EQUITY BANK UGANDA LIMITED

IT SERVICE MANAGEMENT POLICY

2023

Table of Contents

1. Introduction

IT Service Management (ITSM) is the process of designing, delivering, managing, and improving the IT services an organization provides to its end users. ITSM is focused on aligning IT processes and services with business objectives to help an organization grow. This policy covers service management, service request, service availability, service level management, business relationship management, supplier management and reports to the business.

The purpose of this policy document is to set out the expectations and intentions of the management of Equity Bank Uganda in the area of IT service management.

1.1 Objectives

- To implement structured processes for the improvement of service delivery to IT customers, both internal and external.
- Ensure that service requests are recorded, evaluated, and documented in a controlled and timely manner.
- To create and maintain a useful and effective relationship between the IT Division and its customers.
- To maintain high levels of customer satisfaction for a sustained period of time.

1.2 Applicability of Policy

- This policy applies to all the services that have been listed in the service catalogue.

1.3 Document Classification

This document is classified as **Public.**

2. Service Management Policy Statements

2.1 Conformity and Reporting

i.   The IT Management shall ensure that changes to the SMS are planned and managed, and consequences of unintended changes are reviewed, and action taken to mitigate any adverse effects.

2.2 Service Requirements

i.   A clear definition of service requirements shall be agreed and maintained with the customers of the IT service(s) so that all IT service management activity is focussed on the fulfilment of those requirements.

ii. Statutory, regulatory and contractual requirements for service requirements shall be documented and input to the planning process.

iii. Service requirements shall be regularly communicated to relevant stakeholders through team meetings and awareness documents.

2.3 Service Management Objectives

i.   Service management objectives shall be set during the budget planning period. This shall ensure that adequate funding is obtained for the improvement activities identified.

ii. Service management objectives shall be based upon a clear understanding of the business requirements and shall be informed by the annual IT service management review with customers.

iii. Service management objectives shall be documented in the Service Management Plan for the relevant financial year, together with details of how they shall be achieved.

2.4 Control of Processes Operated by Other Parties

i.   External suppliers shall be managed through the Supplier Management Process and an associated underpinning contract.

ii. Internal providers shall be managed through the Service Level Management Process using an Operational Level Agreement (OLA).

iii. Controls of processes operated by other parties shall be evidenced by documents and records such as contracts, OLAs, meeting minutes and performance reports

2.5 Service Improvement

i.   The IT Department's policy in regard to service improvement shall be to:

- Continually improve the effectiveness of the Service Management System and services

- Increase the level of proactivity (and the Customer perception of proactivity) regarding the on-going delivery of IT services
- Achieve an enhanced understanding of and relationship with the business units to which IT services are delivered
- Make the delivery of IT services more measurable in order to provide a sound basis for informed decisions
- Review service level metrics on an annual basis to assess whether it is appropriate to change them, based on collected historical data and customer feedback
- Obtain ideas for improvement via regular service meetings with Customers and document them in a Service Improvement Plan
- Review the Service Improvement Plan at regular management meetings in order to prioritise and assess timescales and benefits

ii.   The IT Service Manager shall involve customers, suppliers, IT staff, risk assessments and service reports for service improvements proposals.

iii.   Service improvement proposals shall be added to the Service Improvement Plan and evaluated by the IT Service Manager.

iv.   As part of the evaluation of proposed service improvements, the following criteria shall be used:

- Business Benefit
- Cost
- Risk
- Implementation timescale
- Resource requirement

v.   If accepted, the service improvement proposal shall be prioritised in order to allow more effective planning.

2.6 Approach to Managing Risk

i.   Equity's risk management strategy and process shall be used in the service management system.

ii.   The Bank's risk management shall take place at the following Service Management System levels.

- Service management planning – risks to the achievement of objectives
- Information security risk assessment
- IT service continuity risk assessment
- Assessment of the risk of changes as part of the change management process
- At the project level as part of the design and transition of new or changed services

iii.   Service management risks shall be monitored on ongoing basis through the performance of control self-assessments and recording of key risk indicators.

2.7 Human Resources

i. Management shall ensure that all staff involved in Service Management are competent based on appropriate education, training, skills, and experience.

2.8 Auditing and Review

i. Reviews of the service management processes and procedures shall happen at three levels:

- Annual Internal audit reviews against the ISO/IEC 20000 standard by the Equity Audit Team.
- Annual management review of conformity to policies and procedures within IT Service Division.
- Annual External audit against the standard in order to maintain certification.
- Periodic risk assessments and monitoring of key risk indicators

2.9 Service Reporting

i. The following reports shall be produced by the IT Service Management Team in order to inform the business about service levels being delivered and act as input to regular discussions about IT services.

