and accountability system to manage all materials recovered. The LCCP plant is a Responsible Recycling (R2) certified facility that safely recycles and manages electronics based upon an accredited, third-party auditor. LCCP has achieved other certifications such as ISO 14001 for environmental management, OHSAS 18001 for Occupational Health and Safety and ISO 9001 for quality management. The 99,000 square-foot facility is also a Leadership in Energy & Environmental Design (LEED) Gold certified building.

### Equipment collection

Lexmark offers our customers environmentally sound choices for disposal of their end-of-life products. Electronic waste, including printers that have reached the end of their usable lives, is recycled through our LECP by specialized firms with processes to meet state and legislative requirements. The firms we choose are committed to recycling devices in an environmentally and socially responsible manner. Lexmark partners with recyclers that offer a broad range of services and processing capabilities, have a proven record of compliance with government-mandated criteria for recycling facilities, are ISO 14001 certified (the environmental-management-system standard), and are certified R2 or e-Stewards. For more on our return and recycle programs, please read: http://csr.lexmark.com/return-recycle.html.

## Product emissions

Laser printers emit small amounts of volatile and semi-volatile organic compounds (VOCs and SVOCs) due to the heating of internal components, and they produce small amounts of dust (mostly paper remnants) as paper moves through the printer. Emissions in the workplace are subject to occupational exposure restrictions of individual countries for specific chemicals.

Lexmark printers are tested throughout the development cycle for emissions of styrene, benzene, ozone, dust, total and individual volatile organic compounds, and ultrafine particulates according to the protocols of the internationally recognized Blue Angel ecolabel. Results are compared to the stringent Blue Angel limits set forth in the standard, and summary reports of Lexmark product emissions are available to customers upon request. In addition, the majority of Lexmark laser printers emit no more than trace amounts of ozone and all comply with the ozone limits set forth by Blue Angel. Lexmark owns and operates a Blue Angel-certified and ISO 17025-accredited chemical emission test facility. This allows us to perform official tests for Blue Angel certification and EPEAT. We also conduct additional tests to gain a better understanding of emissions sources and solutions for mitigation.

You can read more about how we manage chemical emissions and ultrafine particles, and noise emissions on this page: http://csr.lexmark.com/emissions.html.

## Product energy use

The demand for products that consume less energy, and ultimately result in lower emissions, is ever increasing. Our customers wish to lower their impact on the environment while also reducing operating energy costs. Lexmark invests in developing energy efficient products to not only fulfill our customer's expectations, but also extend the impact of our environmental efforts far beyond what we can do within our walls.

Product LCAs confirm that improvements in energy efficiency can have a considerable effect on the use phase. For example, the Lexmark CS820 Series printers and CX820, CX825 and CX860 Series MFPs announced in 2016 demonstrate significant improvements in energy consumption as demonstrated by their LCAs—showing a 30%–50% reduction in their Typical Electricity Consumption (TEC) values when compared to the previous generation of products.

With Lexmark MPS usage analytics and our LCA tool data, we are able to more accurately estimate the actual energy used during the customer use phase for Lexmark products. This custom estimate is substantially lower than the standard claim using the ENERGY STAR TEC calculations, which tend to overestimate actual usage.

External standards and specifications help Lexmark drive efficient designs. All product families announced 2012 or later meet the energy requirements of ENERGY STAR V2.0 and have a power consumption of 4 watts or less in sleep mode. Moving forward, Lexmark will continue to reduce sleep mode power for our future products, targeting 2 watts or less in anticipation of 2019 EU requirements (European Union EC 801/2013). Lexmark products also enable the Hibernate mode to automatically engage when the products are not in use and not connected to a network.

## Packaging

We design our packaging with the environment in mind. For every product, the Lexmark packaging team carefully considers the following environmental concerns:

- The amount of packaging used.
- The effects of packaging on shipping.
- The types of materials used.
- The recyclability of packaging materials.

Every Lexmark cartridge is print-tested to ensure superior quality. Instead of recycling these test pages, we use a process designed by our supplies-packaging engineers to convert them into molded pulp cushions. Cost-effective and practical, these packaging cushions not only provide excellent protection for our cartridges during shipping but can also be recycled. They are made from 100% post-consumer Lexmark waste. Lexmark began using the pulp cushions in 2013. In 2016 we were able to convert 615 metric tons of test pages, which save the equivalent of over 16,200 trees. For our efforts on this project, Lexmark was recognized as a Manufacturing Leadership 100 Award winner (ML 100) in the Sustainability Category. Presented by the Manufacturing Leadership Council, the ML100 Awards honor businesses that shape the future of global manufacturing.

Read more about our environment-friendly packaging design here: http://csr.lexmark.com/packaging.html.

## Software and solutions

Lexmark develops software and solutions that improve business processes and benefit the environment by reducing paper consumption and the number of unique electronic devices. A table on this page lists some of these offerings as well as the key environmental benefit they provide: http://csr.lexmark.com/software-solutions.html. Specifically, we are offering the following paper-saving solutions to Region 4 ESC.

| Lexmark offer | Category | Description |
|---|---|---|
| **Lexmark Print Management (LPM)** | Reduce paper consumption | As many as 40% of pages are printed unnecessarily due to no visibility and control of printing and copying behavior. LPM eliminates excess printing, allows for better device consolidation and provides user level reporting and controls. Please see the brochure in Lexmark Attachment E. |
| **Downtime Reports** | Device consolidation | Ensure 24/7 access to critical document and reports even if your IT system fails or the network goes down. As documents are updated throughout the day, they are streamed to your printer or MFP and stored on the secure hard disk. Please see the brochure in Lexmark Attachment F. *Hard disk required. |
| **Eco-Copy** | Reduce paper consumption | Set copy defaults such as duplex printing, paper saver and darkness setting to reduce paper and toner usage and optimize energy efficiency. Please see the brochure in Lexmark Attachment G. |
| **Forms and Favorites** | Reduce paper consumption | Create bookmarks to image-based forms that reside on a server anywhere on the internet and print the images on demand at any time. Please see the brochure in Lexmark Attachment H. |
| **Scan to Network Folder** | Reduce paper consumption | Capture an image of a printed document and route the image to a predefined personal or public shared network folder. Please see the brochure in Lexmark Attachment I. |
| **Scan Center** | Reduce paper consumption | Lexmark Scan Center consolidates all scan-related functions into one sophisticated yet easy-to-use application. This powerful tool enables users to review, enhance and index images, then route to multiple destinations using an intuitive, touch screen interface. Please see the brochure in Lexmark Attachment J. |
| **Testing Assistant** | Reduce paper consumption | Lexmark's Testing Assistant solution saves time, reduces costs and supports student achievement. Conveniently available from virtually any web browser, Testing Assistant leverages the power of your Lexmark MFPs to create test answer sheets, scan and grade completed tests, and export results to virtually any learning management system. Please see brochure in Lexmark Attachment K. |

## Community

Community initiatives improve the communities in which we live and work by interacting environmentally and socially.

### Global citizenship

Volunteerism is at the core of Lexmark. Our people are passionate about helping others and the environment. For example, Lexmark locations around the globe support United Way by donating funds, employee skills, volunteer and personal time, use of company facilities, communications and promotion.

### Partnerships

Lexmark has formed meaningful partnerships to address areas of need within our communities. Over the years, we have formed positive partnerships with universities, local schools, local aid agencies, nongovernmental organizations and our customers. Understanding the power of teamwork, Lexmark works on joint projects with stakeholders who share our values. For many years, Lexmark has participated in partnerships focused on reforestation initiatives, watershed protection, educational infrastructure improvement, and Science, Technology, Engineering and Math (STEM) education. For example, Lexmark and The PGA of America achieved their goal to plant 2,016 trees by The PGA of America's 100th Anniversary in 2016. Lexmark has also teamed up with Grainger to plant 3,500 trees in honor of Earth Day 2017 and nearly 6,000 trees in 2014.

The full Lexmark Corporate Social Responsibility report can be found on this link: http://csr.lexmark.com.

# Vendor Certifications (if applicable)

**29. Provide a copy of all current licenses, registrations and certifications issued by federal, state and local agencies, and any other licenses, registrations or certifications from any other governmental entity with jurisdiction, allowing Offeror to perform the covered services including, but not limited to licenses, registrations or certifications. M/WBE, HUB, DVBE, small and disadvantaged business certifications and other diverse business certifications, as well as manufacturer certifications for sales and service must be included if applicable.**

**Lexmark response:**

## State of Texas certificates of good standing

A Certificate of Fact from the Texas Office of the Secretary of State and Franchise Tax Account Status are provided in Lexmark Attachment L.

## Quality certifications

Lexmark maintains formal quality assurance programs for each of the major areas of our business. In addition, Lexmark is certified in, or adheres to, the standards of several industry-standard quality assurance programs. These programs are applied in Lexmark business areas such as development, engineering, manufacturing, distribution, marketing and technical support. Some of the certifications and programs include Lean/Six Sigma, American Society of Testing and Materials (ASTM), ISO and Japanese Industrial Standards (JIS). On the software side, Lexmark has a variety of certifications required to protect credit card data, medical records and other sensitive information that are sometimes handled in our software solutions.

Following are the primary certifications Lexmark obtains at each site. A copy of the certificates for our headquarters at Lexington, Kentucky are included in Lexmark Attachment D. A copy of the certificates for our other sites may be viewed on this site: http://csr.lexmark.com/environmental-management.html.

- ISO 9001 for quality management system
- ISO 14001 for environmental management system
- OHSAS 18001 for occupational health and safety

Lexmark International also has ISO/IEC 27001 certification for our WW MPS Information Security Management System, which is also included in Lexmark Attachment D.

## Product certifications

Certification of Lexmark products includes many worldwide safety and regulatory agencies. Each product has appropriate markings of the standards they have been certified to meet. Additionally many Lexmark products are designed to meet special requirements such as ENERGY STAR, Blue Angel and German document archival standards. Please check each product for the special design standards they meet.
More information on these certifications can be found on the previous item, *Green Initiatives*, as well as on this page: http://csr.lexmark.com/product-certifications.html.

## Government/security certifications

Lexmark devices are validated through a US-based National Information Assurance Partnership (NIAP)-approved laboratory using the latest policy guidance. For the last three evaluation cycles, we have been validated using the NIAP-approved IEEE 2600 protection profiles, which define the security threats, security functionality to combat those threats and the assurance testing for a class of security devices. The current NIAP-approved protection profile is based on the IEEE 2600.2 or Operational Environment B.

Lexmark has also completed a FIPS 140-2 Cryptographic Algorithm Validation Program (CAVP) on the Lexmark devices. This validation provides further assurance of the security of user data while in transit and at rest on Common Criteria-validated devices. CAVP allows for independent validation of the correct implementation of cryptographic algorithms that are used within our devices.

Lexmark has taken an industry leading role by forming and chairing an IEEE working group (P2600) to drive an industry-standard set of security guidelines. This Working Group has established valuable standards to identify hard copy device security exposures, guide manufacturers and software developers on what security features and functions to include in their products and instruct end users on how to leverage these capabilities to improve organizational hardcopy security.

More information about our government certifications can be found on this page:

- http://www.lexmark.com/en_us/solutions/government/certifications-for-government.html

Lexmark's NIAP Validation Report can be accessed through the following links:

- https://www.commoncriteriaportal.org/products/
- http://www.lexmark.com/en_us/solutions/security/common-criteria-validated-devices.html

# Tab 4 - Product / Services (Appendix B)

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**It is the intention of Region 4 Education Service Center (ESC) to establish a contract with vendor(s) for Managed Print Solutions (MPS). Awarded vendor(s) shall perform covered services under the terms of this RFP and the contract terms and conditions. Vendor(s) shall assist Region 4 ESC and/or TCPN participants with making a determination of its individual needs, as stated below in the document.**

**Region 4 ESC is seeking a service provider that has the depth, breadth and quality of resources necessary to complete all phases of MPS. Vendors specializing in one or more of the managed print solution services may clearly indicate and propose on those items only. In addition, Region 4 ESC also requests any value add commodity or service that could be provided under this contract. Region 4 ESC and/or TCPN participants are seeking contractors who possess licenses in their states, where required to provide and perform the work as outlined in this document.**

**Managed Print Solutions is the management, service and support of the entire client enterprise and output infrastructure of printed materials. This would include all devices whether customer owned, leased through a third party, or directly with the manufacturers leasing company. The leases could be coterminous or non-coterminous. It would also include devices that were manufactured by the new supplier, as well as devices that were manufactured by third parties. MPS takes into consideration attributes such as the current infrastructure, all hardware, all existing leases, support, supplies, software tools and the clients operational management model. MPS also reviews the client's technology usage patterns and user needs, as well as governmental compliance and client focused concerns such as security, document management, and environmental sustainability. The advantage of this approach is having a methodology, process, and template of how to manage an entire fleet end to end.**

**The ultimate goal for MPS is to provide the client with a solution that improves the print process and reduces the expense of printed material. The client will drive the complexity of the solution required with a staged approach to implementation.**

**Proposers, at a minimum, should address the following components of MPS in their proposal.**

# I. Products, Services and Solutions

- **Provide a description of the range of products covered by your organization's MPS offering.**

**Lexmark response:**

Lexmark first began offering MPS to customers in 1998 and today we are the recognized leader in the MPS marketplace. Our MPS customers include some of the world's largest enterprises and they count on us to provide managed services and solutions for their fleets of many thousands of devices that are distributed across countries and continents. One reason for our MPS success is because we are focused on adding value to our customer's business. This requires our employees to really understand well the agency that Region 4 ESC is in, the particular issues you face and your particular needs. At Lexmark, we have a philosophy we call "Customers for Life." For this to be true, we must add value to your business, help you be more efficient, provide continuous improvement and help you to print less. To add value to Region 4 ESC, we believe it is critical that we bring to them real industry expertise—real knowledge of your agencies, the pain points you are dealing with, major opportunity areas, benchmarks and thought leadership to help you improve to meet and exceed such benchmarks. We believe this is even more critical in MPS given the broad scope and broad opportunity.

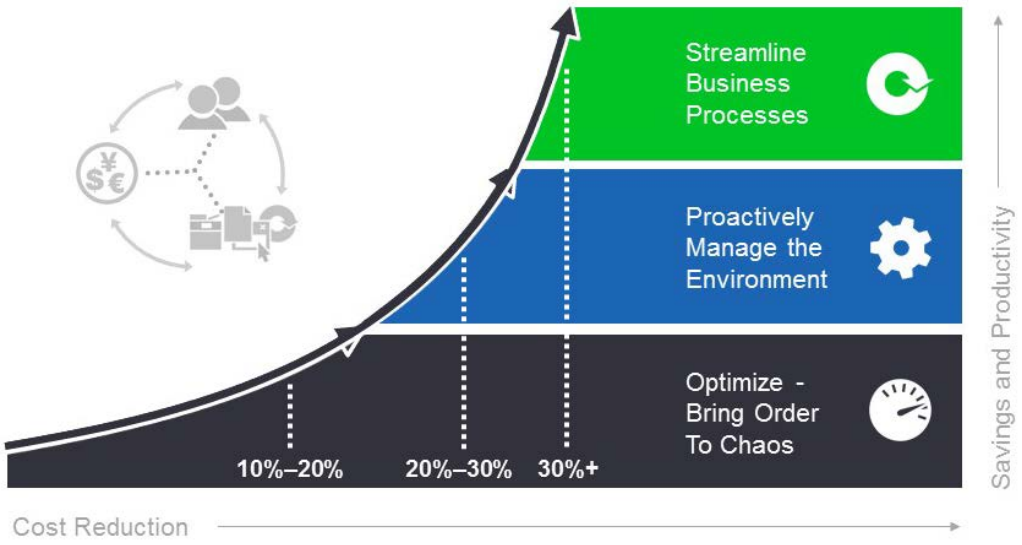
At Lexmark, we cover many industries including banking, insurance, government, manufacturing, education, healthcare, retail, services, utilities, oil and gas and other industries. We leverage all the knowledge of our resources and customer findings gained from the thousands of assessments and studies we have performed in each of these industries, to provide the feedback needs by industry through our closed-loop development process. This enables us to tailor our services, solutions, software and technology by industry to best meet the needs of our customers. It is this direct real-time input from our customers together with our strong industry expertise and our ownership of our own technology across our offerings that allows us to differentiate in the speed we can deliver real value-adding solutions to our customer's needs.

Organizing our MPS resources and go-to-market strategy by industry vertical enables Lexmark to provide this value to our MPS customers and the benefits are significant. Some of these benefits include:

- Faster implementation and realization of the benefits of MPS.
- Less customer employee time and disruption required.
- Proven ability to execute managed services specific to your agencies.
- Knowledge and expertise in streamlining business processes common in your agencies.
- Services and offers tailored to your agencies and your particular needs.
- Thought leadership, best practices and benchmarks to help you optimize your agencies.
- Specific references and examples in similar government agencies.
- Increased efficiency and effectiveness through unique solutions for your agencies.
- Consistency and capabilities across different locations/states.
- Helping your agencies to print less.
- Greater cost savings.

Lexmark MPS brings together people, processes and technology to address the output challenges that customers face. We take an end-to-end approach that includes optimizing, managing and streamlining output across your agencies.

***Lexmark smart MPS***



The starting point is to optimize the infrastructure to bring order to the chaos.

1. Starting with a thorough assessment and understanding of the customer requirements, we develop and implement a design that puts the right device in the right location to make sure work gets done.
2. The design and implementation is based on our years of experience and industry expertise acquired over thousands of engagements. This means a deployment of single-function printer, smart MFP, color and A3 versus A4 based on the specific tasks performed in any given area.
3. We utilize Lexmark's award-winning smart MFPs to not only consolidate printers, but to act as the digital on/off-ramp for documents. Once implemented, a standard set of devices with a common interface eases employee training. Single-touch icon-driven processes can be initiated right from the device, establishing a solid foundation from which to improve document processes throughout the organization—today and into the future; and because the MFP is a core component to the efficient execution of many business processes, Lexmark drives maximum availability by utilizing self-diagnostics and analytics.

Some of the Lexmark MPS offerings/capabilities that are focused on optimizing the output environment include:

- Output assessment
- Advanced technology
- Training
- Reverse logistics
- Project management
- Process assessment
- Change management
- Deployment
- Utilization management

Once optimized, we then manage the fleet by utilizing proactive and predictive management services for maintenance and supplies replenishment. Lexmark actively monitors the entire fleet using a technology-based system that alerts us to devices in need of attention. This allows for just-in-time replenishment of supplies, eliminating the need to carry large inventories as well as remote troubleshooting before a call to the help desk is needed or service is dispatched.

1. We have invested hundreds of millions of dollars in a single global system that allows us to proactively manage your environment in any location/state.
2. Because the environment is managed, devices have higher availability and workflow solutions can be deployed, thereby boosting employee productivity and allowing employees to spend more time to focus on customers.
3. Because our system collects data on over a million assets in distributed locations, organized by industry, not only do we manage your environment, we continuously improve it based on best practices specific to your industry/agency. Our metrics-based governance process ensures the fleet is performing as designed.

Some of the Lexmark MPS offerings/capabilities that are focused on managing the output environment include:

- Asset management
- E-diagnostics
- Maintenance service
- Configuration management
- Governance
- Proactive monitoring
- Consumables management
- Help desk services
- Management reporting

The final step is to streamline the environment by implementing solutions that impact critical business processes. Using analytics and statistical modelling gathered from your environment, we mine the data, looking for trends and patterns and identifying process bottlenecks. We combine the data with our vast experience in providing MPS to the largest enterprises in the world, along with insight into your organization—not only what you do, but why you do it—in order to recommend industry-specific and also horizontal solutions that transform critical business processes.

1. Our solutions can address some of the key challenges you face and their implementation results in improved workflows and dramatic improvements in cycle times.
2. Combining total portfolio solutions with MPS boosts savings and benefits.
3. The result: Improved customer service, top-line growth and a foundation for the future.

Some of the Lexmark MPS offerings/capabilities that are focused on streamlining the output environment include:

- Streamline processes
- Horizontal solutions
- Business process management
- Solutions platform
- Industry solutions
- Content management
- Intelligent Capture
- Mobile Capture

Lexmark MPS deliver an output strategy optimized for your enterprise. We determine the right mix and placement of devices across your agencies for greatest efficiency and user productivity focusing on the worker, not just the floor plan. We oversee the day-to-day management of your infrastructure, along with continuous monitoring and proactive support services to maximize the availability of your devices and ensure that consumables are efficiently managed. We root out wasteful habits and unnecessary printing, helping you reduce print volumes and your carbon footprint.

By bringing all your output devices into one view, Lexmark MPS takes aim at the paper-based, manually driven processes that stall growth and drag down performance, such as customer-facing activities that require the exchange of documents, back-office accounting processes that require re-keying of information from hard copy to digital or from one system into another, or in human resources where poor document control and processes create compliance risk.

Lexmark MPS, executed across a single-system, global platform, combines real-time information and professional insight to drive greater productivity and efficiency across large, distributed organizations. For more information, we have included our MPS brochure in Lexmark Attachment M.

- **Proposer should describe their ability to manage an onsite print center for eligible entities, if desired.**

**Lexmark response:**

## Copy Center

With Copy Center, you can save money on your district's copy costs, cut down on operational expenses and devote more time to your top priority—student achievement.

## Two convenient ways to make copies

This solution makes it easy for teachers and administrators to request and receive copy jobs needed for classroom handouts, staff training and more by either submitting copy requests from the Copy Center web portal or directly from the touch screen of a Lexmark MFP.

To help you track usage and prevent unauthorized copying at the MFP, users can authenticate their identity by swiping their ID badges. They can also archive copies of their scanned documents by routing them directly to a dedicated folder on their computers, saving time and simplifying future retrieval and resubmittal.

So if you're ready to cut your district's copy usage down to size—and save valuable teaching time in the process—Lexmark's Copy Center can make it happen. Use it with Lexmark Print Management to further reduce waste and protect sensitive information.

Benefits of Copy Center:

- Submit copy jobs conveniently—from home, at night or on weekends.
- Save money on paper, toner and maintenance costs.
- Give teachers more time for meaningful prep activities.
- Authorize and track usage with badge authentication for increased control.
- Protect confidential student information to comply with privacy policies.

For more details on the Copy Center Solution, please refer to Lexmark Attachment N - Copy Center Solutions Summary.

- **Describe your organization's capacity to broaden the scope of the contract as new technology, products, or services become available for MPS.**

**Lexmark response:**

Lexmark has developed an impressive list of MPS clients by providing customized solutions to meet the unique output needs of our customers. We will work with Region 4 ESC to fully understand your need for flexibility and craft a solution to meet your requirements.

## Flexible contracts

Lexmark provides our clients with a variety of agreement terms including pure cost-per-copy models. Lexmark will work with Region 4 ESC to understand the need for the terms and either meet this requirement or provide alternative options which could result in even greater savings for Region 4 ESC.

## Flexibility of devices

A Lexmark-managed print solution provides the ability to add or subtract devices from the agreement based on need. Examples include device depots, building a percentage of flexibility into the overall agreement, or providing rental agreements. Usually the need for flexibility is based on client input and will be developed as part of our deployment strategy for Region 4 ESC.

Additionally, Lexmark can provide coterminous prices as needed throughout the life of the contract. To enable a coterminous agreement for assets placed after the initial implementation, our typical approach is to hold the monthly base pricing on the hardware and services constant, and charge a one-time fee for the sunk costs on the device. With that assumption, we can add devices with no issue during the term of the agreement.

As the incremental opportunity arises, Lexmark will collect Region 4 ESC's specific requirements and appropriately cost the total solution as needed for that opportunity, and price in consideration of initial discounted price points and using the latest lease rates at that time. This will ensure that the coterminous pricing includes only the services required for the incremental placements and uses the best possible finance rates.

As part of Lexmark's MPS governance program, we will assist customers in determining the scheduling of device replacement, as well as providing options for specific device replacement. Pricing for new devices may be more, or less, than current devices, depending on model choice. Any additional costs for new technology will be the responsibility of the customer.

- **State your organization's delivery timeframes, by phase, from assessment through implementation of managed print solutions.**

**Lexmark response:**

As each MPS engagement and implementation is unique and customized in scope and requirements, it is impossible for Lexmark to outline specific timeframes for implementing a program without those details. However, regardless of size or scope, our approach and methodology remains consistent. Following is a description of our approach to the phases of implementation.

## Transition and implementation

Lexmark has extensive experience balancing the speed of deployment (to realize savings) with end-user customer satisfaction. Our project management and operations teams dedicate significant time in the pre-planning phase to ensure the success of the project. On average, we find that we spend 2–3 months in the planning phase prior to beginning a rollout. However, we can move faster or slower depending on the customer's needs and requirements.

Planning is a data-driven process that is collaborative between Lexmark and Region 4 ESC. The governance process includes reporting on key initiatives, prioritization of those initiatives and the necessary focus on hard data to determine effectiveness and where corrective actions are required.

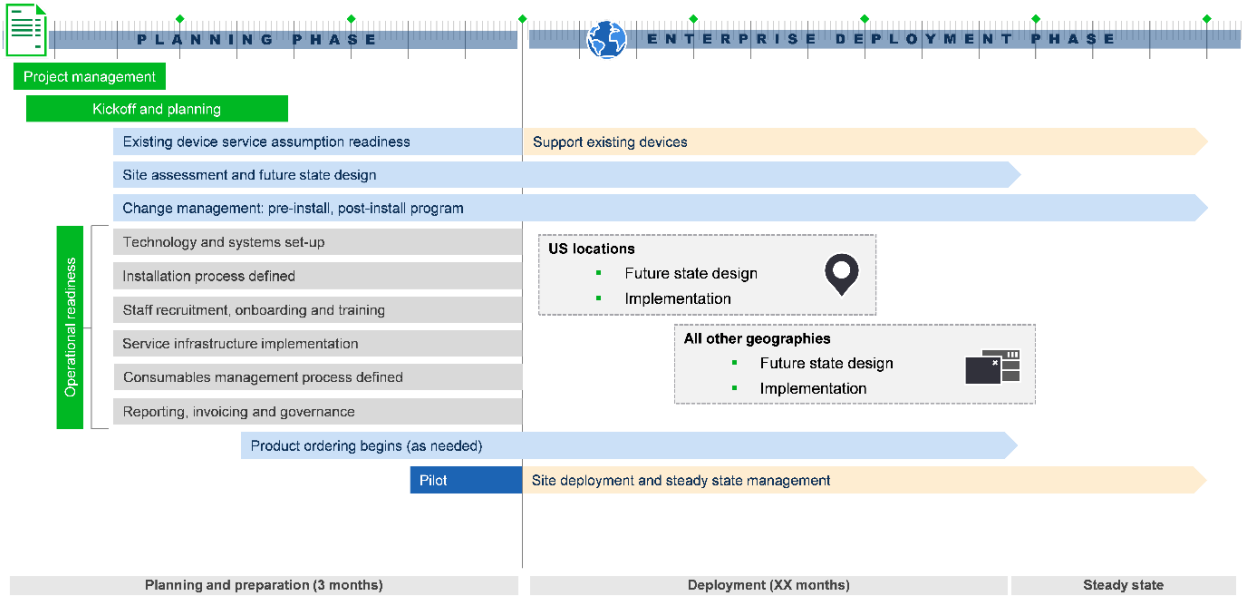
Post assessment, the four major elements of our transition plan include:

1. Pilot phase at the assessment site.
2. Site surveys leveraging the pilot results.
3. Optimize building by building.
4. Measure savings by site.

In the following section, we provide an example of our approach and timeline for how we would execute the rollouts for Region 4 ESC. We will solicit the input from Region 4 ESC to properly select the specific location for the initial pilot and to approve the project rollout plan.

The following chart provides a draft summary view of our approach for the Region 4 ESC sites.

***Typical timeline for moving forward***




## 1. Pilot: Implement a comprehensive services pilot at Region 4 ESC's initial assessment site

Lexmark recommends implementing the future-state design and managed services at the initial assessment site. This will provide us with a good cross section of the Region 4 ESC output environment to test our deployment principles, implementation strategy and steady-state management solution. Our experience has shown that a phased implementation, beginning with a pilot site, provides an opportunity to:

- Fully implement the future state.
- Validate the operational model.
- Validate the savings defined in the business case.
- Solidify executive support.

The pilot validation will provide lessons learned to ensure the success for the enterprise rollout.

### Fully implement the future state

- **Validate deployment principles:** Lexmark will implement the future-state design according to the mutually agreed deployment principles. Lexmark will capture learnings from the pilot implementation and modify the deployment principles prior to enterprise rollout.

- **Asset disposal:** If necessary, Lexmark can assist with removal and disposal of customer-owned existing equipment and has provided pricing for these services in our pricing template. This typically does not apply to any existing leased equipment.
- **Deployment:** Lexmark will provide project management, delivery, installation, training and related support services to effectively deploy new Lexmark MFP print technology at the pilot site.

### Validate the operational model

- **Automated data collection:** Lexmark will implement our advanced software tools and associated processes to streamline data collection and reporting to build the knowledge that is critical to ensure ongoing savings. We will test the reporting capabilities and the relevant data generated from the reports to ensure that the tools and databases are set up correctly for the enterprise rollout.
- **Consumables management:** Lexmark will implement process improvements for streamlining consumable ordering, fulfillment, notification, inventory management and reporting.
- **Service delivery model:** Lexmark will implement a support model that integrates with the current Region 4 ESC help desk operations and support processes and improves the overall operational effectiveness of the output devices.
- **Region 4 ESC implementation and operations team:** For the pilot implementation, Lexmark will commit the individuals of our operations team necessary to support the pilot. This will include the customer operations manager who will be responsible for delivering all services associated with the program and, if in scope, on-site operational specialists who will begin to utilize our MPS toolset to proactively monitor and manage the fleet and the consumables. In addition to our operations team, we will have a principal consultant and multiple professional services consultants assigned to perform the assessments and site surveys.
- **User training:** Effective user training is critical to the successful migration from the Region 4 ESC current unmanaged state to an optimized future state. We will test our training plan and approach for all managed locations during the pilot. User training will be delivered using a variety of methods and reinforced over time. A customized training plan will be developed for Region 4 ESC as part of the Statement of Work. The following list outlines some of the key elements of our plan:
  - Training “how to” material will be distributed during the end-user communication plan.
  - Training sessions will be scheduled and communicated in advance.
  - Training will be delivered at the time of install.
  - Roving support personnel will be available on-site after install (for large locations with many end users).
  - Post-install contact to confirm user acceptance.
  - Region 4 ESC-specific user guides are published and distributed.
  - FAQ and user guides are accessible on the Region 4 ESC intranet.
  - Capture user feedback and validate acceptance: Lexmark will document user feedback via personal interviews during the pilot term and as part of our master implementation plan. The user feedback will be analyzed and shared with Region 4 ESC to further refine the requirements and make any necessary adjustments prior to enterprise rollout.

### Validate the savings defined in the business case

At the end of the pilot term, Lexmark will review the final future-state design and modify the business case if required based on lessons learned. Region 4 ESC will have a future state “proof source” to compare to current cost and quantify the resulting savings.

### Solidify executive support

The combination of captured learnings, positive user feedback and validated savings will enable Region 4 ESC to gain executive sponsorship for an enterprise rollout.

## 2. Site surveys: Leveraging the assessment and pilot phase

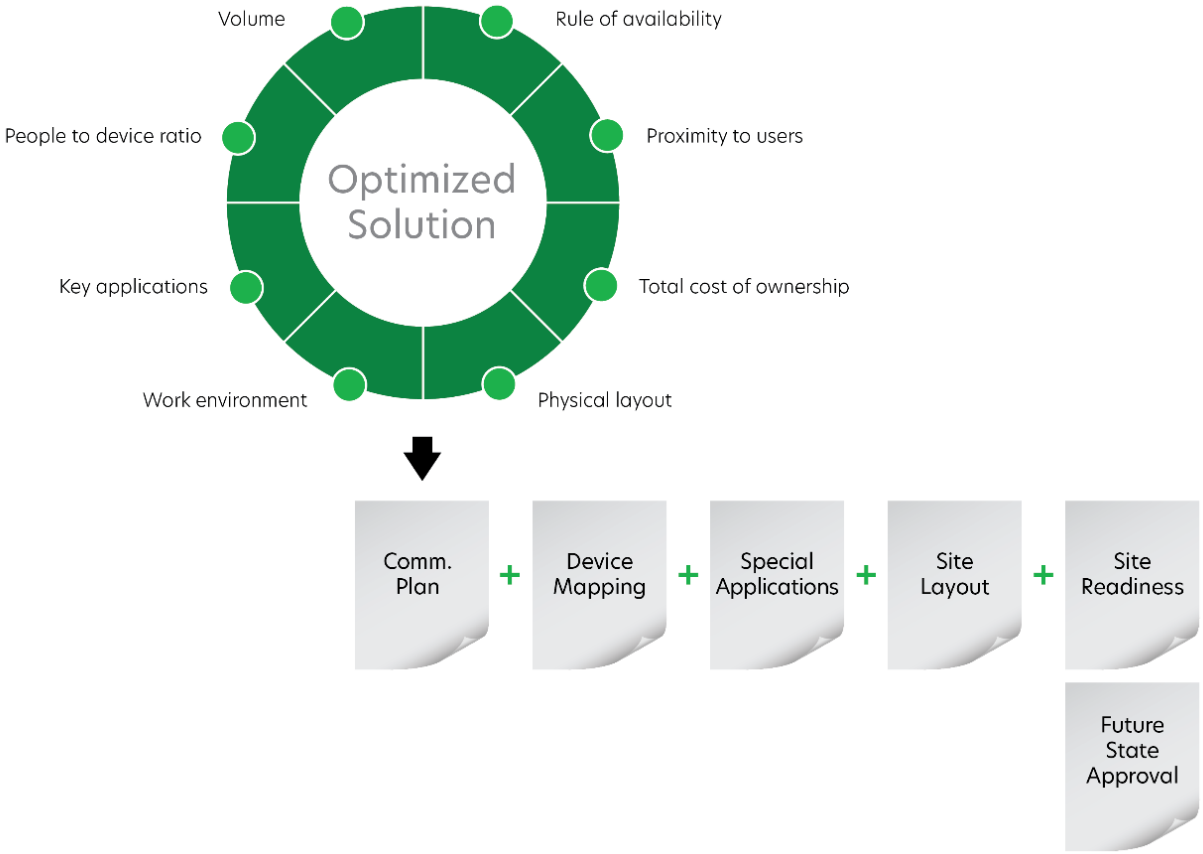
The process of defining the current state, establishing deployment principles and implementing a future-state design at the pilot site provides the foundation for building a scalable model. All of the captured learnings are incorporated into a future-state design and business case template that can be replicated across multiple Region 4 ESC sites.

### Large office locations

Lexmark will apply the refined deployment principles and approved business case to the largest locations first, then medium size locations followed by the smallest locations. The streamlined approach is referred to as Site Surveys. Site Surveys differ from the initial assessment effort in that deployment principles and the business case template are already complete and approved. Adhering to the deployment principles and measuring the future-state design against the approved business case allows Lexmark to design proper future states without having to physically visit every site. All current-state devices will be mapped and current output costs established as well as to determine site readiness for network drops, ample power supply and space considerations for the new MFPs. Campus site surveys will allow for degrees of customization by floor and by work group to minimize potential for initial deployment errors. Our unique “building by building reengineering” process will be tightly managed and progress will be reported at regular intervals.

Based upon already defined deployment principles, a future state will be developed. This future state will include existing leased copiers, device removal of aged equipment and expired leased copiers and placement of new multifunction technology. This will be delivered to Region 4 ESC for approval or exception revisions. The approved deployment will be delivered back to Lexmark. Lexmark will then finalize the future state and establish a financial business case with savings detail. The process will identify savings by site, allowing Region 4 ESC to co-develop a financially appropriate reporting process with Lexmark that will streamline the ability to record savings. This will be returned to Region 4 ESC for final review and will be used for implementation.

The deliverables of the site survey process include:




### Communication plan

A communication plan will be developed to ensure the success of the project. Effective communication to the end-user community surrounding the objectives, goals and benefits of the project are critical to successful implementation. Our communication plans are customized to each implementation and typically contain the following components:

- **Pre-assessment communication:** Includes a description of the program with the goals, objectives and benefits for Region 4 ESC. The new output policy document would be distributed at this time. This communication is typically distributed from the executive sponsor of the project.
- **Post-assessment meeting and sign-off:** Includes the future-state plan for the site and requires sign-off from the key business owners at that site. Any deviations from the deployment principles and future state require executive sign-off.
- **Thirty-day implementation notice:** This notice is sent to end users regarding pending implementation and will include specifics regarding technology, future support, benefits and training information.
- **Seven-day implementation notice:** Includes same information as above. Additional relevant information surrounding the transition will be included—training, driver deployment and the like.
- **One-day implementation notice:** Includes same information as above.

We will test this communication plan for the pilot implementation and make any modifications necessary for the enterprise rollout.

### 3. Optimize: Implement the site survey design plan

Lexmark will implement the future-state design and services model immediately following the site survey phase. We will test the site survey process design and plan during the pilot. The implementation/optimization will include all of the elements described in the pilot section:

- Adherence to deployment principles.
- Asset de-installation and set aside.
- Asset retention of leased copiers still under contract.
- New asset deployment.
- Automated data collection.
- Consumables management.
- Service and support.
- User feedback.
- Measure site savings.

### 4. Measure savings at the site level

Using the pre-approved business case template and defined current-state cost structure, Lexmark will complete a site-level savings estimate for each office location we convert to the managed services program. We will then manage and monitor these costs during our quarterly review process to ensure optimization and ongoing savings.

From an ongoing planning perspective, Lexmark's governance model for managed output services engagements is multi-tiered. Weekly and monthly operations meetings are held at the operational levels covering the day-to-day activities related to the management of Region 4 ESC's fleet. In these meetings, Lexmark's operations management team will review key metrics related to the fleet's performance including volume trends, compliance with key service level agreements (SLAs) and the status of key action items.

Quarterly and semiannual business reviews cover topics related to the more strategic aspects of the program such as cost savings, use of color print devices, device policies and overall delivery of customer satisfaction of the managed print program. Lexmark looks to meet with senior executive-level management at these sessions.

In addition, the Lexmark governance process utilizes a robust set of metrics developed during the assessment process as well as data from the customer satisfaction survey process to track the effectiveness of the future-state deployment. These metrics developed during the assessment phase are known as the deployment principles and they include, but are not limited to, measurements like volume per device, user-to-device ratio, access to color print, total cost of ownership and the like. Together, Lexmark and Region 4 ESC will determine the most important metrics to track the effectiveness of the program in place at Region 4 ESC.

- **List all methods of ordering provided.**

**Lexmark response:**

Lexmark can accommodate multiple ordering methods (US mail, fax, EDI, Ariba, Managed Services Web Portal, etc.) for direct purchases. This flexibility allows our customers to use their preferred current ordering system, whatever it may be. It also allows us to accommodate any future changes to that system or the migration to a new ordering system.

Each managed services customer has a project manager assigned at the start of implementation and orders are received by him/her. Once the orders are validated, they are sent to our LOMC (Lexmark Order Management Center) in Cebu, Philippines. Order entry is organized in the following manner:

- Purchase orders from the customer come to the Lexmark project manager who validates that the products being ordered are those required and included on the implementation plan and contract.
- Once validated, the orders are sent via e-mail to the Lexmark Order Management Center (LOMC) in the Philippines.
- LOMC enters the order in our system and generates an order number.
- Orders batch in our system overnight and a pick ticket is created and printed in our distribution center where the order is picked, packed and prepared for shipment to the customer.

Once the implementation phase has been completed, the project manager closes the orders.

- **Provide an overview of the technology that is utilized in your MPS offering.**

**Lexmark response:**

## Lexmark Data Collection Manager

At the core of any Lexmark services engagement is the ability to capture information on individual assets. The MPS offered by Lexmark rely on the Lexmark Data Collection Manager (LDCM) to provide this functionality. The LDCM is our software solution that resides within a customer's network environment. The LDCM provides a secure and automated way to collect asset information, transmit the information back to Lexmark and, when appropriate, take action on assets. The timely information provided by the LDCM is joined with information in Lexmark's Asset Relationship Management System (ARMS) to provide a complete picture of your output environment. This allows Lexmark to partner with you to drive lower costs and higher productivity into your document technologies and output solutions.

