

### 13.4 Transition

| Ref    | Level | Owner    | Description                                                                                                                                                                       |
|--------|-------|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 13.4.1 | L3    | Supplier | The Supplier shall engage, as appropriate, with Other Suppliers to support the transition management process in accordance with the Implementation Plan for the relevant Project. |
| 13.4.2 | L3    | Supplier | The Supplier shall work collaboratively with Other Suppliers to resolve any disputes relating to transition issues.                                                               |

### 13.5 Implementation of Projects

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                                                                                 |
|--------|-------|-----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 13.5.1 | L4    | Authority | The Authority shall provide the Supplier with the Authority requirements for Implementation of the relevant Project.                                                                                                                                                                                        |
| 13.5.2 | L3    | Supplier  | The Supplier shall provide an Implementation Plan for each Project to the Authority which shall follow the principles of, and be in accordance with, the provisions of Schedule 6.1 ( <i>Implementation Plan</i> ).                                                                                         |
| 13.5.3 | L3    | Supplier  | The Supplier shall review, discuss, provide comments, and agree with the Authority each proposed Implementation Plan for the relevant Project.                                                                                                                                                              |
| 13.5.4 | L3    | Supplier  | The Supplier shall implement each Project in accordance with the agreed Implementation Plan for the relevant Project, the principles and provisions of Schedule 6.1 ( <i>Implementation Plan</i> ), Schedule 6.2 ( <i>Test Procedures</i> ) and any other relevant implementation standards and Procedures. |

### 13.6 Test Product Re-Use Library

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                            |
|--------|-------|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 13.6.1 | L3    | Supplier | The Supplier shall support the provision of a Test Product Re-Use Library.                                                                                                                                                                                                                                             |
| 13.6.2 | L3    | Supplier | The Supplier shall provide the Authority, on request, with information and contact information for any Test modules, Test Plans, Test documents, Test scripts, Test data and common re-usable COTS tools which may be re-used in the future.                                                                           |
| 13.6.3 | L3    | Supplier | The Supplier shall provide updates to the Authority regarding any changes, additions or improvements made to the Test Product Re-Use Library.                                                                                                                                                                          |
| 13.6.4 | L3    | Supplier | The Supplier shall ensure that re-usable Test components are used whenever possible and shall provide a full and detailed explanation for any identified products (Test modules, plans, documents, scripts, data and any custom off the shelf (COTS) tools) that cannot be taken from the Test Product Re-Use Library. |

### 13.7 Test Environments

| Ref    | Level | Owner    | Description                                                                                                                                                                       |
|--------|-------|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 13.7.1 | L3    | Supplier | The Supplier shall develop and agree with the Authority each Test Environment, including the start dates for the required Test Environment availability and the associated costs. |
| 13.7.2 | L3    | Supplier | The Supplier shall comply with the Supplier's obligations pursuant to each agreed Test Environment proposal.                                                                      |

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| 13.7.3 | L3 | Supplier | The Supplier shall provide support for Test Environment components. |
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13.8 Pilot Testing

| Ref    | Level | Owner    | Description                                                                                                                                                              |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 13.8.1 | L3    | Supplier | The Supplier shall support the creation of pilot Test Plans that comply with Schedule 6.2 (Testing Procedures)..                                                         |
| 13.8.2 | L3    | Supplier | The Supplier shall, where requested to do so by the Authority, participate in the execution of pilot Testing, including re-Testing and regression Testing, as necessary. |

## 14. Additional Services and Processes

### 14.1 Risk Management

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|--------|-------|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 14.1.1 | L3    | Supplier | The Supplier shall at all times adhere to the Authority's Risk Management Policies and Processes in the delivery of the Services.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 14.1.2 | L3    | Supplier | The Supplier shall: <ul style="list-style-type: none"> <li>a. notify the Authority of potential Service risks;</li> <li>b. provide the Authority with activities/plans to mitigate the risk; and</li> <li>c. execute agreed risk mitigation plans.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 14.1.3 | L3    | Supplier | The Supplier will undertake Service Risk Management aligned to the following steps across the Service Delivery Lifecycle: <ul style="list-style-type: none"> <li>a. identification and assessment of exposure to risk and subsequent impacts;</li> <li>b. application of appropriate controls to manage exposure and impact;</li> <li>c. ensure communication and reporting of mitigating actions by the Supplier (aligned to Service Reviews or escalated during the reporting period);</li> <li>d. escalate Service risks where they are deemed important or where the Supplier requires action from the Authority;</li> <li>e. convene emergency risk reviews, when required, to identify and recommend to the Authority appropriate measures to mitigate any risks identified; and</li> <li>f. perform risk monitoring and closure within a transparent and consistent process.</li> </ul> |
| 14.1.4 | L3    | Supplier | The Supplier will implement mitigating actions through the agreed delivery route (for example, Change, Service Improvement Plan or Continuous Improvement) and/or prepare proposals recommending Authority investment where necessary to mitigate issues and risks.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

### 14.2 Design Co-ordination

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                 |
|--------|-------|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 14.2.1 | L3    | Supplier | The Supplier shall provide input into individual Service packages and Service Designs managed by Design Co-ordination.                                                                                                                                                                                                                      |
| 14.2.2 | L3    | Supplier | The Supplier shall provide input into the Service Design strategy.                                                                                                                                                                                                                                                                          |
| 14.2.3 | L3    | Supplier | The Supplier shall comply with the Authority's agreed Design Coordination Policies and Processes.                                                                                                                                                                                                                                           |
| 14.2.4 | L3    | Supplier | The Supplier shall, where required, plan, coordinate and monitor the delivery of new Service packages into live operations with the Authority and Other Suppliers. This shall also include the coordination and collation of information to review service requirements, transition plans, and service delivery documentation requirements. |
| 14.2.5 | L3    | Supplier | The Supplier will ensure it has the approval of the Authority for a service design package prior to instigating any further transition and transformation activities.                                                                                                                                                                       |

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| 14.2.6 | L3 | Supplier  | The Supplier will contribute to and review Service Design packages from the Authority or Other Suppliers where there may be an impact or involvement on the Services. |
| 14.2.7 | L4 | Authority | The Authority will use reasonable endeavours to review and respond to Supplier architectural designs within 21 days.                                                  |

### 14.3 Projects

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|--------|-------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 14.3.1 | L3    | Supplier | The Supplier shall perform project management for Projects in accordance with Project Management Processes, Policies and Procedures developed by the Supplier, which shall be consistent with HM Government's programme and project management standards.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 14.3.2 | L3    | Supplier | The Supplier shall define, document, agree with the Authority and maintain programme and project management Processes, and Procedures.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 14.3.3 | L3    | Supplier | The Supplier shall provide a contact for the provision of information about the progress of each Project and programme to the Authority.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 14.3.4 | L3    | Supplier | The Supplier shall ensure new Projects and initiatives are integrated into the Operational Services in a way that ensures an end-to-end service is achieved for the Authority in a multi-supplier services framework.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 14.3.5 | L3    | Supplier | The Supplier shall support the transition of programmes, Projects and initiatives from inception (i.e. at the business stream level) to transition into the live service.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 14.3.6 | L3    | Supplier | The Supplier shall provide project management expertise for Projects wholly within and across multiple service towers, where requested by the Authority.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 14.3.7 | L3    | Supplier | The Supplier shall manage all Projects in accordance with approved programme and project management Processes, and Procedures, including: <ul style="list-style-type: none"> <li>a. log and track all Projects;</li> <li>b. review Project requests and recommend options in a Project proposal;</li> <li>c. develop Project cost and time estimates for inclusion in a Project proposal;</li> <li>d. create Project plans;</li> <li>e. implement each Project in accordance with the Authority's Change Management Policies and Processes, the Operating Procedures for Change Management, the Authority's Release Management Policies and Processes and the Operating Procedures for Release Management as applicable;</li> <li>f. initiate Project requests;</li> <li>g. approve Projects; and</li> <li>h. sign off on Projects when Projects have been successfully implemented.</li> </ul> |
| 14.3.8 | L3    | Supplier | The Supplier shall produce and distribute electronically Project status reports.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

#### 14.4 Disaster Recovery

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                           |
|--------|-------|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 14.4.1 | L3    | Supplier | The Supplier shall produce and maintain a Service Continuity Plan in accordance with the provisions of Schedule 8.6 ( <i>Service Continuity and Corporate Resolution Planning</i> ).                                                                                  |
| 14.4.2 | L3    | Supplier | The Supplier shall review requests from the Authority for improvements and/or enhancements to the Disaster Recovery Procedures or for the development of new Disaster Recovery Procedures.                                                                            |
| 14.4.3 | L3    | Supplier | Where agreed via the Operational Change Management Procedures or Schedule 8.2 ( <i>Change Control Procedure</i> ), as agreed between the parties, the Supplier shall implement improvements and/or new Procedures in relation to service continuity.                  |
| 14.4.4 | L3    | Supplier | The Supplier shall ensure critical service Changes or additions are reflected in the Service Continuity Plan when reviewing and amending the Service Continuity Plan in accordance with Schedule 8.6 ( <i>Service Continuity and Corporate Resolution Planning</i> ). |

## 15. Service Operation

### 15.1 Quality Assurance

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                                                                                                                              |
|--------|-------|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 15.1.1 | L3    | Supplier  | The Supplier shall establish and maintain Procedures and measurements for quality assurance activities as agreed with the Authority and provide evidence to the Authority that the quality metrics and Procedures employed are consistent with similar standards in the Authority's peer group and/or in the provision of similar professional services. |
| 15.1.2 | L3    | Supplier  | The Supplier shall provide regular quality assurance reporting input as required by the Authority.                                                                                                                                                                                                                                                       |
| 15.1.3 | L4    | Authority | The Authority shall maintain and make available to the Supplier the Authority's Quality Assurance programme.                                                                                                                                                                                                                                             |
| 15.1.4 | L3    | Supplier  | The Supplier shall comply with the Authority approved quality assurance program, and ensure it has adequate internal controls and verification activities.                                                                                                                                                                                               |

### 15.2 Equipment and Software Refresh

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 15.2.1 | L3    | Supplier | The Supplier shall deploy in scope equipment and software associated with any refresh in accordance with the Authority's Technical Framework Document, the Authority's Policies and Processes and the Authority's Standards.                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 15.2.2 | L3    | Supplier | The Supplier shall refresh the in-scope assets during the Term (in alignment with the Authority's technology/software procurements), including management responsibility for the assets, the implementation, and on-going support.                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 15.2.3 | L3    | Supplier | The Supplier shall provide a Technology Refresh Service to build and deploy Authority provided End User Client Devices which will ensure that no End User Client Devices in operation on the estate is more than five years old, unless otherwise specified by or agreed with the Authority.                                                                                                                                                                                                                                                                                                                                                           |
| 15.2.4 | L3    | Supplier | The Supplier shall, regardless of the ownership of underlying in scope assets, comply with the following obligations: <ul style="list-style-type: none"> <li>a. the provision of personnel who are adequately trained in the use of the equipment or software to be deployed as part of the refresh, and provide such training prior to the refresh;</li> <li>b. ensure minimal disruption to the Authority's business operations when fulfilling the Technology Refresh Service; and</li> <li>c. performing all Operational Changes to equipment and software in accordance with the Authority's Change Management Policies and Processes.</li> </ul> |