LDCM is a key technology component that increases the efficiency of Lexmark's MPS business. The LDCM resides inside the client's firewall to provide the managed print solution. The data is pushed to Lexmark via a secure communications channel, and Lexmark never pulls anything from inside a customer's network. The software is Lexmark-proprietary and the cost is included in the managed print solution.

This technology, coupled with Lexmark's proven business processes/methodologies and experienced resources, will help Region 4 ESC tap into a major area of opportunity for sustained operational cost savings. MPS will help you improve operational efficiency and boost employee productivity across your organization.

The LDCM polls the output devices under management, capturing key data points from those devices on a timed interval and transmitting that data to Lexmark's MPS infrastructure in Lexington, Kentucky. This data includes the make and model of the device, the IP address or host name, page counts and a variety of other data concerning the usage of the device. At predefined intervals, LDCM checks into Lexmark's web server using HTTPS, reports uptime, pulls the specific configuration settings and/or software modules, and updates its configuration and software. The configuration settings include, but are not limited to, the time of the configuration update, the time to run data collection, the list of managed devices, and the time to send the data to Lexmark. LDCM also captures and transmits status alerts that have been generated by the device. The approximate bandwidth required for the LDCM to perform a check-in is 35 KB per sending period. A typical sending period is approximately five minutes.

The data captured by LDCM is coupled with device-specific records that exist in Lexmark's ARMS. Once coupled with the device records in the ARMS database, the system provides robust asset management functionality that allows us to track the device through the entire life cycle. Utilizing these capabilities, Lexmark actively monitors all the devices that are within the scope of the Lexmark MPS engagement. This provides broad visibility across the fleet of managed devices existing across the Region 4 ESC network.

Worldwide, Lexmark has been successful in driving meter read capture rates of nearly 100% through this process. It ensures accurate billing and proactive management of a fleet.

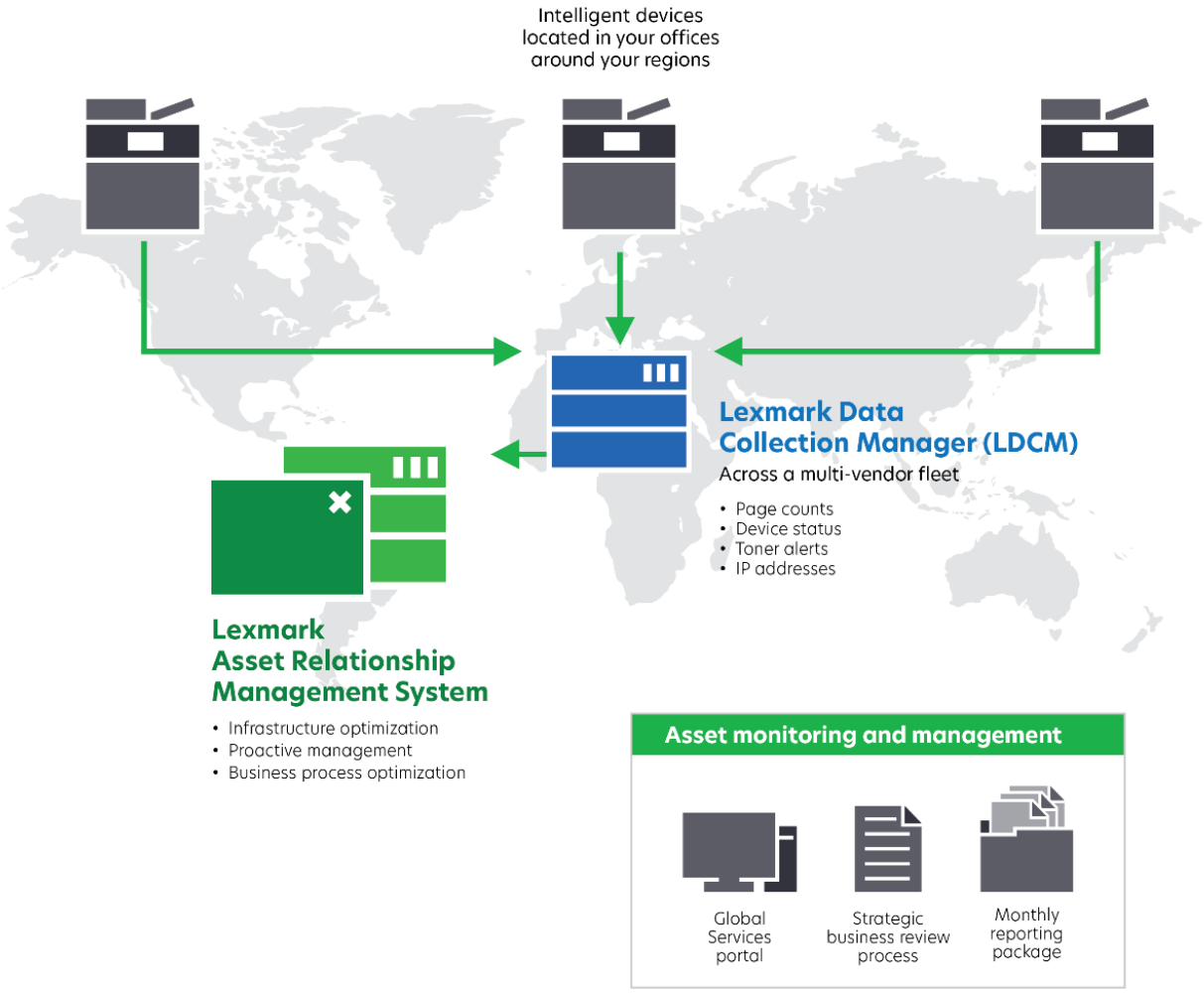
## Asset Relationship Management System

Lexmark has invested heavily in creating a state-of-the-art infrastructure to automate many of the most labor-intensive MPS tasks. The Asset Relationship Management System (ARMS) is a full-function asset management application optimized for managing the life cycle of output assets. ARMS is focused on tracking, controlling and documenting the movement of Lexmark-managed assets, including non-Lexmark third-party devices, throughout each of the nine phases of their life cycle.

Whether the output fleet being managed numbers in the hundreds, thousands or tens of thousands, the Lexmark asset management infrastructure can efficiently manage each asset individually. Customer-defined hierarchy functions roll up the individual device-level data into meaningful Region 4 ESC-specified views for work groups, departments, divisions and entire agencies.

The Lexmark asset management infrastructure supports a variety of business processes, including:

- Asset initialization
- Asset acceptance
- Customer agreement and pricing administration
- Meter read processing
- Change management (move, add, delete, change) tracking and reporting
- Billing management
- Swaps
- Internal reporting/SLA monitoring
- External customer reporting
- Audit




- **Provide your backorder policy.**

**Lexmark response:**

Lexmark strives to meet all customer orders in a timely fashion, but the best of planning can never anticipate all customer needs at all times. If a back order occurs, the issue is escalated to the proper parties within the Lexmark supply chain. Depending on the item required, Lexmark has the ability to seek assistance from its channel partners to supply units and then to backfill the channel partner's supply. In addition, when it comes to consumables, Lexmark has a flexible line of products with varying yield levels. In our cost-per-page environments, we can deploy lower-yield cartridges to customers on a onetime basis while maintaining a static cost per page per our contractual agreement.

Hardware back orders are typically resolved within 30 days, and Lexmark often can provide a like product from our service depot or loaner program on a temporary basis.

# II. Assessment Phase

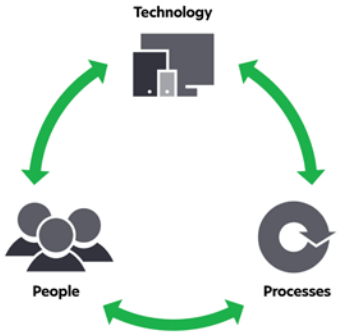
- **Describe in detail your organization's assessment process and how it is scalable to meet the needs of the eligible entities.**

**Lexmark response:**

## Lexmark assessment approach

To assist Region 4 ESC in achieving its strategic printing objectives, Lexmark utilizes an approach that is not simply product-focused, but is focused on the end solution. We realize the investment and the value Region 4 ESC has made in its current infrastructure, and will work to utilize existing assets, where possible, in solution development.

Lexmark is unique in its ability to fully assess the interaction between people, processes and technology, and integrate these elements into an optimal solution. First, we detail system, application and end-user output requirements (people). Then we document and understand the underlying business processes that are being employed in the day-to-day provision of these requirements (processes). We also have the unique capability to identify ways to optimize these processes. Then, and only then, do we make a determination as to the effective deployment of technologies to facilitate improved business processes and optimized output flow (technology).




Our primary objective is to rightsize the output devices with organizational requirements. Lexmark can help Region 4 ESC achieve its goals of improving its business performance by better managing document processes with enabling technologies. Lexmark consultants have recommended and implemented solutions that contributed to significant reductions in print volumes and cost savings. Evaluating organizational output from a holistic perspective that considers all output processes (print on demand, central reproduction print, distributed print, copy, fax, and the like) is critical to devising solutions and implementing best practices that produce the greatest organizational benefit.

Lexmark works with enterprises to establish an understanding of their output environment. Lexmark has successfully engaged with hundreds of customers in developing output Strategies that focus on:

- Device infrastructure optimization.
- Supply chain improvements (streamline purchases and billing).
- Workflow improvements (document processes).
- Ongoing management and support.
- Output cost reductions.

Building on these efforts, Lexmark applies proven methodologies and processes to document a business' current environment and clearly identify and prioritize the most significant opportunities for productivity improvements, effective use of technology and cost savings. By understanding the organization's operational structure, IT strategy and organization's objectives, we can apply Lexmark's approach and processes, and demonstrate why Lexmark is uniquely qualified to help meet short- and long-term strategic initiatives.

It is important to note that there are inherent differences to Lexmark's approach versus our competitors'.

- Lexmark takes a more holistic view: Improving the print infrastructure, moving (paper) information faster (electronically) and managing cost from the infrastructure. Lexmark goes beyond rightsizing Region 4 ESC's existing infrastructure and adds greater value to the management of this space.
- Lexmark's focus to infrastructure optimization is on end-user productivity as opposed to device productivity.
- We see the value of MFPs to facilitate workflow and process improvement as opposed to simple consolidation of devices (although that is an inherent benefit).
- We look to optimize the utilization of the output devices, including existing devices where appropriate and to reduce the amount of pages produced to lower costs through Lexmark's technology-based services rather than driving pages to centralized devices.
- Because of the sheer dynamics of this environment, the approach of copier companies to rightsize an asset infrastructure is typically too drastic and centralized. Too drastic of a consolidation can impact end-user productivity, employee morale and the overall current culture, ultimately resulting in higher overall costs for the organization. The typical results are a proliferation of personal devices in the user community.

## Assessment scope

An effective assessment is one that drives the targeted savings. Lexmark's proven assessment methodology begins with establishing a baseline of Region 4 ESC current output infrastructure and the total cost of ownership associated with the current output services through an in-depth Discovery Office Print Assessment (OPA) focusing on device optimization within a representative subset of the enterprise. Lexmark will perform the output assessment of Region 4 ESC's current environment in two phases.

### Phase I

During Phase I, Lexmark will work with Region 4 ESC to select representative sample locations as the scope of facilities for a thorough due diligence of the current-state output infrastructure. Following a project planning activity period, the assessment is kicked off at the customer site with a meeting of both the Lexmark consulting team assigned to the assessment and the client sponsor and appropriate client employees to set all assessment objectives, schedules, contacts, deliverables and other expectations.

Working with Region 4 ESC staff, a team of Lexmark consultants will employ our proven methodologies, processes and various analytical tools to gather detailed data on the current output volumes being produced and the current-state inventory. The device level data collected in the physical inventory is augmented by information gathered from key client employees during interview meetings conducted by the Lexmark consultants to understand the current acquisition, deployment, maintenance and support processes used at Region 4 ESC. Detailed information such as maintenance and service agreements, fax telephone line and toll costs and other allocated charge rates (such as square footage charge rates, help desk and other office print-related support) will also be utilized to create a Region 4 ESC-specific recommendation and business case. If actual or reliable data is not readily available, various estimation methods might be used to derive the needed information to complete the assessment. However, the idea is to obtain data from appropriate Region 4 ESC organizations and devices in order to develop an architecture recommendation specific to Region 4 ESC.

With the on-site data collection phase complete, the consultants perform a thorough analysis of the data collected, including the information gathered during the user interviews. The output of this analysis process is a complete description of the output environment, from device inventory to cost and performance analysis. Lexmark will also develop a baseline of Region 4 ESC's total cost of print specific to their current-state environment and actionable recommendations for improvement. The cost elements incorporated into the total cost of print include acquisition/lease costs, consumables (ink, toner) cost, other supplies (maintenance kits, drums and the like) costs, internal IT help desk/support costs, training costs, service costs, fax telephone line and toll costs, procurement costs and the like.

The findings are reviewed and validated with the Region 4 ESC management team to insure that Lexmark has accurately captured the environment and where assumptions are made relative to costs or other data elements, that the client team agrees with the assumptions and supports the way in which they were used in the analysis. This validation meeting is crucial for the assessment process because it establishes agreement that the fundamental baseline is accepted and that any assumptions or calculations are supported by the Region 4 ESC team. The resulting baseline is then used as the current state to which a future-state design can be compared and contrasted to show the improvement opportunities, costs and impacts of future-state recommendations for change to the Region 4 ESC environment.

Lexmark will develop a set of metrics and deployment principles by functional area. These will provide the blueprints for future-state design moving forward.

Upon completion of the data collection phase, the consultants will analyze the data collected, including the information gathered during the user interviews. Lexmark's assessment methodology considers a number of critical factors to ensure that Region 4 ESC achieves a fully optimized solution. This methodology gives consideration to a number of other factors which our experience has shown can greatly impact cost saving objectives, business productivity and end-user acceptance. These factors include:

- Peak period output requirements: Failure to consider peak periods may lead to the placement of an output asset that is fully capable of handling normal daily use, but is undersized in terms of handling peak period output.
- Proximity to users: End-user needs, client-facing responsibilities and walking distance in terms of the facility where the end user works are also important factors to consider when architecting the output infrastructure.
- Total cost of ownership objectives: Maximizing cost savings on a cost-per-page basis could lead to a very aggressive device optimization strategy with a particular class of output technology, but result in negative impacts to business productivity and end-user acceptance.
- Physical layout of the facility: The location of walls, work groups within facilities, network drops and the like are critical to arriving at an optimal design.
- Work environment of the end users: For example, certain floors of a typical enterprise have staff from more than one department on the floor and each department separately funds the output devices supporting these staff. Device optimization opportunities may exist which would require end users from different work groups to share fewer overall assets. Thus, it is critical to understand the output requirements, such as peak periods, security requirements, output feature and functional requirements. Feature and function requirements can include the need for letter size, legal size, envelopes, color, mono, print, copy and fax capabilities.

- Key system applications: Host or legacy applications and client-server applications may have unique print data streams and/or driver requirements that must be considered in the change management plan for migrating from current state to future state. Also, many organizations are working to implement electronic document management or content management systems in order to gain competitive advantages, improve customer service and comply with regulations relative to output retention and security. The integration of these systems is driving the placement of MFPs with remote capture and business rules routing capabilities.

After an assessment of the current-state environment, Lexmark develops a set of governing principles and deployment principles that balance the design factors and create a best fit with Region 4 ESC's strategic direction and goals for the future output environment. The deployment principles become the decision guidance for selection and location of device types and device quantities that are placed in the future-state output environment.

In addition to the device type, quantity, features, location and volume targets, the future-state recommendations may include support process changes, deployment exception process changes, opportunities for business process improvements, business case supporting the need for change and other issues as desired by Region 4 ESC and scoped in the original objectives for the assessment.

The final deliverable to Region 4 ESC is a full presentation of both the current state and the recommended future state, detailing the findings, assumptions and reasoning behind the recommendations.

**Phase II**

During Phase II of the assessment, the Lexmark team will work on a rapid, mutually agreeable schedule with Region 4 ESC to perform site assessments or surveys at all remaining in-scope Region 4 ESC facilities. The Lexmark team will evaluate each of these facilities against the deployment principles agreed to and developed in Phase I and develop future-state recommendations by floor for each in-scope facility across all Region 4 ESC sites. This site survey assessment approach is the springboard for operational changes to the current output infrastructure and enables Region 4 ESC to quickly apply approved deployment principles to all facilities across the enterprise in order to achieve cost savings objectives. The Lexmark team will provide the Region 4 ESC project team with a set of transaction documents for each facility by floor that will include a current-state inventory of all devices with associated volumes, map current-state location of devices and a proposed future state detailing device recommendations and locations.

**Typical OPA deliverables**

For Phase I, Lexmark will develop and deliver a findings presentation which typically includes the following:

- Executive summary
- Overview of current state including maps, inventory and costing
- Issues with the current state
- Recommendations for a future state including maps, inventory and savings
- Benchmark comparisons
- Business case
- Benefits
- Conclusions

For Phase II, Lexmark will develop and deliver an approval document for each facility which typically includes:

- Summary of program objectives
- Current-state and future-state mapping (where applicable)
- Current-state and future-state inventories
- Business case
- Disposal listing

- **Respondents are encouraged to provide actual examples of a public-sector customer assessment and how it was used.**

**Lexmark response:**

With Lexmark MPS infrastructure technology, we have been able to leverage automation more effectively than any other provider in support of highly distributed fleets. Lexmark is uniquely suited to support MPS engagements with organizations that have highly distributed operations such as school districts. Further investment in our assessment tools enables Lexmark professional services teams to rapidly gather and analyze data to accurately baseline the current-state environment. We lead MPS implementations with the site assessment, which is critical in developing deployment principles for the future-state design. Equally important are the learnings acquired from mapping the devices in the space and understanding the business needs of the surrounding users. This level of intelligence helps us to more effectively position and configure shared work group devices to maximize user adoption, minimize resistance to change, anticipate installation challenges and identify legitimate business exceptions to the deployment principles. The importance of gauging a provider's ability to rapidly perform this level of site assessment ahead of the installation teams should not be underestimated for its impact on the success of the entire project. Lexmark's advanced technology and tools, mature MPS processes and methodologies, depth of resources and K–12 experience translate directly to the goals of the districts within Region 4.

We have included a case study of a top 5 US public school district in Lexmark Attachment A as an example of how we were able to help a customer reduce costs considerably.

- **List any charges for assessment, if any. Charges should be listed as separate rates with hourly labor charges for each component.**

**Lexmark response:**

Please see pricing template in in Lexmark Attachment O for associated charges.

## III. Implementation Phase

- **Describe in detail your implementation program plan.**

**Lexmark response:**

Throughout the development of the Statement of Work, and as part of our launch meeting with Region 4 ESC following contract signature, Lexmark will build our implementation plan around your needs and expectations.

From a timing perspective, we suggest a staged approach to transitioning Region 4 ESC to an optimized and proactively managed output environment.

Lexmark will utilize the first three months for infrastructure setup to implement the people and processes needed to support your existing fleet and future-state environment. Once the infrastructure is set up, the **first stage** will focus on managing the existing print environment while we work with your leadership to define a strategy and plan for implementing a more efficient and cost-effective solution, leveraging existing infrastructure where possible. During this phase, we will identify what devices should remain based on their age, condition, security features and ability to meet end-user requirements and SLAs. The **second stage** will be a coordinated implementation project that focuses on mitigating risks associated with change and will be the launch point for adopting more cost-effective printing practices with less waste and improved technology, reducing your current operational costs. The **third stage** will focus on two areas: (1) providing automated and proactive steady-state services, such as automated supplies replenishment and proactive device maintenance; and (2) identifying opportunities for additional process improvement.

Without having detailed planning sessions with Region 4 ESC, based on our successful transition and implementation road map for our other customers in the same sector, Lexmark has developed a potential transition and implementation road map for deploying an agency-wide MPS offering. Transition and implementation will take place at Region 4 ESC in a logical progression, based on density, location and facility type.

Deployment processes will be refined so that multiple teams can move through the various types of Region 4 ESC locations in order to accomplish this aggressive implementation, taking into consideration the impact on end users and understanding of the Region 4 ESC environment.

The seven major elements of our implementation plan include:

1. **Assessment:** Using a representative sample of customer environments, develop a current-state baseline and future-state deployment principles and business case that we will manage ourselves with the Region 4 ESC team as we progress.
2. **Infrastructure setup:** Utilizing our transition manger, project manager and customer operations manager, we will establish the people and processes needed to support Region 4 ESC based upon the Statement of Work. After the initial setup period, we will work with Region 4 ESC to implement the Lexmark secure Print Release (pull printing) platform. This solution will be enabled with the optimized future-state devices as they are rolled out in accordance with the project plan.
3. **Management of the existing fleet (if applicable):** Once the assessments have been conducted and the infrastructure has been set up, we will assume management of the existing fleet.

4. **Pilot phase:** Pilot our deployment principles, implementation processes, training plans, our ongoing management principles, software tools, identified workflows and any solutions being deployed at a pilot site(s). Typically, these are sites where the initial assessments were performed, focusing on key areas of Region 4 ESC's environment.
5. **Site surveys:** Leveraging the pilot results, we refine the deployment and management principles, refine our business case and execute via site surveys at the rest of the sites to define current-state and future-state mapping for execution.
6. **Optimize:** As our consultants complete the site surveys, the future-state plans are approved by Region 4 ESC and delivered to our Project Management Office (PMO) to transition the site or facility area(s) in accordance with the project plan. Our PMO then transitions the site or facility areas(s) to the optimized future state managing the entire implementation process from shipping coordination to staging, install, de-install and disposal. As we get more data and information on Region 4 ESC's environment during the discovery and assessment phase, we will determine our final approach during the transition phase.
7. **Measure:** We then measure the savings and key metrics by site holding ourselves accountable to the original business case.

Attached in Lexmark Attachment P is a sample project plan that shows the key tasks that Lexmark will implement into the plan as well as an overview of the key Lexmark resources that will be accountable for handling certain key tasks. As the custom project plan is developed with the Region 4 ESC project team, more specific tasks and stakeholders will be introduced into the project plan.

- **Provide your organization's experience of implementing MPS with public sector agencies. Respondents are encouraged to provide a detailed case study of where your organization has implemented MPS with a public-sector agency.**

**Lexmark response:**

Lexmark Attachment A has case studies showing just a few of the many public-sector agencies where we've implemented MPS.

- **List any charges for implementation, if any. Charges should be either event (one time) based or hourly with a statement of work.**

**Lexmark response:**

Please see pricing template in Lexmark Attachment O for associated charges. Pricing will be customized for each opportunity based on scope and requirements, and will be detailed in a Statement of Work for each unique opportunity.

## IV. Training for Client

- **Describe in detail the types of trainings your organization typically provides to customers.**
  1. **Does proposer offer on-site trainings?**
  2. **Does proposer offer web based trainings?**
  3. **Does proposer offer one-on-one trainings?**

**Lexmark response:**

Lexmark has a proven training methodology that will be used to provide the most effective customized training program to meet the specific needs of Region 4 ESC. Depending on the customer's requirements, we can provide any of the training options requested above, some of which may incur additional fees as described in our pricing template. We typically provide a 15-minute end-user training for each device type that is implemented in each of the locations. These sessions are designed to occur at the time the equipment is installed.

Some key elements of training may include (but are not limited to):

- A mutually agreeable method, schedule and training topic(s) will be determined by the Statement of Work.
- Training sessions scheduled and communicated in advance for each location.
- Site trainers following behind equipment installers.
- Trainings delivered at the device locations in group settings.
- Q&A to address attendees' specific needs.

Typical duration: 15–30 minutes per session (5–10 staff members per session)

Example agenda:

- Consumables replacement
- Proper paper-loading procedures
- Clearing paper jams
- Basic Copy functions, where applicable
- Basic Fax functions, where applicable
- Scanning to destination, where applicable, such as Scan to E-mail, Scan to Folder, etc.
- Specialty media printing (i.e., envelopes, labels, letterheads, etc.)
- Finisher functions, where applicable
- Basic Driver functions, such as duplex, n-up printing, print-and-hold features, color/mono printing, etc.
- Q&A

Training material provided to end users electronically:

- User Guides
- Quick Reference Guides, as required
- Online training videos

Customer responsibilities:

- Approve training schedule, topics and methodology.
- Assistance with communication and scheduling of participants.
- Access to a user workstation for printer driver training (optional).

Additional training options are also available, some of which may require additional charges depending on the scope.

- **List any charges for initial or on-going training, if any.**

**Lexmark response:**

Fifteen minutes of initial end-user training at time of installation is included in per-event installation fee. Any additional training is priced separately. Please see pricing template in Lexmark Attachment O for associated charges (MPS Pricing tab).

- **If your company uses an alternative methodology for pricing training, please provide.**

**Lexmark response:**

Fifteen minutes of initial end-user training at time of installation is included in per-event installation fee. Any additional training is priced separately. Please see pricing template in Lexmark Attachment O for associated charges (MPS Pricing tab).

# V. Fleet Management

- **Include all cost options for on-site full-time, part-time, first service responder, consumables, etc.**

**Lexmark response:**

Please see pricing template in Lexmark Attachment O for associated charges.

- **In addition, list separate costs, if any, to manage legacy installed devices from other manufacturers such as installing, moving, adding, changing and disposing of contracted devices.**

**Lexmark response:**

Please see pricing template in Lexmark Attachment O for associated charges.

- **Do you offer trade in pricing for owned equipment?**

**Lexmark response:**

Lexmark is not offering a trade-in program.

- **Management of legacy devices does not include parts, labor or supplies.**

**Lexmark response:**

Lexmark has great flexibility in accommodating the requirements and requests of ESC for the structure and content of ongoing service. Existing assets can be handled in a variety of ways, ranging from having Lexmark provide no services at all, to simple asset management, to fulfillment of consumables, to complete buyout and billing for ongoing management and repairs. We will work with the individual customer to determine the level of support required, if any, for legacy devices in the environment.

- **Define how your technologies will guarantee document security and privacy.**

**Lexmark response:**

## Lexmark multilayered security

Lexmark is an industry leader in document and device security, and Lexmark MFPs have been selected as the standard device for many areas of the federal government, including some of the most secure agencies within the US Department of Defense (DoD) and Intelligence. Device security is a complex issue, with many elements to consider. Lexmark devices are equipped with a wide array of industry-standard security functions and features that allow an organization to secure networked devices and their use. Lexmark's security solutions offer protection of the device, the network, and the data involved in the use of the device. You may read the complete description of Lexmark's security solutions for MFPs here: http://www.lexmark.com/content/dam/lexmark/documents/white-paper/y2017/security_white_paper_final-us.pdf.

## Secure data on the MFP

Lexmark devices are equipped with non-volatile memory to store essential system information when the devices are turned off. Some Lexmark devices can also be equipped with a hard disk to buffer jobs or collate large jobs, or store forms, fonts or macros. To run some printing applications or printer software solutions, a hard disk is required. The use of non-volatile memory and hard disks are industry-standard methods for enhancing the performance of print and imaging devices.

### Hard disk encryption

Lexmark devices can encrypt all data on hard disks to protect it from external access at all times. When this feature is enabled, all data written to a hard disk is encrypted. This protects not only residual data that remains after printing jobs, but it also protects data actively being used. This prohibits someone from turning off the device in the middle of a job and making use of the data left on the disk. The encryption key to be used (256-bit AES symmetric encryption) is pseudo-randomly generated and stored in a proprietary fashion in a device's memory.

### Non-volatile memory wipe

A non-volatile memory wipe erases a printer's memory. Lexmark devices use two forms of non-volatile memory—Electrical Erasable Programmable Read-Only Memory (EEPROM) and negative-AND (NAND). These components store the device operating system, device settings, network information, embedded solution applications, various scanner settings and bookmark settings. No user-related print, copy or scan data is stored in non-volatile memory.

The printer memory erasing function ("Erase Printer Memory," "Wipe All Settings," "Erase all apps and app settings," depending on the device model) deletes all content stored in the various forms of flash memory on Region 4 ESC's device. Region 4 ESC can completely clear all settings, solutions and job data on the device. This function is ideal when retiring, recycling or removing a device from a secure environment.

### Lexmark Secure Element

Lexmark's Secure Element is an optional security component that is designed to enhance and protect the generation and storage of encryption keys used by a Lexmark device. It is a customer installable option or can be installed/shipped with the product at manufacturing. It is essentially a smart card that installs in a Lexmark device's controller board in the same manner as a SIM card which can be found in mobile phones. This technology grants additional layers to secure and highly capable Lexmark devices by enhancing its ability to protect the cryptographic keys that are generated by and installed on the device. In addition to providing a more secure key store, the Secure Element provisions the device with a method to generate cryptographic keys faster and with more complex random numbers.

### Hard disk file wiping

The file-based disk wipe sanitizes the portion of the hard disk where job data was stored after a job has been processed so that no residual data can be read. "Complete," "Out of Service" or "Sanitize all information on hard disk" disk erasure, which is explained later, erases the entire disk while the file-based disk wiping described in the following paragraph erases the portion of the disk where the job data was stored. Lexmark devices offer a single-pass or multiple-pass wipe that is compliant with the National Institute of Standards and Technology (NIST) and DoD.

### Complete hard disk erasure

"Complete" or "Sanitize all information on hard disk" hard disk erasure wipes clean the entire hard disk. Region 4 ESC should perform a complete hard disk erasure process before a device is removed from any current location. This function is different than those previously described. With the "Sanitize all information on hard disk" (also called "Complete Wipe Disk" or "Erase Hard Disk") command, Region 4 ESC can eliminate all contents of a disk.

### Out of Service wiping

With the Out of Service command, Region 4 ESC can use the functions of Wipe All Settings and Complete Hard Disk Erasure (Wiping) in one step when removing a device from service or removing it from a secure environment. To ensure that no customer data remains on the device hard disk, Lexmark recommends that Region 4 ESC use both Wipe All Settings and Complete Hard Disk Wiping commands. With the Out of Service command (available on later firmware updates of most devices), Region 4 ESC can choose to initiate both of these functions at the same time from either the Configuration Menu or from the device web page.

### Physical lock support

Lexmark devices support cabled computer locks, which you can use to physically secure the devices' critical and sensitive components, such as the controller board and hard disk.
Lexmark devices deliver a very strong security story by providing our customers with comprehensive security capabilities that address our customers' real-world security issues by flexibly integrating our device capabilities to our customer's network environment. The bottom line is, Lexmark devices have effective security without lowering user productivity.

## LDCM data security

A number of countermeasures are taken to reduce the risks of potential threats, vulnerabilities, and maintain data confidentiality, privacy, integrity and availability. The objective is to achieve a balance between a reasonable secure operation, which does not unduly hinder users, and the costs of maintaining it.

The LDCM software appliance has been designed and is expected to be placed in low threat environment. The hardware hosting the LDCM software appliance is expected to be placed in a physically secured location, and only trusted, authenticated and authorized users are allowed to establish a user session on the host operating system. Lexmark recommends placing the LDCM software appliance within the customer's internal network secured behind the firewall, and not in a network directly exposed to external networks (i.e., the internet).

The LDCM Oracle XE database is configured such that it will not accept any Transparent Network Substrate (TNS) connections, from the local host or outside the LDCM host. This means Oracle Application Express (APEX) and remote connections will be disabled. To leverage most Oracle vulnerabilities in the core Oracle database software requires the ability to establish a valid session with the database before performing the exploit. The measures described above prevent a potential attacker from making a connection to the database remotely and therefore prevent leveraging the exploit.

All network communications that take place between LDCM and the web servers located within Lexmark's data centers are based on HTTPS. Lexmark uses an HTTPS combination of encryption technologies named asymmetric encryption (elliptic curve Diffie-Hillman) and symmetric encryption (AES). Asymmetric encryption is based on the use of a public/private key pair, in which the key used to encrypt the data cannot be used to decrypt the data. Elliptic curve Diffie-Hillman encryption is used to securely exchange a shared key that is used in a symmetric encryption algorithm such as AES.

Using X.509 certificates as a key exchange technology, LDCM can be configured to take advantage of some additional benefits. For instance, when LDCM requests a connection back to the Lexmark web servers, it also requests an authenticated connection. By utilizing a DigiCert signed certificate on the web server, Lexmark has made every effort to ensure that customer information is only sent to the correct systems. When LDCM establishes the secure connection back to Lexmark, the signed certificate provides assurance that the LDCM is in fact communicating with a valid Lexmark system.

## Security solutions we are offering Region 4 ESC

Your Lexmark laser printer or smart MFP can run security-related apps to fill special needs like Print Release, automatic security certificate enrollment and smart card authentication. Another solution can centrally track and audit every document that's printed, copied, scanned or faxed on your network.

- **Secure Print Release:** Lexmark Print Management lets users send jobs from anywhere and pick them up at any Print Release-configured device on your network. You'll improve printing flexibility, avoid having documents piling up on printers, protect the confidentiality of documents that would otherwise be out in the open, and save on printing costs. And the whole release process is secured by credentials entered at the device, in the form of network user identification or an ID badge.
- **Contactless card authentication support:** Badge authentication solutions include contactless card solutions (applications) for basic badge authentication. This option is available when user identity is linked to office security ID badges. The solutions can verify the badge ID and retrieve user information so the Lexmark device can access held print jobs, identify the source of scanned documents, or identify a user for other purposes.

In Lexmark Attachment Q, we have provided the Lexmark Software Security brochure, and Lexmark Attachment R, the Lexmark Security Reference Guide.

- **Define how meter reads are conducted.**

**Lexmark response:**

Lexmark has the ability to collect meter reads (page counts) and a wide variety of other data from both networked and non-networked devices.

For output devices that are on the network, Lexmark has developed tools and systems that allow for the collection of data (including meter reads and other usage data) from those devices in an efficient and timely manner, with minimal impact to the customer's environment. The LDCM is used by Lexmark to facilitate this requirement and increase the efficiency in MPS engagements.

LDCM is a suite of Lexmark proprietary applications that resides on a dedicated networked server or PC within the customer's network, performing the following tasks:

- Device monitoring
- Device discovery
- Data transmission

By having LDCM perform its scheduled tasks in an automated manner, Region 4 ESC resources would be able to concentrate on performing the operations and services that they offer to their customers, rather than having to manage your internal output devices on a daily basis. The data collected by LDCM is hosted and managed by Lexmark and all data collected is treated as strictly confidential. The LDCM technology coupled with Lexmark's proven business processes/methodologies ensure a continuous and highly efficient capture of data from the managed devices on an ongoing basis.

- **Define how service calls are placed. Does your equipment have built in remote/automated diagnostics capabilities?**

**Lexmark response:**

Traditionally, the majority of service calls have been placed by end users contacting their internal help desk or contacting Lexmark's help desk, whichever is the preferred call flow method. Lexmark is also capable of integrating electronically with a customer help desk, to enable service calls to be transferred electronically from a customer's internal help desk to Lexmark, and vice versa, if desired. Help Desk Integration allows for real-time status updates to ensure synchronization between our customers' help desk ticketing systems and Lexmark's system.

In the last two years, Lexmark has implemented Predictive Service, described in further detail following this paragraph, to take the work of diagnosing potential service issues off end users and customer IT departments, and to begin to act before a device experiences a failure.

## Lexmark Predictive Service

Lexmark Predictive Service utilizes state of the art technology to gain comprehensive actionable insight on your entire global fleet. Lexmark has been recognized for many years as a leader in proactive management for MPS. From proactive consumables management to active monitoring of devices, Lexmark has been doing this work successfully for clients all over the world. We have enhanced our proactive management capabilities to include predictive models that take advantage of device alerts and error messages produced by the devices. On their own, these alerts and error messages don't create a problem, but a device failure may occur over time if the issues causing these alerts and messages are not resolved. These models allow us to collect and analyze data from more than 100 sensors within each device. We've built an analytics engine that captures, interprets and analyzes device data, allowing us to automatically take action to keep your fleet at peak performance. Our system detects trends and will automatically and proactively initiate service requests—in most cases bypassing the need for users or IT staff to call the help desk or enter a trouble ticket.

## The solution

Our proposed solution for Region 4 ESC includes the toolset we use to provide proactive management in all of our MPS engagements. We have invested over $200 million in a Siebel-based asset management system that provides visibility into the asset fleet, including reporting, proactive monitoring, and automating processes such as invoicing and consumables fulfillment. This global solution provides live information about the health of the fleet, the details of every single service request (down to the individual service technician who fixed the device), change requests and consumables management metrics. We provide a portal for our MPS customers to access this data, which also tracks our performance as it relates to SLAs. Our tool will enable remote device configuration, firmware updates, security compliance, integration with enterprise management utilities and dynamic messaging.

Lexmark has always been a leader in addressing proactive alerts as part of our MPS offering. Our next generation MPS is built on increased sensing from our devices. We call this new capability health check, which focuses on predictive analytics. Through predictive analytics we can anticipate service actions before they happen by looking for trends in print volume, help desk calls, rates of intervention or by capturing additional sensor data from your devices. In addition, predictive analytics allows us to set customized thresholds on the output devices for error alert conditions to be addressed proactively by our dedicated operations team.

Predictive analytics will allow Region 4 ESC to see even more proactive service—meaning that in many cases we take action before your users ever see a problem. In addition, analytics will help us optimize service visits by not only correcting problems that are known, but also by looking at devices that may be trending the wrong direction based on additional information they provide, such as a motor slowing down or a fuser running hot. The benefit is that Region 4 ESC will see fewer interruptions for your end users and increased uptime and availability.

Eventually, we envision our cloud-based models automatically detecting and remotely adjusting our devices. More broadly, we will have this information from every sensor from every module from every device in the fleet, which will enable us to build sophisticated predictive models based on trending and combinations and sequences of data. For our customers, these truly predictive models will allow us to increase device uptime, reduce errors and pre-schedule visits where it doesn't impact our customers' operations. Our ultimate goal is to never have a device go down because we predicted that event and many times fixed it remotely before you knew there was ever an issue. Lexmark MPS has been a proactive management leader for some time and are taking this to the next level with this expansion of our predictive capabilities.

Finally, our consulting teams will mine our advanced analytics capabilities to determine areas of opportunity for workflow and the overall performance of the fleet. Our ultimate goal is to reduce print and automate paper-based processes to make Region 4 ESC and your employees more efficient.

## Benefits

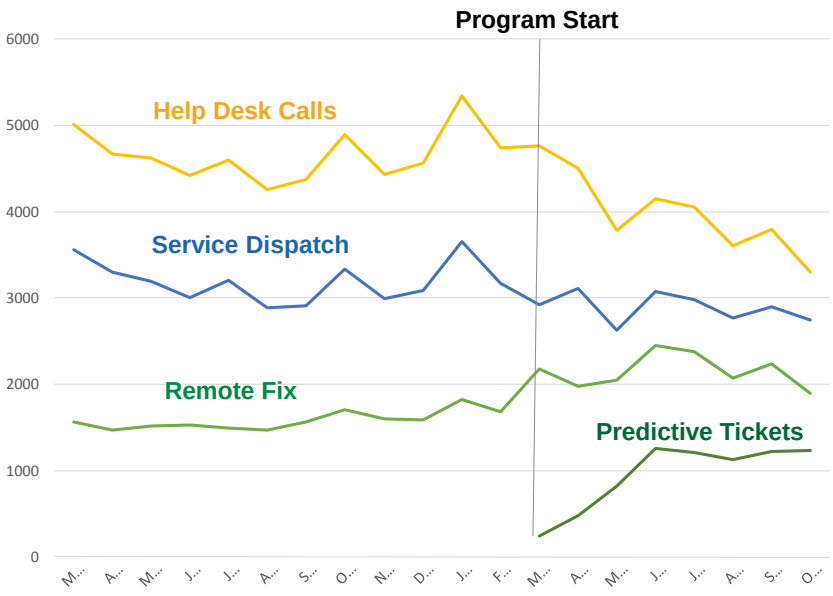
Lexmark Predictive Service is a value-add service provided as part of our MPS suite of offerings. By taking advantage of Lexmark Predictive Service capabilities, customers can realize the following benefits:

- **Increased device uptime:** With proactive service, issues can be dealt with and resolved before a failure of the device occurs, resulting in improved device uptime.
- **Fewer disruptions:** Fewer device failures, along with an increased ability to fix many issues remotely, mean fewer disruptions. Employees can perform their work related tasks with greater efficiency because of fewer disruptions.
- **Elimination of many print-related help desk calls:** When devices fail, calls are placed to the help desk for assistance. With proactive service decreasing the number of device failures, many print-related calls that would have previously gone to the help desk are eliminated. By taking advantage of Lexmark Predictive Service, a large retailer realized a 25% reduction in customer-initiated help desk calls.
- **Improved status visibility:** Users will be able to see service status on the device screen. This helps to avoid multiple help desk calls about the same device. Going beyond break-fix, you can also track if toner has shipped and where it is.

The following graphic shows the tangible results and a real-world example of how Predictive Service helped a large global retailer:

**Results**

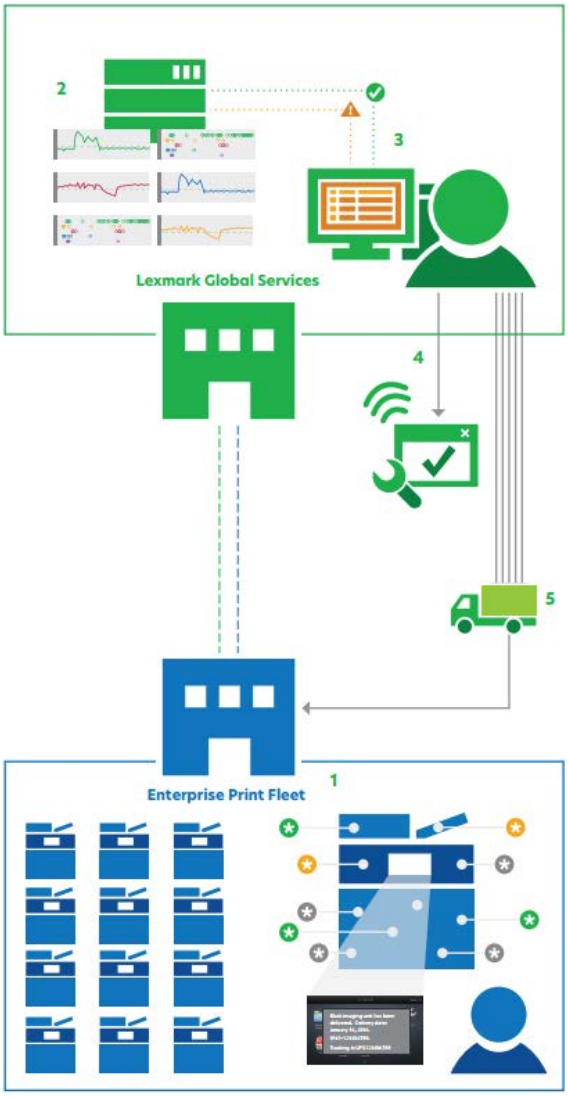
- 29% Reduction in customer initiated help desk calls
- 20% Increase in remote fix
- 14% Reduction in service dispatch




You can see the immediate uptick in issues being proactively entered into the service queue, you can also see in the orange line a dramatic drop by 29% in customer initiated help desk calls. With the additional data we gather and interpret from the device, our ability to perform remote fixes improved by 20%. Finally, service dispatches decrease by 14%.

All this equates to improved uptime and less user disruption.

## How it works




1. We continually monitor hundreds of data points from sensors within each device in your fleet, such as how fast the motor turns (RPM) and how much power it might draw (current), the speed that paper moves throughout the device, etc. so we'll know about the overall health of the device, not just if it's broken. For example, paper path timing can be a leading indicator of an issue that will need attention. Sensors throughout the device track how the sheet of paper moves through the device. If the paper sensor timing shows the paper is slowing down as it goes through the fuser, we know you're about to get a jam or service error.
2. Our health check allows us to interpret vitals by building sophisticated algorithms and truly becomes predictive about how your devices will perform and when they will need attention. These predictive algorithms keep getting better over time. They actually teach themselves to be more accurate.
3. If the data for any given device indicates we need to take action, the issue automatically pops up in the service queue for Lexmark staff either at a call center or near your location. Our health check provides detailed information about the status of the device.
4. This additional device intelligence leads to increased ability to fix remotely, rather than waiting for a service dispatch. We do this either via secure remote access to the customer's network in order to access the device's embedded webpage for troubleshooting, or via a targeted, focused phone call to an end-user contact associated with the device.
5. When on-site repair is needed, we'll deliver with greater precision. Technician trips are batched during the hours most advantageous to you. This means we'll be able to service more than one device during the same visit—allowing us to stay out of your way so you can concentrate on your core business.

# VI. Administration

- **Describe any continual process improvements that your organization puts in place for customers.**

**Lexmark response:**

In addition to our formal governance process (described in the following question related to Quarterly Business Reviews), which is the vehicle we use to deliver closed-loop continuous improvement, Lexmark has developed an offering known as MPS Process Analytics.

## MPS Process Analytics

Lexmark uses analytics to gain better insight into output behavior, as well as process behavior. With our operational intelligence platform, we are able to turn the data we collect from the devices into meaningful insights. Lexmark collects statistics relating to output behavior for every managed Lexmark device within your fleet. This data includes information around copy, print, scan and fax, and is examined at an account, location, business function and device level. As part of our closed-loop governance process, we leverage analytics to find areas for continuous improvement. We examine behavioral trends and identify anomalies.

We start at the industry level, determining where the customer rates against industry averages and peers through benchmarking and scoring. Then we begin to analyze at the account level, looking at the trends and identifying outliers. We identify locations of interest and drill down on that data to identify hot spots, which could be physical locations or a particular line of business. Once we identify those, we can go all the way down to the device level (if necessary) to see if the behavior only occurs within a certain cluster of devices.

From there, we work with our customers to understand business processes within these locations or lines of business to determine how to optimize processes by leveraging Lexmark smart MFPs and their integration with our industry solutions.

## Continuous improvement

Lexmark has always been a leading technology manufacturer, but we keep evolving to help our customers manage information better. We go well beyond integration and workflow and are able to provide end-to-end document workflow solutions to help our customers capture, manage, and access information to improve business processes and be more efficient.

Our distributed intelligent capture solutions, enterprise search and business process management capabilities build upon and strengthen our current industry workflow solutions broadening the portfolio of offerings to our customers. With these enhanced capabilities Lexmark will drive significant value and cost savings for ESC, over and above the basic savings associated with traditional MPS deployments.

We recognize that our competitors are also discussing a similar value proposition around workflow. Our differentiation is our ability to execute on workflow solutions with our customers.

## Lexmark people

The assigned customer facing assessment, implementation and steady-state teams will be appropriately staffed across all disciplines with experienced resources and subject matter experts, most possessing advanced degrees and certifications. Disciplines include:

- Sales and account management
- Professional services
  - Assessment
  - Security practice
  - Business process
- Product and systems engineering
- Project management
- Service delivery
- Customer operations and billing
- Site operations
- Technical operations
- Software and solutions development

## Summary

Looking beyond device management, a Lexmark solution may change the way you think about output. More than a specific offering, it is a set of competencies that we bring to the table to help you drive efficiency into your organization while driving costs out. We implement technologies to minimize pages and costs while optimizing your infrastructure, business processes, employee productivity, satisfaction and security.

Lexmark's customers have validated the effectiveness of our technology, our ability to execute globally, the cost-effectiveness of our offerings, and our ability to delivery continuous improvements based on our global renewal rates exceeding 95% over the last six years. Industry analysts Gartner, IDC, Quocirca and Forrester have also validated our capabilities, naming Lexmark as a "Leader" for MPS Services, MFP technology and content management.

- **Detail any innovative ways that your organization helps eliminate unnecessary printing; reduce carbon footprint usage, waste, etc.**

**Lexmark response:**

A properly managed output fleet can deliver tremendous improvements in environmental impact. Lexmark can work with Region 4 ESC to implement environmental best practices as it relates to deploying and managing output fleets, utilizing resource-saving features on our devices and adopting new practices that drive printed page volumes down.

Some of the specific sustainability benefits to be realized by implementing an optimized output environment include the following:

- An optimized device footprint, with multifunction technology as the foundation, reduces energy consumption and end-of-life impacts.

- Standardizing the use of recyclable, extra-high-yield consumables minimizes toner cartridge waste.
- Robust fleet tracking and reporting tools can easily detect underutilized output devices, allowing them to be redeployed to other users instead of adding incremental assets.
- Device monitoring enables proactive and predictive service delivery, saving energy by minimizing dispatched service calls.
- Refresh services ensure devices are replaced as needed to ensure energy efficiency.
- Easy-to-deploy scan functionality eliminates the need to manually move documents from place to place using couriers or overnight delivery services, saving energy.
- Scanning eliminates the need to make “insurance copies” of documents that are currently mailed or couriered to off-site destinations, saving paper.
- The Lexmark Embedded Solutions Framework (eSF) can enable the “Eco Settings” feature to ensure paper use is minimized via automatic duplex and multi-up copying, and that toner use is optimized using print darkness settings.
- Optimization services can help you identify, design and implement streamlined business workflow processes that eliminate hard copy documents since the least expensive page is the one not printed.

According to the US EPA, every ton of paper recycled can save the energy equivalent of 165 gallons of gasoline. Lexmark’s research estimates that up to 80% of the life cycle environmental impact of printing—from device manufacture through end-of-life disposal—is driven by the paper consumed in the “use” cycle. For paper-intensive enterprises, reducing page volumes is a necessity to meet sustainability targets. Not coincidentally, the organizations that have been most successful at driving down page volumes are those that have highly managed output environments. For Lexmark MPS customers, a 30% reduction in page volume is realistically achievable.

Lexmark has a long-standing commitment to reduce the consumption of natural resources worldwide. As a result of this commitment and the actions we have taken, we have received numerous awards in the area of sustainability. Lexmark is focused on all aspects of the product life cycle and in reducing the environmental impact in each area and at each stage, such as reducing energy consumption, water consumption, size and weight of devices and components, high-yield cartridges, reducing service interventions, recycling, and other areas. We know that the largest impact on the environment from output is from the page running through the output device. This accounts for as much as 80% of the environmental impact from output. Therefore, Lexmark has focused major attention on reducing the pages printed in an organization, in addition to its other sustainability focus areas. Lexmark’s MPS engagements and our approach results in dramatic reductions in the number of pages printed in our MPS accounts. As part of Lexmark’s MPS engagement, we offer to our MPS customers a unique sustainability option to enable customers like Region 4 ESC to reduce its environmental impact to zero.

## Paper saving features

Lexmark aims to help customers reduce the environmental impact of printing and change some ingrained employee habits. Here are some of the print solutions that automatically help customers reduce paper and energy usage.

- **Eco-Mode:** This allows users to save paper and energy with a touch of the button. Eco-Mode automates two-sided printing, faxing and copying, saving businesses up to 50% on paper usage and lowers overall costs. Eco-Mode also enables energy-saving features including power-saving mode and dimming of the LCD screen. Eco-Mode can reduce energy consumption by up to 25%. Administrators can set Eco-Mode through Embedded Web Server (EWS) or MarkVision Professional (MVP). Many Lexmark printers are shipped to automatically print in duplex. Please see Lexmark Attachment S for the Lexmark Eco-Settings brochure.
- **Eco-Copy:** Lexmark also offers an Eco-Copy Smart Solution to help reduce impacts of paper and consumables. Please see Lexmark Attachment G for the brochure.
- **Print Release:** This solution allows users to send a print job from their workstations or mobile devices to be stored and printed at a later time on select Lexmark MFPs and stand-alone devices. The solution enhances security by eliminating the gap between document printing and pickup so that confidential jobs do not sit at the printer. It also cuts costs by deleting jobs from the queue if not printed within a specified time—no more unnecessary printing of "forgotten" or obsolete jobs. Some Lexmark customers use Print Release to help meet their companies' sustainability goals through its ability to reduce the amount of pages printed. Other customers use Print Release as a "print anywhere" solution for their traveling employees. Traveling employees can print their jobs to the Print Release driver and release the job at the Lexmark device at whichever office they happen to be in that day. There is no need to load print drivers for that office or find someone to print them. Lexmark's Print Release application provides enhancements that position us to better serve customers' needs:
  - **My e-Task:** Authenticate once and the device is set to your desired language, copy and e-mail settings and shortcuts.
  - **Session based authentication:** Start another task without swiping your badge or entering your credentials again.
  - **Print and keep:** Keep a print job on the queue after it is printed so you can print it again later.
  - **Print preview:** On select models, preview a job before printing and print only the desired pages.
  - **Scan to self:** Easily scan documents to your e-mail.
  - **User delegation:** Delegate authority to release your print jobs to another user such as your administrative assistant.
  - **User web portal:** view your Print Release queue, personal job summaries and reports, assign a Print Release delegate, and set My e-Task preferences and shortcuts.

  Please see Lexmark Attachment E for the Lexmark Print Management brochure.
- **Duplex:** By far, the dominant contributor to the carbon footprint of MFPs is paper. A MFP could print millions of pages during its service lifetime and paper consumption can account for 80% or more of its total carbon footprint. In response to this negative impact, Lexmark is committed to designing products that enable duplex printing. Almost all the Lexmark printers available worldwide are duplex-capable.

- **Advanced Device Statistics:** With Advanced Device Statistics, data is gathered from the managed assets in place at the customer's locations throughout the nation, and reports are generated on various statistics such as use of duplex and scanning options. The reports also compare customer metrics to other managed accounts in the same industry. The wealth of information can be turned into actionable recommendations to reduce print, lower costs, and generate additional sustainability benefits to the organization.

- **Describe your organizations process pertaining to a formalized quarterly business review with a public agency (such as; device utilization, fleet performance, cost saving opportunities, department/site usage, green spend, consumables monitoring report, etc.).**

**Lexmark response:**

## Governance

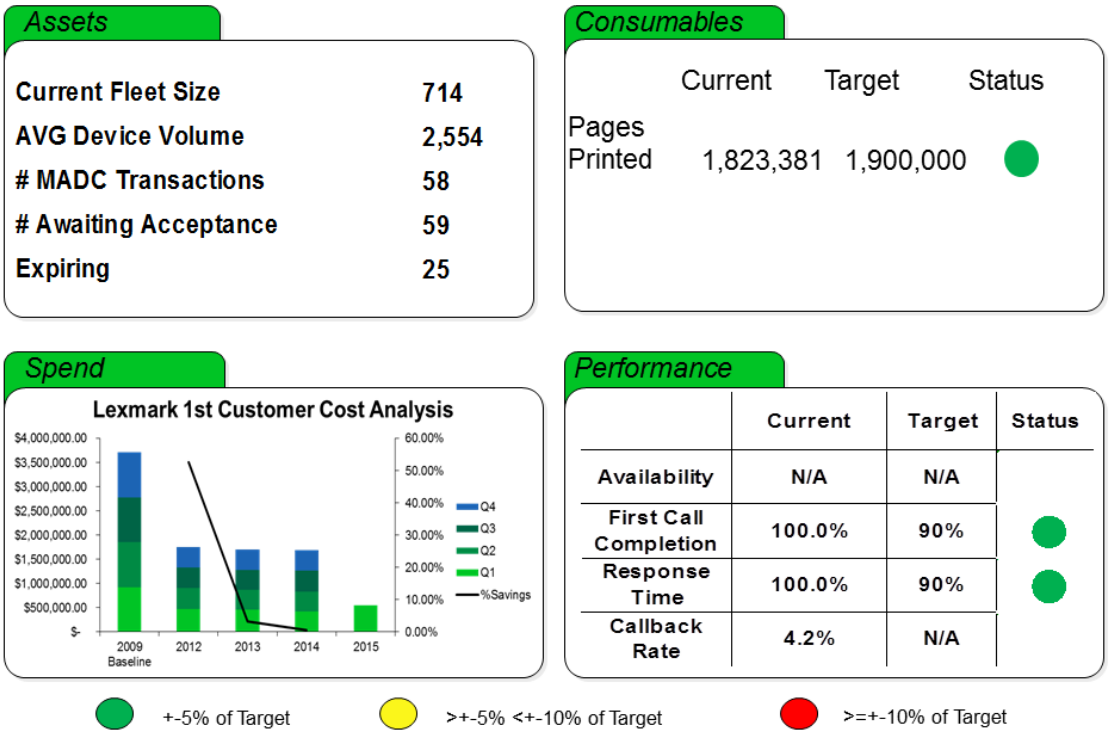
Lexmark employs a tiered governance model to deliver value to our customers, reviewing Lexmark's alignment with your organization's strategic objectives, through quarterly and semiannual business reviews, as well as maintaining continuous touch points with customers through weekly and monthly review of tactical objectives.

| Meeting | Focus | Objectives | Participants |
|---|---|---|---|
| **Semiannual executive review** | Business value recognition | • Strategic goals<br>• Share industry trends and directions<br>• Review product development requests | Director |
| **Strategic Business Review** | Business value creation | • Performance and project dashboard reporting<br>• Business direction alignment<br>• New projects prioritization | Services program manager |
| **Monthly Operations Review** | Performance measurement and reporting | • Service level performance reporting<br>• Change management<br>• Improvements identification<br>• Review end of life and end of service life<br>• Sustainability reporting | Customer operations manager |

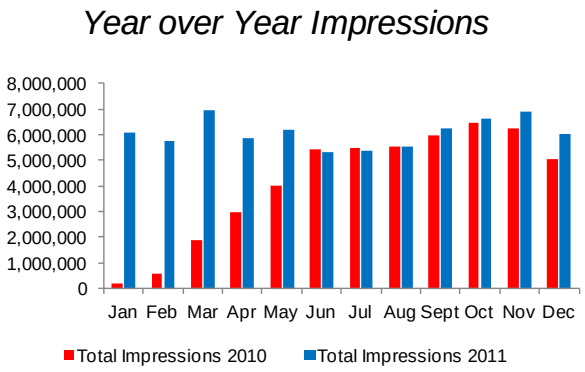
1. **Weekly reviews:** Lexmark examines project operations and execution, reviewing delivery issues and resolution management. We do this alongside our customers on a weekly basis. Lexmark conducts weekly progress reviews during the transition phase to provide updates and status on our transition efforts. These meetings provide updates and status on our transition efforts including resource allocation reviews, progress and overall effectiveness, risk identification and mitigation recommendations to achieve the transition objectives.

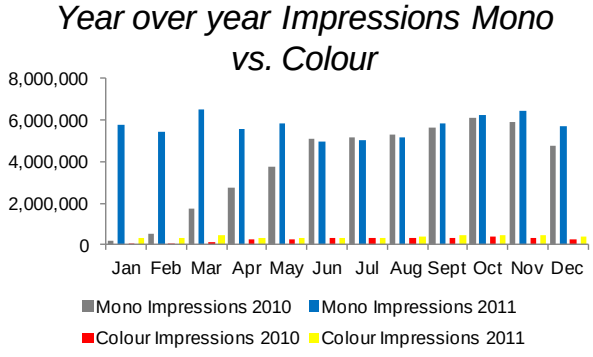
2. **Monthly Operations Review:** On a monthly basis, we review our SLA reporting, task updates, root cause and business impact analysis. The Monthly Operations Review is focused on providing performance, utilization and spend data for the fleet at the device, department, site and fleet levels. These monthly reviews report contract Key Performance Indicators (KPI) as defined during our contracting process. The following graphic shows a typical KPI slide.

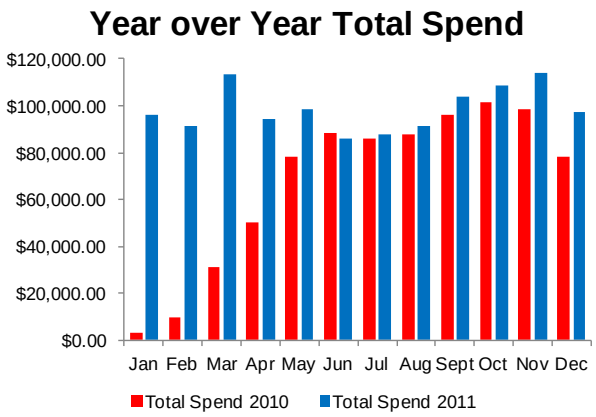
***Monthly operations scorecard***

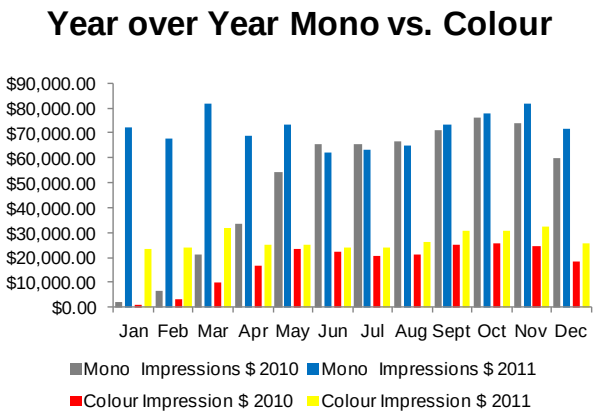



3. **Strategic Business Review:** On a strategic level, Lexmark reviews on a quarterly basis performance and project dashboard reports, business direction alignment and new projects prioritization. The Strategic Business Review is focused on fleet performance over the quarter in question and how this quarter compares to prior quarters. This review is also focused on Lexmark's ability to manage the fleet to meet your business goals, whether that is further cost reduction or integration of the managed fleet with particular applications. Lexmark will present concrete proposals at each review that will forward these goals.

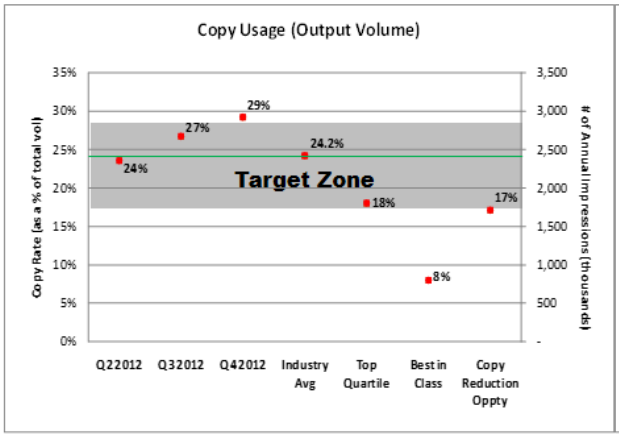


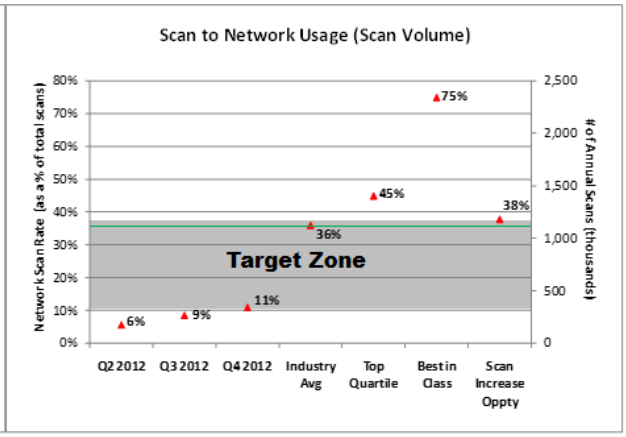






### *Copy and scan usage*

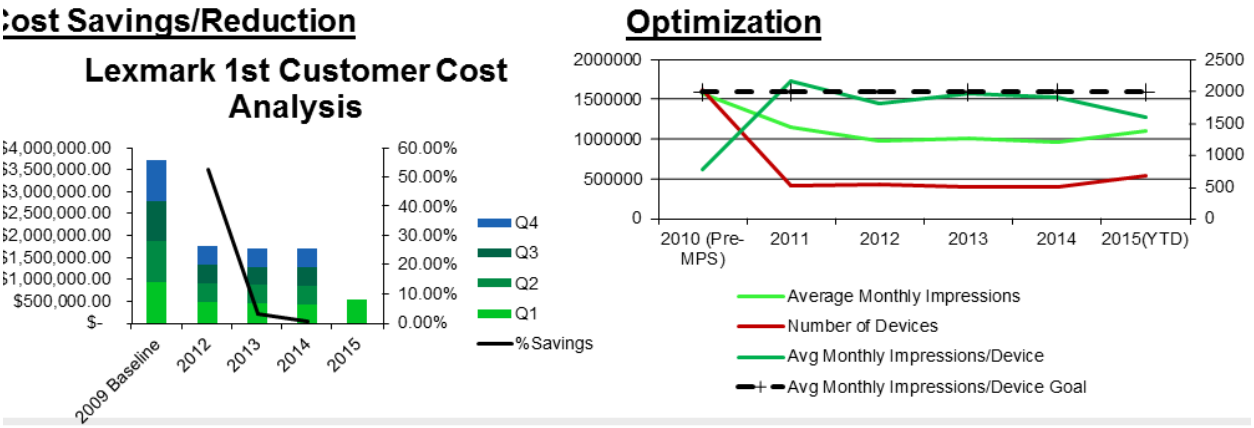



- Savings opportunity
  - $43,000 in paper cost
  - Additional savings in cost per page, paper handling, storage, transportation
- Recommended actions and initiatives
  - Select high copy usage locations
  - Investigate ways to reduce copy volume and improve document workflow

4. **Semiannual Executive Review:** On a semiannual basis, we review Lexmark's understanding of our customers' strategic goals, their industry trend and foster executive level relationships. This review is designed for a management audience and focuses on contract performance, strategy and planning at both the operational and financial levels. It seeks to provide a forum where management can outline their business objectives, to be found in the bottom right quadrant of the following illustration, so that Lexmark can manage our deliverables to achieve these business targets. Customer satisfaction and innovation or continuous improvement objectives are reviewed for improvement opportunities.

***Executive scorecard***




## Key Performance Indicators

| | Current | Target | Status |
|---|---|---|---|
| Availability | N/A | N/A | |
| First Call Completion | 100.0% | 90% | |
| Response Time | 100.0% | 90% | |
| Callback Rate | 4.2% | N/A | |

Updated Monthly

Lexmark

## Value Creation/Continuous Improvement

**Continuous Improvement**

- Acquisitions – Fleet Integration
  - Readsoft - Deployment
  - Kofax - Planning
- Lexmark WW Fleet Refresh Analysis – Appropriation under review

**LXK Tools / New Capabilities**

- *Configuration Manager – Pilot*

**Workflow Solutions**

- *Location Based Services (LBS) – Deployment Phase 2*
  - *North America – Completed on BAU*
  - Germany – Phase 2
  - Austria – Phase 2
  - Geneva – Phase 2
  - UK – Phase 2
  - Denmark – Phase 2
- *Staff Management -Training & Certification – Boulder Deployment*

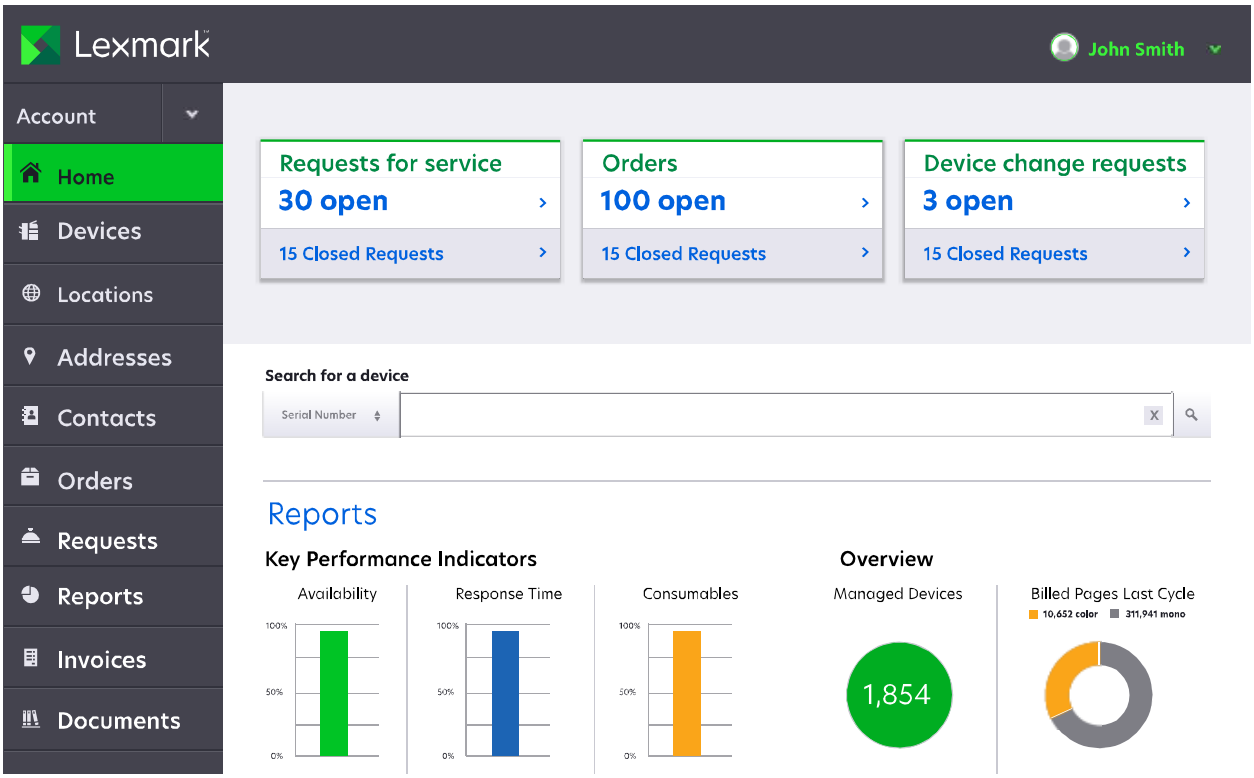
4

5. **Lexmark Managed Services Web Portal:** All presented information will be available to Region 4 ESC via the Lexmark Managed Services Web Portal—Document Library. In addition, most of our standard reports are available 24/7 for our clients to access. They are available in several formats including PDF, HTML and CSV.

Overall satisfaction with our performance based upon compiled survey data is reviewed and improvement strategies are reviewed. We will assess Region 4 ESC's satisfaction with Lexmark performance around four key areas:

- Overall satisfaction
  - Performance evaluations of contracted services
  - Responsiveness evaluations
  - Resolution and guidance evaluations
- Value
  - Productivity improvements
  - Efficiency improvements
  - Cost improvements
- Relationship
  - Business interest alignment
  - Commitment to success
  - Renewal intentions
  - Recommendation intentions

- Loyalty
  - Business guidance
  - Technology leadership
  - Process innovation




Our objective through Lexmark's governance process is to provide a closed-loop feedback process, working with our customers to map a customer action plan and commensurate Lexmark resource investment, review our collective process throughout the year, deliver value-added strategic recommendations for continuous improvement, measured and backed up by an annual customer satisfaction survey, the results of which drive ongoing improvement in service delivery.

# VII. Service / Help Desk

- **Describe in detail the process that shall be used to ensure adequate service representatives will be available. This should include fees and or hourly rates for service/help desk integration.**

**Lexmark response:**

Lexmark works with our customers during the scoping and contracting process to understand whether there are needs for customer service support through our Customer Support Center beyond standard hours and will staff accordingly for those specific needs. During normal business hours, Lexmark staffs our Customer Support Center based on our known install base and maintains real-time dashboards for management regarding answer times in order to ensure our customers are receiving the appropriate support. Constant monitoring of Customer Support Center answer times are in effect, and those times are measured in seconds rather than minutes. Help Desk Integration is also available—please see pricing template in Lexmark Attachment O for the per-event fee associated with Help Desk Integration.

- **Describe your organization's procedures for addressing and resolving customer problems and complaints; service, equipment, or billing. This should include timelines and escalation measures.**

**Lexmark response:**

## Lexmark Siebel system

Lexmark Customer Support Center agents use Lexmark's world class tool for incident/problem management called Siebel. This tool is used for problem logging, tracking, resolution, closeout, and analysis and reporting. Lexmark has the ability to create an electronic Help Desk Integration between our Siebel service system and the Region 4 ESC service ticketing system. This integration will result in a single trouble ticket tracking system. Any update or status change to that ticket within the Lexmark system would then automatically be fed electronically to update the Region 4 ESC ticketing system, including call closure details.

## Lexmark help desk

Lexmark agents possess experience and expertise on our products that cannot be matched by any external organization and they are specialized in print technology. Lexmark puts a priority on the proper diagnosis of any incident, to ensure the highest possible ability to resolve any issue with the first attempt and to resolve remotely when possible. Our agents have access and visibility to devices on your network and combined with interaction with the end user, they can, in many cases, resolve 50% or more of incidents remotely. Removing the need to wait for a resource to be onsite to resolve an incident provides the quickest possible resolution time.

Lexmark meets our SLA targets through a comprehensive approach to service level quality and expertise, including:

- **Experienced, specialized personnel:** Each agent and technician trained by Lexmark.
- **Thorough, knowledgeable diagnosis:** By ensuring the quality of the work done when we first receive an incident, we ensure that we resolve that incident in the shortest possible time.

- **Genuine, locally stored parts:** Lexmark builds and ensures the same quality in our repair parts as we do with our finished products. We will create a parts stocking strategy across the province customized specifically for Region 4 ESC.
- **Direct, ongoing call management:** Each and every call will be managed and tracked by Lexmark and a service partner personnel from inception to closure, with any delay or complication immediately escalated and resolved to ensure that we meet targets. Lexmark and the service partner teams will meet daily to review all open calls to ensure that we are both working together to realize the fastest resolution possible.
- **Robust, purpose-built systems:** Our systems allow us detailed tracking and report of every device and every incident. Our electronic solutions allow us a remote view into each device.

Lexmark ensures through a multipronged approach that we resolve an incident in the minimum amount of time possible. The best way to achieve that is to resolve it the first time.

The end goal of all service level metrics is to maximize the availability of each machine in a fleet, ensuring the maximum working time and efficiency to your end users. Lexmark will stand behind the quality and speed of our service and the reliability of our products by guaranteeing the uptime delivered to our customers.

## Call tracking

Our team of service delivery dispatchers works to actively monitor and manage our calls using both system data and feedback from the field. This team handles and monitors every call and is able to detect any call which is at risk to meet its SLA objective. This information is gathered from our system status updates, feedback from the technicians in the field and forward stocking logistics system.

This approach is designed to ensure that everything is running correctly rather than waiting for something to go wrong and then escalate and correct, finds that a potential issue is caught earlier this way and, more often, prevents a missed call.

## Escalation process

| Escalation contact level | Role name | Role description | Named resource |
|---|---|---|---|
| First | Customer Support Center | Point of contact for all service requests, updates and escalations. | Team |
| Second | Customer operations manager | Assigned to the account; responsible for all operational aspects of the MPS and day-to-day single point of contact for all aspects of the contract. Escalation point for any service or operational issue. | TBD |
| Third | Account executive | Assigned to the account; responsible for overall relationship and all sales functions for the account. Escalation point for any issue. | Kristine McNutt |

| Escalation contact level | Role name | Role description | Named resource |
|---|---|---|---|
| Fourth | Service program manager | Superior of the customer operations manager and responsible for all operations in support of MPS customers across the United States. Escalation point for any issues under the MPS agreement. | TBD |
| Fifth | Director, MPS customer operations | Owner of all aspects of the MPS agreement and relationship. Escalation point for all issues. | Anne LaGoo |

## Reporting

In order to ensure devices are meeting the defined SLAs, Lexmark will track call resolution metrics and share this information with Region 4 ESC in the form of detailed service reporting, via our Siebel reporting tool. Lexmark will provide monthly service reports to Region 4 ESC during our strategic review process. Monthly reports detailing the service calls completed, service orders that are in progress, and devices that may have prolonged outages are provided. Any escalated issues will also have an action plan outlined to give Region 4 ESC an understanding of the steps Lexmark is taking to resolve the issue.

- **Provide the expected response time after initial service/help desk call to have a technician on site, if needed.**

**Lexmark response:**

Lexmark is capable of developing a break-fix offering customized to the specific scope and requirements of each customer opportunity, ranging from our standard offering of Next Business Day Repair, to four-hour on-site response, and even dedicated on-site service technicians. We will develop the pricing and service model to meet the customer need, however we do find that our standard Next Business Day Repair offering is an excellent value, and we have the metrics to back it up.

- Lexmark averaged a 62% remote fix rate against 2016 service requests, and this number continues to increase YOY.
- If issue is not resolved remotely, we will dispatch a technician for Next Business Day arrival, along with simultaneous overnight shipping of several recommended parts based on technical diagnosis from remote diagnosis in previous step.
- Lexmark averaged a 93% first call completion (FCC) rate globally against all dispatched service calls in 2016 and were rated “best in class” in a recent Technology Services Industry Association (TSIA) benchmark.
- For the 7% of calls that are not repaired on the first dispatch, Lexmark will escalate and involve second and third level support teams to repair on the second technician visit. Third level of support includes product engineering resources who are experts on our products.
- If the second visit is unsuccessful, Lexmark would typically begin escalation toward a “mechanical replacement” which is a new, like-for-like, permanent replacement device.
  - Lexmark performed a “mechanical replacement” on 0.2% of our active install base in 2016. This process is a rare exception to the norm.

- **List the type of reporting your organization can provide end-users on service/help desk calls.**

**Lexmark response:**

Our MPS customers are assigned a key account specialist from our Customer Support Center, who track and monitor open service calls on a daily basis and follow up or escalate as needed to ensure that calls are being closed per the agreed-upon SLAs. The key account specialist can provide daily service call reports via e-mail if necessary. Additionally, our Managed Services Web Portal provides near real-time visibility into all open service activities via dashboards and reports. End-users who have been authorized by their organization to view this information can click into any service call and see the current, updated issue and status.

As part of our governance process, Lexmark will provide specific information surrounding SLAs and breakage rates in devices. Lexmark will provide monthly service reports to Region 4 ESC and Six Sigma root cause analysis during our quarterly review process. Monthly reports detailing the service calls completed, service orders that are in progress and devices that may have prolonged outages are provided. Any escalated issues will also have an action plan outlined to give Region 4 ESC an understanding of the steps Lexmark is taking to resolve the issue. Lexmark will also track recurring problems inside Region 4 ESC, so that trouble machines or environments can be identified and remedied. Lexmark will share this data with Region 4 ESC as frequently as necessary. We will also proactively manage the data and bring issues to Region 4 ESC's attention in an effort to correct problems before they become a satisfaction issue for the end user.

Lexmark's monthly call tracking reports will include, but may not be limited to, the following information:

- Information about the end user who requested the service (name, branch/non-branch location, telephone number, etc.)
- Synopsis of issue and the type of service requested.
- Date and time of each call.
- Date and time of initial response.
- Date and time the service began.
- Date and time the service is completed.
- Description of how the problem was resolved.
- Total time of call, from customer call to resolution.
- An analysis of problem trends.
- Analysis of Lexmark's performance against our SLA.