## 16. Security Services

### 16.1 Summary Overview

| Ref     | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|---------|-------|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 16.1.1  | L3    | Supplier | The Supplier shall, at all times, adhere to the Authority's Information Security Policy and Standards in the delivery of the Services.                                                                                                                                                                                                                                                                                                                                                                         |
| 16.1.2  | L3    | Supplier | The Supplier shall ensure that the Authority's Information Security Policy and Standards are reflected in any instructions and guidance produced by the Supplier for any Supplier Personnel or End Users.                                                                                                                                                                                                                                                                                                      |
| 16.1.3  | L3    | Supplier | The Supplier shall fully comply with the Security Management Plan in accordance with Schedule 2.4 ( <i>Security Management</i> ).                                                                                                                                                                                                                                                                                                                                                                              |
| 16.1.4  | L3    | Supplier | The Supplier shall ensure that all security Services contain the necessary functions, technologies, processes and capabilities to enable full compliance with the Authority's Information Security Policy and Standards and Schedule 2.4 ( <i>Security Management</i> ).                                                                                                                                                                                                                                       |
| 16.1.5  | L3    | Supplier | The Supplier shall ensure that all Supplier Personnel involved in the provision of security Services must have the appropriate level of qualifications and training to enable them to successfully deliver the requirements of the security Services.                                                                                                                                                                                                                                                          |
| 16.1.6  | L3    | Supplier | The Supplier shall provide input and attend workshops as requested by the Authority and its agents to review the Security Management Plan and the Authority's Information Security Policy and Standards.                                                                                                                                                                                                                                                                                                       |
| 16.1.7  | L3    | Supplier | When aware of a Security Incident, in accordance with any relevant Performance Indicators, having due regard to the severity or potential severity of the Security Incident, the Supplier shall, as soon as is reasonably practical, inform the Authority of that Security Incident.                                                                                                                                                                                                                           |
| 16.1.8  | L3    | Supplier | Following the identification of any Security Incident, the Supplier shall support the investigation and containment of that Security Incident and take such steps to implement the resolution of the Security Incident in question as required by the Authority. The Supplier shall provide progress reports to the Authority in accordance with agreed timescales.                                                                                                                                            |
| 16.1.9  | L3    | Supplier | Where a Security Incident is identified, and the Supplier is able to take action (e.g. quarantining systems, servers and services) to contain and/or remedy the Security Incident, the Supplier shall take such action immediately. Where the Supplier is of the reasonable opinion that taking any such proposed action could cause a serious adverse impact upon the ability of the Authority to conduct its business, the Supplier shall first seek the consent of the Authority before taking such action. |
| 16.1.10 | L3    | Supplier | Where a Security Incident has been contained and/or remedied, the Supplier shall inform the Authority of the action that has been taken.                                                                                                                                                                                                                                                                                                                                                                       |

## 16.2 Security Assurance

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                      |
|--------|-------|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 16.2.1 | L3    | Supplier | The Supplier shall evidence to the Authority that, as a minimum, they are ISO27001, Cyber Essentials and Cyber Essentials Plus accredited, and shall ensure that any such certification covers all Services provided to the Authority.                                                                                                                                                                           |
| 16.2.2 | L3    | Supplier | If the Authority requires re-submission of any documentation relating to the attainment of Security Accreditation, the Supplier shall ensure that, prior to re-submission: <ul style="list-style-type: none"> <li>a. any inaccuracies or incompleteness identified in the documentation by the Authority are rectified; and</li> <li>b. any security issues identified by the Authority are resolved.</li> </ul> |
| 16.2.3 | L3    | Supplier | The Supplier shall provide the Authority with such information and guidance, as may be reasonably required by the Authority, in complying with its obligations to provide information and assistance concerning security certification.                                                                                                                                                                          |
| 16.2.4 | L3    | Supplier | Following the attainment of security certification in respect of any of the Services, the Supplier shall take such steps as are necessary when required to review and maintain that security certification throughout the Term. For the avoidance of doubt, these steps should include any actions necessary to resolve any emerging or outstanding risks as detailed in risk treatment plans.                   |

## 16.3 Security Scanning

| Ref    | Level | Owner    | Description                                                                                                                                                  |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 16.3.1 | L3    | Supplier | The Supplier shall provide the Authority with appropriate, managed and timely access to the infrastructure and systems that the Supplier is responsible for. |

## 16.4 Security Requirements

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                    |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 16.4.1 | L3    | Supplier | The Supplier shall provide the Authority with such information and guidance concerning the Services as may be reasonably requested by the Authority, when advising the Authority on the security of the Services or how new equipment, software and/or applications will interact and operate in connection with the Services. |

## 17. Service Reporting

### 17.1 Summary Overview

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|--------|-------|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 17.1.1 | L3    | Supplier | The Supplier will provide regular Service Measurement and Performance Management reports and real-time dashboards aligned to the Services and enhancements thereafter in support of service and technical operations.                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 17.1.2 | L3    | Supplier | The Supplier will ensure that reporting produces factual evidence and/or demonstrable proof to support and enable, as required effective decision making.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 17.1.3 | L3    | Supplier | The Supplier will ensure that the Service Measurement and Performance Management reporting contains measurements that are 'SMART' (Specific, Measurable, Attainable, Realistic and Time-bound).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 17.1.4 | L3    | Supplier | The Supplier will implement a performance monitoring framework aligned to the Services and enhancement thereafter, in support of service and technical operations capable of providing different perspectives supporting, including but not limited to: <ul style="list-style-type: none"> <li>a. the use of a monthly Balance Scorecard Report showing a mixture of quantitative and qualitative measures;</li> <li>b. performance information to industry standards and best practice;</li> <li>c. viewable real-time data by the Authority; and</li> <li>d. sufficient granularity to identify the effects of poor performance and implemented service improvements.</li> </ul> |
| 17.1.5 | L3    | Supplier | The Supplier will provide performance information to the Authority that enables: <ul style="list-style-type: none"> <li>a. evaluation of performance of services against stated Performance Indicators; and</li> <li>b. comparison analysis of service performance against past, present and forecast of future predictions.</li> </ul>                                                                                                                                                                                                                                                                                                                                            |
| 17.1.6 | L3    | Supplier | The Supplier will ensure performance information provided will contain, but is not limited to, details of: <ul style="list-style-type: none"> <li>a. performance over the agreed service reporting period; and</li> <li>b. year to date (over 18-month rolling period).</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                 |
| 17.1.7 | L3    | Supplier | The progress of service improvement will be reviewed at the relevant governance meetings or at a meeting requested by the Authority by exception.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |

## 18. Third Party Contract Management

### 18.1 General

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|--------|-------|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 18.1.1 | L3    | Supplier  | <p>The Supplier shall manage and coordinate the activities of relevant third party suppliers of Supplier Third Party Contracts and Authority Novated Third Party Contracts, as applicable, (but with no authority to bind the Authority) in accordance with Schedule 4.4 (<i>Third Party Contracts</i>). Such activities shall include, but not be limited to:</p> <ol style="list-style-type: none"> <li>maintaining technical support relationships with relevant third party suppliers to resolve Incidents and Problems and to provide answers to technical questions and requirements related to the use of its products or services;</li> <li>monitoring relevant third party supplier service delivery and performance including third party supplier compliance with any performance indicators and target performance levels and report on such delivery to Authority on a monthly basis;</li> <li>providing consolidated compliance reporting for the monitoring and management of performance indicators and target performance levels, where the relevant third-party supplier is contractually required to provide compliance reporting data in a mechanised format;</li> <li>maintaining consistent use of reporting standards, formats, across Supplier, its Sub-contractors, and relevant third-party suppliers; and</li> <li>evaluating and recommending retention, modification, or termination of a third party supplier (and the relevant managed Third Party Contract) based on the performance or cost benefits to the Authority as tracked by the Supplier; such evaluation to be provided to Authority at the Authority's request.</li> </ol> |
| 18.1.2 | L3    | Supplier  | <p>The Supplier will regularly maintain and propose updates to the Supplier Third Party Contracts and Authority Novated Third Party Contracts, as applicable, including:</p> <ol style="list-style-type: none"> <li>such updates to include Third Party Contract list and Sub-contractor list data requirements in sufficient detail as agreed between the Authority and the Supplier to enable operational and commercial management of the relevant third party supplier's services;</li> <li>maintain the Third-Party Contract list as necessary to ensure that the information held is current and accurate; and</li> <li>propose updates to the Third-Party Contract list and Sub-contractor List whenever there is an addition or deletion of a Third Party Contract; and</li> <li>participate in a monthly contract review process with the Authority.</li> </ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 18.1.3 | L4    | Authority | The Authority shall provide updates in relation to Third Party Contracts when these are initiated by the Authority.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 18.1.4 | L3    | Supplier  | <p>The Supplier may use the Supplier Third Party Contract and Authority Novated Third Party Contracts, as applicable, as necessary for the delivery of the Services and will:</p> <ol style="list-style-type: none"> <li>Liaise with and be the primary point of contact for the third party supplier for the purpose of answering questions, providing direction and resolving issues;</li> <li>Monitor and co-ordinate the services delivered by the third party supplier to verify compliance with the terms of the relevant Third Party Contract;</li> </ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

CONTRACT FOR THE PROVISION OF  
IMS4 SERVICES

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|  |  |  | <p>c. Accurately record delivery performance by the third party supplier in sufficient detail to support periodic renegotiation of contract terms by the Authority and provide such as reasonably requested by the Authority;</p> <p>d. Assist the Authority to verify the accuracy of third party supplier invoices using the data from the delivery performance measurement system described above;</p> <p>e. Report third party supplier delivery performance to Authority on a monthly basis and as requested by the Authority from time to time;</p> <p>f. Promptly notify the Authority of any non-compliant delivery by third party supplier; and</p> <p>g. In the event of third party supplier non-compliant delivery:</p> <ul style="list-style-type: none"> <li>- Initiate corrective actions as provided for in the terms of the Third Party Contract;</li> <li>- Monitor the progress of corrective action taken by third party supplier; and</li> <li>- Update the status to the Authority and keep the Authority informed as to the status and resolution of third party supplier corrective action</li> </ul> <p>h. Promptly notify the Authority of any disagreements or disputes, related to Supplier use of third party supplier's services for delivery of the Supplier Solution, to the Authority for resolution;</p> <p>i. Report invoice validation data and results in a timely manner to the Authority;</p> <p>j. Support the Authority in Third Party Contract negotiations as the Authority reasonably requires; and</p> <p>k. Advise and provide reports to the Authority regarding Third Party Contract strategy in order to optimise the Third Party Contract list and Sub-contractor list such as proposing consolidations and alternative sources of supply.</p> |
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# Service Desk Services Descriptions

## 19. Service Desk

### 19.1 Introduction

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|--------|-------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.1.1 | L3    | Supplier | The "Service Desk" shall be the main point of contact through which End Users, suppliers and other third parties, as specified by the Authority, can directly log Incidents and requests for service. The scope of the services is defined in the Authority's Master Services List which will be maintained and updated from time to time by the Authority.                                                                                                                                                                                                                                                                                                                                                                   |
| 19.1.2 | L3    | Supplier | The "Service Desk" shall operate as an integral part of the Authority's Service Management team. The Supplier shall be a key partner within the Authority's end to end Service operation and will undertake activities such as: <ul style="list-style-type: none"> <li>a. logging and progressing Incidents, performing triage, linking Incidents to Problems;</li> <li>b. co-ordinating the Major Incident Management Process, in line with the Authority's Major Incident Management Policies and Processes;</li> <li>c. logging and progressing Service Requests; and</li> <li>d. utilising, maintaining and updating the Supplier's Service Knowledge Management System with appropriate articles and content.</li> </ul> |
| 19.1.3 | L3    | Supplier | The Supplier shall collaborate with the Authority in its drive to move Resolutions to the front line, or as close to the End User as possible, for example through maximising First Time Fix.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 19.1.4 | L3    | Supplier | The Supplier shall, as part of this approach and in collaboration with the Authority, devise and implement a multi-channel contact and support strategy, which includes, but is not limited to, a combination of traditional phone and self-service contact methods for End Users (through agreed channels, as described in the Authority's Incident Management and Request Fulfilment Policies and Processes) raising Incidents and Service Requests with the "Service Desk".                                                                                                                                                                                                                                                |
| 19.1.5 | L3    | Supplier | The Service Desk Support Hours will be between 07:00 and 22:00, on Working Days, and will operate in the agreed language.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 19.1.6 | L3    | Supplier | The Supplier shall support the Authority with the on-boarding and off-boarding of Other Supplier services.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 19.1.7 | L3    | Supplier | The Supplier shall provide, maintain and configure the ITSM Product.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