- **Does your organization provide well defined service level agreements to customers? If so, please provide an example of a service level agreement that you have provided to a public-sector entity.**

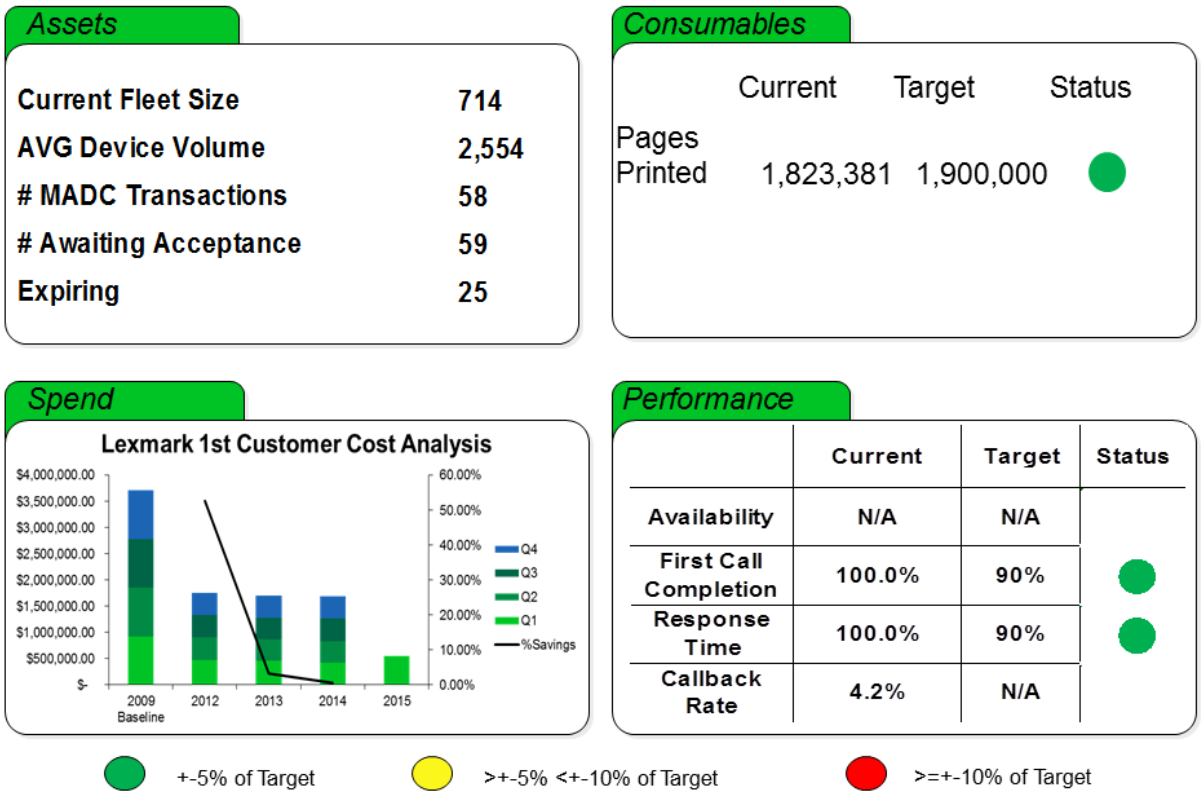
**Lexmark response:**

Lexmark customer service support has earned an industry reputation for providing leading-edge support of Lexmark devices. From basic service coverage to comprehensive support, Lexmark offers plans to meet the specific demands of your output environment and reduce costly printer downtime.

Lexmark can work with Region 4 ESC to design a mutually agreeable SLA structure around service that includes regular reviews and reporting and outlines escalation in the event of an SLA miss. We have created these programs for nearly all of our large MPS customers and typically include a description of the agreement as part of our final contract within the Statement of Work.

Our standard Next Business Day Repair SLA for networked MPS devices across all industries, including the public sector, is 90% (pending review of specific service zip codes). Lexmark will also commonly commit to a 95% fleet uptime SLA. Additional service offerings are available for mission-critical areas or through our MPS program. Services such as fail-over, hot-swap, self-maintenance and on-site personnel are all options Lexmark has implemented for other customers, and we can work with Region 4 ESC to design a program that meets all your needs. In our experience, Next Business Day on-site repair, when coupled with our infrastructure optimization strategy and Print Release solution, delivers the proper level of customer service with an economical cost structure.

Following is a typical Monthly Operations Scorecard where we would report on SLA performance to our customers.




- **State any restocking or return fees.**

**Lexmark response:**

Please see pricing template in Lexmark Attachment O for associated charges.

- **List the cost, if any, of any software technology that can be used in association with your service desk.**

**Lexmark response:**

Please see pricing template in Lexmark Attachment O for associated charges.

- **Include the cost for an outright purchase, monthly lease, or per device monthly fees.**

**Lexmark response:**

Purchase pricing has been provided. Lease pricing is available, dependent upon specific scope of services required by individual opportunity. Please see pricing template in Lexmark Attachment O.

- **Provide your organizations customer service statistics or survey results concerning the quality of services provided.**

**Lexmark response:**

Customer satisfaction is a key metric for Lexmark. Lexmark surveys customers on a monthly basis to measure their satisfaction on a series of service metrics, including call-center responsiveness, time to respond (on-site), first time fix, professionalism and quality of repair.

Lexmark measures customer satisfaction through a survey that covers all Lexmark geographies and service functions including technical support, on-site services and depot service. After they experience utilizing Lexmark service, customers are asked specific questions about the particular service they received, then they give an overall rating. Details from these surveys are used in each of the locations to understand the customer's view of the service and put in place actions to improve that level of service. The scale used is from one to five, with five being extremely satisfied. Results are analyzed and reported on a regular basis to the Lexmark executive management team. In addition, all customer complaints are tracked and managed in a database until closed.

Lexmark scores in the high 80s to low 90s in our customer satisfaction ratings which are best-in-class performance levels in our industry.

Lexmark's customer satisfaction ratings, as measured by those customers who rated our performance with 4 (satisfied) or 5 (extremely satisfied) are currently in the range of 87–92% across our technical support and on-site support programs.

Because of these efforts to solicit feedback from customers to better understand them, Lexmark received recognition in 2012 for excellence in knowledge management practices and excellence in service delivery optimization from the TSIA.

# VII. Consultant/Professional Services

- **Hourly labor charge for each service offered**

**Lexmark response:**

Please see pricing template in Lexmark Attachment O for associated charges.

- **Describe the service offered and the final output**

**Lexmark response:**

Lexmark provides comprehensive assessment services ranging from device optimization to business process management engagements. Lexmark has developed a closed-loop process for consulting. We start with specific vertical industry knowledge. The process is enhanced by an integrated suite of tools including electronic resources, tablet-based tools and a proven methodology. The result is a focused recommendation for our clients. The recommendation and implementation enhance our understanding of our clients and their industry. In this way, Lexmark better serves the individual client and subsequently the client's industry as a whole.

## Assessment offerings

Lexmark offers a range of assessments designed to meet the needs of its customers and the specific situation. Lexmark's assessment offerings leverage our extensive understanding of technology, industry expertise and knowledge of business processes to help agencies like Region 4 ESC identify ways to streamline the flow of information in your organization. Lexmark has conducted in excess of 6,000 consulting engagements worldwide and with it, Lexmark experts have the skills and knowledge to deliver consistent high value opportunities that meet the requirements of its customers.

Lexmark has multiple assessment offers based on specific customer situations and environments. These models have been created to offer a flexible and scalable approach adapting to specific customer circumstances. Following is a summary of some of these assessments.

### Needs Assessment

Lexmark's Needs Assessment focuses on identifying opportunities for efficiency gains within existing businesses and processes. Taking a consultative approach with an analytical-based work effort, this program identifies opportunities within the organization, with two distinct areas of focus: (1) process, or the interaction between documents, devices and user roles in the business process, and (2) devices, which involves assessing the existing environment with recommendations for a future-state design utilizing best-of-breed functionality and leading-edge technology.

Consultants work with Region 4 ESC's line-of-business owners to analyze the current state and processes to develop a recommended future state, leveraging technology, industry expertise, and the knowledge gained from interviews and meetings with a cross-functional selection of customer users.

## Office Print Assessment

Lexmark's Office Print Assessment (OPA) is an analytical engagement that focuses on device-centric issues, including technology selection, placement, usage, environmental impact and audits, service, and support across multiple divisions of the enterprise. The objective is to optimize end-user productivity and minimize the total cost of ownership in order to maximize the return on investment.

The OPA is designed to deliver in-depth analysis to improve the efficiency and effectiveness of all office print operations—network and direct-attached printers, walk-up copiers, and fax printing—to better align the customer's output capabilities with their business needs and enhance the flexibility of the organization's printing.

# IX. Maintenance (Break/Fix)

- **List all options for types of break/fix service associated with installed printers, including but not limited to:**
  1. **Parts and labor annual maintenance (supplies purchased separately).**
  2. **Parts and labor monthly maintenance (supplies purchased separately).**
  3. **Maintenance programs which allow for supplies to be charged on a per copy rate.**
  4. **Include pricing program that includes parts/labor for maintenance and supplies per click**
  5. **Indicate pricing program that includes parts/labor for maintenance, supplies and the lease price per click.**

**Lexmark response:**

Pricing for all listed Maintenance (break-fix) options as described are available, dependent upon specific scope of services required.

- **Detail how you would formulate a charge per copy for toner.**

**Lexmark response:**

Purchase price of individual consumable item divided by effective stated ISO yield of item.

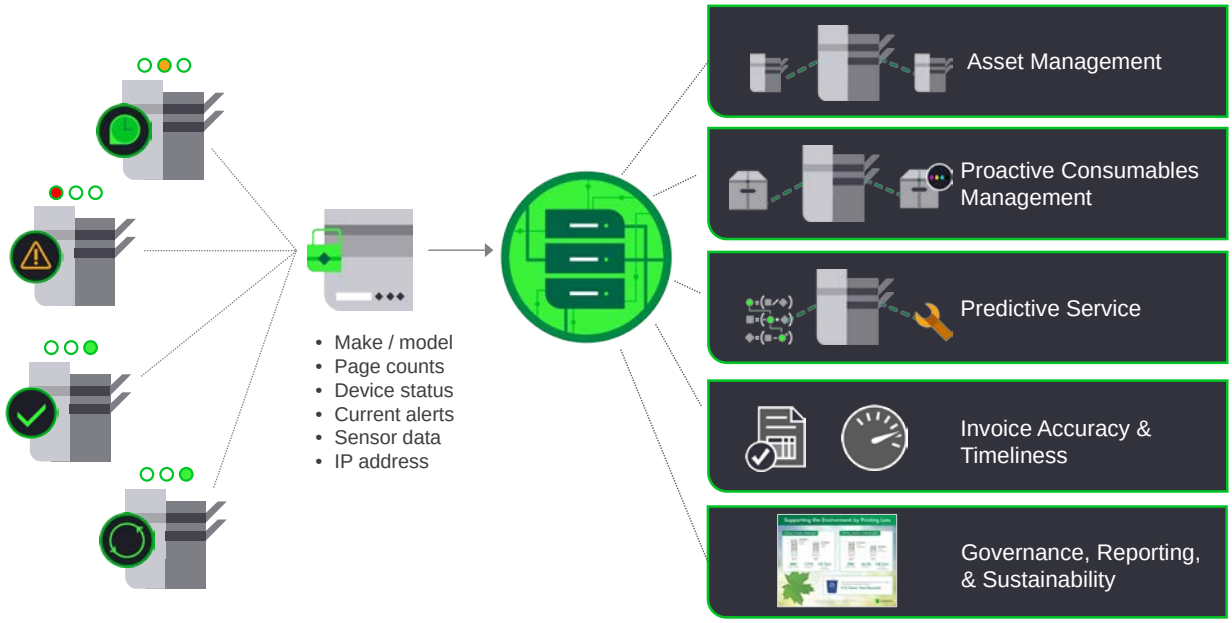
- **Detail how your organization is able to provide remote monitoring of all print devices for use in the management of consumable, break/fix, technical support and the improvements of efficiencies for supplies and/or cost reductions.**

**Lexmark response:**

Effective asset management is a business discipline enabled by people, process, data and technology to effectively manage the life cycle of assets to achieve a desired service level while mitigating risk and stabilizing operations to improve business performance. Since our inception, the cornerstone of our MPS offering has been to provide ongoing visibility to our customer's asset infrastructure to drive meaningful reporting to make informed business decisions with a focus on continuous improvement.

Our proposed solution will include the toolset that we utilize to provide proactive management in all of our MPS engagements and are evident at the current customers referenced in this RFP. We have invested over $250 million in a Siebel-based asset management system that provides the engine to enable visibility into the asset fleet, reporting, proactive monitoring, and automating processes such as invoicing and consumables fulfillment. This asset management system can manage devices globally and provides live information about the health of the fleet, the details of every single service request (down to the individual service technician who fixed the device), change requests and consumables management metrics. We provide a portal to all of our MPS customers to access this data, which also tracks our performance as it relates to SLAs.

***Services architecture***




## Management and monitoring infrastructure

Whether the output fleet being managed numbers in the hundreds, thousands or tens of thousands, the Lexmark ARMS can efficiently manage each asset individually. Customer-defined hierarchy functions roll up the individual device-level data into meaningful Region 4 ESC-specified views for work groups, departments, divisions and entire agencies.

The Lexmark asset management infrastructure supports a variety of business processes, including:

- Asset initialization
- Asset acceptance
- Customer agreement and pricing administration
- Meter read processing
- Change management (move, add, delete, change) tracking and reporting
- Billing management
- Swaps
- Internal reporting/SLA monitoring
- External customer reporting
- Audit

Effective asset management requires effective collection of data from the devices being managed. Lexmark devices are developed and manufactured with services in mind and our unique vertical integration allows for robust data collection. Lexmark may utilize a variety of tools to ensure efficient and effective data collection from both Lexmark and non-Lexmark devices. One such tool is the LDCM.

The LDCM will be implemented at Region 4 ESC's site to collect data on the output devices and deposit that information into Lexmark ARMS database. The database will be constructed to support Region 4 ESC reporting and billing requirements and hierarchy levels. We will work with Region 4 ESC to understand how to provide reporting and billing on the asset database that is relevant to the key areas of your organization—i.e., management reporting for the distinct work groups. Region 4 ESC will have access to the Lexmark Managed Services Web Portal to access fleet information on demand at any point in time. The visibility that the Lexmark asset management infrastructure provides enables us to become more proactive in our operational support and will give us the data that we need to turn information into actionable opportunities for savings.

Lexmark tracks all hardware configurations in our asset management database. Any changes to accessories and configurations will be communicated through a mutually agreed-upon and predefined process to ensure accuracy of the asset inventory data.

Lexmark has the capability to collect data on non-network-attached devices (USB only). This capability requires that a software client be installed on each network-attached PC with a locally attached Lexmark printer. This is in contrast to network printers, where the LDCM polls the printers and thus provides a single point of control and responsibility regarding the data consistency.

If non-network printers exist in an environment where the PC and printer are almost always powered on, where network connectivity is reliable and where the collection software does not conflict with other PC software, then data availability (and thus reporting and device management) can approach that of network printers.

The Lexmark project manager oversees the implementation of all required tools to enable device management, monitoring and reporting as described above.

Lexmark's monitoring capabilities enable remote access to the fleet of output devices so device-specific conditions can be identified, diagnosed and acted upon in the most efficient manner possible. By design, this is intended to ensure maximum uptime and end-user satisfaction.

Remote monitoring is the most effective way to manage a large fleet of output devices. Proactive maintenance and support will be performed utilizing Lexmark's proprietary toolset and can be done remotely, on the Region 4 ESC site or both remote and on-site.

Proactive management is comprised of the following items:

- Proactive device monitoring
- Proactive Consumables Management
- Configuration management
- Maintenance service
- Help desk integration
- Tracking and reporting
- Managed Services Web Portal
- MPS governance

Finally from a monitoring perspective, we have integrated an analytics platform into our asset management database that provides two unique capabilities to Lexmark and sets us apart from our competition.

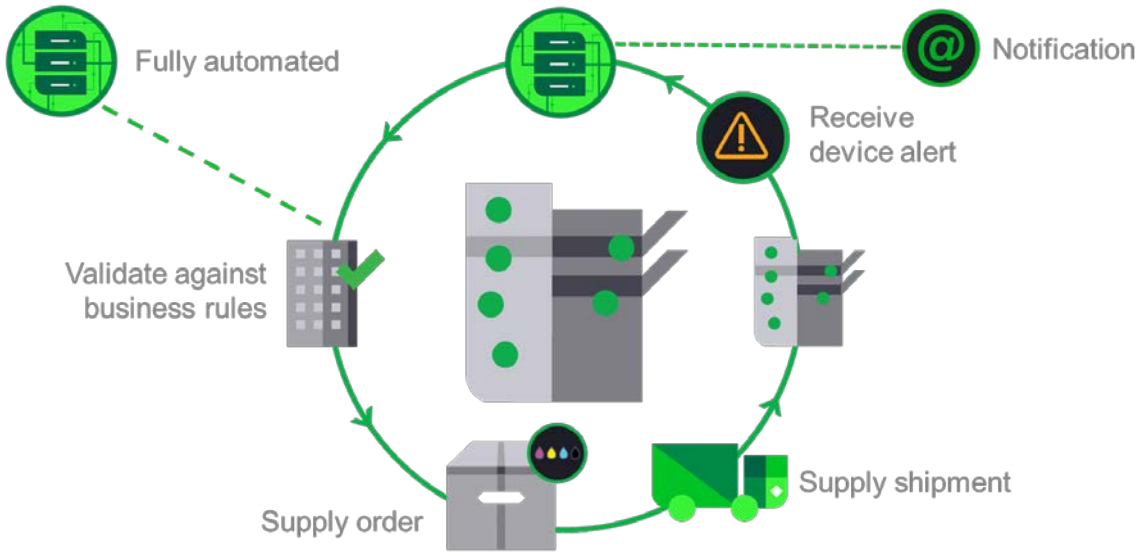
- **Predictive Service:** Thanks to our asset management system and technology-based approach to managed print services we've created an analytics engine that captures, interprets and analyzes device data—allowing us to automatically take action to keep your fleet at peak performance before any outages occur. Our system detects potential issues and will automatically initiate service requests—bypassing the need for users or IT staff to call the help desk or enter a trouble ticket. Predictive Service takes proactive monitoring to a new level. We are no longer waiting to see an error alert and then "reacting" to that alert. We are truly predicting an error or outage before it occurs. With Lexmark Predictive Service, you'll realize many benefits, including:
  - Reduction of print-related help desk calls by up to 29%.
  - Increase in remote fix by up to 20%.
  - Decrease in service technician dispatch by 14%.
- **MPS Process Analytics:** Leveraging the same analytics platform, our consulting team is able to glean more meaningful data, trending and information from the fleet to detect inefficient areas in your environment. We then deploy our consultants to analyze these areas and identify solutions that drive efficiencies focused on continuous improvement.

## Proactive Consumables Management

Lexmark's Proactive Consumables Management services is a standard offering within Lexmark MPS. Lexmark's automated consumables management program provides consumables where Region 4 ESC needs them and when Region 4 ESC needs them, avoiding the excess purchase of expensive supplies.

Once our core services are implemented and we are managing the customer database of assets, we collect consumable alerts produced by output devices. It starts with the detection of the need via the front-panel alerts on the output device via the LDCM. The alert information captured by the LDCM is transmitted to Lexmark's Consumables Management System (CMS) via HTTPS over port 443. When we receive the alert, CMS validates whether the output device is active in the database and then checks the need for the consumable item against a set of business rules—the device serial number/type/IP address combination are under management and that the requisite number of pages have printed since the last toner-low event on that device. This ensures the right consumable is shipped for receipt at the end-user workstation, avoiding duplicate orders.

Once the alert has been validated, the system then automatically sends the supplies order to Lexmark's supply chain for fulfillment. Region 4 ESC receives notification when order is placed. Once the order has been shipped, Region 4 ESC's key user will receive an e-mail notification. With this notification, Region 4 ESC can track the order until delivery giving you complete visibility. The following diagram shows how the process works.




Lexmark's program includes all toner and maintenance kits. In our proactive service model, we will not only automatically send a maintenance kit, but we will also dispatch a technician to install the maintenance kit when it arrives as a preventative maintenance measure. The end-user notifications are customized so the end user knows that the maintenance kit has been ordered and will be installed by a technician with no responsibility on their part.

The components of our proactive detection, order, shipping and recycling is detailed here in point form:

- Consumables need identification: Lexmark tools can electronically detect the need for toner cartridges, maintenance kits, staples and photoconductors. This results in the proactive shipping of consumables and the replacement of maintenance kits. All devices on the network will be monitored proactively regardless of urban versus rural locations.
- End users can request consumables from Lexmark for devices that are not connected.
- Order authorization: Lexmark will perform a rules-based order authorization function prior to routing a consumable order. Lexmark's CMS automates the entire process. The system validates the correct consumable for the device, validates the shipping information, location and contact for the device.
- Consumable fulfillment: Consumables will be fulfilled through a reseller who will coordinate the delivery of these required consumables to the required location and load on behalf of the user. The system provides all relevant information to perform the consumable replacement including device, location, machine serial number and contact information.
- Exception management: If an order fails the order authorization process, Lexmark will generate an exception report that will be routed to the appropriate personnel.
- Route orders: Lexmark's system will route orders automatically to the reseller.
- Removal and environmental recycling of spent cartridges will be performed by Lexmark as part of our environmental initiatives and LCCP. The program provides for the direct return of the empty cartridge to Lexmark via a prepaid label contained in the carton of the new cartridge. The end user or key operator simply places the used cartridge in the box of the new one, affixing the prepaid label to the box and staging it for return shipment.

- Track consumable shipments and equipment utilization to report as part of our Strategic Business Reviews.
- Visibility: Lexmark will set up the Managed Services Web Portal that can be accessed by any users within the Region 4 ESC environment. Users will be able to view up-to-date order status (accepted, shipped, delivered and the like) as well as tracking numbers associated to each of the orders (where available).
- Orders for non-networked or local devices can be communicated by phone, fax or e-mail to Lexmark's service delivery manager or to the help desk.

We believe that automating this monitoring function using software, algorithmic analysis and automatic order generation and notifications for networked devices will eliminate any potential outage situation. This speaks to the capabilities of our tools in that detection of consumables goes beyond merely toner. We can detect front panel alerts for virtually all replaceable components, not just toner.

Lexmark will proactively monitor for consumable requirements on networked devices, automate the order and delivery process. We will strategically stock consumables at hubs and where possible Region 4 ESC facilities. We will partner with a reseller for delivery. The main reason for this is security clearance of reseller employees and adherence to Region 4 ESC business practices, code of conduct and protection of confidential information that may be at the output device while this function is being performed.

Using these proven systems, locally maintained inventory and closed loop delivery, we can fulfill Region 4 ESC requested consumable service levels regardless of device location (urban or remote). Automated consumable detection and delivery is contingent on devices being on the network where they can be monitored, managed and measured. However, should certain devices not be connected, we have provisions for end-user ordering and sufficient inventory management that will mitigate the risk of toner outage situations.

Our consumables management process will yield the following benefits for Region 4 ESC:

- Consistent budgeting and pay for use by enabling a variety of invoicing models, including cost-per-page model.
- Flexibility to have fulfillment done directly with Lexmark or with partners.
- Reliable, high-quality, high-yield, Lexmark-manufactured products.
- Freedom from tasks related to ordering consumables and maintaining stock levels.
- Just-in-time delivery, with no expensive stockpiling of materials that become obsolete over time.
- Direct recycling of products with Lexmark.
- Order history and status viewable in the Lexmark Managed Services Web Portal.

- **List how you will configure pricing for future printer models by other manufacturers.**

**Lexmark response:**

Pricing is to be determined as customized to specific request.

- **If meter collection is performed by vendor on-site, list the monthly or hourly rate.**

**Lexmark response:**

Meter collection is performed remotely using MPS tools described above for networked devices, or as provided by the customer. Lexmark relies on automation as opposed to labor for this process to ensure highest accuracy, speed and lowest cost of this data collection service, and we typically do not place on-site resources specifically to gather meter reads.

- **If meter collection is performed through software, list monthly charge or purchase price, if any, per asset.**

**Lexmark response:**

Please see pricing template in Lexmark Attachment O for associated charges. Software meter collection is included in Support Services monthly fee per device.

## X. Other Management Print Services

- **For additional products or services that fall within the scope of this contract, vendor may include a separate description of the product or service, along with the proposed pricing.**
- **Include software or licensing costs or components of any services provided.**

**Lexmark response:**

Please see Lexmark Attachment O for other products, services, software and solutions pricing. We have also included the Lexmark solutions for K-12 school districts brochure in Lexmark Attachment T.

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# Tab 5 - References (Appendix F)

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# Tab 6 - Pricing (Appendix C)

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## Electronic Price Lists

- **Offerors shall provide a price in the format of a percentage discount off a verifiable price index. Offerors may submit discounts for various manufacturers. Discounts will remain firm and will include all charges that may be incurred in fulfilling requirement(s).**
- **Offerors are encouraged to offer additional discounts for one time delivery of large single orders to Region 4 ESC and member agencies. Region 4 ESC and or member agencies should seek, to negotiate additional price concessions based on quantity purchases of any products offered under the Contract. Members shall document their files accordingly.**
- **Offerors must submit products, services, warranties, etc. in price list.**
- **Prices listed will be used to establish the extent of a manufacturer's product lines, services, warranties, etc. that are available from a particular offeror and the pricing per item.**
- **Services such as installation, delivery, tech support, training, and other services must be priced or listed as free in order to be offered on the contract. Unlisted services will not be accepted.**
- **Electronic price lists must contain the following: (if applicable)**
    - **Manufacturer part #**
    - **Vendor part # (if different from manufacturer part #)**
    - **Description**
    - **Manufacturer's Suggested List Price and Net Price**
    - **Net price to Region 4 ESC (including freight)**
- **Media submitted for price list must include the respondents' company name, name of the solicitation, and date on Flash Drive (i.e. Pin or Jump Drives).**
- ***Please submit price lists and/or catalogs in excel or delimited format only.***

## Not to Exceed Pricing

- **All pricing submitted shall be "minimum discount ceiling" or "not-to-exceed" pricing. Region 4 ESC requests pricing be submitted as not to exceed for any participating entity.**
- **Unlike fixed pricing the awarded vendor can adjust submitted pricing lower if needed but, cannot exceed original pricing submitted for solicitation.**
- **Offeror must allow for lower pricing to be available for similar product and service purchases.**

**Provide pricing based on your standard pricing model:**

- **License Fees**
- **Discount schedule**
- **Hardware Unit Prices, if any**
- **Installation Costs**
- **Maintenance Costs**
- **Training**
- **Additional Costs**

**Lexmark response:**

Lexmark understands and complies with the pricing requirements stated herein. Please see pricing template in Lexmark Attachment O for associated charges.

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# Tab 7 - Value Add (Appendix G)

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**Please include any additional products and/or services not included in the scope of the solicitation that you think will enhance and/or add value to this contract for participating agencies. Your marketing plan and salesforce training plan as detailed in Appendix F will also be taken into account when evaluating your company's value add score.**

**Any additional products or services offered in this section will only be considered by Region 4 ESC if auditable pricing is offered for them in Appendix C. Any products or services for which pricing is not offered will not be considered a part of any contract awarded as a result of this RFP.**

**All products or services offered in this section are subject to the same requirements as products offered in Appendix B. Respondents must provide detailed descriptions of any additional products and services being offered as a part of their proposal, and Region 4 ESC reserves the right to reject any value add products or services which it deems to be unrelated to the scope of this RFP.**

**Lexmark response:**

Please see Lexmark Attachment O for other products, services, software and solutions pricing. We have also included the Lexmark solutions for K-12 school districts brochure in Lexmark Attachment T.

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# Tab 8 - Required Documents

## Additional Required Documents (Appendix H)

**DOC #1** **Clean Air and Water Act**
**DOC #2** **Debarment Notice**
**DOC #3** **Lobbying Certification**
**DOC #4** **Contractors Requirements**
**DOC #5** **Antitrust Certification Statements**
**DOC #6** **Implementation HB 1295 (Certificate of Interested Parties)**
**DOC #7** **EDGAR Certifications**

### For vendors intending to do business in New Jersey:

**DOC #8** **Ownership Disclosure Form**
**DOC #9** **Non-Collusion Affidavit**
**DOC #10** **Affirmative Action Affidavit**
**DOC #11** **Political Contribution Disclosure Form**
**DOC #12** **Stockholder Disclosure Certification**
Includes DOC #13 & #14

### Attachments for vendors intending to do business in Hawaii:

**Attachment A: Participating Addendum**

## Acknowledgement & Acceptance of Region 4 ESC Open Records Policy (Page 4)

**Lexmark response:**
Please see the following pages for the signed documents.

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DOC #1

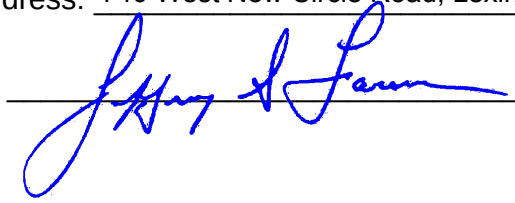
# Clean Air and Water Act

I, the Vendor, am in compliance with all applicable standards, orders or regulations issued pursuant to the Clean Air Act of 1970, as Amended (42 U.S. C. 1857 (h), Section 508 of the Clean Water Act, as amended (33 U.S.C. 1368), Executive Order 117389 and Environmental Protection Agency Regulation, 40 CFR Part 15 as required under OMB Circular A-102, Attachment O, Paragraph 14 (1) regarding reporting violations to the grantor agency and to the United States Environment Protection Agency Assistant Administrator for the Enforcement.

Potential Vendor: Lexmark International, Inc.

Title of Authorized Representative: Senior Director, World Wide Contracts

Mailing Address: 740 West New Circle Road, Lexington, Kentucky 40550

Signature: 

DOC #2

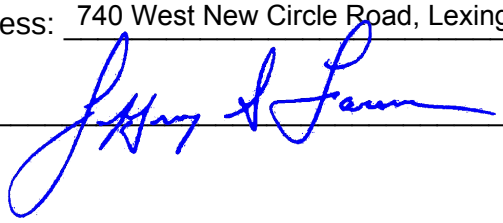
# Debarment Notice

I, the Vendor, certify that my company has not been debarred, suspended or otherwise ineligible for participation in Federal Assistance programs under Executive Order 12549, “Debarment and Suspension”, as described in the Federal Register and Rules and Regulations.

Potential Vendor: Lexmark International, Inc.

Title of Authorized Representative: Senior Director, World Wide Contracts

Mailing Address: 740 West New Circle Road, Lexington, Kentucky 40550

Signature: 

**DOC #3**

# LOBBYING CERTIFICATION

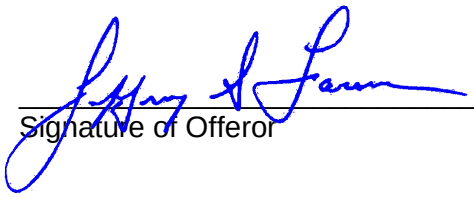
Submission of this certification is a prerequisite for making or entering into this transaction and is imposed by Section 1352, Title 31, U.S. Code. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Any person who fails to file the required certification shall be subject to civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

The undersigned certifies, to the best of his/her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.

2. If any funds other than Federal appropriated funds have been or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all covered sub-awards exceeding $100,000 in Federal funds at all appropriate tiers and that all sub-recipients shall certify and disclose accordingly.



Signature of Offeror

July 11, 2017

Date

**DOC #4** **CONTRACTOR CERTIFICATION REQUIREMENTS**

**Contractor's Employment Eligibility**

By entering the contract, Contractor warrants compliance with the Federal Immigration and Nationality Act (FINA), and all other federal and state immigration laws and regulations. The Contractor further warrants that it is in compliance with the various state statues of the states it is will operate this contract in.

Participating Government Entities including School Districts may request verification of compliance from any Contractor or subcontractor performing work under this Contract. These Entities reserve the right to confirm compliance in accordance with applicable laws.

Should the Participating Entities suspect or find that the Contractor or any of its subcontractors are not in compliance, they may pursue any and all remedies allowed by law, including, but not limited to: suspension of work, termination of the Contract for default, and suspension and/or debarment of the Contractor. All costs necessary to verify compliance are the responsibility of the Contractor.

The offeror complies and maintains compliance with the appropriate statutes which requires compliance with federal immigration laws by State employers, State contractors and State subcontractors in accordance with the E-Verify Employee Eligibility Verification Program.

Contractor shall comply with governing board policy of the Region 4 ESC Participating entities in which work is being performed.

---

**Fingerprint and Background Checks**

If required to provide services on school district property at least five (5) times during a month, contractor shall submit a full set of fingerprints to the school district if requested of each person or employee who may provide such service. Alternately, the school district may fingerprint those persons or employees. An exception to this requirement may be made as authorized in Governing Board policy. The district shall conduct a fingerprint check in accordance with the appropriate state and federal laws of all contractors, subcontractors or vendors and their employees for which fingerprints are submitted to the district. Contractor, subcontractors, vendors and their employees shall not provide services on school district properties until authorized by the District.

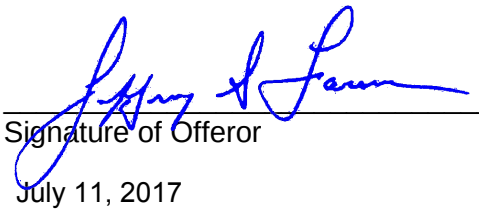
The offeror shall comply with fingerprinting requirements in accordance with appropriate statutes in the state in which the work is being performed unless otherwise exempted.

Contractor shall comply with governing board policy in the school district or Participating Entity in which work is being performed.

---

**Business Operations in Sudan, Iran**

In accordance with A.R.S. 35-391 and A.R.S. 35-393, the Contractor hereby certifies that the contractor does not have scrutinized business operations in Sudan and/or Iran.



Signature of Offeror

July 11, 2017

Date

**DOC #5**

# ANTITRUST CERTIFICATION STATEMENTS
# (Tex. Government Code § 2155.005)

I affirm under penalty of perjury of the laws of the State of Texas that:

1. I am duly authorized to execute this contract on my own behalf or on behalf of the company, corporation, firm, partnership or individual (Company) listed below;

2. In connection with this proposal, neither I nor any representative of the Company has violated any provision of the Texas Free Enterprise and Antitrust Act, Tex. Bus. & Comm. Code Chapter 15;

3. In connection with this proposal, neither I nor any representative of the Company has violated any federal antitrust law; and

4. Neither I nor any representative of the Company has directly or indirectly communicated any of the contents of this proposal to a competitor of the Company or any other company, corporation, firm, partnership or individual engaged in the same line of business as the Company.

**Vendor** Lexmark International, Inc.

**Address** 740 West New Circle Road

Lexington, KY 40550

**Phone** 859/232-2000

**Fax** _____

**Offeror** _____
Signature

Geoff Parker
Printed Name

Contracts Manager
Position with Company

**Authorizing Official**

_____
Signature

Jeffrey Larsen
Printed Name

Senior Director, World Wide Contracts
Position with Company

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**DOC # 6**

# Implementation of House Bill 1295

## Certificate of Interested Parties (Form 1295):

In 2015, the Texas Legislature adopted House Bill 1295, which added section 2252.908 of the Government Code. The law states that a governmental entity or state agency may not enter into certain contracts with a business entity unless the business entity submits a disclosure of interested parties to the governmental entity or state agency at the time the business entity submits the signed contract to the governmental entity or state agency. The law applies only to a contract of a governmental entity or state agency that either (1) requires an action or vote by the governing body of the entity or agency before the contract may be signed or (2) has a value of at least $1 million. The disclosure requirement applies to a contract entered into on or after January 1, 2016.

The Texas Ethics Commission was required to adopt rules necessary to implement that law, prescribe the disclosure of interested parties form, and post a copy of the form on the commission's website. The commission adopted the Certificate of Interested Parties form (Form 1295) on October 5, 2015. The commission also adopted new rules (Chapter 46) on November 30, 2015, to implement the law. The commission does not have any additional authority to enforce or interpret House Bill 1295.

**Filing Process:**

Staring on January 1, 2016, the commission will make available on its website a new filing application that must be used to file Form 1295. A business entity must use the application to enter the required information on Form 1295 and print a copy of the completed form, which will include a certification of filing that will contain a unique certification number. An authorized agent of the business entity must sign the printed copy of the form and have the form notarized. The completed Form 1295 with the certification of filing must be filed with the governmental body or state agency with which the business entity is entering into the contract.

The governmental entity or state agency must notify the commission, using the commission's filing application, of the receipt of the filed Form 1295 with the certification of filing not later than the 30th day after the date the contract binds all parties to the contract. The commission will post the completed Form 1295 to its website within seven business days after receiving notice from the governmental entity or state agency.

Information regarding how to use the filing application will be available on this site starting on January 1, 2016.

https://www.ethics.state.tx.us/whatsnew/elf_info_form1295.htm

**Lexmark response:**
Please see the following page for our notarized Certificate of Interested Parties (Form 1295).

# CERTIFICATE OF INTERESTED PARTIES

**FORM 1295**



Complete Nos. 1 - 4 and 6 if there are interested parties.
Complete Nos. 1, 2, 3, 5, and 6 if there are no interested parties.

**OFFICE USE ONLY**
**CERTIFICATION OF FILING**

**Certificate Number:**
2017-232314

**Date Filed:**
07/05/2017

**Date Acknowledged:**

**1 Name of business entity filing form, and the city, state and country of the business entity's place of business.**
Lexmark International Inc
Lexington, KY United States

**2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.**
Region 4 Education Service Center

**3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.**
Solicitation Number 17-14 MPS
MANAGED PRINT SOLUTIONS to be provided to members of The Cooperative Purchasing Network.

| 4 Name of Interested Party | City, State, Country (place of business) | Nature of interest (check applicable) | |
|---|---|---|---|
| | | Controlling | Intermediary |
| PAG Asia Capital Lexmark Holding Limited | Tortola British Virgin Islands Virgin | X | |
| Apex Technology Co., Ltd | Xiangzhou District Zhuhai, | X | |
| | | | |
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**5 Check only if there is NO Interested Party.** ☐

**6 AFFIDAVIT**

I swear, or affirm, under penalty of perjury, that the above disclosure is true and correct.

MARY BETH CARTER NOTARY PUBLIC STATE AT LARGE, KENTUCKY MY COMMISSION EXPIRES 6/22/2021

AFFIX NOTARY STAMP/SEAL ABOVE

Signature of authorized agent of contracting business entity

Sworn to and subscribed before me, by the said Jeffrey Larsen, this the 11th day of July, 20 17, to certify which, witness my hand and seal of office.

| Signature of officer administering oath | Mary Beth Carter<br>Printed name of officer administering oath | Notary Public Notary ID 579342<br>Title of officer administering oath |
|---|---|---|

**DOC #7**

# EDGAR CERTIFICATIONS

ADDENDUM FOR AGREEMENT FUNDED BY U.S. FEDERAL GRANT

**TO WHOM IT MAY CONCERN:**

**REGION 4 EDUCATION SERVICE CENTER is in the process of ensuring that all policies and procedures involving the expenditure of federal funds are compliant with the new Education Department General Administrative Guidelines ("EDGAR"). Part of this process involves ensuring that all current vendors agree to comply with EDGAR. You must complete this form and return to REGION 4 EDUCATION SERVICE CENTER along with you proposal.**

The following certifications and provisions are required and apply when REGION 4 EDUCATION SERVICE CENTER expends federal funds for any contract resulting from this procurement process. Pursuant to 2 C.F.R. § 200.326, all contracts, including small purchases, awarded by the Agency and the Agency's subcontractors shall contain the procurement provisions of Appendix II to Part 200, as applicable.

## REQUIRED CONTRACT PROVISIONS FOR NON-FEDERAL ENTITY CONTRACTS UNDER FEDERAL AWARDS APPENDIX II TO 2 CFR PART 200

**(A) Contracts for more than the simplified acquisition threshold currently set at $150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.**

Pursuant to Federal Rule (A) above, when REGION 4 EDUCATION SERVICE CENTER expends federal funds, REGION 4 EDUCATION SERVICE CENTER reserves all rights and privileges under the applicable laws and regulations with respect to this procurement in the event of breach of contract by either party.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

**(B) Termination for cause and for convenience by the grantee or subgrantee including the manner by which it will be effected and the basis for settlement. (All contracts in excess of $10,000)**

Pursuant to Federal Rule (B) above, when REGION 4 EDUCATION SERVICE CENTER expends federal funds, REGION 4 EDUCATION SERVICE CENTER reserves the right to immediately terminate any agreement in excess of $10,000 resulting from this procurement process in the event of a breach or default of the agreement by Vendor in the event Vendor fails to: (1) meet schedules, deadlines, and/or delivery dates within the time specified in the procurement solicitation, contract, and/or a purchase order; (2) make any payments owed; or (3) otherwise perform in accordance with the contract and/or the procurement solicitation. REGION 4 EDUCATION SERVICE CENTER also reserves the right to terminate the contract immediately, with written notice to vendor, for convenience, if REGION 4 EDUCATION SERVICE CENTER believes, in its sole discretion that it is in the best interest of REGION 4 EDUCATION SERVICE CENTER to do so. Vendor will be compensated for work performed and accepted and goods accepted by REGION 4 EDUCATION SERVICE CENTER as of the termination date if the contract is terminated for convenience of REGION 4 EDUCATION SERVICE CENTER. Any award under this procurement process is not exclusive and REGION 4 EDUCATION SERVICE CENTER reserves the right to purchase goods and services from other vendors when it is in REGION 4 EDUCATION SERVICE CENTER's best interest.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

**(C) Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of "federally assisted construction contract" in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, "Equal Employment Opportunity" (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and implementing regulations at 41 CFR part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor."**

Pursuant to Federal Rule (C) above, when REGION 4 EDUCATION SERVICE CENTER expends federal funds on any federally assisted construction contract, the equal opportunity clause is incorporated by reference herein.