### 19.2 General

| Ref    | Level | Owner    | Description                                                                                                                                                                                                |
|--------|-------|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.2.1 | L3    | Supplier | The Supplier confirms that it shall provide Services that support all the Authority's Policies and Processes described in Part A of this Schedule.                                                         |
| 19.2.2 | L3    | Supplier | The Supplier shall be responsive to the current and future requirements of the Authority by proactively anticipating needs, adjusting Services accordingly and containing costs within the agreed Charges. |
| 19.2.3 | L3    | Supplier | The Supplier shall work with the Authority to assess the impact of any Changes to the Authority's Operational Services and budgets.                                                                        |

CONTRACT FOR THE PROVISION OF  
IMS4 SERVICES

|         |    |          |                                                                                                                                                                                                                                                                                                                                                                                                                 |
|---------|----|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.2.4  | L3 | Supplier | The Supplier shall allow for the inclusion of Other Suppliers and/or Resolver Groups, to benefit from the Service Desk Services in the future. Any supporting Procedures and technology employed by the Supplier, must be scalable and adaptable to allow for the inclusion of Other Suppliers and potential increases/ decreases to volumes.                                                                   |
| 19.2.5  | L3 | Supplier | The Supplier shall provide First Line Support and triage capability for Other Suppliers and their Services and their associated Resolver Groups.                                                                                                                                                                                                                                                                |
| 19.2.6  | L3 | Supplier | The Supplier shall maintain documents and records in connection with the provision of the Service Desk including those set out in Schedule 8.4 ( <i>Reports and Records</i> ) and shall make available to the Authority such supporting documentation to allow the Authority to verify the Supplier's compliance with all applicable Authority's Policies and Processes, and the provisions of this Agreement.  |
| 19.2.7  | L3 | Supplier | The Supplier shall organise, and the Authority will chair, regular meetings, at least once per Quarter, with the Other Suppliers to identify, analyse and give recommendations for Continual Service Improvement opportunities, such as, service interaction volume reduction or increases, productivity, training for End Users, trends in top issues/ requests received and/or Service offering enhancements. |
| 19.2.8  | L3 | Supplier | The Supplier shall establish and manage controls to ensure that its service management Processes and interfaces are auditable and meet the Standards (as set out in Schedule 2.3 ( <i>Standards</i> )).                                                                                                                                                                                                         |
| 19.2.9  | L3 | Supplier | In agreement with the Authority, the Supplier shall promote process efficiency and data quality and ensure that the Service Desk Processes, or elements of them, are automated wherever there is the opportunity to improve the End User's experience.                                                                                                                                                          |
| 19.2.10 | L3 | Supplier | The Supplier shall ensure that the "Service Desk" is designed to capture Authority Data once, minimising the need for manual data capture and input. All Authority Data will, wherever possible, be validated by the ITSM Product on input.                                                                                                                                                                     |
| 19.2.11 | L3 | Supplier | The Supplier shall manage notifications to the Authority and the Other Suppliers, via all agreed Authority channels, and maintain regular communication between all parties.                                                                                                                                                                                                                                    |
| 19.2.12 | L3 | Supplier | The Supplier shall effectively support End Users who submit Incidents, Service Requests, requests for guidance or advice via telephone (Service Request only), or self-service capability, or other means as agreed with the Authority.                                                                                                                                                                         |
| 19.2.13 | L3 | Supplier | The Supplier shall take every opportunity to educate End Users on the use of such media and ensure all communications channels are effective from the End User's perspective and that responses are accurate and timely and support the objective of demonstrable improvements to End User experience.                                                                                                          |
| 19.2.14 | L3 | Supplier | The Supplier shall provide and maintain instructions for End Users as approved by the Authority to access the Services.                                                                                                                                                                                                                                                                                         |
| 19.2.15 | L3 | Supplier | The Supplier shall notify the Authority of any issues and recommend action to address any issues identified in the ITSM Product, interfaces and Processes to the Authority.                                                                                                                                                                                                                                     |

### 19.3 Authority Data

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                             |
|--------|-------|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.3.1 | L3    | Supplier | In respect of all Authority Data processed or created by the Supplier in operating and providing the Services, howsoever created, the Supplier shall: <ul style="list-style-type: none"> <li>a. ensure the Authority Data becomes and remains the property of the Authority;</li> </ul> |

CONTRACT FOR THE PROVISION OF  
IMS4 SERVICES

|        |    |          |                                                                                                                                                                                                                                                                                                                                                         |
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|        |    |          | <p>b. share and exchange any such Authority Data or information with the Authority, as agreed with the Authority and/or Other Suppliers; and</p> <p>c. provide to the Authority ownership of, and access to, any Authority Data stored by the Supplier that has been created or imported as a result of the Supplier's performance of the Services.</p> |
| 19.3.2 | L3 | Supplier | The Supplier shall ensure that the Authority, Other Suppliers are provided with Service Management Data which is timely and accurate to format and content agreed by the Authority.                                                                                                                                                                     |
| 19.3.3 | L3 | Supplier | The Supplier shall capture operations data for the Services and populate and use the Supplier's toolset in accordance with the data specifications and standards specified by the Authority.                                                                                                                                                            |
| 19.3.4 | L3 | Supplier |                                                                                                                                                                                                                                                                                                                                                         |

#### 19.4 People and Language

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|--------|-------|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.4.1 | L3    | Supplier | <p>The Supplier shall, subject to the necessary training and information given by the Authority, only engage Supplier Personnel that:</p> <ul style="list-style-type: none"> <li>a. understand Authority business, technology, applications, and sourcing arrangements;</li> <li>b. are adequately trained to provide support for new and existing Services as they become part of the Supplier's responsibilities; and</li> <li>c. possess the appropriate experience, training, qualifications, competencies and motivation necessary to provide the Services.</li> </ul>                                                                                                                                                                                                                                                                                                                         |
| 19.4.2 | L3    | Supplier | The Supplier shall, regardless of geographical region, record all contacts to the Service Desk that require a written record or an update to an existing record, in English.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 19.4.3 | L3    | Supplier | <p>The Supplier shall:</p> <ul style="list-style-type: none"> <li>a. communicate to End Users using terms that are clearly understood by End Users and consistent with those used by the Authority.</li> <li>b. if requested, conduct language proficiency Testing and Service Desk process training/Authority specific account training for all Supplier Personnel prior to their assignment to the Services; where all Supplier Personnel must achieve the minimum proficiency rating prior to active duty on the Authority Service Desk, (including initial establishment of the Service Desk); and</li> <li>c. upon request of the Authority, the Supplier shall conduct Service Desk language proficiency audits, according to an approved audit plan by the Authority, which is conducted by an independent auditing agency approved by the Authority once in every Contract Year.</li> </ul> |

## 19.5 Communications

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                  |
|--------|-------|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.5.1 | L3    | Supplier  | The Supplier shall assist the Authority in managing the communications channel to the End Users, which includes creating a communications plan and regularly updating the communications plan for its Services.                              |
| 19.5.2 | L3    | Supplier  | The Supplier shall assist the Authority in ensuring that all communications are targeted, accurate and comply with the Authority Communications Policies and are issued as and when required.                                                |
| 19.5.3 | L3    | Supplier  | The Supplier shall assist the Authority in developing and delivering communications through the Authority approved channels or authorising Other Suppliers to issue communications through the Authority's approved communications channels. |
| 19.5.4 | L3    | Supplier  | The Supplier shall provide communications plans and education programmes to End Users and Other Suppliers as applicable, to support the introduction of new or changed Self-Service Facilities subject to approval by the Authority.         |
| 19.5.5 | L3    | Supplier  | The Supplier shall keep End Users regularly updated with alerts advising of any new or changed information on Events or as requested by the Authority.                                                                                       |
| 19.5.6 | L3    | Supplier  | The Supplier shall be responsible for providing to End Users all operational communication regarding specific Incidents.                                                                                                                     |
| 19.5.7 | L4    | Authority | The Authority shall be responsible for all corporate communications.                                                                                                                                                                         |

## 19.6 Locations and Disaster Recovery

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                         |
|--------|-------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.6.1 | L3    | Supplier | The Service Desk shall be operated in-line with the Authority's applicable Site requirements and the certification requirements.                                                                                                                                                    |
| 19.6.2 | L3    | Supplier | The Supplier shall provide appropriate premises from which to operate the Services including facilities that promote appropriate levels of joint working.                                                                                                                           |
| 19.6.3 | L3    | Supplier | The Supplier shall maintain the Service Continuity Plan for the Service Desk and supporting technologies and that it is tested in accordance with Schedule 8.6 ( <i>Service Continuity and Corporate Resolution Planning</i> ); and implement any Rectification Plan (as required). |

## 19.7 Self Service

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.7.1 | L3    | Supplier | The Supplier shall support the Authority with: <ul style="list-style-type: none"> <li>a. the identification, development, and implementation of Self-Service Facilities that increase speed and efficiency of Resolutions;</li> <li>b. the submission of Service Requests;</li> <li>c. the provision of guidance and advice to End Users; and</li> <li>d. shall liaise with the Authority, Other Suppliers to identify the most applicable Self-Service Facilities.</li> </ul> |
| 19.7.2 | L3    | Supplier | The Supplier shall advise and assist the Authority in:                                                                                                                                                                                                                                                                                                                                                                                                                         |

|  |  |  |                                                                                                                                                                                                                                                                            |
|--|--|--|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  |  |  | <p>a. maturing and developing the self-help capability, such as through the provision of on-line FAQs and help documentation for common issues across the "Service Desk"; and</p> <p>b. providing regular usage reports to the Authority where such capability exists.</p> |
|--|--|--|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## 19.8 Telephony Management

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                      |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.8.1 | L3    | Supplier | The Supplier shall provide the entire Telephony Solution required to operate the Service Desk. The solution should be intuitive for End Users and be capable of driving appropriate levels of automation and sufficient resilience.              |
| 19.8.2 | L3    | Supplier | The Supplier shall provide a single, non-premium, low cost telephone number for external mobile and landline telephone calls to the "Service Desk".                                                                                              |
| 19.8.3 | L3    | Supplier | The Supplier shall provide a Telephony Solution that can be utilised by End Users with disabilities in accordance with the requirements of the Equality Act 2010 and the Authority's Standards.                                                  |
| 19.8.4 | L3    | Supplier | The Supplier shall provide call routing to the appropriate Service Desk agents or to the Other Suppliers where possible.                                                                                                                         |
| 19.8.5 | L3    | Supplier | The Supplier shall provide a facility to make available recorded messages on service interruptions, updates and other key service information to End Users.                                                                                      |
| 19.8.6 | L3    | Supplier | Where practical, the Supplier shall provide a flexible auto-attendant function for telephony that can be configured to enable the routing and prioritisation of specific call types to both, internal Authority and Resolver Groups as required. |
| 19.8.7 | L3    | Supplier | The Supplier shall provide telephony 'Management Information' as required by the Authority and in line with the Performance Indicators.                                                                                                          |
| 19.8.8 | L3    | Supplier | The Supplier shall be responsible for providing, maintaining and managing the Telephony Solution/call management system.                                                                                                                         |

## 19.9 End User Training

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                 |
|--------|-------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.9.1 | L3    | Supplier | The Supplier shall identify potential End Users' training requirements (such as basic skills in Windows) and provide Knowledge Management recommendations for training actions (and jointly track take-up and success with the Authority) to the Authority. |
| 19.9.2 | L3    | Supplier | The Supplier shall conduct End User training, as determined by the Authority, subject to the provisions of Schedule 8.2 ( <i>Change Control Procedure</i> ).                                                                                                |

## 19.10 Reporting

| Ref     | Level | Owner    | Description                                                                                                                                                                                                                  |
|---------|-------|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19.10.1 | L3    | Supplier | The Supplier, on request from the Authority, may be required to produce additional reports that are not supported by the ITSM Product, including reports that identify the Supplier's performance in delivery of the Service |

CONTRACT FOR THE PROVISION OF  
IMS4 SERVICES

|         |    |          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
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|         |    |          | Desk, including usage and delivery of Integrated Voice Response (IVR) and Automatic Call Distribution (ACD) services.                                                                                                                                                                                                                                                                                                                                                                                       |
| 19.10.2 | L3 | Supplier | <p>The Supplier shall work with the Authority to ensure that a suitably agreed suite of reports and dashboards is defined and developed which enable the Services to be managed and analysed on an end to end basis (operations and analytics), including, but not limited to:</p> <ul style="list-style-type: none"><li>a. tracking and reporting any backlogs of unresolved Incidents or Requests;</li><li>b. risk indicator monitoring; and</li><li>c. rolling history of trends and analysis.</li></ul> |

## 20. Incident Management

### 20.1 Introduction

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                           |
|--------|-------|-----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 20.1.1 | L3    | Supplier  | The Supplier shall comply with the Authority's Incident Management Policies and Processes.                                                                                                                                                            |
| 20.1.2 | L4    | Authority | The Authority shall maintain and make available to the Supplier, Other Suppliers, ITIL-aligned Incident Management Policies and Process.                                                                                                              |
| 20.1.3 | L3    | Supplier  | The Supplier shall work with the Authority and the Other Suppliers to implement the Authority's Incident Management Policies and Processes.                                                                                                           |
| 20.1.4 | L3    | Supplier  | The Supplier shall define and maintain Operating Procedures for Incident Management that are aligned to the Authority's Incident Management Policies and Processes and shall submit them to the Authority for approval.                               |
| 20.1.5 | L3    | Supplier  | The Supplier shall provide the management for all editorial activities with regards to the Operating Procedures for Incident Management including but not limited to content creation, update, change control and circulation across Other Suppliers. |
| 20.1.6 | L3    | Supplier  | The Supplier shall monitor the compliance and shall take all reasonable steps to address any non-compliance of the Other Suppliers against the Operating Procedures for Incident Management and report such non-compliance to the Authority.          |
| 20.1.7 | L3    | Supplier  | Where the Supplier is unable to address the non-compliance of any Other Supplier to the Operating Procedures for Incident Management, the Supplier shall bring this to the Authority's attention.                                                     |

### 20.2 Management

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                             |
|--------|-------|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 20.2.1 | L3    | Supplier | The Supplier shall implement and maintain First Line Support and manage the established Resolver Groups which provide the activities as set forth in these requirements and manage the handover of activities to the Resolver Groups.                                                                                                                                                   |
| 20.2.2 | L3    | Supplier | The Supplier shall handle all Incidents and restore the Service as quickly and efficiently as possible in accordance with the applicable Performance Indicators while minimising any adverse impact on the Authority's business operations.                                                                                                                                             |
| 20.2.3 | L3    | Supplier | The Supplier shall be responsible for Resolving the Incident in accordance with the First Time Fix objectives and updating the Service Knowledge Management System (SKMS).                                                                                                                                                                                                              |
| 20.2.4 | L3    | Supplier | The Supplier shall manage and oversee the lifecycle of all Incidents. In addition, the "Service Desk" shall provide first level support and Incident triage.                                                                                                                                                                                                                            |
| 20.2.5 | L3    | Supplier | The Supplier shall receive all Incident-related interactions from End Users (including submissions received by telephone, electronically, or other means approved by the Authority) and identify and capture the nature and information about the interaction, in consultation with the End User as required and in accordance with Schedule 11 ( <i>Processing of Personal Data</i> ). |

## 20.3 Monitoring and Reporting

| Ref     | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|---------|-------|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 20.3.1  | L3    | Supplier | The Supplier shall, be responsible for the end-to-end Incident response and communication between all parties, (that is, being responsible for the Fix Time process as more particularly described in Paragraph 5 of Part C of Schedule 2.2 ( <i>Performance Levels</i> )).                                                                                                                                                                                      |
| 20.3.2  | L3    | Supplier | The Supplier shall ensure that the Service Knowledge Management System is populated and maintained with Incident triage information, as provided by the Other Suppliers and agreed by the Authority.                                                                                                                                                                                                                                                             |
| 20.3.3  | L3    | Supplier | The Supplier shall log all Incidents by opening an Incident Record in the ITSM Product.                                                                                                                                                                                                                                                                                                                                                                          |
| 20.3.4  | L3    | Supplier | The Supplier shall be responsible for verifying and authenticating the End User, and associated Authority Assets, as required.                                                                                                                                                                                                                                                                                                                                   |
| 20.3.5  | L3    | Supplier | The Supplier shall, if the End User is not Authorised to request the Service, inform the End User that the Incident cannot be processed and log the Incident as rejected. The Supplier will be required to inform the Authority in accordance with the Authority's Policies and Processes.                                                                                                                                                                       |
| 20.3.6  | L3    | Supplier | The Supplier shall utilise and update the Incident ticket with all relevant information relating to each Incident, including the description of the Incident and the End User details in accordance with the Standards and requirements of Schedules 2.4 ( <i>Security Management</i> ) and 11 ( <i>Processing of Personal Data</i> ).                                                                                                                           |
| 20.3.7  | L3    | Supplier | The Supplier shall be responsible for the coordination of the provision of updates on existing Incidents, or the recording of a new Incident, as appropriate, (whether the Other Suppliers are 'on-tool' or 'off tool'). In the case of an Automated Alert, an Incident Record may be automatically created in the ITSM Product.                                                                                                                                 |
| 20.3.8  | L3    | Supplier | The Supplier shall be responsible for classifying and determining Incident category, impact and urgency. Incident Severity will be based on agreed impact and urgency measures in accordance with the definitions of Severity in Schedule 2.2 ( <i>Performance Levels</i> ). The Supplier shall change the Severity of the Incident if so instructed by the Authority.                                                                                           |
| 20.3.9  | L3    | Supplier | The Supplier shall update the Service Knowledge Management System and Known Error Database, in agreement with the Authority.                                                                                                                                                                                                                                                                                                                                     |
| 20.3.10 | L3    | Supplier | The Supplier shall be responsible for monitoring all open Incidents (involving all suppliers including the Supplier and Other Suppliers) and shall liaise with the Authority's Other Suppliers where service level breaches are close and in general, ensure there is demonstrable progress, escalating where required.                                                                                                                                          |
| 20.3.11 | L3    | Supplier | The Supplier shall inform the Authority, via an agreed escalation path, if Incidents exceed, or, are expected to exceed their Performance Indicators applicable to their Resolution Times.                                                                                                                                                                                                                                                                       |
| 20.3.12 | L3    | Supplier | The Supplier shall provide Incident follow-up communication and work required post-Resolution and shall ensure that information is accessible to the: <ul style="list-style-type: none"> <li>a. relevant End User that raised the Incident;</li> <li>b. "Service Desk" for communications to other affected End Users;</li> <li>c. Authority agreed distribution lists; and</li> <li>d. the Authority's nominated Incident manager for all Incidents.</li> </ul> |

## 20.4 Provide First Line Support

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                  |
|--------|-------|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 20.4.1 | L3    | Supplier | The Supplier shall be responsible for classifying and determining Incident severity level. Incident severity will be based on agreed impact and urgency measures in accordance with Schedule 2.2 ( <i>Performance Levels</i> ).                                                              |
| 20.4.2 | L3    | Supplier | The Supplier shall use impact and urgency matrices to determine Incident severity and whether the Incident is a Major Incident, Security Incident, or, complaint and invoking the relevant Process as necessary.                                                                             |
| 20.4.3 | L3    | Supplier | The Supplier shall be responsible for:<br>a. linking related Incidents to Major Incidents, and<br>b. linking multiple Incidents (including linking multiple contacts) pertaining to a master Problem or Incident Record.                                                                     |
| 20.4.4 | L3    | Supplier | The Supplier shall, where relevant, generate a Problem from an Incident.                                                                                                                                                                                                                     |
| 20.4.5 | L3    | Supplier | The Supplier shall be responsible for identifying if a Resolution is available including referencing the Service Knowledge Management System to establish if a resolution is available.                                                                                                      |
| 20.4.6 | L3    | Supplier | The Supplier shall implement and maintain, in accordance with Authority Requirements, a First Line Support function and manage the established Resolver Groups which provide the activities as set forth in these requirements and manage the handover of activities to the Resolver Groups. |
| 20.4.7 | L3    | Supplier | The Supplier shall handle all relevant Incidents and restore the Service in accordance with the applicable Performance Indicators while minimising any adverse impact on the Authority's business operations.                                                                                |

## 20.5 Co-ordinate Second Line Support

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                             |
|--------|-------|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 20.5.1 | L3    | Supplier | The Supplier shall accurately determine the allocation to Resolver Groups for Incidents that cannot be resolved at First Line Support level based on predefined allocation rules.                                                                                                                                                                                                                       |
| 20.5.2 | L3    | Supplier | The Supplier shall be responsible for selecting the referral route that has been identified in the triage window.                                                                                                                                                                                                                                                                                       |
| 20.5.3 | L3    | Supplier | The Supplier shall be responsible for assigning the Incident to any Other Supplier for Resolution, including reviewing the Incident and referring the Incident to a Resolver Group. Where the referral route is undetermined, the Supplier shall co-ordinate a triage between relevant parties as necessary.                                                                                            |
| 20.5.4 | L3    | Supplier | The Supplier shall be responsible for updating the referral routes that are agreed with the Authority.                                                                                                                                                                                                                                                                                                  |
| 20.5.5 | L3    | Supplier | The Supplier shall be responsible for assessing, managing and coordinating Resolution of the Incident(s), where the Resolution needs to be applied by multiple Other Suppliers.                                                                                                                                                                                                                         |
| 20.5.6 | L3    | Supplier | The Supplier shall provide a satisfactory response to each contact made, providing the End User at all times, with a clear method of Resolution of the Incident, access request or request for guidance, without referring the End User to another party (e.g. Authority specific personnel), in accordance with the Authority's Policies and Processes and Schedule 2.2 ( <i>Performance Levels</i> ). |
| 20.5.7 | L3    | Supplier | The Supplier shall ensure that the status of Incidents is tracked, and that the Other Suppliers regularly provide feedback on Resolution status and Fix Times to agreed distribution groups, such that no Resolution is delayed by lack of status information.                                                                                                                                          |

|        |    |          |                                                                                                                                                                                       |
|--------|----|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 20.5.8 | L3 | Supplier | The Supplier shall, in cooperation with the Authority, the Other Suppliers, define, document and implement Incident Models to provide a standard way of managing recurring Incidents. |
|--------|----|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## 20.6 Incident Closure

| Ref    | Level | Owner    | Description                                                                                                                                                             |
|--------|-------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 20.6.1 | L3    | Supplier | The Supplier shall be responsible for advising the End User of the closure and Resolution of Incidents and the reasons for the closure.                                 |
| 20.6.2 | L3    | Supplier | The Supplier shall ensure that reasons for Incident closure information supplied to the End User are recorded in the ITSM Product.                                      |
| 20.6.3 | L3    | Supplier | The Supplier shall manage communication with End Users in respect of Incident status and closure in line with the Authority's Incident Management Policies and Process. |
| 20.6.4 | L3    | Supplier | The Supplier shall close an Incident only after receiving confirmation from the affected End User that the Incident has been Resolved.                                  |
| 20.6.5 | L3    | Supplier | The Supplier shall, in agreement with the Authority, define a Process for contacting the End User to seek confirmation that an Incident is Resolved.                    |