Does Vendor agree to abide by the above? YES _____ Initials of Authorized Representative of Vendor

**(D) Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of $2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, "Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction"). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non- Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland "Anti-Kickback" Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, "Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States"). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.**

Pursuant to Federal Rule (D) above, when REGION 4 EDUCATION SERVICE CENTER expends federal funds during the term of an award for all contracts and subgrants for construction or repair, Vendor will be in compliance with all applicable Davis-Bacon Act provisions.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

**(E) Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708). Where applicable, all contracts awarded by the non-Federal entity in excess of $100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.**

Pursuant to Federal Rule (E) above, when REGION 4 EDUCATION SERVICE CENTER expends federal funds, Vendor certifies that Vendor will be in compliance with all applicable provisions of the Contract Work Hours and Safety Standards Act during the term of an award for all contracts by REGION 4 EDUCATION SERVICE CENTER resulting from this procurement process.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

**(F) Rights to Inventions Made Under a Contract or Agreement. If the Federal award meets the definition of "funding agreement" under 37 CFR §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that "funding agreement," the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," and any implementing regulations issued by the awarding agency.**

Pursuant to Federal Rule (F) above, when federal funds are expended by REGION 4 EDUCATION SERVICE CENTER, the vendor certifies that during the term of an award for all contracts by REGION 4 EDUCATION SERVICE CENTER resulting from this procurement process, the vendor agrees to comply with all applicable requirements as referenced in Federal Rule (F) above.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

**(G) Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended—Contracts and subgrants of amounts in excess of $150,000 must contain a provision that requires the non- Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251- 1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).**

Pursuant to Federal Rule (G) above, when federal funds are expended by REGION 4 EDUCATION SERVICE CENTER, the vendor certifies that during the term of an award for all contracts by REGION 4 EDUCATION SERVICE CENTER member resulting from this procurement process, the vendor agrees to comply with all applicable requirements as referenced in Federal Rule (G) above.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

**(H) Debarment and Suspension (Executive Orders 12549 and 12689)—A contract award (see 2 CFR 180.220) must not be made to parties listed on the government wide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), "Debarment and Suspension." SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.**

Pursuant to Federal Rule (H) above, when federal funds are expended by REGION 4 EDUCATION SERVICE CENTER, the vendor certifies that during the term of an award for all contracts by REGION 4 EDUCATION SERVICE CENTER resulting from this procurement process, the vendor certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation by any federal department or agency.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

**(I) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—Contractors that apply or bid for an award exceeding $100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.**

Pursuant to Federal Rule (I) above, when federal funds are expended by REGION 4 EDUCATION SERVICE CENTER, the vendor certifies that during the term and after the awarded term of an award for all contracts by REGION 4 EDUCATION SERVICE CENTER resulting from this procurement process, the vendor certifies that it is in compliance with all applicable provisions of the Byrd Anti-Lobbying Amendment (31 U.S.C.
1352). The undersigned further certifies that:
(1) No Federal appropriated funds have been paid or will be paid for on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an
officer or employee of congress, or an employee of a Member of Congress in connection with the awarding
of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
(3) The undersigned shall require that the language of this certification be included in the award documents for all covered sub-awards exceeding $100,000 in Federal funds at all appropriate tiers and that all subrecipients shall certify and disclose accordingly.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

## RECORD RETENTION REQUIREMENTS FOR CONTRACTS INVOLVING FEDERAL FUNDS

When federal funds are expended by REGION 4 EDUCATION SERVICE CENTER for any contract resulting from this procurement process, Vendor certifies that it will comply with the record retention requirements detailed in 2 CFR § 200.333. The Vendor further certifies that Vendor will retain all records as required by 2 CFR § 200.333 for a period of three years after grantees or subgrantees submit final expenditure reports or quarterly or annual financial reports, as applicable, and all other pending matters are closed.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

## CERTIFICATION OF COMPLIANCE WITH THE ENERGY POLICY AND CONSERVATION ACT

When REGION 4 EDUCATION SERVICE CENTER expends federal funds for any contract resulting from this procurement process, Vendor certifies that it will comply with the mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (42 U.S.C. 6321 et seq.; 49 C.F.R. Part 18).

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

## CERTIFICATION OF COMPLIANCE WITH BUY AMERICA PROVISIONS

Vendor certifies that Vendor is in compliance with all applicable provisions of the Buy America Act. Purchases made in accordance with the Buy America Act must still follow the applicable procurement rules calling for free and open competition.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

## CERTIFICATION OF ACCESS TO RECORDS – 2 C.F.R. § 200.336

Vendor agrees that the Inspector General of the Agency or any of their duly authorized representatives shall have access to any books, documents, papers and records of Vendor that are directly pertinent to Vendor's discharge of its obligations under the Contract for the purpose of making audits, examinations, excerpts, and transcriptions. The right also includes timely and reasonable access to Vendor's personnel for the purpose of interview and discussion relating to such documents.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

## CERTIFICATION OF APPLICABILITY TO SUBCONTRACTRS

Vendor agrees that all contracts it awards pursuant to the Contract shall be bound by the foregoing terms and conditions.

Does Vendor agree? YES _____ Initials of Authorized Representative of Vendor

**Vendor agrees to comply with all federal, state, and local laws, rules, regulations and ordinances, as applicable. It is further acknowledged that vendor certifies compliance with all provisions, laws, acts, regulations, etc. as specifically noted above.**

Vendor's Name: Lexmark International, Inc.

Address, City, State, and Zip Code: 740 West New Circle Road, Lexington, Kentucky 40550

Phone Number: 859/232-2000 Fax Number: _____

Printed Name and Title of Authorized Representative: Jeffrey Larsen, Senior Director, World Wide Contracts

Email Address: jlarsen@lexmark.com

Signature of Authorized Representative: _____ Date: July 11, 2017

**DOC #8**

# OWNERSHIP DISCLOSURE FORM
## (N.J.S. 52:25-24.2)

Pursuant to the requirements of P.L. 1999, Chapter 440 effective April 17, 2000 (Local Public Contracts Law), the offeror shall complete the form attached to these specifications listing the persons owning 10 percent (10%) or more of the firm presenting the proposal.

**Company Name:** Lexmark International, Inc.

**Street:** 740 West New Circle Road

**City, State, Zip Code:** Lexington, Kentucky 40550

**Complete as appropriate:**

*I _____, certify that I am the sole owner of _____, that there are no partners and the business is not incorporated, and the provisions of N.J.S. 52:25-24.2 do not apply.*

***OR:***

*I _____, a partner in_____, do hereby certify that the following is a list of all individual partners who own a 10% or greater interest therein. I further certify that if one (1) or more of the partners is itself a corporation or partnership, there is also set forth the names and addresses of the stockholders holding 10% or more of that corporation's stock or the individual partners owning 10% or greater interest in that partnership.*

***OR:***

*I* Jeffrey Larsen *, an authorized representative of* Lexmark International, Inc. *, a corporation, do hereby certify that the following is a list of the names and addresses of all stockholders in the corporation who own 10% or more of its stock of any class. I further certify that if one (1) or more of such stockholders is itself a corporation or partnership, that there is also set forth the names and addresses of the stockholders holding 10% or more of the corporation's stock or the individual partners owning a 10% or greater interest in that partnership.*

**(Note: If there are no partners or stockholders owning 10% or more interest, indicate none.)**

| Name | Address | Interest |
|---|---|---|
| Ninestar Corporation | No. 3822 Zhuhai Avenue, Xiangzhou District Zhuai, Guangdong, P.R. China | 51% |
| PAG Asia Capital | Commence Chambers, P.O. Box 2208, Road Town Tortola, British Virgin Islands | 42% |
| | | |
| | | |

*I further certify that the statements and information contained herein, are complete and correct to the best of my knowledge and belief.*

July 11, 2017
***Date***

Sr. Dir., World Wide Contracts
***Authorized Signature and Title***

DOC #9

# NON-COLLUSION AFFIDAVIT

**Company Name:** Lexmark International, Inc.

**Street:** 740 West New Circle Road

**City, State, Zip Code:** Lexington, Kentucky 40550

*State of Kentucky*

*County of* Fayette

*I,* Jeffrey Larsen *(Name)* *of the* Lexington *(City)*

*in the County of* Fayette, *State of* Kentucky
*of full age, being duly sworn according to law on my oath depose and say that:*

*I am the* Senior Director, World Wide Contracts *(Title)* *of the firm of* Lexmark International, Inc. *(Company Name)*

*the offeror making the Proposal for the goods, services or public work specified under the attached proposal, and that I executed the said proposal with full authority to do so; that said offeror has not directly or indirectly entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free, competitive bidding in connection with the above proposal, and that all statements contained in said proposal and in this affidavit are true and correct, and made with full knowledge that* TCPN (Region 4) *relies upon the truth of the statements contained in said proposal and in the statements contained in this affidavit in awarding the contract for the said goods, services or public work.*

*I further warrant that no person or selling agency has been employed or retained to solicit or secure such contract upon an agreement or understanding for a commission, percentage, brokerage or contingent fee, except bona fide employees or bona fide established commercial or selling agencies maintained by*

Lexmark International, Inc.
*Company Name*

Sr. Director, World Wide Contracts
*Authorized Signature & Title*

Subscribed and sworn before me

this 11th day of July, 20 17

Notary ID 579342

Notary Public of Fayette County, Kentucky

My commission expires June 22, 20 21

SEAL

MARY BETH CARTER NOTARY PUBLIC STATE AT LARGE, KENTUCKY MY COMMISSION EXPIRES 6/22/2021

**DOC #10**

# AFFIRMATIVE ACTION AFFIDAVIT
## (P.L. 1975, C.127)

**Company Name:** Lexmark International, Inc.

**Street:** 740 West New Circle Road

**City, State, Zip Code:** Lexington, Kentucky 40550

**Proposal Certification:**

Indicate below your compliance with New Jersey Affirmative Action regulations. Your proposal will be accepted even if you are not in compliance at this time. No contract and/or purchase order may be issued, however, until all Affirmative Action requirements are met.

**Required Affirmative Action Evidence:**

Procurement, Professional & Service Contracts (Exhibit A)
Vendors must submit with proposal:

1. A photo copy of their Federal Letter of Affirmative Action Plan Approval _____

OR

2. A photo copy of their Certificate of Employee Information Report _____

OR

3. A complete Affirmative Action Employee Information Report (AA302) X

**Public Work – Over $50,000 Total Project Cost:**

A. No approved Federal or New Jersey Affirmative Action Plan. We will complete Report Form AA201-A upon receipt from the _____ _____

B. Approved Federal or New Jersey Plan – certificate enclosed _____

*I further certify that the statements and information contained herein, are complete and correct to the best of my knowledge and belief.*

July 11, 2017
***Date***

Sr. Dir., World Wide Contracts
***Authorized Signature and Title***

**Lexmark response:**
Please see the following page for our complete Affirmative Action Employee Information Report (AA302).

Form AA302
Rev. 11/11

# STATE OF NEW JERSEY

**Division of Purchase & Property**
**Contract Compliance Audit Unit**
**EEO Monitoring Program**

## EMPLOYEE INFORMATION REPORT

**IMPORTANT-**READ INSTRUCTIONS CAREFULLY BEFORE COMPLETING FORM. FAILURE TO PROPERLY COMPLETE THE ENTIRE FORM AND TO SUBMIT THE REQUIRED $150.00 FEE MAY DELAY ISSUANCE OF YOUR CERTIFICATE. DO NOT SUBMIT EEO-1 REPORT FOR SECTION B, ITEM 11. For Instructions on completing the form, go to: http://www.state.nj.us/treasury/contract_compliance/pdf/aa302ins.pdf

### SECTION A - COMPANY IDENTIFICATION

1. FID. NO. OR SOCIAL SECURITY: 06-1308215

2. TYPE OF BUSINESS: ☑ 1. MFG ☐ 2. SERVICE ☐ 3. WHOLESALE ☐ 4. RETAIL ☐ 5. OTHER

3. TOTAL NO. EMPLOYEES IN THE ENTIRE COMPANY: Approximately 14,000

4. COMPANY NAME: Lexmark International, Inc.

| 5. STREET | CITY | COUNTY | STATE | ZIP CODE |
|---|---|---|---|---|
| 740 West New Circle Road | Lexington | Fayette | KY | 40550 |

6. NAME OF PARENT OR AFFILIATED COMPANY (IF NONE, SO INDICATE) | CITY | STATE | ZIP CODE

7. CHECK ONE: IS THE COMPANY: ☐ SINGLE-ESTABLISHMENT EMPLOYER ☑ MULTI-ESTABLISHMENT EMPLOYER

8. IF MULTI-ESTABLISHMENT EMPLOYER, STATE THE NUMBER OF ESTABLISHMENTS IN NJ:

9. TOTAL NUMBER OF EMPLOYEES AT ESTABLISHMENT WHICH HAS BEEN AWARDED THE CONTRACT:

10. PUBLIC AGENCY AWARDING CONTRACT | CITY | COUNTY | STATE | ZIP CODE

| Official Use Only | DATE RECEIVED | INAUG.DATE | ASSIGNED CERTIFICATION NUMBER |
|---|---|---|---|
| | | | |

### SECTION B - EMPLOYMENT DATA

11. Report all permanent, temporary and part-time employees ON YOUR OWN PAYROLL. Enter the appropriate figures on all lines and in all columns. Where there are no employees in a particular category, enter a zero. Include ALL employees, not just those in minority/non-minority categories, in columns 1, 2, & 3. *DO NOT SUBMIT AN EEO-1 REPORT.*

| JOB CATEGORIES | ALL EMPLOYEES | | | PERMANENT MINORITY/NON-MINORITY EMPLOYEE BREAKDOWN | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | ********* MALE ********** | | | | | FEMALE ********** | | | | | |
| | COL. 1 TOTAL (Cols.2 &3) | COL. 2 MALE | COL. 3 FEMALE | BLACK | HISPANIC | AMER. INDIAN | ASIAN | NON MIN. | BLACK | HISPANIC | AMER. INDIAN | ASIAN | NON MIN. |
| **Officials/ Managers** | 656 | 500 | 156 | 17 | 25 | 1 | 12 | 445 | 7 | 16 | 1 | 4 | 128 |
| **Professionals** | 2007 | 1500 | 507 | 50 | 46 | 4 | 94 | 1306 | 27 | 15 | 1 | 40 | 424 |
| **Technicians** | 163 | 142 | 21 | 12 | 13 | 0 | 9 | 108 | 3 | 1 | 0 | 1 | 16 |
| **Sales Workers** | 484 | 372 | 112 | 16 | 13 | 1 | 14 | 328 | 2 | 3 | 0 | 3 | 104 |
| **Office & Clerical** | 53 | 5 | 48 | 0 | 1 | 0 | 1 | 3 | 1 | 4 | 0 | 0 | 43 |
| **Craftworkers (Skilled)** | 37 | 37 | 0 | 2 | 1 | 0 | 2 | 32 | 0 | 0 | 0 | 0 | 0 |
| **Operatives (Semi-skilled)** | 71 | 65 | 6 | 2 | 10 | 1 | 13 | 39 | 0 | 1 | 0 | 1 | 4 |
| **Laborers (Unskilled)** | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **Service Workers** | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| **TOTAL** | 3471 | 2621 | 850 | 99 | 109 | 7 | 145 | 2261 | 40 | 40 | 2 | 49 | 719 |
| **Total employment From previous Report (if any)** | | | | | | | | | | | | | |
| **Temporary & Part-Time Employees** | The data below shall NOT be included in the figures for the appropriate categories above. | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |

12. HOW WAS INFORMATION AS TO RACE OR ETHNIC GROUP IN SECTION B OBTAINED? ☐ 1. Visual Survey ☑ 2. Employment Record ☐ 3. Other (Specify)

13. DATES OF PAYROLL PERIOD USED From: 07/25/2016 To: 08/07/2016

14. IS THIS THE FIRST Employee Information Report Submitted? 1. YES ☐ 2. NO ☑

15. IF NO, DATE LAST REPORT SUBMITTED MO. DAY YEAR

### SECTION C - SIGNATURE AND IDENTIFICATION

| 16. NAME OF PERSON COMPLETING FORM (Print or Type) | SIGNATURE | TITLE | DATE MO | DAY | YEAR |
|---|---|---|---|---|---|
| Kristina Scheffelmaer | K. Sch | EEO Analyst | 01 | 06 | 2017 |

| 17. ADDRESS NO. & STREET | CITY | COUNTY | STATE | ZIP CODE | PHONE (AREA CODE, NO.,EXTENSION) |
|---|---|---|---|---|---|
| 8900 Renner Blvd. | Lenexa | Johnson | KS | 66216 | 913 - 227 - 6196 |

# P.L. 1995, c. 127 (N.J.A.C. 17:27)
# MANDATORY AFFIRMATIVE ACTION LANGUAGE

## PROCUREMENT, PROFESSIONAL AND SERVICE CONTRACTS

During the performance of this contract, the contractor agrees as follows:

The contractor or subcontractor, where applicable, will not discriminate against any employee or applicant for employment because of age, race, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation. The contractor will take affirmative action to ensure that such applicants are recruited and employed, and that employees are treated during employment, without regard to their age, race, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation. Such action shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Public Agency Compliance Officer setting forth provisions of this non-discrimination clause.

The contractor or subcontractor, where applicable will, in all solicitations or advertisement for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to age, race, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation.

The contractor or subcontractor, where applicable, will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the agency contracting officer advising the labor union or workers' representative of the contractor's commitments under this act and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

The contractor or subcontractor, where applicable, agrees to comply with any regulations promulgated by the Treasurer pursuant to P.L. 1975, c. 127, as amended and supplemented from time to time and the Americans with Disabilities Act.

The contractor or subcontractor agrees to attempt in good faith to employ minority and female workers trade consistent with the applicable county employment goal prescribed by N.J.A.C. 17:27-5.2 promulgated by the Treasurer pursuant to P.L. 1975, C.127, as amended and supplemented from time to time or in accordance with a binding determination of the applicable county employment goals determined by the Affirmative Action Office pursuant to N.J.A.C. 17:27-5.2 promulgated by the Treasurer pursuant to P.L. 1975, C.127, as amended and supplemented from time to time.

The contractor or subcontractor agrees to inform in writing appropriate recruitment agencies in the area, including employment agencies, placement bureaus, colleges, universities, labor unions, that it does not discriminate on the basis of age, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation, and that it will discontinue the use of any recruitment agency which engages in direct or indirect discriminatory practices.

The contractor or subcontractor agrees to revise any of it testing procedures, if necessary, to assure that all personnel testing conforms with the principles of job-related testing, as established by the

statutes and court decisions of the state of New Jersey and as established by applicable Federal law and applicable Federal court decisions.

The contractor or subcontractor agrees to review all procedures relating to transfer, upgrading, downgrading and lay-off to ensure that all such actions are taken without regard to age, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation, and conform with the applicable employment goals, consistent with the statutes and court decisions of the State of New Jersey, and applicable Federal law and applicable Federal court decisions.

The contractor and its subcontractors shall furnish such reports or other documents to the Affirmative Action Office as may be requested by the office from time to time in order to carry out the purposes of these regulations, and public agencies shall furnish such information as may be requested by the Affirmative Action Office for conducting a compliance investigation pursuant to Subchapter 10 of the Administrative Code (NJAC 17:27).

_____

Signature of Procurement Agent

**DOC #11**

# C. 271 POLITICAL CONTRIBUTION DISCLOSURE FORM
## Public Agency Instructions

This page provides guidance to public agencies entering into contracts with business entities that are required to file Political Contribution Disclosure forms with the agency. **It is not intended to be provided to contractors.** What follows are instructions on the use of form local units can provide to contractors that are required to disclose political contributions pursuant to N.J.S.A. 19:44A-20.26 (P.L. 2005, c. 271, s.2). Additional information on the process is available in Local Finance Notice 2006-1 (www.nj.gov/dca/lgs/lfns/lfnmenu.shtml).

1. The disclosure is required for all contracts in excess of $17,500 that are **not awarded** pursuant to a "fair and open" process (N.J.S.A. 19:44A-20.7).
2. Due to the potential length of some contractor submissions, the public agency should consider allowing data to be submitted in electronic form (i.e., spreadsheet, pdf file, etc.). Submissions must be kept with the contract documents or in an appropriate computer file and be available for public access. **The form is worded to accept this alternate submission.** The text should be amended if electronic submission will not be allowed.
3. The submission must be **received from the contractor and** on file at least 10 days prior to award of the contract. Resolutions of award should reflect that the disclosure has been received and is on file.
4. The contractor must disclose contributions made to candidate and party committees covering a wide range of public agencies, including all public agencies that have elected officials in the county of the public agency, state legislative positions, and various state entities. The Division of Local Government Services recommends that contractors be provided a list of the affected agencies. This will assist contractors in determining the campaign and political committees of the officials and candidates affected by the disclosure.
    a. The Division has prepared model disclosure forms for each county. They can be downloaded from the "County PCD Forms" link on the Pay-to-Play web site at www.nj.gov/dca/lgs/p2p. They will be updated from time-to-time as necessary.
    b. A public agency using these forms **should edit them to properly reflect the correct legislative district**(s). As the forms are county-based, **they list all legislative districts** in each county. **Districts that do not represent the public agency should be removed from the lists.**
    c. Some contractors may find it easier to provide a single list that covers all contributions, regardless of the county. These submissions are appropriate and should be accepted.
    d. The form may be used "as-is", subject to edits as described herein.
    e. The "Contractor Instructions" sheet is intended to be provided with the form. It is recommended that the Instructions and the form be printed on the same piece of paper. The form notes that the Instructions are printed on the back of the form; where that is not the case, the text should be edited accordingly.
    f. The form is a Word document and can be edited to meet local needs, and posted for download on web sites, used as an e-mail attachment, or provided as a printed document.
5. It is recommended that the contractor also complete a "Stockholder Disclosure Certification." This will assist the local unit in its obligation to ensure that contractor did not make any prohibited contributions to the committees listed on the Business Entity Disclosure Certification in the 12 months prior to the contract. (See Local Finance Notice 2006-7 for additional information on this obligation) A sample Certification form is part of this package and the instruction to complete it is included in the Contractor Instructions. **NOTE: This section is not applicable to Boards of Education.**

# C. 271 POLITICAL CONTRIBUTION DISCLOSURE FORM
## Contractor Instructions

Business entities (contractors) receiving contracts from a public agency that are NOT awarded pursuant to a "fair and open" process (defined at N.J.S.A. 19:44A-20.7) are subject to the provisions of P.L. 2005, c. 271, s.2 (N.J.S.A. 19:44A-20.26). This law provides that 10 days prior to the award of such a contract, the contractor shall disclose contributions to:

- any State, county, or municipal committee of a political party
- any legislative leadership committee*
- any continuing political committee (a.k.a., political action committee)
- any candidate committee of a candidate for, or holder of, an elective office:
    - of the public entity awarding the contract
    - of that county in which that public entity is located
    - of another public entity within that county
    - or of a legislative district in which that public entity is located or, when the public entity is a county, of any legislative district which includes all or part of the county. The disclosure must list reportable contributions to any of the committees that exceed $300 per election cycle that were made during the 12 months prior to award of the contract. See N.J.S.A. 19:44A-8 and 19:44A-16 for more details on reportable contributions.

N.J.S.A. 19:44A-20.26 itemizes the parties from whom contributions must be disclosed when a business entity is not a natural person. This includes the following:

- individuals with an "interest" ownership or control of more than 10% of the profits or assets of a business entity or 10% of the stock in the case of a business entity that is a corporation for profit
- all principals, partners, officers, or directors of the business entity or their spouses
- any subsidiaries directly or indirectly controlled by the business entity
- IRS Code Section 527 New Jersey based organizations, directly or indirectly controlled by the business entity and filing as continuing political committees, (PACs). When the business entity is a natural person, "a contribution by that person's spouse or child, residing therewith, shall be deemed to be a contribution by the business entity." [N.J.S.A. 19:44A-20.26(b)] The contributor must be listed on the disclosure. Any business entity that fails to comply with the disclosure provisions shall be subject to a fine imposed by ELEC in an amount to be determined by the Commission which may be based upon the amount that the business entity failed to report. The enclosed list of agencies is provided to assist the contractor in identifying those public agencies whose elected official and/or candidate campaign committees are affected by the disclosure requirement. It is the contractor's responsibility to identify the specific committees to which contributions may have been made and need to be disclosed. The disclosed information may exceed the minimum requirement. The enclosed form, a content-consistent facsimile, or an electronic data file containing the required details (along with a signed cover sheet) may be used as the contractor's submission and is disclosable to the public under the Open Public Records Act. The contractor must also complete the attached Stockholder Disclosure Certification. This will assist the agency in meeting its obligations under the law.

**NOTE: This section does not apply to Board of Education contracts.**

* N.J.S.A. 19:44A-3(s): "The term "legislative leadership committee" means a committee established, authorized to be established, or designated by the President of the Senate, the Minority Leader of the Senate, the Speaker of the General Assembly or the Minority Leader of the General Assembly pursuant to section 16 of P.L.1993, c.65 (C.19:44A-10.1) for the purpose of receiving contributions and making expenditures."

# C. 271 POLITICAL CONTRIBUTION DISCLOSURE FORM

Required Pursuant To N.J.S.A. 19:44A-20.26

**This form or its permitted facsimile must be submitted to the local unit no later than 10 days prior to the award of the contract.**

## Part I – Vendor Information

| | | | |
|---|---|---|---|
| Vendor Name: | Lexmark International, Inc. | | |
| Address: | 740 West New Circle Road | | |
| City: | Lexington | State: Kentucky | Zip: 40550 |

The undersigned being authorized to certify, hereby certifies that the submission provided herein represents compliance with the provisions of N.J.S.A. 19:44A-20.26 and as represented by the Instructions accompanying this form.

| Signature | Printed Name | Title |
|---|---|---|
| | Jeffrey Larsen | Senior Director, World Wide Contracts |

## Part II – Contribution Disclosure

Disclosure requirement: Pursuant to N.J.S.A. 19:44A-20.26 this disclosure must include all reportable political contributions (more than $300 per election cycle) over the 12 months prior to submission to the committees of the government entities listed on the form provided by the local unit.

☐ Check here if disclosure is provided in electronic form.

| Contributor Name | Recipient Name | Date | Dollar Amount |
|---|---|---|---|
| | | | $ |
| Not Applicable | | | |
| | | | |
| | | | |
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| | | | |

☐ Check here if the information is continued on subsequent page(s)

**List of Agencies with Elected Officials Required for Political Contribution Disclosure**
**N.J.S.A. 19:44A-20.26**

**County Name:**
State: Governor, and Legislative Leadership Committees
Legislative District #s:
State Senator and two members of the General Assembly per district.

County:

| | | |
|---|---|---|
| Freeholders | County Clerk | Sheriff |
| {County Executive} | Surrogate | |

Municipalities (Mayor and members of governing body, regardless of title):

**USERS SHOULD CREATE THEIR OWN FORM, OR DOWNLOAD FROM WWW.NJ.GOV/DCA/LGS/P2P A COUNTY-BASED, CUSTOMIZABLE FORM.**

DOC #12

## STOCKHOLDER DISCLOSURE CERTIFICATION

**Name of Business:**

☒ I certify that the list below contains the names and home addresses of all stockholders holding 10% or more of the issued and outstanding stock of the undersigned.

**OR**

☐ I certify that no one stockholder owns 10% or more of the issued and outstanding stock of the undersigned.

**Check the box that represents the type of business organization:**

☐ Partnership ☒ Corporation ☐ Sole Proprietorship

☐ Limited Partnership ☐ Limited Liability Corporation ☐ Limited Liability Partnership

☐ Subchapter S Corporation

**Sign and notarize the form below, and, if necessary, complete the stockholder list below.**

Stockholders:

| | |
|---|---|
| Name:<br>Ninestar Corporation<br>Home Address:<br>No. 3833 Zhuhai Avenue, Ziangzhou District<br>Zhuhai, Guangdong, P.R. China | Name:<br>PAG Asia<br>Home Address:<br>Commence Chambers, P.O. Box 2208, Road Town,<br>Tortola, British Virgin Islands |
| Name:<br><br>Home Address: | Name:<br><br>Home Address: |
| Name:<br><br>Home Address: | Name:<br><br>Home Address: |

Subscribed and sworn before me this 11 day of July, 2 017

(Notary Public) Notary ID 579342

My Commission expires: June 22, 2021

(Affiant)

Jeffrey Larsen, Sr. Dir., World Wide Contracts

(Print name & title of affiant)

(Corporate Seal)

MARY BETH CARTER NOTARY PUBLIC STATE AT LARGE, KENTUCKY MY COMMISSION EXPIRES 6/22/2021

DOC #13

# STATE OF NEW JERSEY -- DIVISION OF PURCHASE AND PROPERTY
# DISCLOSURE OF INVESTMENT ACTIVITIES IN IRAN

**Quote Number:** _____ **Bidder/Offeror:** Lexmark International, Inc.

## PART 1: CERTIFICATION

**BIDDERS MUST COMPLETE PART 1 BY CHECKING EITHER BOX.**

**FAILURE TO CHECK ONE OF THE BOXES WILL RENDER THE PROPOSAL NON-RESPONSIVE.**

Pursuant to Public Law 2012, c. 25, any person or entity that submits a bid or proposal or otherwise proposes to enter into or renew a contract must complete the certification below to attest, under penalty of perjury, that neither the person or entity, nor any of its parents, subsidiaries, or affiliates, is identified on the Department of Treasury's Chapter 25 list as a person or entity engaging in investment activities in Iran. The Chapter 25 list is found on the Division's website at http://www.state.nj.us/treasury/purchase/pdf/Chapter25List.pdf. Bidders **must** review this list prior to completing the below certification. **Failure to complete the certification will render a bidder's proposal non-responsive.** If the Director finds a person or entity to be in violation of law, s/he shall take action as may be appropriate and provided by law, rule or contract, including but not limited to, imposing sanctions, seeking compliance, recovering damages, declaring the party in default and seeking debarment or suspension of the party

**PLEASE CHECK THE APPROPRIATE BOX:**

☑ **I certify, pursuant to Public Law 2012, c. 25, that neither the bidder listed above nor any of the bidder's parents, subsidiaries, or affiliates is listed** on the N.J. Department of the Treasury''s list of entities determined to be engaged in prohibited activities in Iran pursuant to P.L. 2012, c. 25 ("Chapter 25 List"). I further certify that I am the person listed above, or I am an officer or representative of the entity listed above and am authorized to make this certification on its behalf. **I will skip Part 2 and sign and complete the Certification below.**

**OR**

☐ **I am unable to certify as above because the bidder and/or one or more of its parents, subsidiaries, or affiliates is listed on the Department's Chapter 25 list. I will provide a detailed, accurate and precise description of the activities in Part 2 below and sign and complete the Certification below.** Failure to provide such will result in the proposal being rendered as non-responsive and appropriate penalties, fines and/or sanctions will be assessed as provided by law.

## PART 2: PLEASE PROVIDE FURTHER INFORMATION RELATED TO INVESTMENT ACTIVITIES IN IRAN

You must provide a detailed, accurate and precise description of the activities of the bidding person/entity, or one of its parents, subsidiaries or affiliates, engaging in the investment activities in Iran outlined above by completing the boxes below.

**EACH BOX WILL PROMPT YOU TO PROVIDE INFORMATION RELATIVE TO THE ABOVE QUESTIONS. PLEASE PROVIDE THOROUGH ANSWERS TO EACH QUESTION. IF YOU NEED TO MAKE ADDITIONAL ENTRIES, CLICK THE "ADD AN ADDITIONAL ACTIVITIES ENTRY" BUTTON.**

Name _____ Relationship to Bidder/Offeror _____

Description of Activities _____

_____

Duration of Engagement _____ Anticipated Cessation Date _____

Bidder/Offeror Contact Name _____ Contact Phone Number _____

ADD AN ADDITIONAL ACTIVITIES ENTRY

**Certification: I, being duly sworn upon my oath, hereby represent and state that the foregoing information and any attachments thereto to the best of my knowledge are true and complete. I attest that I am authorized to execute this certification on behalf of the above-referenced person or entity. I acknowledge that the State of New Jersey is relying on the information contained herein and thereby acknowledge that I am under a continuing obligation from the date of this certification through the completion of any contracts with the State to notify the State in writing of any changes to the answers of information contained herein. I acknowledge that I am aware that it is a criminal offense to make a false statement or misrepresentation in this certification, and if I do so, I recognize that I am subject to criminal prosecution under the law and that it will also constitute a material breach of my agreement(s) with the State of New Jersey and that the State at its option may declare any contract(s) resulting from this certification void and unenforceable.**

Full Name (Print): Geoff Parker Signature: Geoff Parker

Title: Contracts Manager Date: January 2, 2018

DOC #14

# STATE OF NEW JERSEY
# BUSINESS REGISTRATION CERTIFICATE

| | |
|---|---|
| **Taxpayer Name:** | LEXMARK INTERNATIONAL, INC. |
| **Trade Name:** | |
| **Address:** | 740 NEW CIRCLE RD NW<br>LEXINGTON, KY 40511-1806 |
| **Certificate Number:** | 0057154 |
| **Effective Date:** | April 18, 1991 |
| **Date of Issuance:** | January 02, 2018 |

**For Office Use Only:**

**20180102120727449**

This page intentionally inserted to create proper document formatting when printed duplex.

# ATTACHMENT A

## PARTICIPATING ADDENDUM

*(hereinafter "Addendum")*
For
**REGION 4 EDUCATION SERVICE CENTER (MANAGED PRINT SOLUTIONS)**
**VENDOR CONTRACT NO. R###**
*(hereinafter "Vendor Contract")*
Between
Insert Contractor Name
*(hereinafter "Contractor")*
and
State of Hawaii
*(hereinafter "Participating State")*

**State of Hawaii, State Procurement Office (SPO) Price List Contract No. (add PL No.##)**

This Addendum will add the State of Hawaii as a Participating State to purchase from the Region 4 Education Service Center ("Region 4 ESC") Vendor Contract R### with (insert contractor).

1. Scope:

   This Addendum covers Region 4 ESC Managed Print Solutions led in partnership with the Cooperative Purchasing Network "TCPN" for use by itself, the State of Hawaii and all its state and local government entities, and non-profit organizations (herein "Participating Agencies").

2. Participation:

   All jurisdictions located within the State of Hawaii, which have obtained prior written approval of its respective Chief Procurement Officer, will be allowed to purchase from the Vendor Contract. Private nonprofit health or human services organizations with current purchase of service contracts governed by Hawaii Revised Statutes (HRS) chapter 103F are eligible to participate in the State Procurement Officer price/vendor list contracts upon mutual agreement between the Contractor and the non-profit. (Each such participating jurisdiction and participating nonprofit is hereinafter referred to as a "Participating Agency.") Issues of interpretation and eligibility for participation are to be determined solely by the Administrator, State Procurement Office.

3. Changes: (Replace with specific changes or statements that no changes are required)

   A. Usage Reports. Contractor shall submit a quarterly gross sales report (including zero dollar sales) in EXCEL to the contact person listed in the Participating Addendum, Paragraph 6 (or as amended) in accordance with the following schedule (or as requested):

| Quarter Ending | Report Due |
|---|---|
| March 31 | April 30 |
| June 30 | July 31 |
| September 30 | October 31 |
| December 31 | January 31 |

   The report shall identify each transaction and include the following information:

   Department/Agency Name
   Date of Purchase
   Product/Service Description
   Quantity

Unit of Measure
Item No. Part Number (if applicable)
MSRP List Price
Contract Price

The quarterly report shall also include any adjustment from prior periods (i.e. exchanges and/or return).

B. The validity of this Addendum, any of its terms or provisions, as well as the rights and duties of the parties to this Addendum, shall be governed by the laws of the State of Hawaii. A copy of the Attorney General's General Conditions, which is made a part of this Addendum, can be found at http://spo.hawaii.gov/wp-content/uploads/2014/02/103D-General-conditions.pdf Any action at law or in equity to enforce or interpret the provisions of this Addendum shall be brought in a court of competent jurisdiction in Honolulu, Hawaii.

C. Inspection of Facilities. Pursuant to HRS §103D-316, the State of Hawaii, at reasonable times, may inspect the part of the plant or place of business of the Contractor or any subcontractor that is related to the performance of the Vendor Contract and this Addendum.

D. Campaign Contributions. The Contractor is notified of the applicability of HRS §11-355, which prohibits campaign contributions from Contractor during the term of the Addendum if the Contractor is paid with funds appropriated by the Hawaii State Legislature.

E. Purchase by State of Hawaii government entities under this Vendor Contract is not mandatory. This Addendum is secondary and non-exclusive.

F. The State of Hawaii's purchasing card (pCard) is required to be used by State of Hawaii's Participating State's executive departments/agencies, (excluding the Department of Education, the Hawaii Health Systems Corporation, the Office of Hawaiian Affairs, and the University of Hawaii) for orders totaling less than $2,500. For purchases of $2,500 or more, agencies may use the pCard, subject to its credit limit, or issue a purchase order.

Contractor shall forward original invoice(s) directly to the ordering agency. General excise tax shall not be applied to the delivery charge.

Pursuant to HRS §103-10, Hawaii and any agency of the State of Hawaii or any county, shall have thirty (30) calendar days after receipt of invoice or satisfactory delivery of goods to make payment. Any interest for delinquent payment shall be as allowed by HRS §103-10.

G. Pursuant to HRS §103D-310(c), if Contractor is doing business in Hawaii, Contractor is required to comply with all laws governing entities doing business in the State, including the following HRS chapters.

1. Chapter 237, General Excise Tax Law;
2. Chapter 383, Hawaii Employment Security Law;
3. Chapter 386, Workers' Compensation;
4. Chapter 392, Temporary Disability Insurance;
5. Chapter 393, Prepaid Health Care Act; and

A Certificate of Good Standing is required for entities doing business in the State.

The Hawaii Compliance Express (HCE) is utilized for verification of compliance. The SPO will conduct periodic checks to confirm Contractor's compliance on HCE throughout the term of the Addendum.

Alternatively, Contractors not utilizing HCE to demonstrate compliance shall provide paper certificates to the SPO as instructed below. All certificates must be valid on the date it is received by the SPO. All applications for applicable clearances are the responsibility of the Contractor.

HRS Chapter 237 tax clearance requirement. Pursuant to Section 103D-328, HRS, Contractor shall be required to submit a tax clearance certificate issued by the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS). The certificate shall have an original green certified copy stamp and shall be valid for six (6) months from the most recent approval stamp date on the certificate.

The Tax Clearance Application, Form A-6, and its completion and filing instructions, are available on the DOTAX website: http://tax.hawaii.gov/forms/.

HRS Chapters 383 (Unemployment Insurance), 386 (Workers' Compensation), 392 (Temporary Disability Insurance), and 393 (Prepaid Health Care) requirements. Pursuant to Section 103D-310(c) Contractor shall be required to submit a certificate of compliance issued by the Hawaii State Department of Labor and Industrial Relations (DLIR). The certificate is valid for six (6) months from the date of issue. A photocopy of the certificate is acceptable to the SPO.

The DLIR Form LIR#27 Application for Certificate of Compliance with Section 3-122-112, HAR, and its filing instructions are available on the DLIR website: http://labor.hawaii.gov/forms/.

Compliance with Section 103D-310(c), HRS, for an entity doing business in the State. Contractor shall be required to submit a Certificate of Good Standing (COGS) issued by the State of Hawaii Department of Commerce and Consumer Affairs (DCCA) – Business Registration Division (BREG). The Certificate is valid for six (6) months from date of issue. A photocopy of the certificate is acceptable to the SPO.

To obtain the Certificate, the Offeror must be registered with the BREG. A sole proprietorship is not required to register with the BREG and is therefore not required to submit the certificate.

For more information regarding online business registration and the COGS is available at http://cca.hawaii.gov/breg/.

H. Effective Date and Contract Period. This Addendum is effective upon the date of execution by the State of Hawaii and shall continue for the term set forth in the Vendor Contract.

4. Licensing

Offerors(Bidders) and Contractors must be properly licensed and capable of performing the Work as described in the RFP(IFB), at the time of submission of the Proposal(Bid), in accordance with the Professional and Vocational licensing laws of the state. Contractors under Participating Addendums must maintain any and all required licenses through the duration of the contract and Participating Addendum.