## 21. Problem Management

### 21.1 Introduction

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                          |
|--------|-------|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 21.1.1 | L4    | Authority | The Authority shall maintain and make available to the Supplier ITIL-aligned Problem Management Policies and Process.                                                                                                                                |
| 21.1.2 | L3    | Supplier  | The Supplier shall comply with the Authority's Problem Management Policies and Process.                                                                                                                                                              |
| 21.1.3 | L3    | Supplier  | The Supplier shall work with the Authority and the Other Suppliers to implement the Authority's Problem Management Policies and Processes.                                                                                                           |
| 21.1.4 | L3    | Supplier  | The Supplier shall define and maintain Operating Procedures for Problem Management that are aligned to the Authority's Problem Management Policies and Processes and shall submit them to the Authority for approval.                                |
| 21.1.5 | L3    | Supplier  | The Supplier shall provide the management for all editorial activities with regards to the Operating Procedures for Problem Management including but not limited to content creation, update, change control and circulation across Other Suppliers. |
| 21.1.6 | L3    | Supplier  | The Supplier shall monitor the compliance and shall take all reasonable steps to address any non-compliance of the Other Suppliers against the Operating Procedures for Problem Management and report such non-compliance to the Authority.          |
| 21.1.7 | L3    | Supplier  | Where the Supplier is unable to address the non-compliance of any Other Supplier to the Operating Procedures for Problem Management, the Supplier shall bring this to the Authority's attention.                                                     |

### 21.2 Management

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|--------|-------|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 21.2.1 | L3    | Supplier | <p>The Supplier shall administer and run the end-to-end Problem Management Process on behalf of the Authority, such activities to include:</p> <ol style="list-style-type: none"> <li>analysis of Incidents to prevent future Incidents and/or eliminate recurring Incidents, and to minimise the impact of Incidents that cannot be prevented;</li> <li>initiating Problem investigation and managing all Problems on an end-to-end basis;</li> <li>setting prioritisation of Problems in consultation with the Authority;</li> <li>ensuring the RCA is completed to agreed standards which comply with the outcomes specified within the Authority's Problem Management Policies and Process. Where there is a need for further information the Supplier shall be responsible for requesting any additional information and;</li> <li>schedule, administer and support Problem review forums with the Authority and the Other Suppliers (as described in the Third Party Contract list) as appropriate.</li> </ol> |
| 21.2.2 | L3    | Supplier | The Supplier shall, as identified during day to day activities, be responsible for the end-to-end Problem response and communication between all parties, (that is, being responsible from the time the Problem was originally logged to the point at which it is deemed to be resolved and closed).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

### 21.3 Monitoring and Reporting

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                             |
|--------|-------|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 21.3.1 | L3    | Supplier | The Supplier shall regularly review Incident trend statistics to identify recurring Incidents for which the cause is unknown and initiate in agreement with the appropriate Other Supplier, a Problem ticket, to identify the root cause and Resolution and to raise a Problem ticket in the case of all Severity 1/Severity 2 Incidents.               |
| 21.3.2 | L3    | Supplier | The Supplier shall measure Problem Management Process and Supplier performance data for Problem management, including the identification of each Service Suppliers contributing to the Problem investigation.                                                                                                                                           |
| 21.3.3 | L3    | Supplier | The Supplier shall ensure that the Service Knowledge Management System is suitably populated to ensure that the quality of information on the Problem status, Known Errors, workarounds and Resolutions and Fix Times exist and comply with the agreed tooling and data quality standards and is improved to support Resolutions and service reporting. |
| 21.3.4 | L3    | Supplier | The Supplier shall be responsible for providing updates for existing Problems and where no existing Problem is identified, logging new Problem Records for Severity 1 and Severity 2 Incidents.                                                                                                                                                         |
| 21.3.5 | L3    | Supplier | The Supplier shall be responsible for monitoring the Problem Records progress through the Process to resolution; when required, the Problem should be escalated to ensure the Problem does not breach the applicable Performance Indicators.                                                                                                            |
| 21.3.6 | L3    | Supplier | The Supplier shall be responsible for coordinating the periodic review of Problem Records and trends/ aggravating factors and notifying the Authority.                                                                                                                                                                                                  |

### 21.4 Root Cause Analysis

| Ref    | Level | Owner    | Description                                                                                                                                                                                            |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 21.4.1 | L3    | Supplier | The Supplier shall be responsible for classifying and using impact, urgency analysis and the Priority Matrix to determine the priority of new Problems.                                                |
| 21.4.2 | L3    | Supplier | The Supplier shall be responsible for reviewing the SKMS and KEDB for matching Known Errors and workarounds available.                                                                                 |
| 21.4.3 | L3    | Supplier | The Supplier shall be responsible for identifying related workarounds and if a workaround is available, ensuring that the Problem has been progressed and the workaround implemented.                  |
| 21.4.4 | L3    | Supplier | The Supplier shall be responsible for assigning the Problem Record to the Other Supplier for detailed Root Cause Analysis (RCA) and Resolution identification, where appropriate.                      |
| 21.4.5 | L3    | Supplier | The Supplier shall be responsible for identifying if the referral route agreed needs to be added to the referral matrix.                                                                               |
| 21.4.6 | L3    | Supplier | The Supplier shall be responsible for escalating Problems with no identified or agreed referral route to the Authority.                                                                                |
| 21.4.7 | L3    | Supplier | Where a Problem or a workaround cannot be agreed, the Supplier shall agree the possible referral routes and escalation in collaboration with the Authority as required.                                |
| 21.4.8 | L3    | Supplier | The Supplier shall be responsible for updating the Problem Record with the RCA information and consulting with Other Suppliers as required.                                                            |
| 21.4.9 | L3    | Supplier | The Supplier shall be responsible for ensuring the updating of the Problem Record with the Problem investigation and possible Resolutions as described in the Problem Management Policies and Process. |

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IMS4 SERVICES

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| 21.4.10 | L3 | Supplier  | The Supplier shall coordinate resources and Other Suppliers to achieve planned Resolution via the the Authority's Change Management Policies and Processes, if required.                                                                           |
| 21.4.11 | L3 | Supplier  | The Supplier shall be responsible for identifying if the Resolution agreed to the Problem is a workaround or a permanent solution in collaboration with the Authority.                                                                             |
| 21.4.12 | L3 | Supplier  | The Supplier shall ensure the creation of Known Error Records for Problems that have a workaround but no permanent Resolution.                                                                                                                     |
| 21.4.13 | L3 | Supplier  | The Supplier shall ensure closing the Problem Record and updating the Service Knowledge Management System (SKMS) and KEDB.                                                                                                                         |
| 21.4.14 | L3 | Supplier  | The Supplier shall, for in scope Services, proactively identify components that are susceptible to failure, and recommend to the Authority cost-effective Resolutions for consideration and approval.                                              |
| 21.4.15 | L3 | Supplier  | The Supplier shall proactively collate recommendations and cost-effective Resolutions of components that have been identified by the Supplier and Other Suppliers that are susceptible to failure, for the Authority's consideration and approval. |
| 21.4.16 | L4 | Authority | The Authority shall ensure that resources and Other Suppliers comply with providing recommendations and cost-effective Resolutions to components that have been identified that are susceptible to failure.                                        |

## 22. Change Management

### 22.1 Introduction

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                         |
|--------|-------|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 22.1.1 | L4    | Authority | The Authority shall maintain and make available to the Supplier the Authority's ITIL-aligned Change Management Policies and Process.                                                                                                                |
| 22.1.2 | L3    | Supplier  | The Supplier shall comply, at all times, with the Authority's Change Management Policies and Processes.                                                                                                                                             |
| 22.1.3 | L3    | Supplier  | The Supplier shall work with the Authority and the Other Suppliers to implement the Authority's Change Management Policies and Processes.                                                                                                           |
| 22.1.4 | L3    | Supplier  | The Supplier shall define and maintain Operating Procedures for Change Management that are aligned to the Authority's Change Management Policies and Processes and shall submit them to the Authority for approval.                                 |
| 22.1.5 | L3    | Supplier  | The Supplier shall provide the management for all editorial activities with regards to the Operating Procedures for Change Management including but not limited to content creation, update, change control and circulation across Other Suppliers. |
| 22.1.6 | L3    | Supplier  | The Supplier shall monitor the compliance and shall take all reasonable steps to address any non-compliance of the Other Suppliers against the Operating Procedures for Change Management and report such non-compliance to the Authority.          |
| 22.1.7 | L3    | Supplier  | Where the Supplier is unable to address the non-compliance of any Other Supplier to the Operating Procedures for Change Management, the Supplier shall bring this to the Authority's attention.                                                     |

### 22.2 Change Management

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|--------|-------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 22.2.1 | L3    | Supplier | The Supplier shall both manage and collaborate in the operation of the cross-supplier Change Advisory Board (CAB), by providing input including, but not limited to: <ul style="list-style-type: none"> <li>a. evaluations of Change impact;</li> <li>b. recommendations for approval or otherwise;</li> <li>c. recommending an implementation plan;</li> <li>d. recommending appropriate participation based on the Request for Change;</li> <li>e. Forward Schedule of Change;</li> <li>f. acting as a trusted advisor to the Authority; and</li> <li>g. input from any related transition, validation and Test and/or release management artefacts.</li> </ul> |
| 22.2.2 | L3    | Supplier | The Supplier shall receive, review and approve Changes according to the Change authorisation matrices defined in the Change Management Policies and Process.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 22.2.3 | L3    | Supplier | The Supplier shall retain responsibility for all of their allocated activities in the Change until the Change is closed, subject to CAB and/or the Authority approval.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

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IMS4 SERVICES

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|---------|----|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 22.2.4  | L3 | Supplier | The Supplier shall update the ITSM Product with all necessary information from the time a Change is recorded through to closure, also providing any follow-up communications and report work required post-Resolution to the Authority and to Other Suppliers.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 22.2.5  | L3 | Supplier | The Supplier shall assure updates to all Change Records in the ITSM Product including the correlation of associated Incidents, Problems and Known Errors.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 22.2.6  | L3 | Supplier | The Supplier shall assure the update of Change Records detailing the lifecycle of a single Change for every Request For Change submitted (even those that are subsequently rejected) in the ITSM Product.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 22.2.7  | L3 | Supplier | The Supplier shall, where required, coordinate with the Authority, Internal Support Groups and Other Suppliers and designated representatives at Sites potentially affected by a Change, (incl. cross functional Changes) in order to minimise disruption to normal business processes and proper receipt of the Services, including but not limited to: <ul style="list-style-type: none"> <li>a. carrying out activities required to deliver the Change, such as making Changes to individual components and coordinating Changes across all components within its remit;</li> <li>b. controlling systems and activities required by moves, upgrades, replacements and migrations;</li> <li>c. Testing and roll-back plans for every Operational Change Request (with the exception of Emergency or fast-track Changes, where roll-back plans will only be generated if appropriate); and</li> <li>d. providing information to the Authority in accordance with the Change Management Process on the outcome of any Change, through the ITSM Product, and the updated status after each Change is implemented.</li> </ul> |
| 22.2.8  | L3 | Supplier | The Supplier shall monitor and report to the Authority on the Change implementation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 22.2.9  | L3 | Supplier | The Supplier shall, if there is a need for Emergency Maintenance, provide the Authority with as much notice as reasonably practical, and perform such Changes so as to minimise interference with the Business and operational needs of the Authority.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 22.2.10 | L3 | Supplier | The Supplier shall ensure that Changes have been Tested and faults have been resolved, if possible, prior to production start-up, including, where possible, inter-operability Testing and report Test results back to the Authority.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 22.2.11 | L3 | Supplier | The Supplier shall assure the updating of the ITSM Product and SKMS with all operational and other documentation affected by the Change.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 22.2.12 | L3 | Supplier | The Supplier shall escalate issues in accordance with the escalation Procedures approved by the Authority.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 22.2.13 | L3 | Supplier | The Supplier shall support post implementation reviews of Changes to determine whether the Change was successful and to identify opportunities for improvement.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| 22.2.14 | L3 | Supplier | The Supplier shall, conduct and support joint reviews of any subsequent Change failure so that the root causes of post-Change issues can be identified and, where appropriate, linked to the originating Change activity. In addition, the Supplier shall implement any improvements required to prevent a recurrence.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 22.2.15 | L3 | Supplier | The Supplier shall update the Change Record in the ITSM Product with all of the details of the Change in accordance with the Change Management Policies and Process, including linking any Incidents caused by the Change or implementation thereof.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 22.2.16 | L3 | Supplier | The Supplier shall link failed Changes to resultant Incident Records in the ITSM Product.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 22.2.17 | L3 | Supplier | Where an Emergency Change is required, the Supplier must still obtain Authority approval and follow the Emergency Change Process.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

## 23. Major Incident Management

### 23.1 Introduction

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                             |
|--------|-------|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 23.1.1 | L4    | Authority | The Authority shall maintain and make available to the Supplier, Other Suppliers, ITIL-aligned Incident Management Policies and Process.                                                                                                                |
| 23.1.2 | L3    | Supplier  | The Supplier shall comply with the Authority's Major Incident Management Policies and Processes.                                                                                                                                                        |
| 23.1.3 | L3    | Supplier  | The Supplier shall work with the Authority and the Other Suppliers to implement the Authority's Major Incident Management Policies and Processes.                                                                                                       |
| 23.1.4 | L3    | Supplier  | The Supplier shall define and maintain Operating Procedures for Major Incident Management that are aligned to the Authority's Major Incident Management Policies and Processes and shall submit them to the Authority for approval.                     |
| 23.1.5 | L3    | Supplier  | The Supplier shall provide the management for all editorial activities with regards to Operating Procedures for Major Incident Management including but not limited to content creation, update, change control and circulation across Other Suppliers. |
| 23.1.6 | L3    | Supplier  | The Supplier shall monitor the compliance and shall take all reasonable steps to address any non-compliance of the Other Suppliers against the Operating Procedures for Major Incident Management and report such non-compliance to the Authority.      |
| 23.1.7 | L3    | Supplier  | Where the Supplier is unable to address the non-compliance of any Other Supplier to the Operating Procedures for Major Incident Management, the Supplier shall bring this to the Authority's attention.                                                 |

### 23.2 Major Incident Management (MIM) Operations

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 23.2.1 | L3    | Supplier | <p>In addition to Incident Management, the Supplier shall:</p> <ol style="list-style-type: none"> <li>identify, assess and confirm any suspected Major Incidents including the re-evaluation of Incidents to be escalated as Major Incidents, and Major Incidents to be downgraded to normal Incidents as required, as per the Authority's Incident Management Policies and Processes.</li> <li>assign a Supplier Major Incident Manager to manage Major Incidents;</li> <li>issue, as requested, all relevant communications to the End Users (including relevant Authority stakeholders) using pre-agreed content, and agreeing any non-standard content with the Authority;</li> <li>where appropriate, organise and co-ordinate bridge calls, both technical and managerial, ensuring appropriate Authority and the Other Suppliers attendance;</li> <li>invoke escalations in accordance with the agreed Escalation Matrix ensuring that where appropriate, Major Incidents are escalated to resolution via Authority Service and/or business continuity management teams;</li> <li>create/update Major Incident Records and the linked Records, ensuring that information captured from a Major Incident supports high priority Incident reports and root cause analysis (RCA);</li> </ol> |

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IMS4 SERVICES

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|  |  |  | <p>g. capture (and in the case of multi supplier incidents), formulate and communicate Service Restoration/ remediation plans, including Major Incident plans;</p> <p>h. facilitate reviews, monitoring/reporting progress, escalations and updates to the Major Incident Records and plans to ensure end-to-end Service Restoration;</p> <p>i. co-ordinate the raising of Emergency Change records, as required; and</p> <p>j. provide input and support to the Management Information review and post Incident actions within 48 hours.</p> |
|--|--|--|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## 24. Request Fulfilment

### 24.1 Introduction

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                          |
|--------|-------|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 24.1.1 | L4    | Authority | The Authority shall maintain and make available to the Supplier ITIL-aligned Request Fulfilment Management Policies and Process.                                                                                                                     |
| 24.1.2 | L3    | Supplier  | The Supplier shall comply with the Authority's Request Fulfilment Policies and Process.                                                                                                                                                              |
| 24.1.3 | L3    | Supplier  | The Supplier shall work with the Authority and the Other Suppliers to implement the Authority 's Request Fulfilment Policies and Processes.                                                                                                          |
| 24.1.4 | L4    | Authority | The Authority shall provide a list of standard Service Requests and will agree with the Supplier the timescale associated with each standard Service Request and any future Changes, or, additions to the standard Service Request list.             |
| 24.1.5 | L3    | Supplier  | The Supplier shall define and maintain Operating Procedures for Request Fulfilment that are aligned to the Authority's Request Fulfilment Policies and Processes and shall submit them to the Authority for approval.                                |
| 24.1.6 | L3    | Supplier  | The Supplier shall provide the management for all editorial activities with regards to the Operating Procedures for Request Fulfilment including but not limited to content creation, update, change control and circulation across Other Suppliers. |
| 24.1.7 | L3    | Supplier  | The Supplier shall monitor the compliance and shall take all reasonable steps to address any non-compliance of Other Suppliers against the Operating Procedures for Request Fulfilment and report any non-compliance to the Authority.               |
| 24.1.8 | L3    | Supplier  | Where the Supplier is unable to address the non-compliance of any Other Supplier to the Operating Procedures for Request Fulfilment, the Supplier shall bring this to the Authority's attention.                                                     |

### 24.2 Management

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|--------|-------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 24.2.1 | L3    | Supplier | The Supplier shall be responsible for administering and co-ordinating Service Requests (i.e. Requests from the Product Catalogue) on an end-to-end basis throughout their lifecycle, such Service Requests include, but are not limited to: <ul style="list-style-type: none"> <li>a. information;</li> <li>b. advice;</li> <li>c. a Standard Change which is low risk, frequently performed, and low cost; or</li> <li>d. access to a Service as maintained within the Product Catalogue.</li> </ul> |
| 24.2.2 | L3    | Supplier | The Supplier shall administer and co-ordinate the end to end Request Fulfilment Process and ensure all requests are fulfilled as defined in the agreed Product Catalogue.                                                                                                                                                                                                                                                                                                                             |
| 24.2.3 | L3    | Supplier | The Supplier shall be responsible for logging, reviewing, categorising and prioritising the request, utilising the relevant Priority Matrix and approving the referral route if requested by the Authority.                                                                                                                                                                                                                                                                                           |

## 24.3 Operations

| Ref     | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                            |
|---------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 24.3.1  | L3    | Supplier | The Supplier shall be responsible for changing the priority of a Service Request if requested to do so by the Authority.                                                                                                                                                                                                                                                                               |
| 24.3.2  | L3    | Supplier | The Supplier shall facilitate the receipt of Service Requests through agreed channels, as described in the Authority's Request Fulfilment Policies and Process or other means as agreed with the Authority.                                                                                                                                                                                            |
| 24.3.3  | L3    | Supplier | The Supplier shall log all Service Requests (not logged by End Users directly via the portal) by opening a record for a Service Request in the Supplier's Request Fulfilment tool.                                                                                                                                                                                                                     |
| 24.3.4  | L3    | Supplier | The Supplier shall utilise and update the Suppliers' Request Fulfilment tool in line with the Authority's service level targets with all relevant information relating to each Service Request to enable fulfilment.                                                                                                                                                                                   |
| 24.3.5  | L3    | Supplier | Where applicable and for in scope Services, the Supplier shall fulfil and resolve, as many Service Requests as possible during the End User's initial contact.                                                                                                                                                                                                                                         |
| 24.3.6  | L3    | Supplier | The Supplier shall, if the request cannot be fulfilled for any End User, advise the End User and update any applicable records in the Suppliers' Request Fulfilment tool.                                                                                                                                                                                                                              |
| 24.3.7  | L3    | Supplier | The Supplier shall be responsible for invoking triage to determine a suitable course of action when Service Requests cannot be fulfilled or will be fulfilled outside of the agreed timescale and will escalate to the Authority as required.                                                                                                                                                          |
| 24.3.8  | L3    | Supplier | The Supplier shall, if the Service Request does not apply to a standard Service Request, inform the End User that the request cannot be fulfilled and reject the Service Request providing advice on the correct route where available. Where required, the Supplier shall escalate to the Authority the Service Request that does not comply with the criteria and Policy specified by the Authority. |
| 24.3.9  | L3    | Supplier | The Supplier shall provide a satisfactory response to each contact made, providing the End User at all times with a clear method of resolving the Service Request, or guidance, without referring the End User to another party.                                                                                                                                                                       |
| 24.3.10 | L3    | Supplier | The Supplier shall attempt to resolve conflicts or issues in line with Authority Policies and Processes. If unsuccessful, the Supplier shall escalate to the Authority to resolve.                                                                                                                                                                                                                     |
| 24.3.11 | L3    | Supplier | The Supplier shall co-ordinate the Other Suppliers request submission, allocation, escalation, scheduling and completion.                                                                                                                                                                                                                                                                              |

## 24.4 Monitoring and Reporting

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                              |
|--------|-------|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 24.4.1 | L3    | Supplier | The Supplier shall monitor and manage timely and complete delivery of Services. The Supplier shall ensure that status of Service Requests can be tracked and that the Other Suppliers provide regular feedback status.                   |
| 24.4.2 | L3    | Supplier | The Supplier shall ensure that they pass data to the Authority, on service and product components delivered to support Authority functions and End Users on an ad-hoc basis or on regular scheduled dates, as agreed with the Authority. |
| 24.4.3 | L3    | Supplier | The Supplier shall be responsible for facilitating reviews of Service data to analyse trends, aggravating factors, weaknesses, improvements and changes, in line with the Authority's Request Fulfilment Policies and Processes.         |
| 24.4.4 | L3    | Supplier | The Supplier shall monitor all Other Suppliers performance with a view to proactively expediting items that are likely to breach or have breached applicable Performance Indicators.                                                     |

|        |    |          |                                                                                                                                                                                                    |
|--------|----|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 24.4.5 | L3 | Supplier | The Supplier shall be responsible for participating in periodic reviews of the Product Catalogue to ensure the catalogue is updated and reflects the business rules.                               |
| 24.4.6 | L3 | Supplier | The Supplier shall collect and analyse End User feedback via the Authority satisfaction process on the Request Fulfilment Process and toolset and present it to the Authority in a useable format. |

## 24.5 Request Closure

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                               |
|--------|-------|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 24.5.1 | L3    | Supplier | The Supplier shall retain overall responsibility for all Service Requests until the Service Request is closed. The Supplier is responsible for closing fulfilled records for a Service Request following confirmation from the End User and initiating closure Processes. |
| 24.5.2 | L3    | Supplier | The Supplier shall close a Service Request only after receiving confirmation from the End User that the Service Request has been successfully completed.                                                                                                                  |
| 24.5.3 | L3    | Supplier | The Supplier shall, in agreement with the Authority, define a Process for contacting the End User to seek confirmation that a Service Request has been successfully completed.                                                                                            |
| 24.5.4 | L3    | Supplier | Where the Supplier has performed closure in accordance with agreed guidelines, they shall ensure all necessary data is captured or updated on completion of a Service Request including the updating of the CMDB/CMS.                                                     |