5. Lease Agreements:

Leasing is authorized by this Addendum.

6. Primary Contact:

The primary contact individuals for this Addendum are as follows (or their named successors):

Participating State:
Name:
Address: State Procurement Office
1151 Punchbowl Street, Room 416
Honolulu, HI 96813
Telephone:
Fax:
E-Mail:

Contractor
Name: Geoff Parker
Address: 740 West New Circle RD, Lexington, KY 40550
Telephone: 859/232-1935
E-Mail: geoff.parker@lexmark.com

7. Subcontractors:

Subcontractors are allowed under this Addendum.

8. Freight Charges (unless otherwise stated in the vendor contract):
Prices proposed will be the delivered price to any state agency or political subdivision. All deliveries will be F.O.B destination with all transportation and handling charges paid by the Contractor. Responsibility and liability for loss or damages will remain with Contractor until final inspection and acceptance when responsibility will pass to the Buyer except as to latent defects, fraud, and Contractor's warranty obligations. Any portion of a full order originally shipped without transportation charges (that failed to ship with the original order, thereby becoming back-ordered) will also be shipped without transportation charges

9. Purchase Order and Payment Instructions:

All purchase orders issued by Hawaii Agencies under this Addendum shall include the State of Hawaii contract number: SPO Price List Contract No. and the Vendor TCPN Contract # R_____.

- Purchase Orders and Payments shall be made to (add contractor name) or authorized subcontractors, if any.

10. Participating Entity as Individual Customer:

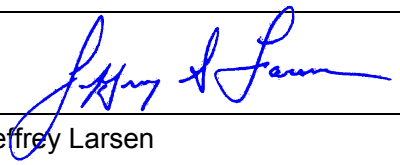
Each Hawaii Participating Agency shall be treated as an individual customer. Except to the extent modified by this Addendum, each Hawaii Participating Agency will be responsible to follow the terms and conditions of the Vendor Contract; and will have the same rights and responsibilities for their purchases as Region 4 ESC has in the Vendor Contract. Each Hawaii Participating Agency will be responsible for its own charges, fees, and liabilities. Each Hawaii Participating Agency will have the same rights to any indemnity or to recover any costs allowed in the Vendor Contract for their purchases. The Contractor will apply the charges to each Hawaii Participating Agency individually.

11. Entire Contract:

This Addendum and the Vendor Contract set forth the entire agreement, and all the conditions, understandings, promises, warranties and representations among the parties with respect to this Addendum and the Vendor Contract, and supersedes any prior communications, representations or agreements whether, oral or written, with respect to the subject matter hereof.

Terms and conditions inconsistent with, contrary or in addition to the terms and conditions of this Addendum, the Master Agreement, and the Attorney General's General Conditions that are included in any purchase order or other document shall be void. The terms and conditions of this Addendum, the Vendor Contract, and the Attorney General's General Conditions, shall govern in the case of any such inconsistent, contrary, or additional terms.

IN VIEW OF THE ABOVE, the parties execute this Addendum by their signatures, on the dates below.

| | |
|---|---|
| Participating State: STATE OF HAWAII | Contractor: Lexmark International, Inc. |
| Signature: | Signature:  |
| Name: SARAH ALLEN | Name: Jeffrey Larsen |
| Title: Administrator, SPO | Title: Senior Director, World Wide Contracts |
| Date: | Date: July 11, 2017 |

**APPROVED AS TO FORM:**

_____

Deputy Attorney General

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# ACKNOWLEDGMENT AND ACCEPTANCE
# OF REGION 4 ESC's OPEN RECORDS POLICY

*Signature below certifies complete acceptance of Region 4 ESC's Open Records Policy, except as noted below (additional pages may be attached, if necessary).*

**Check one of the following responses to the Acknowledgment and Acceptance of Region 4 ESC's Open Records Policy below:**

☐ We acknowledge Region 4 ESC's Open Records Policy and declare that no information submitted with this proposal, or any part of our proposal, is exempt from disclosure under the Public Information Act.

(*Note: All information believed to be a trade secret or proprietary must be listed below. It is further understood that failure to identify such information, in strict accordance with the instructions below, will result in that information being considered public information and released, if requested under the Public Information Act.)*

☑ We declare the following information to be a trade secret or proprietary and exempt from disclosure under the Public Information Act.

*(Note: Offeror must specify page-by-page and line-by-line the parts of the response, which it believes, are exempt. In addition, Offeror must specify which exception(s) are applicable and provide detailed reasons to substantiate the exception(s).*

**Lexmark response:**

Following is a list of the sections marked as "Lexmark confidential" and should be exempt from public disclosure. Pursuant to section 552.153 of the State of Texas Public Information Act, information provided in this proposal are marked "confidential" as pertained to term 2, part C. Competitor made privy to such information may gain an unjust advantage in replying to current or future opportunities of the governmental entity.

- Tab 1 - Appendix A - Vendor Contract and Signature Form
- Tab 1 - Appendix D - General Terms and Conditions Acceptance Form
- Tab 5 - References (Appendix F)
- Lexmark Attachment O - Pricing

July 13, 2017
*Date*

Sr. Dir., World Wide Contracts
*Authorized Signature & Title*

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# Lexmark Attachments

Lexmark Attachment A - Case Studies
Lexmark Attachment B - Sample Supplemental Agreement
Lexmark Attachment C - Diversity Program
Lexmark Attachment D - ISO Certificates
Lexmark Attachment E - Lexmark Print Management
Lexmark Attachment F - Downtime Reports
Lexmark Attachment G - Eco-Copy
Lexmark Attachment H - Forms and Favorites
Lexmark Attachment I - Scan to Network
Lexmark Attachment J - Scan Center
Lexmark Attachment K - Testing Assistant
Lexmark Attachment L - State of Texas Certificates of Good Standing
Lexmark Attachment M - MPS Overview
Lexmark Attachment N - Copy Center Solutions Summary
Lexmark Attachment O - Pricing
Lexmark Attachment P - Sample Project Plan
Lexmark Attachment Q - Software Security Brochure
Lexmark Attachment R - Security Reference Guide
Lexmark Attachment S - Eco-Settings
Lexmark Attachment T - Solutions for K-12 School Districts

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# Lexmark Attachment A - Case Studies

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# Top 5 U.S. public school district

Mainstay Company found that the district's investment in Lexmark products, solutions and services has significantly reduced output-related costs, optimized document workflows and improved the productivity of administrators and teachers. From a financial perspective, the district's investment will yield a 180% ROI in the first three years. The district will realize positive net benefits after 19 months and gain benefits totaling $14.4 million over three years.

### Financial benefits

- $2.6M in total scanner CAPEX avoidance
- $1M in annual maintenance savings
- $730K annual consumables savings
- $1.4M annual consultant cost savings
- $552K annual energy cost savings

### Operational benefits

- 20% reduction in device capital expenditure costs (includes Canon, HP and Lexmark devices)
- 35% decrease in the number of output devices
- 66% corresponding reduction in output devices per employee
- 88% decrease (from 16 to two) in the number of output device vendors
- 30-50% reduction in Lexmark toner usage through optimization and cartridge repositioning

*"We were impressed by Lexmark's technical expertise and its vision for transforming our attendance-tracking process in a way that will reduce our costs, give time back to teachers and support student achievement. Lexmark understands printers and the business processes and networking technologies you need to build a state-of-the-district."*

Field Service Unit Director
Division of Instructional and Information Technology
Top 5 U.S. School District

## About this school district

This school district is among the largest systems of public schools in the United States, serving more than 500,000 students in 1,000+ schools. This public school district strives to provide students with an education that gives them the tools to thrive in college, in careers and as active members of their communities.

**Annual budget:** $15+ billion

**Headquarters:** Eastern United States

**Schools:** 1,000+

**Students:** 500,000+

15WWM4287

## Executive summary

In a recent initiative designed to improve administrative productivity and cut costs, this top five U.S. public school district invested in a state-of-the-art document-management system that has streamlined the way teachers and administrators create and manage student attendance forms. The investment replaced the department's aging and inefficient form-management system with the Document Form System (DFS), a high-efficiency output and communications platform featuring a fleet of Lexmark multifunction products (MFPs) that combine printing, scanning and communications capabilities in a single device.

Keeping track of student attendance is an essential part of monitoring the performance and behavior of students in this public school system. But with more than 500,000 students attending school every day, the job of taking attendance places a significant burden on the teachers and staff who prepare the attendance forms and report the results. The process is expensive, too, costing the school system millions of dollars each year to maintain the fleet of printers, scanners and communications equipment needed to print out the forms and exchange information with the department's central student database. The process consumes some 11 million sheets of paper every year.

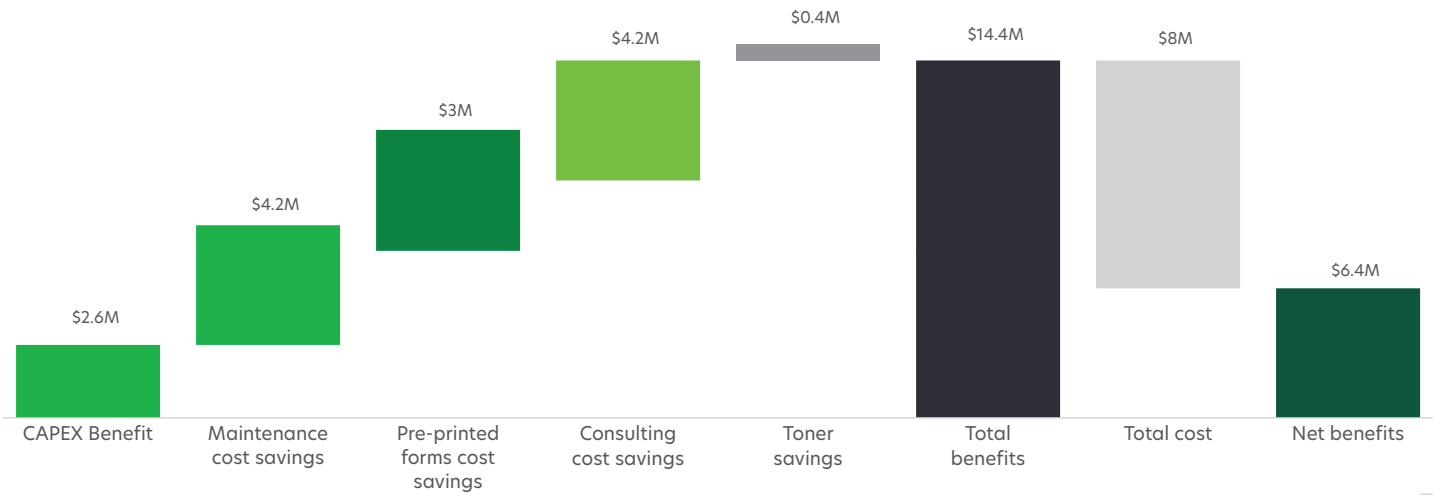
Recently, the system the department used to manage the mountain of attendance forms began reaching the end of its useful life. Administrators had become increasingly frustrated with mechanical glitches—most notably a persistent alignment problem in which the fill-in "bubbles" on preprinted templates didn't match up with the list of students and other class information that was printed separately over the templates. Fixing the issue required hours of technical support each week.

Implemented in late 2008, the new DFS system solved the alignment problem by eliminating pre-printed template forms altogether. Instead, it uses new software to print the bubbles and the variable student information in a single pass through the printer. As a result, schools are saving by eliminating purchases of costly preprinted forms, while administrators and teachers gained more time to focus on educational activities. Moreover, by moving to a fleet of Lexmark MFPs, the school system shrank its device footprint by two-thirds, cutting maintenance and energy costs substantially. Finally, the switch to DFS's modern, standards-based communications software helped save the department millions each year in IT consulting costs.

**Figure 1**

**Total cost and benefits by category ($'M)**

(3-year view)



## Challenge

This is one of the nation's largest public school systems, serving more than 500,000 students in 1,000+ schools. Some 50,000+ teachers and thousands more administrators and staff help the school system meet its commitment to "providing students a solid education so they can go to college, get good jobs, and lead productive, successful lives." Tracking student attendance is a key part of fulfilling the department's educational mission, helping teachers and administrators understand student performance and intervene as needed.

Each day, administrators print out nearly 40,000 attendance forms—one form per class—requiring more than seven million forms per year. In addition, the school system's more than 200 high schools consume another 112,000 forms per week—or about four million per year—to track attendance in individual class periods.

Over the years, the department has progressively streamlined its attendance-tracking procedures, moving from hand-written ledgers to machine-readable "bubble forms" that rapidly tally attendance with the help of scanning equipment. The department also built a central computer system to share student information and help automate manual processes.

When it was introduced 20 years ago, the department of Education's Output Management System (OMS) represented a major advance in attendance administration. OMS's complex software linked the department's mainframe containing student information with computer workstations installed in the schools. For the first time, teachers were able to automate the attendance-taking process—from printing out attendance forms to reporting the results—all through the central data center.

*"The Lexmark MFPs offered clear efficiency advantages over the old three-piece system. Instead of three machines and three vendors, we have a single device and a single vendor to support attendance-tracking throughout the district."*

Technology Manager
Division of Instructional and Information Technology
Top 5 U.S. Public School District

But the system had several technical drawbacks that cut into teacher productivity and kept costs high. A recurring problem was related to printing the attendance forms. The OMS software allowed teachers to download and print out the attendance forms from the department's mainframe, but it only worked with pre-printed blank forms—a template containing the bubbles and other fixed information. Administrators fed the pre-printed templates into specially configured printers to create class specific attendance forms populated with student and teacher names and other information.

The problem was, the templates and printers frequently fell out of alignment, rendering the forms un-readable because the names didn't line up precisely with the bubbles.

Teachers and administrators spent hours redoing the forms, struggling with printer alignment, and logging support tickets with the department's IT help desk. The scale of the problem was huge: If just 10% of the forms were missaligned, that meant that administrators had to reprint or discard about 1.1 million forms in the course of a year.

The OMS software posed other challenges. Developed by two consultants in 1985, the proprietary application was designed to work with the school's early DOS workstations and had been heavily customized over the years. Increasingly, the application required extensive maintenance and upgrades that was costing the department $1.4 million each year in consulting fees. Despite the ongoing expense, the software couldn't easily accommodate enhancements that would bring the system up to current industry standards.

After teachers finished taking attendance, administrators completed the process by scanning filled-out forms and uploading the data from the school's workstations to the mainframe. All three devices—the printers, scanners and workstations—required ongoing maintenance at a systemwide cost of $1.4 million a year. The machines also needed to be replaced every few years and by late last year almost half of the scanners were reaching the end of their useful life. Buying replacements would have cost the school system more than $2.6 million.

## Approach

Facing escalating costs and the impending replacement of hundreds of scanners, the district decided to take a fresh approach to its attendance-tracking process. Its goal was to replace the OMS system with a streamlined document management platform that was easier to use and less expensive to maintain. Ideally, it would put an end to the chronic printer-alignment issues that distracted administrators and teachers from their educational work and burdened the IT help desk with ongoing service requests. Department administrators also hoped to avoid paying huge annual fees to consultants to keep the OMS software running.

To design a new solution, administrators teamed with the department's managed services partner Dell and with Lexmark, which supplied the printers under the same contract. The team's immediate objective was to resolve the printerform alignment issue. But, beyond solving that initial issue, Lexmark proposed an innovative solution: Print the bubble sheets and the student lists together using the same device on a single sheet of plain paper. Work on a prototype of this printing solution led to the development of the Dynamic Form System (DFS), a complete document and data management platform that administrators positioned as a replacement for OMS. After a beta test of DFS at one high school and a successful pilot in 40 schools, the department rolled out the solution to the entire school system in December 2008. It has since retired the legacy OMS application.

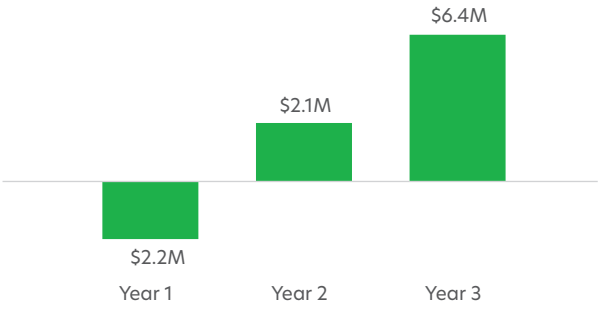
## Solution

The department's new DFS solution combines industry leading printing technology with an integrated document and data management system to significantly improve the process of creating student attendance forms and managing the results. The solution encompasses a fleet of approximately 1,500 Lexmark MFPs that replaced the school system's aging mix of printers, scanners and computer workstations. Consolidating the three functions in one unit allowed the department to deploy one-third fewer devices overall and save on capital and operating costs (Figure 4).

The Lexmark MFPs serve as a printing and scanning device as well as a communications hub connecting schools with the department's mainframe computer, which holds student and attendance data for the entire district. The system allows schools to download and print both the student names and the fill-in "bubbles" on a single sheet of plain paper. This all-in-one print process ensured precise alignment between the content and the bubbles and enabled the department to phase out its error-prone method of using pre-printed forms in combination with specially configured printers.

**Figure 2**

**Cumulative net benefits**




"Solving the alignment problem saved a lot of time and aggravation for teachers and administrators," said field service unit director, division of instructional and information technology. "It gives them more time to focus on what they should be doing—educating our students." The move to DFS also cut down on service requests to the department's help desk, giving service reps more bandwidth to tackle other issues.

The Lexmark-supported DFS platform has generated a host other benefits and cost savings. The new standards-based communications application is significantly easier to maintain, helping the department save on IT consulting costs. And with fewer devices on hand, schools will dramatically reduce maintenance expenses. Finally, schools will save on the cost of pre-printed forms as they switch to the new approach, which prints the bubbles and variable content on plain paper at the same time.

## Results

According to a study by Mainstay, the district's investment in Lexmark multifunction printers is expected to contribute net cost savings and operational benefits totaling an estimated $6.4 million over three years. The department will earn a 180% return on its investment in three years and achieve positive net return after about one and a half years (Figure 2).

### Output device cost savings

By replacing more than 4,500 printers, PCs and scanners with Lexmark MFPs, the department put itself on track to dramatically cut device maintenance costs, which had been totaling about $1.4 million a year (Figure 3).

Since the Lexmark MFPs also transmit the completed attendance forms to the central mainframe, the school system was able to retire its outmoded computer workstations. Altogether, schools today are running about two-thirds fewer devices than before, which means that school work areas once cluttered with three machines now contain a single Lexmark MFP.

### Lower consulting costs

By retiring the 20-year-old OMS application, the department will save approximately $1.4 million each year in consulting fees, an ongoing expense needed to maintain and troubleshoot the system's heavily customized and proprietary software. Today, the Dynamic Forms System uses reliable, industry-standard technology to connect the Lexmark MFPs to the school system's mainframe (Figure 5).

### Energy savings

Shrinking the device fleet by two thirds will help schools trim energy consumption, saving the department an estimated $552K in electricity costs and helping decrease the size of its carbon footprint. Lexmark's MFPs are also among the most energy efficient on the market and come with auto-shutdown and other technologies to reduce energy consumption.

### Consumables savings

Using the new DFS application in combination with the Lexmark MFPs, the school system will no longer need to purchase supplies of pre-printed bubble forms for its 1,000+ schools, avoiding approximately $1.0 million a year in costs (Figure 6). Net savings will total an estimated $730K each year, as the school substitutes less-expensive stocks of plain paper for the pre-printed forms. As a result of moving to the Lexmark-based DFS solution, the department will no longer need to replenish the multi-vendor collection of printers, scanners and personal computers. At least 775 of the oldest scanners were on tap for replacement right away, while the rest of the assets, including the printers and computers, were scheduled for replacement in the next few years. Overall, the department will avoid an estimated $2.6 million in capital costs for replenishing these devices.

*Under a new maintenance agreement with Lexmark, the department will spend less in three years than it was spending in a single year servicing the old printers and scanners.*

### Reduced technical support burden

Because of the legacy system's chronic printer-alignment problems, the department's IT technical support staff were routinely burdened by technical support requests, which consumed several hours per week of help desk time. Today, with the alignment issues gone, the number of support requests have dropped by 74%, freeing the help desk to work on other issues and giving teachers and administrators more time to devote to education rather than device troubleshooting. Problems with the aging fleet of scanners in the legacy environment also consumed considerable helpdesk time. Today technicians resolve scanner-related issues in the DFS environment 65% faster than in OMS (Figure 7).

**Figure 3**

**Reduction in maintenance cost ($'M) - annually***

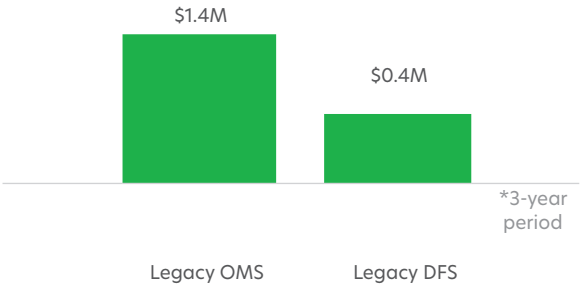



**Figure 4**

**Reduction in output devices**

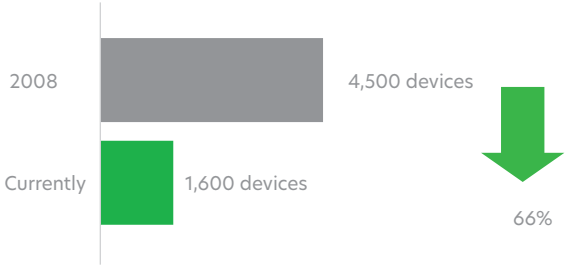


**Figure 5**

**Cumulative net consulting benefits ($'M)**

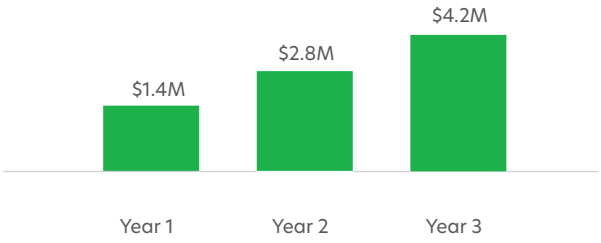



**Figure 6**

**Consumables spent ($'M) - annually***

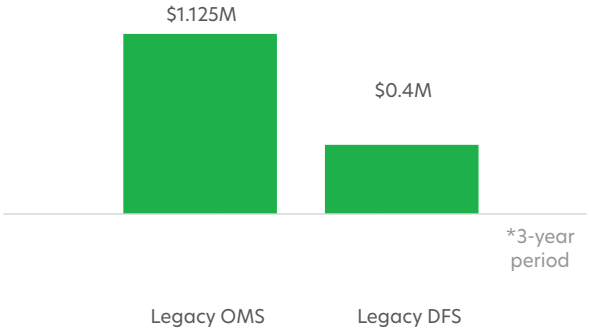



**Figure 7**

**Reduction in help desk calls**

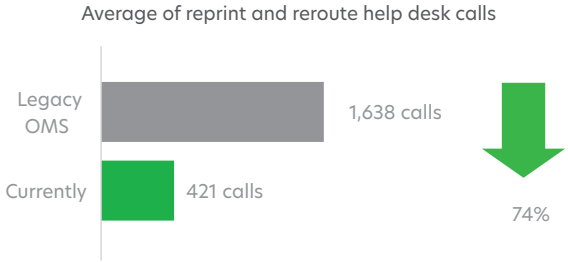
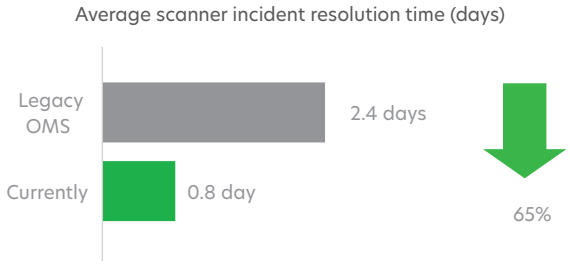



**Figure 8**

**Reduction scanner issue resolution time**




## Looking ahead

### Special Education Student Information System (SESIS)

With significant results already achieved, this district is continuing to look for ways to leverage its Lexmark MFPs to support its operations and student achievement. Two such projects are underway now, including one that will streamline and facilitate attendance requirements for its special education providers and another that will speed up results data for periodic assessments, which are administered to students six to eight times each year. As part of the district's Special Education Student Information System (SESIS), Lexmark will be automating the required attendance taking of its special education suppliers, such as physical therapists, occupational therapists, speech therapists and others.

Billing and payment to these providers requires proof that both the student and provider were present when the service was provided. This process today is a highly manual and paper-intensive process involving a booklet that is pre-printed, filled out by the providers and then collected and sent to a third party to be input into the district's system for analysis and payment.

*With significant results already achieved, this district is continuing to look for ways to leverage its Lexmark MFPs to support its operations and student achievement.*

Now, attendance bubble sheets with pre-slugged information will be printed on plain paper using the existing Lexmark MFPs. Providers will fill these out, noting their attendance and then scan the sheets using the touchscreen on the Lexmark MFPs. The information will be automatically populated in the SESIS system for processing and payment. This new approach will save considerable time for the providers and administrators, and will reduce the cost, paper and waste associated with the previous booklet approach.

**Periodic assessments**

Periodic assessments are administered to students six to eight times each school year. Today, teachers need to order those tests and bubble sheets, have the test sheets delivered and then administer the tests in their classrooms. After the test is given, the teacher collects the sheets and then mails them to an outside provider that grades each test and enters the scores into the student information database. This grading process takes two- to four-weeks to complete. By this time, teachers have already moved on to a new section of the curriculum and have very little ability to go back and review content with the students.

Now, the district will be modifying its periodic assessment process using the Lexmark MFPs. Student information and test criteria will be merged electronically and pre-slugged bubble sheets will be printed on plain paper on site in the teacher's building using the Lexmark MFPs. Teachers will then administer the exams to their students and scan the completed test sheets at the MFP. The scanned tests will be automatically and electronically sent to the grading provider and scores will be uploaded into the student information system within days instead of weeks.

This new approach will give teachers fast access to student scores so that they can review or modify the curriculum based on the student results. The new approach will also save considerable costs previously associated with the pre-printed bubble sheets and shipping charges.

## About this ROI and business benefits assessment

Research and analysis for this business impact study was conducted by Mainstay, an independent consulting firm and was based on interviews with officials at this top five U.S. school district and Lexmark and searches of industry literature. ROI calculations use industry-standard assumptions regarding the time value of money.

Mainstay is the leading provider of independent value assessment and IT strategy services. For more information, please visit www.mainstaycompany.com. Information contained in this business impact study has been obtained from sources considered reliable but is not warranted by Mainstay.

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15WWM4287

GOVERNMENT

# NYC Dept. of Homeless Services

## At a glance

The largest agency of its kind seeking to prevent homelessness in NYC

Locations: 11 offices across all five NYC boroughs, HQ in Manhattan

Budget: 800M annually

Employees: 2,000

Lexmark devices: 190, including T654, X654 single and multifunction, monochrome and color printers

## Challenges

- Consolidate and standardize to move from multiple devices and vendors to multifunction printers and a single vendor
- Deploy a consistent device interface across the organization
- Implement a scanning solution to accommodate space constraints
- Gain visibility into the device fleet, including usage and locations
- Manage printing costs effectively

## Services / solutions implemented

- Installed 190 single and multifunction devices, monochrome and color
- Scanner add-on solution to turn single function devices into MFPs
- Set up scanning so that employees could scan into network folders
- Managed print services with proactive consumables management
- Will be Implementing print release after conducting successful pilot

## Results

- Improved user-to-device ratios at all locations
- Eliminated the supply procurement task and the need to have parts and toner inventory on hand
- Consolidated and saved space to maximize the city's high cost-per-square-foot for storage
- Achieved faster turnaround time for repairs
- Looking into travel / expense solutions

## Why Lexmark

- High level of support and interaction
- Excellent relationship with the department
- Unique device solutions to address space constraints

NYC Department of Homeless Services

Lexmark

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GOVERNMENT

# State Office of Attorney General

## At a glance

*State agency with 120 locations*

Location: Southwestern U.S.

Models: T654dn, E360dn, MS410dn, E460dw, C780, MS811dn, W850dn

Lexmark Devices: 1,700+

## Challenges

- Refresh fleet of single-function printers—needed updated devices
- Manual procedure to order toner—each office buying toner separately
- Cumbersome reimbursement process—CFO cutting ~200 checks each month to state vendors to repay supply costs
- Digitize paper files—to automate procedures and cut costs

## Services / solutions implemented

- Upgraded 1,100 unit printer fleet and implemented MPS across one division to automate toner replacement
- So successful that 2nd division replaced its printer fleet with Lexmark devices
- Purchased additional 352 MFPs with MPS as well as scanning and networking solutions

## Results

- Standardized printers, MPS in two divisions—for a simplified infrastructure
- Streamlined toner replacement—with an automated process and order portal for non-networked offices
- Consolidated, single invoice for CFO—now only one check per month for toner
- Single point-of-contact—improved fleet management and SLAs

## Why Lexmark

- Reliable, consistent service to replace toner
- Solution to streamline billing
- Attentive account team
- Single vendor for output needs

Lexmark

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# Lexmark Attachment B - Sample Supplemental Agreement

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# Lexmark Attachment C - Diversity Program

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## Lexmark Diversity Program

The specific information requested on the list of diversity alliances and a copy of their certifications are confidential and proprietary to Lexmark. However, as of the first quarter of 2017 (with fiscal year reporting that ended in October 2016) our total diversity spend is over $27 million for a total of 188 suppliers. Following is a list of Lexmark's diverse supplier business types/categories.

- Minority Business Enterprise (MBE)
- Woman Business Enterprise (WBE)
- Minority-Owned Woman Business Enterprise (MWBE)
- Disadvantaged Business Enterprise (DBE)
- Small Disadvantaged Business (SDB)
- SBA8(A)
- HUB Zone (HUBZone)
- Veteran Owned Business (VBE)
- Service Disabled Veteran (DVBE)
- Historically Black Colleges and Universities (HBCU)
- Gay, Lesbian, Bisexual and Transgender (GLBT)
- Ability One (JWOD)
- Alaskan Native
- Disabled
- Woman-Owned Small Business (WOSB)
- Economically Disadvantaged Woman-Owned Small Business (ED-WOSB)
- Small Business Enterprise (SBE)

At Lexmark, we recognize the broad spectrum of diversity, and we value it in our customers and suppliers, as well as our workforce. Lexmark's diversity initiative focuses on developing mutually beneficial business relationships with minority, women and disabled veteran-owned businesses.

Lexmark does not qualify for certification as a minority supplier. However, we have successfully integrated small—HUBzone, disadvantaged, women-owned, veteran-owned, and service-disabled veteran—owned businesses into many of our major services contracts. We are confident we can meet or exceed ESC's goals in this area. Lexmark can work with ESC to meet or exceed your minority spend requirements within the context of this opportunity.

The first step to Lexmark enhanced diversity awareness begins within our doors. With the objective to strengthen and partner with our diverse business community, Lexmark has developed a required two-day training course for each employee to increase their knowledge and experience in diversity.

To determine development of business relationships, Lexmark adheres to a strict policy that promotes equitable opportunity. We make every effort to ensure that small, HUBzone small, small disadvantaged, women-owned small business concerns will have fair opportunity to compete for subcontracts.

These efforts may include one or more of the following activities:

- **Outreach efforts to obtain sources**
  - Contacting minority and small-business trade associations.
  - Contacting business development organizations.
  - Requesting sources from the Central Contractor Registration.
  - Publications of the office of Minority, Small Business and Capital Ownership Development of the Small Business Administration.
  - Local and national associations and councils of above-mentioned concerns.
  - Federal Executive Boards.
  - Communications with other vendors and suppliers in our industry.
  - Use of internet websites focused on the development and growth of small and diverse business opportunities.
  - Implementation of Lexmark policies and procedures that request information from potential suppliers related to small and diverse status.
  - The SBA-maintained list of all certified HUBZone small businesses.
- **Dynamic small business search**
  - Attending small, minority, and women-owned procurement conferences and trade shows.
  - Internal efforts to guide and encourage purchasing personnel:
    - Presenting workshops, seminars and training programs.
    - Establishing, maintaining, and using small businesses (including ANCs and Indian tribes) and women-owned small business source lists, guides and other data for soliciting subcontracts.
    - Monitoring activities to evaluate compliance with the subcontracting plan.

Lexmark plans for small businesses, small diverse businesses, women-owned small businesses, HUBZone small businesses, service-disabled veteran-owned small businesses and veteran-owned small businesses is formed each year by considering growth rate, current and historical performance and each area's subcontracting opportunities. In 2012, Lexmark continues to face significant market challenges as a result of the sluggish economy and has currently taken the following steps:

1. Wherever possible, Lexmark has continued to utilize the dynamic small business search engine to identify potential small business diversity suppliers for bids of supplies and services.
2. Established a link on Lexmark's website for small business diversity suppliers to register their products and services with us.
3. Upon renewal of contracts with our large suppliers, Lexmark will encourage incorporation of contract language that establishes hiring goals of socio-economic small business categories and requires the results to be reported to Lexmark. Although we realize we are not able to benefit from these numbers, Lexmark believes these efforts will help drive increases in the hiring of socio-economic small businesses.
4. Train and designate key purchasing personnel to aggressively pursue all small business and other socio-economic small business category opportunities as they become available. Track progress on a monthly basis and record reasons of why they are not selected, should this occur.

As a means of developing relationships with MWBEs, Lexmark participates in outreach activities and is a member of the Tri-State Minority Supplier Development Council (TSMSDC) and the TSMSDC Business Networking Event. In 2007, Lexmark received the Kentucky Minority Business Council (KMBC) Million Dollar Spend Award.

# Lexmark Attachment D - ISO Certificates

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# CERTIFICATE

This is to certify that

## Lexmark International, Inc.

740 West New Circle Road
Lexington, KY 40550
United States of America

has implemented and maintains a **Quality Management System**.

Scope:
The design, development, sales and marketing, manufacturing and logistics planning and management, and customer support of a broad range of printing, imaging and workflow products, software, solutions and services.

Through an audit, documented in a report, it was verified that the management system fulfills the requirements of the following standard:

## ISO 9001 : 2008

| | |
|---|---|
| Certificate registration no. | 10002310 QM08 |
| Date of original certification | 2013-04-15 |
| Date of certification | 2015-02-09 |
| Valid until | 2018-02-08 |

**UL DQS Inc.**

Ganesh Rao
Managing Director

Accredited Body: UL DQS Inc., 1130 West Lake Cook Road, Suite 340, Buffalo Grove, IL 60089 USA

# CERTIFICATE

This is to certify that

## Lexmark International, Inc.

740 West New Circle Road
Lexington, KY 40550
United States of America

has implemented and maintains an **Environmental Management System**.

Scope:
The environmental activities and supporting processes associated with the research, development and design of printers, printer supply items and software solutions and the processing of administrative services.

Through an audit, documented in a report, it was verified that the management system fulfills the requirements of the following standard:

## ISO 14001 : 2004

| | |
|---|---|
| Certificate registration no. | 10002310 UM |
| Date of original certification | 2005-01-03 |
| Date of certification | 2017-01-03 |
| Valid until | 2018-09-14 |

ANAB ACCREDITED ISO/IEC 17021 MANAGEMENT SYSTEMS CERTIFICATION BODY

**DQS Inc.**

Ganesh Rao
Managing Director

Member of IQNet

Accredited Body: DQS Inc., 1130 West Lake Cook Road, Suite 340, Buffalo Grove, IL 60089 USA

# CERTIFICATE

This is to certify that

## Lexmark International, Inc.

740 West New Circle Road
Lexington, KY 40550
United States of America

with the organizational units/sites as listed in the annex

has implemented and maintains an
**Information Security Management System**.

Scope:
Information security management system for the managed print services provided by the Imaging Solution Services division of Lexmark International, Inc.

With reference to Statement of Applicability (SOA): Version 1.0, dated 11-08-2016

Through an audit, documented in a report, it was verified that the management system fulfills the requirements of the following standard:

## ISO / IEC 27001 : 2013

| | |
|---|---|
| Certificate registration no. | 10002310 ISMS13 |
| Date of original certification | 2016-12-05 |
| Date of certification | 2016-12-05 |
| Valid until | 2019-12-04 |

ANAB ACCREDITED ISO/IEC 17021 MANAGEMENT SYSTEMS CERTIFICATION BODY

**DQS Inc.**

Ganesh Rao
Managing Director

Member of IQNet THE INTERNATIONAL CERTIFICATION NETWORK

## Annex to certificate
## Registration No. 10002310 ISMS13

# Lexmark International, Inc.

740 West New Circle Road
Lexington, KY 40550
United States of America

| Location | Scope |
|---|---|
| **10014769**<br>**Lexmark International, Inc.**<br>**745 W New Circle Rd**<br>**Lexington, KY 40550**<br>**United States of America** | Information security management system for the managed print services provided by the Imaging Solution Services division of Lexmark International, Inc. |

This annex (edition: 2016-12-05) is only valid in connection with the above-mentioned certificate.

# CERTIFICATE

This is to certify that

## Lexmark International, Inc.

740 West New Circle Road
Lexington, KY 40550
United States of America

has implemented and maintains an
**Occupational Health and Safety Management System**.

Scope:
The occupational health and safety activities and supporting processes associated with the research, development and design of printers, printer supply items and software solutions and the processing of administrative services.

Through an audit, documented in a report, it was verified that the management system fulfills the requirements of the following standard:

## BS OHSAS 18001 : 2007

| | |
|---|---|
| Certificate registration no. | 10002310 BSOH |
| Date of original certification | 2005-01-03 |
| Date of certification | 2017-01-03 |
| Valid until | 2020-01-02 |

ANAB ACCREDITED ISO/IEC 17021 MANAGEMENT SYSTEMS CERTIFICATION BODY

**DQS Inc.**

Ganesh Rao
Managing Director

Accredited Body: DQS Inc., 1130 West Lake Cook Road, Suite 340, Buffalo Grove, IL 60089 USA

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# Lexmark Attachment E - Lexmark Print Management

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# Lexmark Print Management

With Lexmark Print Management you can optimize your network printing and create an information edge with a solution that you can deploy on-premises, in a serverless environment through the cloud, or in a serverless environment.

## Secure and convenient print release

**Flexible.** Release your print jobs from any enabled device.

**Secure.** Authenticate yourself at the device to print your documents.

**Mobile.** Submit jobs to your queue from a smartphone or tablet.

## Powerful tracking, accounting and reporting

**Comprehensive.** Track all activity across your network environment.

**Accurate.** Easily calculate costs using detailed activity reports.

**Cost-effective.** Manage costs and reduce waste with print quotas.

## Print release

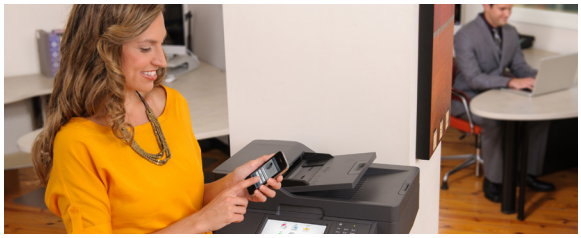
Lexmark Print Management gives you the latitude to send documents from your computer, tablet, smartphone,[1] or even a web portal[2], and to print them on any enabled[3] printer or Multifunction product (MFP). Instead of "pushing" your documents to a designated print device—where the pages sit out in public view until you retrieve them—you "pull" them down from the print queue when you log in or swipe your ID card at the printer. Instead of being tethered to a single device, you can release your print job from a printer that is most convenient to you or from one with the features or capabilities that fit your needs.

## Features

1. **Pull printing and access control:** Holds your print jobs in a server queue or on your workstation until an authorized user selects the documents to print while present at the device.
2. **Mobile printing:** Provides a complete mobile printing system, enabling you to submit jobs to your print queue from any smartphone or mobile device including Android® or iOS devices.
3. **ID card support:** Integrate card readers with your devices for quick and easy user access. Users can authenticate at the print device using the same card they use to access work facilities.
4. **Automatic user registration:** Self-registers users, eliminating the need for an administrator to manually enter badge numbers.
5. **Session-based login:** Allows you to perform multiple output tasks without having to swipe your card or log in again.
6. **Print preview[2]:** Let's you view each page of your document, change print options, and select specific pages to print.
7. **Print and keep:** Allows you to keep your documents in the queue so you can print it again later.
8. **Print job delegation:** Let's you assign a delegate to log in and print documents that are in your queue.
9. **Online queue management[2]:** Allows you access the web portal to drag files from your document folders and drop them directly into your queue. Also, you can delete documents from your queue or change print settings.
10. **Purge timeouts:** Let's you automatically delete documents in your queue after a predetermined period.

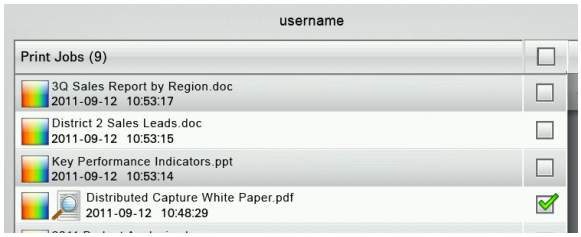
**Send from desktop**

**Send from mobile**



**Authenticate**

**Preview, print, delete or print and keep**



## Four ways to send files to your print release queue

### Lexmark mobile printing app (Android and iOS)

With the Lexmark Mobile Printing App6 downloaded to your Android or iOS smartphone or tablet, you can select a file to print and the print job will be sent directly to your print queue.

1. Using the send or share function, choose Lexmark Mobile Printing and select the number of copies, pages per side, duplex on/off, or color on/off.
2. To release your print jobs, go to any solutionenabled printer within your corporate network, enter your passcode or swipe your ID card, and select the documents you want to print.[5]

### Mobile email submission

Lexmark Print Management can be configured[6] to print from any email-enabled mobile device by simply attaching the document to an email. No driver or application is required.

1. Send the email to your corporate Lexmark Print Management email account. The email and any attachments are converted and held in your print queue.
2. To release print jobs, go to any solution-enabled printer and enter your credentials or swipe your ID card, and then select the documents you want to print.[5]

### File > print (with driver)

1. With the Lexmark Universal Print Driver[4] installed on your computer or laptop, you can print from any applicationusing the File > Print command (Ctrl + P or Command - P) as you normally would.
2. Your document is sent to the print release queue.
3. To release your print jobs, go to any enabled printer, enter your credentials or swipe your ID card, and select the documents you want to print.

### File > upload (without driver)[2]

1. Log into the web portal[4] to access your print queue. Documents can be added to your print queue by simply dragging and dropping them into the print queue.
2. To release your print jobs, go to any enabled printer or MFP. Enter your credentials or swipe your ID card, and select the documents you want to print.

### Submit via AirPrint™

1. Submit files to your print release queue using the native printfeatures of iOS.

## Document accounting

Optimize the efficiency of your output environment with powerful tracking and reporting software. Throughout the day, Lexmark Print Management monitors output activity on your printing and imaging devices, plus collects detailed information on usage, devices or user/device groups. Your organization now has the data it needs to modify printing habits, better manage assets, and reduce costs and waste.

## Features

- **Print, copy and scan tracking:**Track all printing, copying and scanning across your enterprise to drive proactive management and data-driven decision making.
- **Application tracking:**Track activity performed through embedded applications. You can track copies made using the standard copy function as well as those made through Eco-Copy or Card Copy, giving you a complete accounting of your output environment.
- **User quotas:**Apply user quotas for print and copy. Limits can be set for total impressions and color. Users can easily track their quota status at the printing device.
- **Administrative reporting:**Select from a variety of summary reports and view by user/user group or device/device group and date range. Apply reporting filters to view activity by a specific interest area such as color or duplex. View reports online or export the data to .CSV format for additional analysis.

**View activity history online. Export data to CSV**
**Generate summary reports.**

## Deployment options

In choosing technology to make your organization run more efficiently, two qualities demand attention: flexibility and scalability. Lexmark enterprise solutions are designed to adapt to virtually any environment and to expand quickly to users across your organization. This flexible and scalable approach also applies to the way we deliver solutions such as Lexmark Print Management.

You can deploy and administer Lexmark Print Management in a traditional fashion by purchasing licenses upfront and internally supporting and managing the software and associated infrastructure. Or you can purchase the solution and support on a subscription basis—as Software as a Service. Perhaps a combination of the two would work best. Lexmark deployment experts will help you choose the model that meets your requirements, maximizing the effectiveness of your output environment.

**Software as a Service (SaaS)**

- Lexmark-managed
- Pay per user
- Lower operating expense
- Redundant servers
- Fast and easy to scale globally

Your organization accesses the solution on a subscription basis. Lexmark manages and operates the system, along with the associated infrastructure, in our secure data center. This option enables you to maintain focus on your business, while Lexmark manages your Print Release solution.

**Traditional (On-premises)**

- Self-managed
- Purchase and own
- Low capital expense
- IT managed backup
- Ongoing systems support

With the traditional approach, your organization licenses the solution upfront and deploys it on your premises. Your organization is responsible for providing the necessary support to manage and operate the associated infrastructure, such as server hardware and software.

**Serverless**

- Self-managed
- Purchase and own
- Elimination of print servers
- Uniform configuration

Lexmark Print Management Serverless Print Release builds on the value of the standard print release concept by making it possible to print without print servers and, in many cases, without any servers at all. With LPM Serverless Print Release, print jobs aren't routed through a print server and then on to a centralized network queue, as with traditional print servers. Instead, the print job is captured, encrypted, and stored locally on the user's PC until they arrive at the printer and authenticate. From there, the desired jobs are routed directly to the printer. This means you can reduce the cost and complexity of the print infrastructure by repurposing or eliminationg print servers all while making your print process more efficient and secure.

## Features overview

**You choose. We deliver.**

Lexmark Print Management delivers a new level of flexibility to your enterprise. With this solution—deployed On-premises, or as hosted software—your organization can create a secure, shared printing and imaging environment with enduring benefits.

- Reduce printing costs and shrink carbon footprint
- Strengthen access controls, security and compliance
- Give users the power to print from mobile devices
- Track activity and increase user accountability
- Add redundancy, ensuring printer availability
- Provide flexibility to deploy on-premises or as software as a service
- Introduce new functionality in a timely, cost-effective manner
- Also available for select third party devices

| | SaaS | Traditional (On-Premises) | Serverless |
|---|---|---|---|
| **Print release** | | | |
| Automatic user registration | ✓ | ✓ | ✓ |
| Submit from print driver (File > Print) | ✓ | ✓ | ✓ |
| Submit from Lexmark Mobile Printing App | ✓ | ✓ | ✓ |
| Submit from email | ✓ | ✓ | ✓ |
| Submit from Lexmark Print Management web portal | ✓ | | |
| Submit via AirPrint™ | | ✓ | |
| Print and keep | ✓ | ✓ | |
| Delete/delete all | ✓ | ✓ | ✓ |
| Print job delegation | ✓ | ✓ | |
| Color/mono print job identifier | ✓ | ✓ | ✓ |
| Automatic purge | ✓ | ✓ | ✓ |
| Set duplex default | ✓ | ✓ | ✓ |
| View jobs in print queue from the web portal | ✓ | | |
| Add print jobs by drag-and-drop, change order of jobs in queue from the web portal | ✓ | | |
| Third party device support | | ✓ | ✓ |
| **Document accounting** | | | |
| Browser based | ✓ | ✓ | ✓ |
| Implement user quotas | ✓ | ✓ | |
| Track print, copy, scan activity, including embedded apps | ✓ | ✓ | ✓ |
| View reports | ✓ | ✓ | ✓ |
| Export data | ✓ | ✓ | ✓ |
| Graphical summary report | ✓ | ✓ | |

[1]Sending a print job from the Lexmark Mobile Printing App requires iPhone® 3G or newer, devices running iOS 4.2 or later, or Android® devices running version 2.1 or newer. [2]Currently available only through Software as a Service (SaaS) deployment. [3]Lexmark Embedded Solutions Framework supported print devices or non-Lexmark PCL/PostScript printers equipped with a card reader and connected through a Lexmark Print Release Appliance. [4]Included in the price of the Lexmark Print Release solution. [5]Printing speeds, formatting and other characteristics may vary. [6]Additional license charge.

## Find out more

Call us at 888-403-2803 or contact your Lexmark representative today to learn more about **Lexmark Print Management.**

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Lexmark

# Downtime Reports

## Business challenge

- Providing business continuity during a downtime event or network outage
- Expense and waste associated with manually creating or copying essential documents
- Transactional component of your disaster recovery strategy

## Lexmark's advantage

Lexmark Downtime Reports gives you 24/7 access to critical documents and reports, even if your IT system fails or the network goes down. As documents are updated throughout the day, they are streamed to your Lexmark printer or MFP and stored on the secure hard disk. During a downtime event, simply tap the touch screen, choose a folder and select the documents you need to print.

## What are the advantages of Lexmark Downtime Reports?

- Intuitively easy to use
  - MFP touch screen provides large viewing display and familiar technology
- Maximizes the return on your hardware investment
  - Eliminates the need for downtime PCs and printers
- Saves time, saves paper
  - Curbs the time and waste associated with manually printing paper back-ups

**Ideal for:**

- Healthcare
  - Nursing
  - Admissions
  - Scheduling
- Manufacturing
  - Production schedules
  - Kanban cards
  - Workforce
- Management retail
  - POS contracts
  - Customer service
- Transportation
  - Shipping forms and documents
  - Log books

## Features

### Accessibility 24/7

Accessing reports during downtime requires only that the printer or MFP can be powered on.

### Customizable

Document categories can be custom-tailored to the specific needs of the environment.

### Programmable

Uploads and overwrites documents throughout the day at the intervals you specify. Deletes expired documents automatically.

### Secure

Forms and reports are stored on encrypted hard disk. Documents cannot be erased if the device is powered down. Supports a variety of user authentication methods, including card-swipe access.

### Auto-indexing option

Store blank forms, or optionally choose to merge them with barcodes for fast and accurate processing after the downtime event ends.

**Part number:** 82S0194
**Memory:** Minimum of 256MB
**Hard disk:** Required

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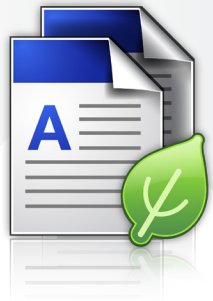
Lexmark

# Eco-Copy



## Business challenge

Even in today's digital world your business still needs a hard copy of important documents—and that can have a huge impact on your budget. That's why it is important to find ways to use less paper and toner whenever possible.

## Lexmark's advantage

Our Eco-Copy application helps you reduce your printed copy costs using a collection of easy-to-use, on-screen commands. These simple touch screen options provide a convenient way for your business to use less toner while minimizing unnecessary paper consumption.

## What are the advantages of Eco-Copy?

- Consume less toner
  - Easily adjust toner darkness to save toner
- Minimize paper consumption
  - Use up to 50% less paper with 2-sided printing
- Make the most of every page
  - Copy up to four pages onto a single side

**Ideal for:**

- Credit card applications
- Account openings
- Mortgage applications
- Hotel check-in documentation
- Any process that requires proof of identity

## Features

### Spend less on toner

Produce high-quality documents when you need them while cutting your printing costs when you don't. You can control toner consumption by adjusting the darkness of each document, enabling you to use less toner for rough drafts or internal documents.

### Use up to 50% less paper

Eco-Copy makes it easy to reduce your paper consumption with 2-sided printing. This feature lets you turn a single-sided, 2-page document into a 1-page, 2-sided document.

### Get more from every page you print

With Lexmark's "multi-up" feature, you can copy as many as four pages on a single page, significantly reducing your output costs.

**Part number:** 82S0229
**Memory:** Minimum of 256MB
**Hard disk:** Not required

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# Forms & Favorites

## Business challenge

Many forms needed for customer information, previously in hardcopy format.

- Requires storage space for the forms
- Difficult to ensure latest form is used
- Wasted paper when the form is outdated
- Difficult to search for archived data

## Lexmark's advantage

Forms & Favorites allows you to instantly access required online forms from any Lexmark MFP to help simplify and streamline work processes. From the touch screen, you can navigate through form categories or search for forms based on a form number, name or description.

## What are the advantages of Forms & Favorites?

- **Saves time**
  - On-demand retrieval and printing
  - Locate bookmarks using the built-in search feature
- **Provides security**
  - Supports device authentication methods
  - Individually protect forms using a Personal Identification Number
- **Allows for flexibility**
  - Define bookmarks
  - Add or delete forms at any time
  - Organize bookmarks as shortcuts in hierarchical folders

**Ideal for:**

- Hospital admissions
- Government offices
- Retail kiosks

## Features

**Locate forms quickly**

Navigate through form categories or search for forms based on a form number, name or description.

**Print and store settings**

Print Forms & Favorites and store print settings within bookmarks to save time for frequently printed forms.

**Part number:** 82S0250
**Memory:** Minimum of 256MB
**Hard disk:** Not required

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Lexmark™

# Scan to Network

## Business challenge:

Inability to convert hardcopy documents into digital format.

## Lexmark's advantage:

Scan to Network lets you capture a digital image of hardcopy documents and route the file to a shared network folder. Immediately upon delivery, the file is available to anyone permitted to access the folder and up to 100 unique folder destinations can be defined.

## What are the advantages of Scan to Network?

- Simplifies network scanning
  - Step-by-step instructions
  - Intuitive design
  - No training required
- Offers administrative flexibility
  - Configure scan to home directory
  - Pull home directory from Active Directory
  - Prevent unauthorized configuration
  - No server to maintain

## Ideal for:

- Back office hardcopy conversion
- Centralized archiving on file system
- Legal practice hardcopy conversion
- Ad hoc scanning of print ads, brochures, receipts, etc.

## Features:

### Pre-defined destinations

Users can easily select a destination and perform the document conversion.

### Name and settings

Users can easily define the document name and settings on the touch screen.

### Change the scanning settings

Make edits to the document including document type, resolution, page size or color versus monochrome scan.

**Part Number:** 82S0191
**Memory:** Minimum of 256MB
**Hard Disk:** Optional

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# Scan Center

## Business Challenge

More than ever, businesses are realizing the efficiency and cost benefits of converting hard copy information into digital documents. However, getting this information into various business processes can be cumbersome and often requires different workflows, applications and user experiences based on the document's destination.

## Lexmark's advantages

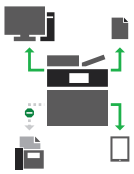
Lexmark Scan Center consolidates all scan-related functions into one sophisticated yet easy-to-use application. This powerful tool enables users to review, enhance and index images, then route to multiple destinations using an intuitive, touch screen interface. With Scan Center, users can quickly create high-quality images and confirm their delivery with thumbnails—all without using a computer desktop.

## What are the advantages of Scan Center?

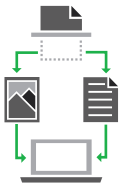
- Easy to use
  - Intuitive, tablet-like interface provides a single point of entry for all scan tasks
- Saves time
  - Eliminate guesswork by consolidating all scan tasks in a single application
  - Configure time-saving shortcuts using the embedded web server or enter scan destinations right at the MFP
  - Scan to multiple destinations simultaneously

**Part Number:** 82S0969
**Memory:** 512 MB
**Hard Disk:** Optional

## Features



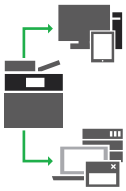
**Modular destinations:** Enable or disable certain destination types, such as turning off fax for devices without fax capabilities



**Server-free capture:** Create images of documents and associated metadata without a server

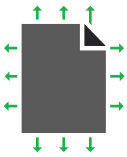
**Ad-hoc scan:** Scan to destinations that have not been predefined by the administrator

**Custom file types:** Route a single scan to different destinations in different formats*



**Group destinations as shortcuts:** Define shortcuts through the embedded web server or by the end user

**OCR Support:** Integrate with AccuRead OCR, if licensed on device, to allow scanned documents in formats such as a searchable PDF, text or rich text document



**Support large number of destinations:** Support up to 100 predefined destinations

*Hard disk required

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Lexmark

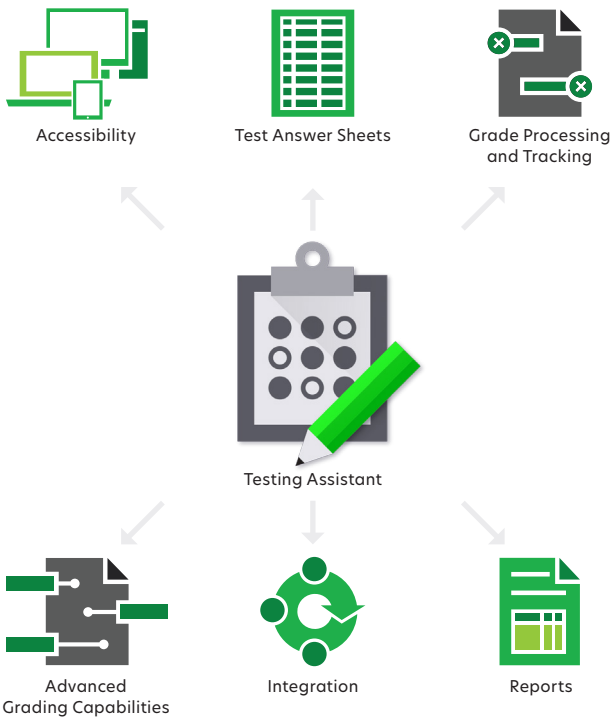
# Lexmark Testing Assistant

## Quickly and easily assess student skills

Ready to raise standards by lowering the cost and time barriers associated with preprinted test forms, manual pre-slugging and off-site scoring?

With Lexmark Testing Assistant, you can now afford to test your students more often and for less expense, without adding to your education team's workload.

The solution allows teachers to import class rosters, create test answer sheets, scan and grade completed tests, and export results to virtually any learning management system. This innovative functionality is available from the convenience of virtually any web browser and by leveraging the power of Lexmark multi-function printers (MFPs).




Using the solution, educators can print their own test materials on affordable plain paper and scan the completed tests to automatically score them. Results are available in minutes, along with a variety of reports that can be used to accurately analyze student performance.

## Simplify and speed student assessment

**Print Tests:** The Print Test option enables you to download and print personalized answer sheets from your computer, and answer sheets can be printed on demand using plain paper to save even more time and money.

**Grade Tests:** Scanned completed answer sheets from the Lexmark MFP are sent directly to the cloud where tests are automatically processed.

**Create Summary Reports:** Prompt reporting capabilities help you respond to individual learning gaps or class comprehension issues, and the solution provides different reports that can be downloaded for more detailed reviews.

## Key Features

### Accessibility

The solution is accessible from virtually any web browser on PCs, Macs and tablets, with nothing to install and no IT resources required. It also adheres to a full spectrum of security standards for a safer, more productive education environment.

### Test Answer Sheets

Create personalized answer sheets with multiple choice questions, math grids and subjective questions for essays or write-in responses. You can also quickly design generic answer sheets with bubble-in student ID grids tailored for larger classes.

### Grade Processing and Tracking

Automatic processing is handled in the cloud once tests are received from the Lexmark MFP. After the grading process, exception-based workflow occurs so teachers can review blank answers, resolve multiple responses and make corrections before grades are finalized.

### Advanced Grading Capabilities

The solution allows for more than one correct response and sets question points for correct, incorrect and blank answers. Educators can set a test benchmark to quickly see which students achieve the desired score, and the solution provides scores on specific learning objectives or standards in addition to the overall test.

### Integration

Users can quickly export raw data from CSV, Excel, Access and more to other formats for easy import into analysis applications. The solution also imports rosters listing student, teacher, class and test information for fast identification and tracking.

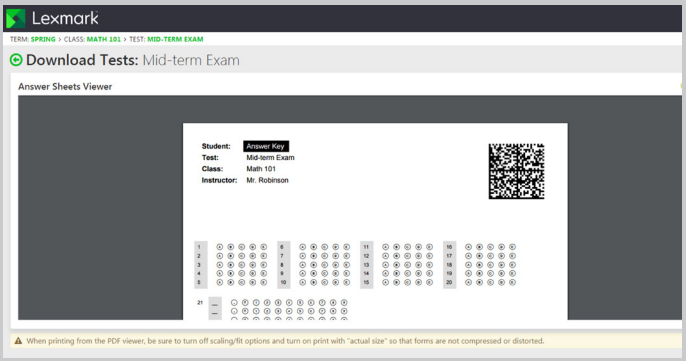
## Reporting tools for clear, actionable information

This powerful solution provides a variety of reporting options that can help educators close learning gaps through data-driven interventions. Reports include:

- Student Statistics Report
- Test Analysis Report
- Student Response Report
- Class Learning Objectives Report
- Student Achievement Report
- Condensed Test Report
- Item Analysis Report
- Student Grade Report
- Student Test Report
- Test Statistics Report
- Test Item Statistics Report

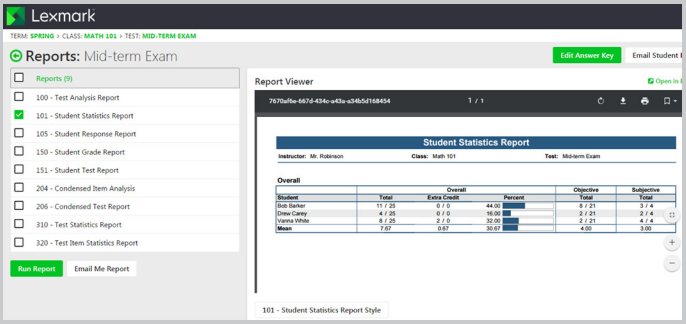
With the Testing Assistant, assessment tasks can be automated so educators spend less time on manual tasks and more time supporting students. Here's how it works:

## 1 Create and print custom answer sheets




## 2 Send completed tests to the cloud from a Lexmark MFP

## 3 Grade, report and manage tests for all students and classes



## Fast and Affordable Testing Assistant

Lexmark Testing Assistant offers public and private institutions an affordable, hassle-free way to implement a Lexmark MFP-based assessment solution.

With the solution, you will:

- Save teachers time by eliminating manual grading
- Reduce expenses by creating personalized answer sheets, with no special paper required
- Deliver powerful functionality with easy-to-learn web interface available from most web browsers
- Provide comprehensive test analysis with built-in grading reports that show performance on tests

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Corporations Section
P.O.Box 13697
Austin, Texas 78711-3697

Rolando B. Pablos
Secretary of State

# Office of the Secretary of State

## Certificate of Fact

The undersigned, as Secretary of State of Texas, does hereby certify that the document, Application For Certificate Of Authority for LEXMARK INTERNATIONAL, INC. (file number 8698406), a DELAWARE, USA, Foreign For-Profit Corporation, was filed in this office on March 19, 1991.

It is further certified that the entity status in Texas is in existence.

In testimony whereof, I have hereunto signed my name officially and caused to be impressed hereon the Seal of State at my office in Austin, Texas on July 07, 2017.

Rolando B. Pablos
Secretary of State

# Franchise Tax Account Status

As of : 07/07/2017 16:06:43

**This Page is Not Sufficient for Filings with the Secretary of State**

| LEXMARK INTERNATIONAL, INC. | |
|---|---|
| **Texas Taxpayer Number** | 10613082154 |
| **Mailing Address** | 740 NEW CIRCLE RD NW LEXINGTON, KY 40550-0001 |
| **Right to Transact Business in Texas** | ACTIVE |
| **State of Formation** | DE |
| **Effective SOS Registration Date** | 03/19/1991 |
| **Texas SOS File Number** | 0008698406 |
| **Registered Agent Name** | CT CORPORATION SYSTEM |
| **Registered Office Street Address** | 1999 BRYAN ST., STE. 900 DALLAS, TX 75201 |

# Lexmark Managed Print Services (MPS)

## No output strategy. No operational efficiency.

Businesses still depend on paper to serve customers, run supply chains, care for patients, open new accounts and all the other activities that drive performance and growth.

To move and use that paper-based information, organizations rely on processes and people. When these are aligned and efficient, your entire business benefits through faster turnaround, better decisions and responsive customer service.

Lexmark Managed Print Services connects print, process and people to drive productivity and performance.

It creates environments for business growth and customer satisfaction through:

- Infrastructure optimization
- Proactive management
- Streamlined business processes

## Credibility established by our track record

Lexmark has been at the forefront of MPS for over a dozen years. We bring you a rich portfolio of award-winning multifunction devices, industry-specific software and highly skilled experts.

Our customer loyalty is solid, with a renewal rate of 96% for the last five years, and one of the greatest percentages of large customers of any MPS provider.

> *"Lexmark has the longest history of providing specific horizontal and vertical business solutions, backed by a vertically aligned organization, a mature global infrastructure, and a focus on execution excellence."*
>
> **IDC MarketScape: Worldwide Managed Print and Document Services**
> 2014 Hardcopy Vendor Assessment

Lexmark global MPS leadership has been recognized again and again by respected analysts like Gartner, Forrester, IDC and Quocirca.

## Global and industry experience

From the beginning, Lexmark MPS has been geared to the significant challenges of managing complex, distributed environments, unlike other providers who adopted that approach later. Distributed landscapes are more challenging, because they involve thousands of devices across many locations.

With thousands of successful engagements, we understand your challenges at all levels, from front line to back office. We are proud to call nine of the top ten global retailers and nine of the top ten global banks our customers.*

Other markets we serve include:

- Healthcare
- Insurance
- Manufacturing
- Education
- Government

*Global Retailers and Global Commercial and Savings Banks are based upon revenue according to 2014 Global 500.

## It's not just about printers: It's process, productivity, people and performance

Best practices MPS is not just about copiers and printers; it's really about your people. True MPS focuses on what your teams need to become more productive.

## Turn information into insight

You can't fix or manage what you don't understand. You need more information about your fleet. The challenge comes down to capturing data, and when it comes to large device fleets, that's not a job to tackle on your own.

Lexmark MPS solutions capture information to help run your business more efficiently and effectively.

You gain:

- Visibility into output costs and volumes
- More efficient management of your fleet
- Proactive, economical consumables management
- Insight to improve manual and digital processes
- Industry-specific solutions to optimize workflow
- Single system for visibility and control to manage costs and increase uptime
- Proactive online monitoring and integrated help desk capabilities

## Unmanaged fleets won't run efficiently

One of the most obvious problems of unmanaged output is cost. Printers are the single most unaudited business expense, and most businesses don't know what they spend on print. If you don't understand what you're spending, there's no way to evaluate the wisdom of the expense or figure out how to spend more wisely.

Printing costs are an often overlooked, misunderstood business expense, but an unmanaged output fleet also causes other problems:

- No standardization or best practices
- Hundreds or even thousands of devices with multiple vendors, models and contracts
- Desktop devices everywhere, but many not networked and shared
- "Consumables chaos" from unmanaged inventories
- Skilled IT staff distracted by printer support calls

## Plan for maximum MPS value—we do

Don't underestimate the full scope and value Lexmark Managed Print Services offers. Otherwise, you end up with short-term savings, but miss out on maximizing long-term sustainable cost reductions and so much more. Consider the rewards of proactive services and business process optimization from the start. We do.

We use a progressive strategy to take you from cost reduction to business optimization and future flexibility. Lexmark "best practices" MPS:

- Goes beyond cost reduction and device consolidation to better manage information across your organization.
- Gives you a foundation for continued productivity improvements and process optimization.
- Turns device fleets into productivity tools for better information access and more efficient processes.
- Helps employees get more work done with fewer bottlenecks and more time for customers and business.

## Potential savings over 30%

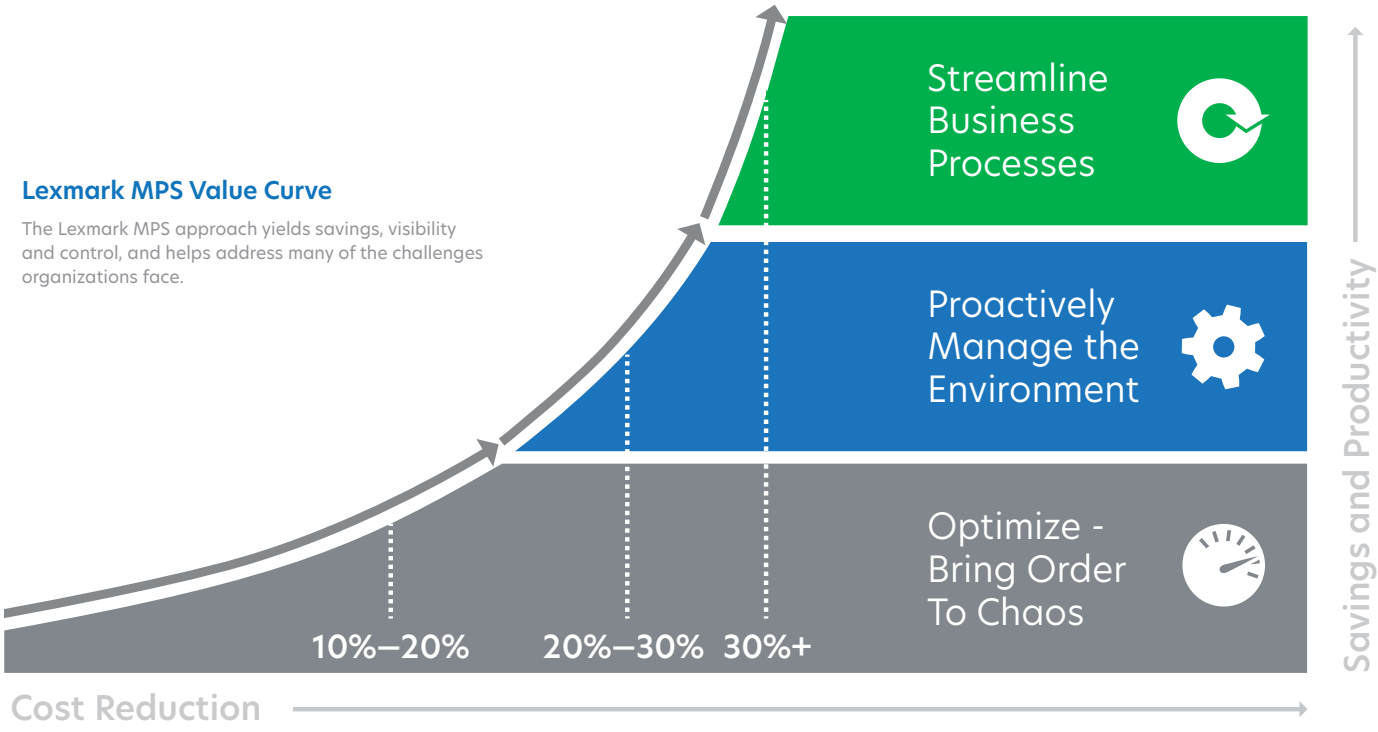
The more you engage with Lexmark Managed Print Services, the more value you gain. We start with assessments to understand your current state and map your path to industry best practices. As you go from infrastructure optimization to streamlined business processes, you'll see greater savings and productivity. Customers could save upwards of 30% by following the Lexmark approach to enterprise MPS strategy.

## Smart sustainability

Organizations across all industries are challenged to bring more sustainable business practices to a world dominated by paper. MPS can help here, too. Reduced print volume and more efficient infrastructure contribute to your sustainability and corporate social responsibility.

## Transform manual processes: From hours to minutes

With MPS, multifunction fleet devices become productivity tools for better information access and more productive processes. Your fleet of MPS assets becomes the foundation for process and workflow improvements that move content from paper to digital to "useable." Information can be captured and channeled automatically into your existing business systems. You can align workflow from back office to front office to better serve customers. Manual paper-based processes can be automated, cutting costs and mistakes. What took hours or days gets done much faster. As a result, employees have more time for customers and business.




**Lexmark MPS Value Curve**

The Lexmark MPS approach yields savings, visibility and control, and helps address many of the challenges organizations face.

## Technology independence

Our unique capabilities translate into world-class, no-worries MPS. Because we own our technology, we can help you faster. Our software works seamlessly with our hardware to deliver industry-specific solutions and process improvements across your enterprise. We use automation and analysis—not manual labor—to proactively manage distributed fleets. With smart devices and a single system view of your fleet, we will help you achieve remarkable results. Lexmark smart MFPs provide a foundation for industry-specific solutions that lead to greater efficiency, and we bring you only the best. Buyers Lab named Lexmark monochrome MFP models as top systems in five categories.

## Best practices. Best choice.

Our customers say we manage their enterprise fleet assets better than anyone else. We can do the same for you. Contact us to talk about your problems and goals. We'll take you from "best guess" fleet management to best practices managed print services.

*"It took a lot of coordination and planning between Cummins and Lexmark, to make sure everybody was on the same schedule and fully prepared. Lexmark did a very good job, even in countries where we expected difficulties."*

**Bruce Smith**
Director of Computing Services
Cummins Inc.

*"What we value most about working with Lexmark is its commitment to helping us achieve our goals. Together, we have truly made a difference that will continue to yield benefits for MSH and its patients for years to come."*

**Tim Pemberton**
Chief Information Officer
Markham Stouffville Hospital

*"Union Bank's MPS investment generated 142% ROI in first three years, with total benefits of $5.4 million over three years."*

**ROI case study**
Union Bank

*"Lexmark came in here, guided us, and made it very clear that they were in this for the long term. Lexmark showed that this was a partnership, not just a transaction."*

**Michael Leeper**
Senior Manager, IT Engineering
Columbia Sportswear

*"The Lexmark suite has become such an integral part of our day-to-day business such that our users depend on it and rely on it for practically everything they do...we also now have a strategic partner that will be with us for the long haul."*

**Russell Dover**
Director, Software Development
Unum Group

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# Lexmark Copy Center Solution Summary

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**Solution Components ..... 3-8**

**Assumptions..... 9-10**

## Solution Description

The Copy Center Solution is designed to allow users to submit a request for a copy job to be printed with the ability to select features for which the copy job should be compiled (of features built in and supported and defined within). There are two submission options which include a) a scan to PDF prompting workflow at the Lexmark Multi-Function Printer (MFP) and b) a web portal for virtual file submission. The solution also includes a technician portal for which the copy jobs queue up for processing. The Copy Center solution is an enhanced offering to Lexmark Print Release and Document Accounting solutions therefore they are packaged together to provide enhanced features defined within.

- **Routing to Copy Center via MFP to Scan and Route as PDFs**
  - Copy Jobs scanned from MFP
  - End User is prompted at the MFP for the following:
    Job Name
    Date Needed
    Finishing Settings
    (Collate, Single Staple, Dual Staple, Hole Punch Only, Hole Punch and Staple, Hole Punch and Collate, Spiral Bind, Press Bind)
    Booklet Settings (None, Fold, Fold and Staple)
    - Pages are scanned and routed to Copy Center to be queued up within the Copy Center Technician Portal.
    - Copy Center Technician Portal will display jobs with the following column headings:
      Job name / User Name / Need By Date / Status / Link to Document
    - Copy Center Technician reviews the incoming copy requests thru the Technician Web Portal and processes as needed

- **Routing to Copy Center via User Portal to submit Virtual files**
  - End User is prompted at the desktop thru the Copy Center User Web Portal for the following:
    Job Name
    Date Needed
    Finishing Settings
    (Collate, Single Staple, Dual Staple, Hole Punch Only, Hole Punch and Staple, Hole Punch and Collate, Spiral Bind, Press Bind)
    Booklet Settings (None, Fold, Fold and Staple)
    End User attaches document(s)
  - Pages are uploaded to Copy Center to be queued up within the Copy Center Technician Web Portal
  - The End User will be able to perform the following within the Copy Center User Portal:
    View all submitted Jobs
    View status of Jobs
    Request to Delete/Void Copy Job Request (if status is still pending)

3

- **Folder Archiving within Copy Center User Portal (configurable on/off for use)**
    - End User has a mechanism to archive scanned jobs that they choose to route to copy center for future retrieval in the event she/he needs to resubmit and therefore would not require a rescan. She/he could locate the archive and resubmit through this web portal.
    - Within the “My Documents” Tab and “Shared Documents” Tab these apply:
        - Ability to create one level of folders off the root structure
        - Documents will scan to root structure of “My Documents” and then can be “Moved” as needed
        - Users will see only the documents they themselves scanned or added thru the portal
        - Features will include “Move” and “Copy” from the root structure within the “My Documents” Tab
        - A window dialog will appear when user elects to “Move” or “Copy” a document to allow the user to select the location
        - The existing “View” and “Submit to Copy Center” features for the “My documents” tab will still apply
        - Static folders can be provided as the base folder structure within the “My Documents” Tab - Users can create folders one level deep under static folders
    - Documents will only exist in one place but can appear once in “My Documents” Tab and once in “Shared Documents” Tab
    - If a user attempts to “Delete” a document, the deletion can only occur if they are the original owner of the file
    - Outside of deletion rights, from the “Shared Documents” Tab the user can only “Move” a document from one folder location to another
    - A window dialog will appear when user elects to” Move” or “Copy” to allow user to select the location to move or copy to
    - Documents can only be placed into the “Shared Documents” Tab by the user “Moving” or “Copying” from the My Documents tab
    - Documents uploaded directly (not scanned) will land in the root structure of ”My Documents” Tab and can be moved or copied from there
    - The user will only see “Shared Documents” based on what school name they are associated to within Active Directory
    - All users can access all documents within a school on the “Shared Document” Tab
    - Documents can only exist in one folder under the “Shared Documents” Tab
    - The existing “View” and “Submit to Copy Center” features for the “My documents” tab will also be available in the “Shared Documents “Tab

4

- **Copy Center Technician Portal**
    - Copy Center Technician can perform the following within the Copy Center Technician Portal:

      Sort incoming copy job requests by Need By Date

      Archive Jobs when completed

      Setup IP Addresses for Available Printers to send jobs to

      Change Status from Pending to Completed

      Select and route job to desired printer in Copy Center Fleet

- **Print Release (configurable On/Off for use)**
    - Receive and hold all end-user print jobs in a central print queue
    - User chooses the “Print Release” icon on the MFP touch screen
    - User swipes badge which is authenticated against the solution’s badge tracking database.
    - If user is not in the database, they are prompted to enter their LDAP ID and password.
    - User ID and password are authenticated and added to the badge tracking database if successful.
    - If the user exists in the database or once they are successfully entered, a list of pending print jobs for the logged in user is displayed from which they select to either print or delete jobs.
    - LDD records print job information in usage tracking database. Job information to be tracked will include:
        - User Name
        - Number of pages
        - Date/time of print job
        - IP address of MFP
    - Purge unreleased print jobs on a regularly-scheduled (i.e. nightly) basis and record statistics for purged jobs in the print tracking database.
    - Print Release Web Portal for the print release and tracking solution to allow viewing, configuration and maintenance of the following components of the solution:
        - Users and user groups
        - Usage limits per user or AD group
        - Pending jobs
        - Usage data by user or AD group

5

- **Email Tracking (configurable On/Off for use)**
  - User chooses the Email icon from the MFP touch screen
  - User swipes badge which is authenticated against the solution's badge tracking database.
  - LDAP is queried for user's email address
  - All emails sent will have the authenticated user's email address in the From: field.

- **Fax Tracking (configurable On/Off for use)**
  - User chooses the Fax icon from the MFP touch screen
  - User swipes badge which is authenticated against the solution's badge tracking database.
  - LDAP is queried for user's credentials.
  - All faxes sent will be tracked under the authenticated user's credentials.

- **Scan to Home Directory (configurable On/Off for use)**
  - User chooses the Scan to Home Directory icon from the MFP touch screen
  - User is requested to authenticate using their badge.
  - User scans documents to their home directory. *Note: See Assumptions*
  - All scanned documents will be stored in the authenticated user's home directory.

- **Copy Usage Tracking (configurable On/Off for use)**
  - User chooses the Copy icon from MFP touch screen.
  - User swipes badge which is authenticated against the solution's badge tracking database.
  - LDAP is queried for user's credentials.
  - User is prompted to badge in with their badge. If user does not have badge, they can bypass and login manually with user id and password. User authentication is provided via Active Directory.
  - If monthly quotas are enabled, LDD solution queries the usage tracking database and verifies that the user has not exceeded their volume limit for the month. If the user has exceeded the limit, an error message is posted on the MFP touch screen. If the user has not exceeded their monthly limit, the Copy Settings screen is displayed where the user selects copy settings and chooses "Copy It". The pages to be copied are then scanned in from the automatic document feeder.

- If a user submits a copy job with a requested number of copies that exceeds the number of copies allowed to be generated from a non-Copy Center MFP an error message is posted on the MFP touch screen to advise the user that the copy job is too large and that they should send the copy job to their Copy Center.