## 25. Access Management

### 25.1 Introduction

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                     |
|--------|-------|-----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 25.1.1 | L4    | Authority | The Authority shall maintain and make available to the Supplier ITIL-aligned Access Management Policies and Process.                                                                                                                            |
| 25.1.2 | L3    | Supplier  | The Supplier shall comply with the Authority's Access Management Policies and Process.                                                                                                                                                          |
| 25.1.3 | L3    | Supplier  | The Supplier shall work with the Authority and the Other Suppliers to implement the Authority 's Access Management Policies and Processes.                                                                                                      |
| 25.1.4 | N/A   | N/A       | Not Used.                                                                                                                                                                                                                                       |
| 25.1.5 | L3    | Supplier  | The Supplier shall define and maintain Operating Procedures for Access Management that are aligned to the Authority's Access Management Policies and Processes and shall submit them to the Authority for approval.                             |
| 25.1.6 | L3    | Supplier  | The Supplier shall provide the management for all editorial activities with regards to the Operating Procedures Access Management including but not limited to content creation, update, change control and circulation across Other Suppliers. |
| 25.1.7 | L3    | Supplier  | The Supplier shall monitor the compliance and shall take all reasonable steps to address any non-compliance of the Other Suppliers against the Operating Procedures for Access Management and report such non-compliance to the Authority.      |
| 25.1.8 | L3    | Supplier  | Where the Supplier is unable to address the non-compliance of any Other Supplier to the Operating Procedures for Access Management, the Supplier shall bring this to the Authority's attention.                                                 |

### 25.2 Management

| Ref    | Level | Owner    | Description                                                                                                                                                                                            |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 25.2.1 | L3    | Supplier | The "Service Desk" shall administer the process of granting End Users the right to use a Service, within the agreed constraints as identified by the Supplier, Authority and relevant Other Suppliers. |
| 25.2.2 | L3    | Supplier | The Supplier shall manage access requests from End Users relating to all Services in scope of the Supplier's obligations under this Agreement.                                                         |
| 25.2.3 | L3    | Supplier | The Supplier shall retain overall responsibility for all access requests in accordance with the Authority Request Fulfilment Policy and Process until the access request is closed.                    |
| 25.2.4 | L3    | Supplier | The Supplier shall facilitate the process of communication with the End Users and Other Suppliers in respect of access requests.                                                                       |

## 25.3 Operations

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|--------|-------|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 25.3.1 | L3    | Supplier | The Supplier shall process all authorised access requests in line with the Authority's Policies and Processes.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| 25.3.2 | L3    | Supplier | The Supplier shall administer End User identifications as per the Authority's Policies and shall be responsible for adding, changing and deleting End User access to all Authority Data and other Supplier data for in-scope Services, in line with agreed Target Performance Levels. Such administration shall be undertaken in accordance with the Authority's Information Security Policy and the requirements of Schedule 2.4 ( <i>Security Management</i> ) and Standards across Suppliers and the responsibilities to be undertaken in accordance with Authority Policies and Processes shall include: <ul style="list-style-type: none"> <li>a. creating End User Accounts for access to the Services or other systems, as required;</li> <li>b. changing existing End User Account profiles per End User requests;</li> <li>c. suspension, de-activation and deletion of inactive End User identifications or user identifications that are no longer authorised; and</li> <li>d. when provided with appropriate authorisation requesting the addition, change or removal of access to Authority Data.</li> </ul> |
| 25.3.3 | L3    | Supplier | The Supplier shall be responsible for coordinating and monitoring access requests across Other Suppliers and ensuring that, for access requests where the allocation is unclear or span across multiple Suppliers, the allocation for fulfilment of access requests to the Other Suppliers takes place efficiently and rapidly. In those cases where the allocation to the Other Suppliers is not possible, the Supplier shall inform the Authority.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 25.3.4 | L3    | Supplier | The Supplier shall be responsible for password management for Services in scope, which includes: <ul style="list-style-type: none"> <li>a. performing End User password resets in accordance with the Authority's Information Security Policy and Standards;</li> <li>b. coordinating End User password changes and changing local End User identifications and passwords as required and ensuring password Policy is enforced; and</li> <li>c. where applicable, encrypting passwords according to Authority Information Security Policy and Standards.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 25.3.5 | L3    | Supplier | The Supplier shall be responsible for communicating the status of access requests to the relevant End User(s).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| 25.3.6 | L3    | Supplier | The Supplier shall ensure administration of joiner, mover and leaver (JML) access privileges in accordance with the agreed timescales and handover to the appropriate Resolver Group.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 25.3.7 | L3    | Supplier | The Supplier shall if requested by the Authority (via the relevant Service Request route) coordinate the maintenance activities of User Role Groups and Access Profiles across Other Suppliers.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 25.3.8 | L3    | Supplier | The Supplier shall for, Services in scope: <ul style="list-style-type: none"> <li>▪ assign End Users to groups as per access requests;</li> <li>▪ remove End Users out of groups as per access requests;</li> <li>▪ coordinate those requests across Suppliers.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 25.3.9 | L3    | Supplier | The Supplier shall manage controlled access to all Services to enable the Other Suppliers to support hosted applications designated by the Authority.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |

|         |    |          |                                                                                                                                                                                                                                                                                                                |
|---------|----|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 25.3.10 | L3 | Supplier | The Supplier shall manage controlled access to enable the integration of New Applications by the Authority and Other Suppliers.                                                                                                                                                                                |
| 25.3.11 | L3 | Supplier | The Supplier shall ensure that Security Accreditation and approval is obtained from the relevant Authority security groups, governance boards and external HM Government authorities, as appropriate, for access to the Services.                                                                              |
| 25.3.12 | L3 | Supplier | The Supplier shall ensure that the Other Suppliers provide access to the Services in accordance with the Authority's Access Management Policies and Processes and the Supplier's Operating Procedures for Access Management.                                                                                   |
| 25.3.13 | L3 | Supplier | The Supplier shall produce reports for the Authority and, upon request by the Authority, additional reports to support the audit of Access Management.                                                                                                                                                         |
| 25.3.14 | L3 | Supplier | The Supplier shall ensure that all Changes to access comply with the:<br>(a) Authority's Access Management Policies and Processes;<br>(b) the Authority's Change and Evaluation Management Policies and Processes; and<br>(c) the Supplier's End User Administration Policies for granting access to Services. |

#### 25.4 Monitoring and Reporting

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                    |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 25.4.1 | L3    | Supplier | The Supplier shall pass data to the Authority on access requests as required for reporting.                                                                                                                                                                                                                                    |
| 25.4.2 | L3    | Supplier | The Supplier shall inform the Authority if the resolution of an access request exceeds or is expected to exceed the Performance Indicators for Resolution.                                                                                                                                                                     |
| 25.4.3 | L3    | Supplier | The Supplier shall close Access Right requests in accordance with the closure Procedure defined in the Request Fulfilment Policies and Process. Such closure shall include but not be limited to, the provision of updates to the Authority in respect of any changes to software licenses and/or software licence compliance. |

## 26. Tech Hubs and Virtual Tech Hubs Support

### 26.1 Tech Hub and Virtual Tech Hub Support Services

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|--------|-------|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 26.1.1 | L3    | Supplier | The Supplier shall provide a team of engineers, at the Major Sites required by the Authority and in line with the Technical Framework Document, to fulfil any activities within the Service Request Fulfilment and Incident Management Processes which require desk-side support for End Users, their End User Client Devices, Peripheral Equipment and in-building services. This includes but is not limited to supporting the joiners, movers and leavers (JML) Process through the provision, relocation and/or removal of devices for disposal.                                                                              |
| 26.1.2 | L3    | Supplier | <p>The Supplier shall, where agreed with the Authority:</p> <ul style="list-style-type: none"> <li>a. attend Site(s) to Resolve Incidents that cannot be Resolved remotely;</li> <li>b. provide a new starter with a laptop, smart phone or Peripheral Equipment, and ability to access the same;</li> <li>c. provide face to face support for End Users who drop into a Hub; and</li> <li>d. support an office move by relocating equipment and ensuring that End Users are able to work in their new location, on an ad-hoc basis.</li> </ul>                                                                                   |
| 26.1.3 | L3    | Supplier | <p>The Supplier shall make available to the Authority an appointment booking service, to be known by the End Users as the virtual tech hub (the "Virtual Tech Hub"), that will allow End Users to:</p> <ul style="list-style-type: none"> <li>a. view available appointment windows for help with fulfilling any activities within the Service Request Fulfilment and Incident Management Process;</li> <li>b. select an available appointment window;</li> <li>c. book an appointment (either at the location of the End User's choice or for virtual support); and</li> <li>d. cancel and reschedule an appointment.</li> </ul> |

## 27. Additional Services

### 27.1 Complaints Management

| Ref    | Level | Owner    | Description                                                                                                                                                                                       |
|--------|-------|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 27.1.1 | L3    | Supplier | The Supplier shall adhere to the Authority's Complaints Management Process.                                                                                                                       |
| 27.1.2 | L3    | Supplier | The Supplier shall pass any End User complaints to the Authority to resolve.                                                                                                                      |
| 27.1.3 | L3    | Supplier | The Supplier shall work with the Authority to investigate complaints and deliver agreed improvement in a timely manner and in line with the Authority's Complaints Management Policy and Process. |

### 27.2 Supporting Ad-Hoc Inquiry Teams

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 27.2.1 | L3    | Supplier | <p>The Supplier shall deliver, when requested by the Authority and in line with Authority Policies and Processes, services to support ad-hoc inquiry teams of different sizes. A standard offering will be developed for each Inquiry and the setup of the project team will be a pre-defined standard offering. The component parts of the offering are:</p> <ul style="list-style-type: none"> <li>a. creation of End User Accounts and deployment of equipment;</li> <li>b. a unique email domain;</li> <li>c. answerphone and unique telephone numbers;</li> <li>d. access to and set up of collaboration sites;</li> <li>e. software deployment; and</li> <li>f. printing solution.</li> </ul> <p>Other items for inclusion will be agreed as part of the engagement process with the Inquiry Team.</p> |

## 28. Customer Satisfaction

### 28.1 Customer Satisfaction

| Ref    | Level | Owner    | Description                                                                                                                                                             |
|--------|-------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 28.1.1 | L3    | Supplier | The Supplier shall administer the customer satisfaction survey functionality in line with the requirements of the Authority.                                            |
| 28.1.2 | L3    | Supplier | The Supplier shall collaborate with the Authority to define the customer satisfaction survey questionnaire.                                                             |
| 28.1.3 | L3    | Supplier | The Supplier shall work with the Authority to define the volume and sample types of customer satisfaction surveys or questionnaires undertaken for each Service Period. |
| 28.1.4 | L3    | Supplier | The Supplier shall work with the Authority to continually mature and evolve the customer satisfaction framework.                                                        |

# IT Operations Services Descriptions

## 29. IT Operations Centre

### 29.1 Introduction

| Ref    | Level | Owner    | Description                                                                                                                |
|--------|-------|----------|----------------------------------------------------------------------------------------------------------------------------|
| 29.1.1 | L3    | Supplier | The Supplier shall be a key partner within the Authority's end to end IT Service in providing an IT Operations Centre.     |
| 29.1.2 | L3    | Supplier | The Services shall be provided by the Supplier for the Authority's Non-Production Environment and Production Environments. |

### 29.2 General

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                                                             |
|--------|-------|----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 29.2.1 | L3    | Supplier | The Supplier shall be responsive to the current and future requirements of the Authority, by proactively anticipating needs and adjusting Services accordingly, and wherever possible, containing all costs and expenses within the agreed Charges.                                                                                                                                                                                     |
| 29.2.2 | L3    | Supplier | The Supplier will establish, maintain and enhance 'IT Operations Centre' Processes, governance and tools that support the Supplier's end to end responsibility and enable it to provide consistent management, coordination and communication of the delivery of the 'IT Operations Centre' services across the supply chain.                                                                                                           |
| 29.2.3 | L3    | Supplier | The Supplier shall allow for the inclusion of the Other Suppliers, and/or Resolver Groups to enable them to leverage 'IT Operations Centre' services, supporting processes and technology employed by the Supplier. The Supplier will ensure that these Services are scalable and adaptable.                                                                                                                                            |
| 29.2.4 | L3    | Supplier | The Supplier shall maintain comprehensive documents and Records in connection with the provision of the 'IT Operations Centre' services as required by Schedule 8.4 ( <i>Records and Reports</i> ) and shall provide the Authority with such supporting documentation as the Authority may reasonably require to verify the Supplier's compliance with all applicable Policies, Processes and service obligations under this Agreement. |
| 29.2.5 | L3    | Supplier | The Supplier shall, as applicable to the scope of the Services, adhere to the Authority's Service Management Policies and Processes.                                                                                                                                                                                                                                                                                                    |
| 29.2.6 | L3    | Supplier | The Supplier shall establish and manage controls to ensure that the service is auditable and meets the Regulatory and Policy requirements of the Authority.                                                                                                                                                                                                                                                                             |
| 29.2.7 | L3    | Supplier | The Supplier shall, in agreement with the Authority, promote process efficiency and data quality consistency. The Supplier shall work with the Authority to ensure that the 'IT Operations Centre' is designed to capture data once, minimising the need for manual data capture and input. All data will, wherever possible, be validated by the ITSM Product on input.                                                                |
| 29.2.8 | L3    | Supplier | The Supplier shall assist the Authority in the identification of automation opportunities, development of tools/scripts and process enhancements (including assisting with integrations to other third party toolsets where required), to proactively perform and automate the service management Processes in line with the Authority's Change Management Policies and Processes.                                                      |
| 29.2.9 | L3    | Supplier | The Supplier shall identify any issues and recommend action to address any issues identified in the ITSM Product, interfaces and processes to the Authority.                                                                                                                                                                                                                                                                            |

### 29.3 Data

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                                                            |
|--------|-------|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 29.3.1 | L3    | Supplier | In respect of all Authority Data processed or created by the Supplier in operating and providing the Services the Supplier shall: <ul style="list-style-type: none"> <li>ensure the relevant data becomes and remains the property of the Authority; and</li> <li>provide access to any such data or information to the Authority, as agreed with the Authority and/or the Other Suppliers.</li> </ul> |
| 29.3.2 | L3    | Supplier | The Supplier shall ensure that the Authority and the Other Suppliers are provided with 'IT Operations Centre' data which is real-time and to format and content agreed by the Authority.                                                                                                                                                                                                               |
| 29.3.3 | L3    | Supplier | The Supplier shall capture operations data for the Services in accordance with the data specifications and standards specified by the Authority.                                                                                                                                                                                                                                                       |
| 29.3.4 | L3    | Supplier | The Supplier shall, following the receipt of confirmation from the Authority that a Supplier employee or agent should be removed from the Application Access Control Lists, ensure that the employee or agent in question is so removed.                                                                                                                                                               |

### 29.4 Locations and Disaster Recovery

| Ref    | Level | Owner    | Description                                                                                                                                                                                                                                                                                                                                                               |
|--------|-------|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 29.4.1 | L3    | Supplier | The 'IT Operations Centre' shall be operated at Supplier premises - such locations are to be in-line with the Information Security Policy and Standards.                                                                                                                                                                                                                  |
| 29.4.2 | L3    | Supplier | The Supplier shall ensure there is a Service Continuity Plan in place for the 'IT Operations Centre' that is signed off by the Authority in accordance with the requirements of Schedule 8.6 ( <i>Service Continuity and Corporate Resolution Planning</i> ). This shall include the provision of adequately skilled Supplier resource with Authority specific knowledge. |
| 29.4.3 | L3    | Supplier | The Supplier shall ensure that the Service Continuity Plan is tested and signed off by the Authority in accordance with the requirements of Schedule 8.6 ( <i>Service Continuity and Corporate Resolution Planning</i> ) with Rectification Plans implemented if required.                                                                                                |
| 29.4.4 | L3    | Supplier | The Supplier shall ensure that the Authority has access to the Service Continuity Plan as necessary.                                                                                                                                                                                                                                                                      |

## 30. E2E Availability Management

### 30.1 Management

| Ref    | Level | Owner     | Description                                                                                                                                                                                                                                           |
|--------|-------|-----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 30.1.1 | L4    | Authority | The Authority shall maintain and make available to the Supplier ITIL-aligned Availability Management Policies and Process.                                                                                                                            |
| 30.1.2 | L3    | Supplier  | The Supplier shall comply with the Authority's Availability Management Policies and Processes.                                                                                                                                                        |
| 30.1.3 | L3    | Supplier  | The Supplier shall work with the Authority and the Other Suppliers to implement the Authority's Availability Management Policies and Processes.                                                                                                       |
| 30.1.4 | L3    | Supplier  | The Supplier shall define and maintain Operating Procedures for Availability Management that are aligned to the Authority's Availability Management Policies and Processes and shall submit them to the Authority for approval.                       |
| 30.1.5 | L3    | Supplier  | The Supplier shall provide the management for all editorial activities with regards to Operating Procedures for Availability Management including but not limited to content creation, update, change control and circulation across Other Suppliers. |
| 30.1.6 | L3    | Supplier  | The Supplier shall monitor the compliance and shall take all reasonable steps to address any non-compliance of the Other Suppliers against the Operating Procedures for Availability Management and report such non-compliance to the Authority.      |
| 30.1.7 | L3    | Supplier  | Where the Supplier is unable to address the non-compliance of any Other Supplier to the Operating Procedures for Availability Management, the Supplier shall bring this to the Authority's attention.                                                 |

### 30.2 Operations

| Ref    | Level | Owner    | Description                                                                                                                                                                            |
|--------|-------|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 30.2.1 | L3    | Supplier | The Supplier shall monitor the Other Suppliers, that are in scope, against the Authority's Availability Management Policies and Processes and Performance Indicators.                  |
| 30.2.2 | L3    | Supplier | The Supplier shall advise the Authority in writing each material non-compliance within 24 hours of any material non-compliance being identified.                                       |
| 30.2.3 | L3    | Supplier | The Supplier shall review with the Authority each material non-compliance of the Authority or by its Suppliers against the Authority's Availability Management Policies and Processes. |

### 30.3 Monitoring and Reporting

| Ref    | Level | Owner    | Description                                                                                                                                        |
|--------|-------|----------|----------------------------------------------------------------------------------------------------------------------------------------------------|
| 30.3.1 | L3    | Supplier | The Supplier shall develop and maintain an Availability Improvement Plan.                                                                          |
| 30.3.2 | L3    | Supplier | The Supplier shall comply with the Authority's Availability Management Policies and Processes.                                                     |
| 30.3.3 | L3    | Supplier | The Supplier shall make recommendations to improve the resilience and Availability of in-scope IT Services and business Services to the Authority. |

CONTRACT FOR THE PROVISION OF  
IMS4 SERVICES

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| 30.3.4  | L3 | Supplier | The Supplier shall evaluate the impact of Changes, upgrades and new technology on Availability and make appropriate recommendations to the Authority.                                            |
| 30.3.5  | L3 | Supplier | The Supplier shall assist the Authority in working with the Other Suppliers and internal support groups as appropriate to ensure Availability targets can be met for new services.               |
| 30.3.6  | L3 | Supplier | The Supplier shall proactively monitor Availability levels and trends to identify potential threats to Availability at the earliest opportunity, including SaaS platforms used by the Authority. |
| 30.3.7  | L3 | Supplier | The Supplier shall utilise automatic reporting agents where the platforms are capable of running these.                                                                                          |
| 30.3.8  | L3 | Supplier | The Supplier is accountable for the definition and setting of automated alerts to trigger when Availability thresholds are breached.                                                             |
| 30.3.9  | L3 | Supplier | The Supplier shall, where required by the Authority, advise the Other Suppliers when an Availability critical threshold is breached and follow through to Resolution.                            |
| 30.3.10 | L3 | Supplier | The Supplier shall analyse the Availability requirements and report them to the Authority in respect of each Service Period.                                                                     |
| 30.3.11 | L3 | Supplier | The Supplier shall provide Availability in accordance with the Availability Management Policies and Processes.                                                                                   |

## 31. E2E Event Management

### 31.1 Introduction

| Ref     | Level | Owner     | Description                                                                                                                                                                                                                                                                                                         |
|---------|-------|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 31.1.1  | L4    | Authority | The Authority shall maintain and make available to the Supplier the Authority's Event Management Policies and Processes.                                                                                                                                                                                            |
| 31.1.2  | L3    | Supplier  | The Supplier shall, at all times, adhere to the Authority's Event Management Policies and Processes in the delivery of their Services.                                                                                                                                                                              |
| 31.1.3  | L3    | Supplier  | The Supplier shall work with the Authority and the Other Suppliers to implement the Authority's Event Management Policies and Processes                                                                                                                                                                             |
| 31.1.4  | L3    | Supplier  | The Supplier shall define and maintain Operating Procedures for Event Management that are aligned to the Authority's Event Management Policies and Processes and shall submit them to the Authority for approval.                                                                                                   |
| 31.1.5  | L3    | Supplier  | The Supplier shall provide the management for all editorial activities with regards to Operating Procedures for Event Management including but not limited to content creation, update, change control and circulation across Other Suppliers.                                                                      |
| 31.1.6  | L3    | Supplier  | The Supplier shall monitor the compliance and shall take all reasonable steps to address any non-compliance of the Other Suppliers against the Operating Procedures for Event Management and report such non-compliance to the Authority.                                                                           |
| 31.1.7  | L3    | Supplier  | Where the Supplier is unable to address the non-compliance of any Other Supplier to the Operating Procedures for Event Management, the Supplier shall bring this to the Authority's attention.                                                                                                                      |
| 31.1.8  | L3    | Supplier  | The Supplier shall be responsible for the Event response and communication between all in-scope parties (that is, being responsible from the time the event was originally logged to the point at which it is deemed to be resolved and closed).                                                                    |
| 31.1.9  | L3    | Supplier  | The Supplier shall be responsible for identifying and logging Events and escalating information of Event occurrences to the Authority, in line with the Authority's Event Management Policy and Process.                                                                                                            |
| 31.1.10 | L3    | Supplier  | The Supplier shall be responsible for coordinating triage activities and invoking Event escalations, as required.                                                                                                                                                                                                   |
| 31.1.11 | L3    | Supplier  | The Supplier shall be responsible for closing Events, in line with the Authority's Event Management Policy and Process.                                                                                                                                                                                             |
| 31.1.12 | L3    | Supplier  | The Supplier will provide and manage Event Management tools and processes to correlate and action on Events based upon the various Alerts and their criticality. The Supplier shall define the Event Management standard interfaces for the Event Management tools and Processes, with minimal manual intervention. |
| 31.1.13 | L3    | Supplier  | The Supplier shall track and manage all Events arising in the Authority's in-scope environments.                                                                                                                                                                                                                    |
| 31.1.14 | L3    | Supplier  | The Supplier shall provide proactive and reactive monitoring (including trending analysis) and management in order to enhance the stability and function of all in-scope Authority business Services and IT Services.                                                                                               |
| 31.1.15 | L3    | Supplier  | The Supplier shall upon detection of an Event, filter by classification, in line with the Authority's Event Management Policy and Process and trigger appropriate actions.                                                                                                                                          |
| 31.1.16 | L3    | Supplier  | The Supplier shall relate Events to IT Systems, Infrastructure and Application services so that a Priority (that is, Impact and Urgency) assessment can be made, in line with the Authority's Event Management Policies and Processes.                                                                              |

CONTRACT FOR THE PROVISION OF  
IMS4 SERVICES

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| 31.1.17 | L3 | Supplier | The Supplier shall implement and maintain Event monitoring mechanisms and business rules, in line with the Authority's Event Management Policies and Processes, including the activities necessary to set up and maintain the mechanisms for generating meaningful Events and effective rules for their filtering and correlating. |
| 31.1.18 | L3 | Supplier | The Supplier shall correlate Events to facilitate Problem Management and root cause analysis (RCA) and make Event-related RCA and trend analysis available.                                                                                                                                                                        |
| 31.1.19 | L3 | Supplier | The Supplier shall determine the significance of the Event through the Event correlation tool and apply business rules in line with the Authority's Event Management Policy and Processes and Incident Management Policy and Processes, to look for Events of interest.                                                            |
| 31.1.20 | L3 | Supplier | The Supplier shall proactively monitor Events, including SaaS platforms used by the Authority.                                                                                                                                                                                                                                     |