- **Authentication (configurable On/Off for use – required for Print Release)**
  - The "registration" feature of the solution allows a user to wave the badge the first time they use the solution and enter their AD credentials (user ID and password). Their badge credentials are then added to a database internal to the solution and available for subsequent use by that user. If the customer has an existing database mapping user ID's to badge numbers, this registration process may not be required.
  - Badge Authentication Workflow:
    - User authenticates by waving badge next to access reader
    - First Time Login

      - Solution database lookup occur using badge ID number to retrieve Windows User ID

      - If Windows User ID not found in solution database, user will be prompted to enter their user id and password at the MFP

      - Solution validates against LDAP

      - Solution stores User ID and badge ID into solution database for future logins

    - Subsequent Logins

      - Solution database lookup occurs using badge ID number to retrieve Windows User ID

    - User gains access to MFP Functions
  - Manual Login Authentication
    - User authenticates by typing in User ID and Password at the MFP

      - Solution validates User ID and Password against LDAP

    - User gains access to MFP Functions

- **Reporting**
    - Solution provides by default records for copy job information via CSV.

      *Note: For direct SQL Database Integration (if provided by customer) See Assumptions.*

      *Note: Data usage can be captured for Copy, Scan, and Fax assuming those features are deployed. Job information to be tracked will include User Name, Number of pages, Date/time of copy job, and IP Address of MFP.*

    - Each night, the below listed reports are generated and stored as CSV or TXT files that the customer can import into Excel or a Database to generate their own custom reports. These standard .CSV reports are as follows:
        A. Raw.csv – contains all the jobs that were copied that day. There is one entry for each.
        B. Mfp.csv – contains a summary of all copy jobs by MFP. Each entry contains: MFP IP address, number of jobs, total number of pages copied at device, and average number of pages per job.
        C. Usercopy.csv – contains a summary of all copy jobs by user. Each entry contains: userid, number of jobs copied, total number of pages printed, average number of pages.
        D. Summary.txt – a text file that summarizes the day; the following information is listed. Total number of jobs copied, total number of pages, total number of users, and total number of MFPs used.



8

# Assumptions

Environmental

- All devices must have a minimum of 256MB ram.
- The customer's print environment is a Windows print server-based print environment.
- The database used for tracking employee user names and passwords can be the customer's Active Directory or LDAP system or any other ODBC-compliant database.
- The customer's badge must be compatible with a badge reader that Lexmark supports.
- For Scan to Home Directory, a service account that has write permissions to all user home directories will be needed, or, the user will be prompted to enter their password at scan time.
- Customer will provide access to Active Directory or LDAP for user authentication.
- Customer will provide access to current email server with IMAP4 or POP3 enabled.

Usage Data/Reporting

- User name date can be captured assuming badges are deployed as a part of the solution.
- Print job data will be written to a central solution database on which the customer can run standard reports to determine print usage by user. *(Usage by device, device hostname, device IP model, device IP model type, etc…)*
- If duplex feature is utilized when printing, a duplex page will count as two pages by default.
- The "tracking user quotas" feature can be turned on/off as desired as a part of the administrative tools available with the Copy Tracking solution.
- The monthly limit for user copy jobs will be a configurable setting on the LDD servers.
- The monthly limit for user copy jobs will apply to all users using the solution. If AD groups are used by the customer, each AD group can have its own limit.
- Lexmark can customize reports or provide database integration through professional services and can be scoped and quoted in addition to this Level of Effort as needed.
- Customer will perform any future maintenance on the usage tracking database, such as purging or archiving of old data.

Solution

- For the "Route to Copy Center via Copy Center Technician Portal", the following finishing options are available: Collate, Single Staple, Dual Staple, Hole Punch Only, Hole Punch and Staple, Hole Punch and Collate, Spiral Bind, Press Bind; Booklet: None, Fold, Fold and Staple. These finishing options will directly correlate with the features available within the Lexmark MFP models and device attachments purchased and to be used with the solution. If additional Output and/or Finishing settings are desired they can be scoped and quoted separately.
- For general copy operation, the scanned image will not be sent to the server. The copy operation will be completed by the MFP and the server will only be receiving job information.

- If user elects to route copy jobs to Copy Center, documents are stored as images and quality of copies are less than that if documents were copied and directly output at that MFP.
- The Copy Center Technician will manually route the copy job to desired printer once printer is prepped with supplies and ready.
- When uploading a document to the Copy Center using the User Web Portal, only certain file types are supported:
    - Adobe PDF
    - Microsoft Word
    - Microsoft Excel
    - Microsoft PowerPoint
    - All other document types must be converted to Adobe PDF by the user prior to uploading through the Web Portal.
    - Documents that are in one of the supported Office formats are converted to Adobe PDF by the Lexmark Solution server. In some cases, this conversion can change the pagination or format of the document especially with graphical documents. Saving to PDF format prior to copy center submittal will illuminate the need for conversion.
- Copy Center Routing Thresholds can be set administratively as a global setting.

# Lexmark Attachment O - Pricing

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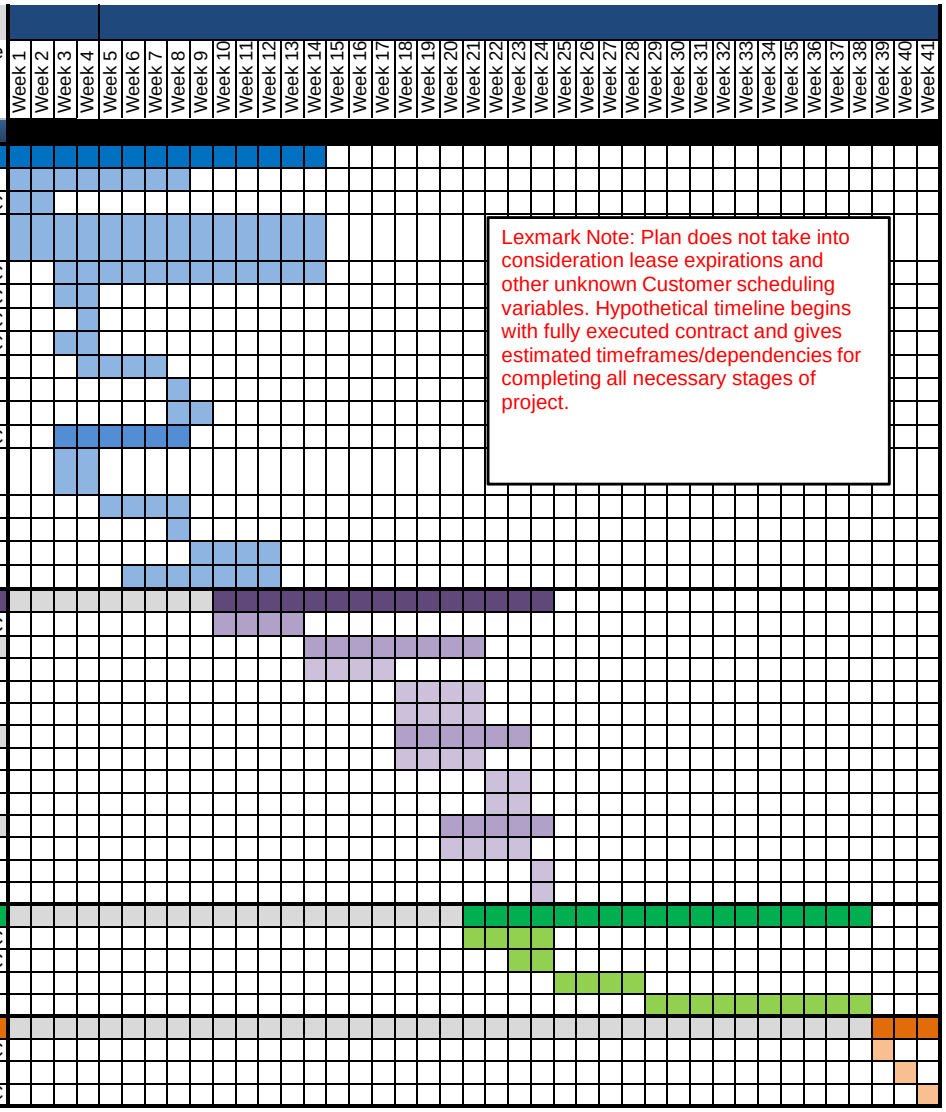
# Lexmark MPS - Hypothetical Implementation Timeline

Note: Define and add applicable major phases and/or tasks as needed. Timeline template is provided as convenience; use only time required to complete project.

| ID | Phase & Tasks | Owner |
|---|---|---|
| **1** | **Phase I - Initiation and Planning** | |
| 1.1 | Lexmark Internal Systems Setup | **LXK** |
| 1.2 | Customer Launch Meeting - Align Resources | LXK/ESC |
| 1.8 | Lexmark On-site Resource Recruitment/Training (Site Ops Specialist) | LXK |
| 1.9 | Help Desk Integration Project | LXK/ESC |
| 1.3 | Detailed Project Plan Created | LXK/ESC |
| 1.4 | Communication and Change Management Plan Created | LXK/ESC |
| 1.5 | Systems and Tools Architecture Mapping | LXK/ESC |
| 1.5.1 | Customer VMs Provisioned | ESC |
| 1.5.2 | Lexmark Data Collection Manager (LDCM) Installed | LXK |
| 1.5.3 | Lexmark Print Management (LPM) Servers Installed | LXK |
| 1.6 | On-site Assessments and Future-State Development/Approval | LXK/ESC |
| 1.6.1 | Customer Provided Site Maps (required for assessment and Location Based Services setup) | ESC |
| 1.6.2 | Physical Assessments Completed and Future-State Creation | LXK |
| 1.6.3 | Small Location Device Recommendations Completed | LXK |
| 1.6.4 | Customer Future-State Approval Sign-Off | ESC |
| 1.7 | Device Certification | ESC |
| **2** | **Phase II - Execution - Admin Locations** | |
| 2.1 | Pilot - Order/Ship/Install/Test (Hardware, Processes and Software) | LXK/ESC |
| 2.2 | *Sample Location 1* | |
| 2.2.1 | Order to Delivery | LXK |
| 2.2.3 | Install Devices | LXK |
| 2.2.4 | Training of End Users | LXK |
| 2.3 | *Sample Location 2* | |
| 2.3.1 | Order to Delivery | LXK |
| 2.3.3 | Install Devices | LXK |
| 2.3.4 | Training of End Users | LXK |
| 2.4 | *Sample Location 3* | |
| 2.4.1 | Order to Delivery | LXK |
| 2.4.3 | Install Devices | LXK |
| 2.4.4 | Training of End Users | LXK |
| **3** | **Phase III - Execution - Other Locations / Schools** | |
| 3.1 | Pilot - Order/Ship/Install/Test (Hardware, Processes and Software) | LXK/ESC |
| 3.2 | Define Installation Schedule | LXK/ESC |
| 3.3 | Order to Delivery | LXK |
| 3.4 | Install Devices - Estimate XX sites per day (includes training) | LXK |
| **4** | **Phase IV - Closeout** | |
| 3.1 | Lessons Learned | LXK/ESC |
| 3.2 | Voice of the Customer Survey | ESC |
| 3.3 | Closeout Meeting | LXK/ESC |




Lexmark Note: Plan does not take into consideration lease expirations and other unknown Customer scheduling variables. Hypothetical timeline begins with fully executed contract and gives estimated timeframes/dependencies for completing all necessary stages of project.

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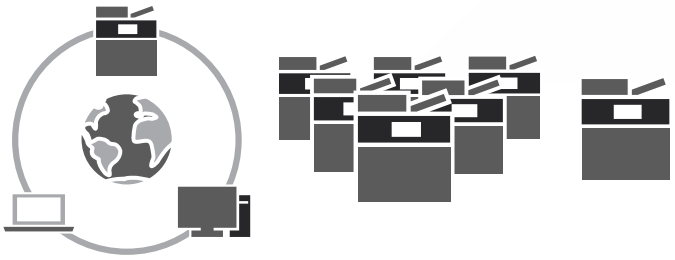
# Full-spectrum security

Malicious security attacks and inadvertent vulnerabilities can lead to costly compliance breaches and business-disrupting data loss. They can also take a human toll in frustration, loss of privacy, negative financial consequences and wasted time.

Securing an enterprise environment is complex and requires a comprehensive understanding of software, hardware, network architecture, the content traveling on the network, human factors, and each organization's specific security vulnerabilities and goals. And it requires expert knowledge and practical experience to translate theoretical security concepts into secure products and services.

## Lexmark security ecosystem



Network Fleet Device

Lexmark understands the multi-faceted reality of security threats and responds with a holistic, systematic approach that encompasses the device, the fleet and the whole network infrastructure.

## Security by design

That's why Lexmark doesn't treat security as an afterthought or optional feature, but as an integral design and engineering goal, embedded in all our products and services.

Our understanding of network environments and relevant security threats, particularly in relation to printing, gives us the know-how to create unique solutions that secure your data in every possible way—a capability we've proven by working and overcoming security challenges in some of the most highly regulated organizations and industries on earth.

And our expertise pays off in concrete ways whether you manage your own printing infrastructure or rely on Lexmark Managed Print Services.

## Keys to product security

- Secure access
- Network security
- Document security
- Secure remote management
- Security Solutions
- Hard disk security
- Standards and certifications

## Embedded security features and architecture

Security is built into every Lexmark product, with standard security features appropriate to each product's intended use and available options to fulfill special requirements. Our comprehensive approach to product security covers a full spectrum of security capabilities.

- **Secure access** features restrict who can use your devices and what they can do.
- **Network security** features protect devices from unauthorized access over network interfaces.
- **Document security** features keep your documents—whether physical or virtual—out of the wrong hands or views.
- **Secure remote management** provides a wide range of tools and device capabilities to effectively manage a fleet of networked laser printers and multifunction products.
- **Security solutions** enhance the security of Lexmark devices and your environment by meeting specific objectives like print release[1], automatic security certificate and Secure Content Monitor.
- **Hard disk security** protects Lexmark printers and multifunction products that contain internal hard disks with a virtual shield to keep your organization's secrets.
- **Encrypted and signed firmware** ensures that only firmware created by Lexmark's systems can be installed on our devices.
- **Secure boot technology** validates that the firmware installed on the printer is genuine Lexmark firmware. Should non-genuine firmware be detected, users receive notification.
- **Continuous verification** ensures the firmware has not been tampered with during operation.

And we've proven our security expertise by meeting stringent government and industry standards and certifications, including Common Criteria and FIPS.

## The security ecosystem: Security and Managed Print Services (MPS)

While our embedded security features and product architecture help Lexmark smart MFPs lead the industry in defending your organization, consider the advantages of Lexmark Managed Print Services (MPS) as both a strategic information platform emphasizing security at every level:

**Holistic approach**—In the assessment, design and delivery of MPS, we utilize a proven methodology that focuses on security as a critical component of infrastructure optimization, proactive services and business optimization.

**Expertise**—Our security consultants and specialists work to develop policies and practices focused on output security in your unique environment, helping you to not just meet your specific goals, but get through the often-challenging change management curve.

**Continuous monitoring**—Our MPS tools and systems continuously monitor a deployed fleet, giving you not just security policy control, but enhanced visibility and alerts to events affecting the fleet.

**Technology ownership**—Lexmark owns all our core technology across services, solutions, software, hardware and firmware—the only MPS provider that does. Therefore, we can help ensure high security levels across all deployed solutions. That technology seamlessness reduces the risk of security holes between different platforms and technologies.

So Lexmark Managed Print Services are more than built around a smart MFP ecosystem. They actually form a security ecosystem.

Learn more at http://www.lexmark.com/en_us/solutions/security.html

[1] optional

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# Lexmark Security Reference Guide

When it comes to security, your organization needs to ensure that it can securely manage network devices, defend them from hackers and physically protect the stored data. That's why at Lexmark, we've designed our solutions-capable printers and MFPs to answer these needs.

## Full-spectrum security

Security is built into every Lexmark product, with standard security features appropriate to each product's intended use and available options to fulfill special requirements. Our comprehensive approach to Lexmark product security covers a full spectrum of security capabilities.

- **Secure access** features restrict who can use your devices and what they can do.
- **Network security** features protect devices from unauthorized access over network interfaces.
- **Document security** features keep your documents—whether physical or virtual—out of the wrong hands or views.
- **Secure remote management** provides a wide range of tools and device capabilities to effectively manage a fleet of networked laser printers and multifunction products.
- **Security solutions** enhance the security of Lexmark devices and your environment by meeting specific objectives like print release*, automatic security certificate and Secure Content Monitor.
- **Hard disk security** protects Lexmark printers and multifunction products that contain internal hard disks with a virtual shield to keep your organization's secrets.

*Optional

## Secure access features

Who are you? Most digital security breaches depend on a user pretending to be someone they aren't. Lexmark devices are designed to provide unhindered access to the right users, while keeping out the pretenders.

**Authentication and authorization flexibility:** Lexmark devices can be configured to validate user credentials and restrict device functions using Active Directory and other directory server platforms, including internal accounts, NTLM, Kerberos 5, LDAP, LDAP+GSSAPI, password, and PIN.

**User and group security:** Grant individual users and sets of users the right to access particular device functions, while restricting other users or groups.

**Access controls:** Control local and remote access to specific menus, functions and workflows on each device. Entirely disable functions like copy, print, fax, scan to email, FTP, held jobs and address book. Over 50 access controls are available, providing greater flexibility for your unique environment.

**Security templates:** Device administrators can easily restrict device access by combining group privileges, access controls, and authentication methods into security templates that appear in the Access Control drop-down menu. The breadth that a security template can cover is large, providing control over some of the most important security settings on the Lexmark device.

**Protected USB ports:** Lexmark laser printers and MFPs include support for USB devices which may cause concern in environments where security is critical. Designed with security in mind, USB host ports have various mechanisms in place to keep them from being used in a malicious manner.

**Auto-insertion of sender's email address:** When a user authenticates in order to scan a document to email, the email address of the sender is automatically looked up and inserted into the "From" field. This lets the recipient clearly see that the email was generated by that individual, not anonymously or from the MFP.

**Login restrictions:** You can prevent unauthorized use of a device by restricting the number of consecutive failed logins—and track such events through integrated auditing. When this limit is exceeded, the device is locked for a predetermined amount of time specified by the administrator.

**Operator Panel Lock:** The Operator Panel Lock feature allows an MFP to be put in a locked state so that the operator panel cannot allow any user operations or configuration. The device can be unlocked by entering an authorized user's credentials, allowing the device to resume its normal operation.

**Incoming fax holding:** Lexmark devices can be configured to hold rather than print incoming faxes during scheduled times. Incoming faxes are held securely on the hard disk until the proper credentials have been entered on the Lexmark device. Examples of credentials include a PIN, password, and user network ID and password.

## Network security

Modern IT is built around the network, but the same connectivity that makes networked devices accessible to authorized users could put your network integrity and valuable information at risk without the technologies and safeguards built into devices from Lexmark.

**TCP connection filtering:** Printers and MFPs can be configured to allow TCP/IP connections only from a specified list of TCP/IP addresses. This disallows all TCP connections from other addresses, which protects the device against unauthorized printing and configuration.

**Port filtering:** The network ports through which printers and MFPs listen for or transmit network traffic are configurable, allowing a huge degree of control over the device's network activity. By filtering out traffic on specific network ports, protocols such as telnet, FTP, SNMP, HTTP and many others can be explicitly disallowed.

**802.1x:** With 802.1x port authentication, printers and MFPs can join wired and wireless networks by requiring the devices to authenticate prior to accessing the network. This authentication can be used with the Wi-Fi Protected Access feature of an optional wireless print server to provide WPA Enterprise security support.

**IPsec:** The IPsec protocol option, when enabled, secures network traffic to and from Lexmark devices with encryption and authentication. This protects print data and the contents of jobs that are scanned to any destination, including servers running Lexmark Document Distributor, email, and network storage.

**Secure NTP:** Lexmark devices support the use of Secure Network Time Protocol (SNTP) to sync clocks of various devices on the network. To support the main requirement for an SNTP implementation, Lexmark devices support an Authenticator and Authorization field within our SNTP configuration.

**Fax/network separation:** Lexmark offers a variety of MFP devices that provide both network connectivity and fax modem capability. And to prevent any direct interaction between the modem and network adapter, Lexmark device hardware and firmware keep these mechanisms separate.

**Secure LDAP:** All LDAP traffic to and from Lexmark devices can be secured with TLS/SSL. LDAP information such as credentials, names, email addresses and fax numbers exchanged over a TLS/SSL connection ensures the information is encrypted to preserve the confidentiality and privacy of data.

## Document security

Traditionally, people clicked "print" from their desks and network printers cranked out and stacked up pages, keeping secrets about as well as the lunchtime crowd in a small-town cafe. Knowing you need to print many documents but still secure the information they contain, Lexmark offers a variety of features and optional products that make sure only authorized eyes see private output—while saving paper and consumables and giving mobile users new printing choices. It's the Lexmark way to fortify document security.

**Confidential Print:** A standard part of the Lexmark Universal Print Driver, Confidential Print holds your job on a specific Lexmark printer or MFP until you release it with a PIN, preventing prying eyes from viewing documents in the output bin. Held jobs can be set to expire after an elapsed time (configurable from one hour to one week). In addition, a limit can be set on the number of times a PIN can be entered incorrectly before the corresponding jobs are purged. Like all forms of print release, you only pay for actual pages printed—not the ones someone printed but never picked up.

**Secure Held Print Jobs application:** Prevent the accidental exposure of your sensitive or confidential business information by holding jobs at a specific device until an authorized user walks up and releases the job for printing. That's the basic premise of the Secure Held Print Jobs eSF app* for smart devices, which lets users send and store jobs on the printer or MFP and release them at their convenience using a four-digit PIN or ID card.

**Secure print release:** Lexmark Print Management* lets users send jobs from anywhere and pick them up at any print release-configured device on your network. You'll improve printing flexibility, avoid having documents piling up on printers, protect the confidentiality of documents that would otherwise be out in the open, and save on printing costs. And the whole release process is secured by credentials entered at the device, in the form of network user identification or an ID badge.

Options like that help Lexmark bring document security to every print job and every workflow.

*Optional

## Secure remote management

To practically manage a fleet of networked print and imaging devices, secure remote management is a must. The device must allow authorized people to configure it, while rejecting those that are unauthorized. The process of managing the device must also be secured so that the network traffic associated with the remote management can't be sniffed, stolen or abused.

Lexmark devices include a variety of features to make remote device management easier and more secure. These features can be configured through the device's embedded Web page.

**Device and settings access:** What makes Lexmark smart printers and multifunction products (MFPs) smart is their ability to run and configure apps that automate manual tasks, enhance security and guide users through your business processes with ease. But like any programmable devices with comprehensive configuration options, they should be as carefully protected as any PC or server on your network. Lexmark devices include a variety of function access controls, authentication and authorization mechanisms and an optional backup password to keep unauthorized users from altering the device's settings, including security settings.

**Audit logging:** Track security-related events to mitigate exposure, proactively track and identify potential risks, and integrate with your intrusion detection system for proactive real-time tracking.

**Encrypted and digitally signed firmware:** Lexmark printers and MFPs automatically inspect downloaded firmware updates for the appropriate Lexmark digital signatures. Firmware that's not correctly packaged and signed by Lexmark is rejected.

**Secure boot technology** validates that the firmware installed on the printer is genuine Lexmark firmware. Should non-genuine firmware be detected, users receive notification.

**Continuous verification** ensures the firmware has not been tampered with during operation.

**Certificate Management:** Printers and MFPs use certificates for HTTPS, SSL, IPsec, and 802.1x authentications. The Certificate Management feature allows the devices to integrate with a PKI environment by allowing the certificates to be signed, and also allows the devices to trust certificate authorities in the PKI environment.

**HTTPS:** Lexmark printers and MFPs use the HTTPS communication protocol. It allows Web traffic to be encrypted so that you can securely perform remote management via the device Web page.

**SNMPv3:** Version 3 of the standard network management protocol SNMP includes extensive security capabilities. Lexmark printers and MFPs support SNMPv3—including the authentication and data encryption components—to allow secure remote management of the devices. SNMPv1 and SNMPv2 are also supported and can be independently configured or disabled.

**Secure password reset:** In the event that an administrative password is lost or forgotten, or the device has lost network connectivity, the secure password reset feature resets the access control setting on the device's security menu to allow access.

## Security solutions

Your Lexmark laser printer or smart MFP can run security-related apps to fill special needs like print release*, automatic security certificate enrollment and smart card authentication. Another solution can centrally track and audit every document that's printed, copied, scanned or faxed on your network.

**Secure print release:** Lexmark Print Management* lets users send jobs from anywhere and pick them up at any print release-configured device on your network. You'll improve printing flexibility, avoid having documents piling up on printers, protect the confidentiality of documents that would otherwise be out in the open, and save on printing costs. And the whole release process is secured by credentials entered at the device, in the form of network user identification or an ID badge.

**Automatic Certificate Enrollment (ACE):** Creating a CA-signed device certificate to permit establishing SSL, IPsec and 802.1x connections for network devices is normally a lengthy process. ACE simplifies the process for Platform A solutions-enabled devices in an Active Directory environment, requiring entry of only a limited number of domain control and user identity parameters.

**Contactless card authentication support:** Badge authentication solutions include contactless card solutions (applications) for basic badge authentication. This option is available when user identity is linked to office security ID badges. The solutions can verify the badge ID and retrieve user information so the Lexmark device can access held print jobs, identify the source of scanned documents, or identify a user for other purposes.

**CAC/PIV and SIPR card authentication:** The Common Access Card (CAC) and Personal Identity Verification (PIV) authentication solution* provides safe workflow processes for more control over the security of networked Lexmark MFPs in federal government operations. Digital-information-capture functions require strong user authentication to protect against unauthorized access and guard critical data. The same solution also supports SIPR token cards (using a different card interface application) to provide access over the Secret Internet Protocol Router Network.

**Secure Content Monitor:** Reduce the risks and liabilities associated with security breaches of physical documents. Secure Content Monitor* can simultaneously monitor and audit the information in millions of documents coming from all of your printers and multifunction products, whether printed or scanned, to improve the way your enterprise detects, investigates and deters wrongdoing.

## Hard disk security

Some Lexmark printers and multifunction products include internal hard disks to store images of documents that are printed, scanned, faxed, or copied. The internal hard disk also stores data that extends the devices' capabilities and functionality. These devices contain a broad array of carefully engineered features to both enhance the security of data that is stored on the hard disk and help prevent malicious users from gaining access to confidential information.

**Hard disk encryption:** Hard disks in printers and MFPs can be configured to use encryption. An AES key, up to 256 bits, is internally generated by the printer or MFP and used to encrypt all data on the hard disk. The key is stored non-contiguously on the device, making the contents of the hard disk accessible only on the original printer or MFP. The data on a stolen hard disk would not be accessible even if the hard disk was installed in an identical model of printer or MFP.

**Hard disk file wiping:** Data written to printer or MFP hard disks for temporary use when printing, scanning, faxing or copying can be erased when the job is done, or after a job held for a user is printed. To ensure the information can never be recovered, Lexmark printer and MFP hard drives both remove the file's reference in the disk directory and erase the actual file on the disk so that no residual data can be read. Depending on the device, hard disk wiping can be configured for manual, automatic or scheduled mode. A multi-pass wipe is also offered, which conforms to NIST/DOD standards.

**Complete hard disk erasure:** Before a printer or MFP is retired, recycled or otherwise removed from a secure environment, an authorized user can completely erase the hard drive. This includes erasing the forms, fonts, macros or unprinted held jobs that routine hard disk file wiping (above) can leave behind. Options for single or multi-pass erasure are offered, ensuring that no readable data will remain on the disk.

**Non-volatile memory wipe:** The non-volatile memory wipe provides a tool for erasing all contents stored on the various forms of flash memory contained on the device. This feature is a complete clearing of all settings, solutions, jobs and faxes on the device. It was designed to be utilized when the Lexmark device is to be retired, recycled or otherwise removed from a secure environment.

**Out of service wiping:** Simplify the process of clearing both a device's disk drive and non-volatile memory data when removing a device from service or removing it from a secure location. Authorized users can do both in one step with the "out of service" wiping command, available from the device's own configuration Menu or from the device's Web page.

**Physical lock support:** Lexmark printers and MFPs support Kensington-style locks, which allow the devices to be physically secured. Locking a printer or MFP also locks down the metal cage that houses the hard disk and other optional components to help prevent tampering or theft.

## Standards and certifications

Anyone can say their products are secure. Lexmark seeks and achieves certification for comprehensive industry and government standards.

**Common Criteria (NIAP/CCEVS Certification, ISO 15408):** Common Criteria provides a framework to validate the security functionality of a computer system. Such third-party validation assures customers that security capabilities protect the device as claimed by the manufacturer.

**FIPS:** The National Institute of Standards and Technology (NIST) bases requirements and standards for cryptographic modules on FIPS, the Federal Information Processing Standards. Lexmark has completed a FIPS 140-2 Cryptographic Algorithm Validation Program (CAVP) on Lexmark products, an independent validation of the correct implementation of cryptographic algorithms used in our devices.

## Find out more

For more information on Lexmark security features, products and services, contact your Lexmark representative or call us at 888-403-2803.

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Lexmark

# Eco-Settings

## Business challenge

With the growing concern for protecting our environment, there is a great need to reduce energy, paper and toner usage with printers and MFPs.

## Lexmark's advantage

With the Lexmark Eco-Settings, choose from multiple print settings to help reduce energy, paper and toner consumption. Utilizing these settings can help reduce the environmental impact of your printer.

## Adjustments can be made to the following settings

- Eco-mode
- Standby mode
- Sleep mode and power saver
- Screen brightness
- 2-sided printing
- Darkness or toner darkness
- Quiet mode
- Lock user interface

## Features

### Eco mode

Choosing this setting will automatically set duplex printing and power saver to default levels. Also, device engine motors do not start until a job is ready to print.

### Power saver

Set the number of minutes the device will wait before powering down the print engine. Standby mode will engage automatically when the device is in power saver mode.

### Duplex printing

By enabling duplex printing, device will automatically print on front and back of each piece of paper—reducing paper consumption by 50 percent.

### Quiet mode

Select amount of noise produced by the device. Device engine motors do not start until a job is ready to print, saving energy.

**Part number:** 82S0228
**Memory:** Minimum of 256MB
**Hard disk:** Not required

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# Lexmark Solutions for K-12 School Districts

Lexmark solutions for K-12 school districts provide innovative document management, capture and workflow products that seamlessly integrate with your student information, administrative, human resources and other business systems. Powerful solutions like Perceptive Content instantly deliver the supporting documents your school district needs to effectively recruit and manage teachers, provide timely service to students, parents and employees and quickly complete daily tasks. Used by organizations worldwide, Lexmark solutions are certified by the most important people of all — our customers.

## Improve Productivity and Student Service

Managing too much paperwork inhibits the ability of school districts to effectively serve students, parents and employees and complete daily tasks on time. Lexmark solutions for education, including Perceptive Content, help schools overcome the time, financial and productivity costs associated with cumbersome paper processes.

Seamless integration with business systems in every department provides users with a direct connection to the supporting information they need to do their jobs well. An intuitive design tool allows administrators to map more efficient workflow that speeds student-focused and back office functions.

Timely implementation and the simplicity of Perceptive Content allow users to get up and running quickly. In addition, hands-on training equips customers to manage their document management projects in-house, minimizing total cost of ownership (TCO) even further. Increased productivity, faster student service and reduced overhead are just some of the ways this solution delivers a solid return on investment (ROI) to school districts.

### Human Resources

Perceptive Content puts the resumes, credentials, applications and other recruitment documents you need to quickly hire the best candidates just a click away. Seamless integration with HR and payroll systems gives your HR team a direct path to complete personnel records, facilitating timelier benefits and payroll information updates, responses to employee inquiries and completion of other processes.

### Financial and Procurement Services

Replacing paper-based processes with automated Perceptive Workflow expedites invoice and PO approval, allowing your organization to take advantage of early payment vendor discounts. Perceptive Content reduces many of the manual tasks associated with paper-based processes, boosting staff productivity.

### Curriculum and Instruction

Maintain accurate records of curriculum plans for each school throughout the district and monitor adherence. Easily gather and provide required information when requested to expedite accreditation.

### Student Information System

Provide employees district-wide with immediate access to attendance reports, transfer forms and other supporting data from SIS screens. By connecting teachers, counselors and administrative staff with students' complete educational histories, Perceptive Content helps school districts deliver quality service and informed educational guidance.

### Special Education

Store evaluations, medical records and correspondence in a secure student eFolder that is accessible instantly. Easily print documents to answer requests from parents and state Department of Education entities.

### Supporting Regulatory Compliance

Perceptive Content helps school districts satisfy the requirements of HIPAA and other federal and state mandates. Strong security features such as document-, user- and drawer-level privileges protect confidential information and routing documents electronically minimizes document loss.

### Benefits to All Departments

Perceptive Content is enterprise-ready, easily scaling to School Board/Superintendent, Extracurricular Activities and other departments. New users quickly embrace the simplicity of the solution, and with WebNow, the browser-based companion to Perceptive Content, employees in remote locations manage documents as if they're in the office.

## Others Promise, Lexmark Delivers.

### Integrate With All Your Applications

Perceptive Content and WebNow integrate with all your existing applications, regardless of manufacturer or platform, providing direct access to scanned and other electronic documents.

### Eliminate Costly Programming

Perceptive Content eliminates the cost of deployment and long-term maintenance of complicated programmatic integration and accommodates upgrades to your applications without additional financial investment.

### Leverage Existing Infrastructure

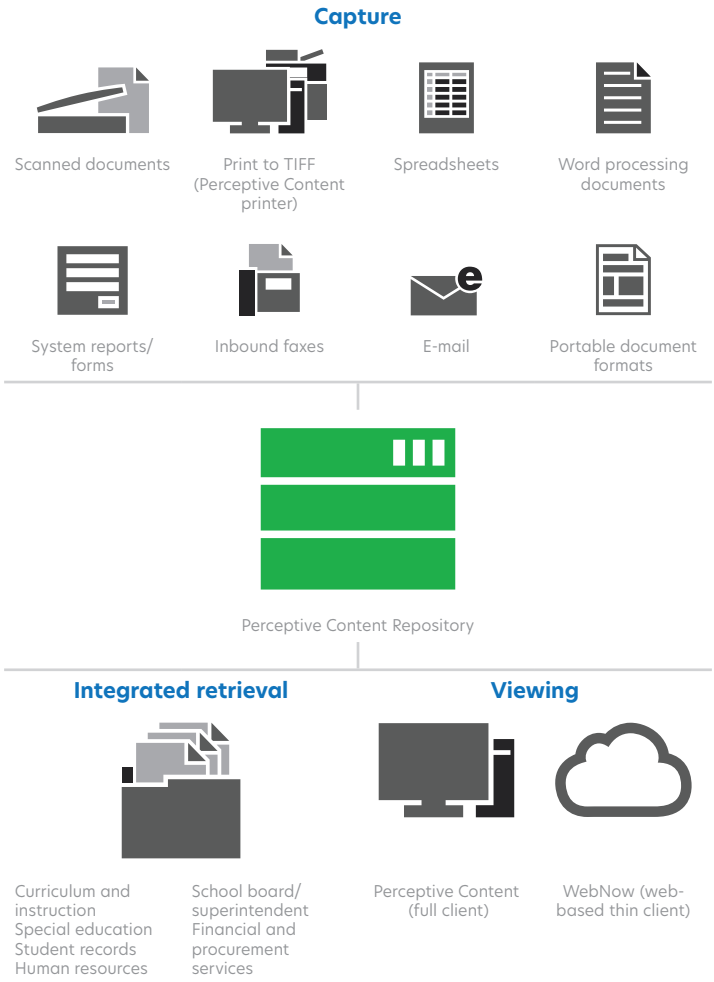
Perceptive Content effectively leverages your existing investment in applications, operating system, database and networking infrastructure.

### Automate Your Business Workflow

Create workflow solutions that speed document-centric tasks. With one click, your staff completes processing activities, answers inquiries and resolves discrepancies in real time. These new efficiencies let you reallocate resources to other areas of your business.

### Make Better Decisions

Remove obstacles to effective decision-making by electronically accessing documents at the point of need. Double-check the accuracy of transaction information or collaborate with colleagues using simultaneous document views, all while maintaining proper security levels to reinforce your compliance initiatives.




Flexible and scalable, Perceptive Content lets you capture documents from a variety of sources and retrieve those documents via any departmental or enterprise software application using either the full Perceptive Content client or browser-based WebNow functionality.

## Documents Just a Click Away

### HR

Teacher credentials
Applications
Payroll statements
Resumes
Letters of reference
W-4 forms
Review reports
Benefits information

### AP

Invoices
Purchase orders
Contracts
Receivers refunds
Spreadsheets
Vendor correspondence
Price increase notices
Checks

### SIS

Immunization records
Transfer forms
Curriculum
Grade changes
Attendance reports
Entrance exam scores

### Special Ed

Evaluations
Medical records
Correspondence

### IEP

Administrative
Meeting agendas
Minutes
Extracurricular awards
School recognition

### Be Independent

Lexmark ensures you are educated about your implementation, empowered to leverage your investment and independent from expensive service commitments.

### The Right Formula for Maximum ROI

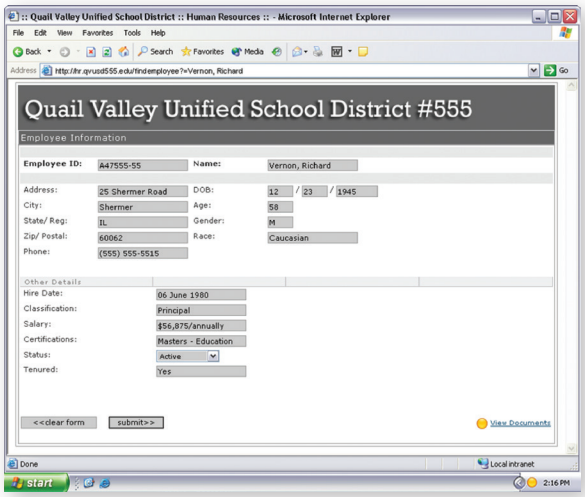
By combining these key elements, Perceptive Content delivers a customer-centric solution unmatched in affordability and scalability. Perceptive Content ensures a high return on your document imaging investment at the department level and as the solution grows enterprise-wide.

## Perceptive Content in Action

1. A state official calls with a question regarding the teaching certificate for Richard Vernon, a faculty member.
2. You find Richard's record in your HR application and click the Perceptive Content button.
3. Perceptive Content displays a list of Richard's documents, including the teaching certificate, which you select.
4. Instantly, you view the certificate and give the state official the information she needs.

More information: www.lexmark.com/education

2

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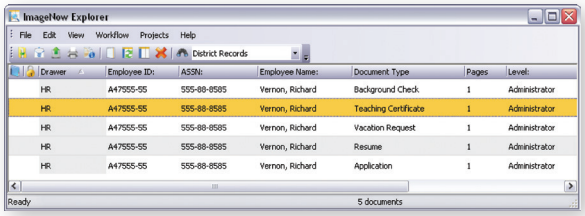


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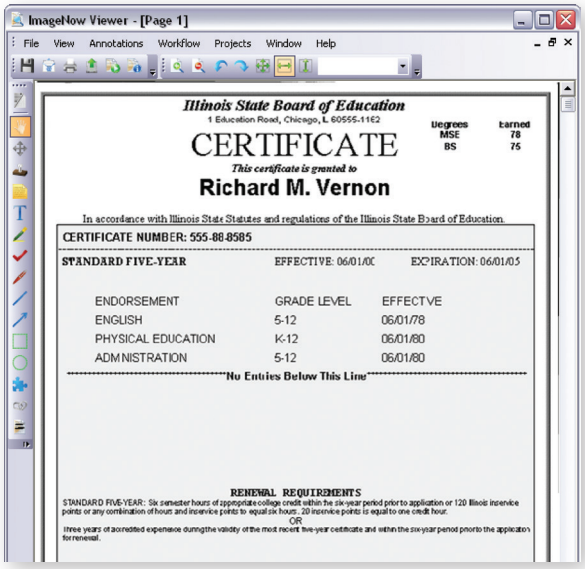


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