Report	Purpose
Service Management Review	Summarise IT activities for the year, act as basis for discussion of services and service levels
IT Service Report	Summarise service delivered against agreed service level targets
Performance Reports	Summarise performance of various services delivered against agreed targets
User Satisfaction Survey report	Feedback to users on results of survey; establish action plan

ii. In addition to the above reports that are published to the business (which shall also be used by IT management for planning purposes), the following reports shall be produced to provide an insight into how IT services are being delivered:

Report	Purpose
Incidents and requests raised and closed on a weekly basis	Trend analysis; resource planning
Problems raised and closed on a weekly basis	Trend analysis; resource planning
Changes raised and closed by month	Trend analysis; resource planning
Incidents and requests raised by type and sub-type	Proactive problem management
Incidents and requests raised by priority	Proactive problem management

3. Service Level Management

Service Level Management (SLM) is the discipline by which the delivery of services is constantly improved through negotiating agreements between the service providers and customers or service consumers, and then monitoring and measuring service delivery to ensure the agreed-upon service levels are reached.

3.1 Policy Statements

i. Every IT service provided by the IT Department shall have an associated Service Level Agreement (SLA) or be explicitly covered by an existing one.

ii. Service level targets, workload limits and exceptions shall be included as part of SLAs.

iii. The Head of IT shall together with the business (IT customers/consumers of IT services) develop Service Level Agreements that the IT Department shall work to achieve.

iv. The Head of IT shall provide timely genuine reasons in the event they are unable achieve the approved timelines.

v. SLAs shall be agreed on and signed off on by the Head of IT, the service provider and business owner.

vi. SLAs shall be documented to a level of detail sufficient to establish whether key business requirements are being met by the service.

vii. A service catalogue shall be developed and agreed between IT team and the business units.

viii. Definitions of metrics and targets used to define levels of acceptable service shall be agreed by all parties to the SLA.

ix. Only measurable targets shall be included in an SLA.

x. Performance against the targets defined in the SLA shall be reported on at a frequency documented in the SLA.

xi. SLAs shall be reviewed at least annually and upon major changes to the service required or delivered. The review shall include:

- performance against service level targets.
- actual and periodic changes in workload compared to workload limits in the SLA(s).

xii. Changes to an SLA shall be agreed in writing by all parties to that SLA.

xiii. The levels of service provided as part of underpinning contracts shall be aligned with the related SLA so that SLA targets can be met.

xiv. The levels of service provided as part of operational level agreements (OLAs) with internal third parties shall be aligned with the related SLA so that SLA targets can be met.

xv. Failures to meet SLA targets shall be investigated and, if appropriate, service improvement plan initiated,

xvi. The service management team shall continuously identify improvement opportunities and include them in the Continual Service Improvement (CSI) register.

4. Supplier Management

This section seeks to set out the approach that will be taken to the management of third-party suppliers in support of the delivery of IT services to the customer. This will enable Equity to implement a consistent approach to driving value from new and existing contracts through increased supplier performance against the contractual requirements; improving supplier relationships through increased effective and efficient engagement and at the same time, supporting the social issues in supplier management benefits.

4.1 Policy Statements

4.1.1 Supplier Contract Management

i. Written contracts shall exist between suppliers and Equity for all services being offered.

ii. The contract among other statutory requirements shall include at a minimum:

    a. The scope of the services, service components, processes or parts of processes to be provided or operated
    b. Requirements to be fulfilled by the supplier
    c. Service level targets
    d. Authorities and responsibilities of Equity and the supplier

iii. Equity shall hold original hardcopy contracts signed by all parties which shall also be scanned and held electronically.

iv. Hardcopy contracts shall be stored within by the Legal Department.

v. Any changes to the scope or terms of existing contracts shall be managed and documented fully via the change management process.

vi. The roles of and relationships between lead and sub-contracted suppliers shall be documented within the contracts.

vii. Interfaces with the external supplier shall be defined and managed.

viii. Regular formal communication shall be made with suppliers on a frequency dependent upon the amount of business conducted with the supplier and the importance of the goods or services to the IT Department.

ix. Contracts shall be reviewed against current service requirements at planned intervals approved by the Head of IT Service Delivery Management.

x. Contract disputes shall be recorded and managed to closure by the Service management team

4.1.2 Addressing Information Security Within Supplier Agreements

i. Due diligence shall be conducted for all suppliers before being on-boarded.

ii. The IT Department's security requirements shall be reflected within the written contractual agreement entered into with suppliers.

iii. Contractual agreements shall take into account the classification of any information that is to be processed by the supplier (including any required mapping between EBUL classifications and those in use within the supplier), legal and regulatory requirements and any additional information security controls that are required.

iv. For cloud service contracts, information security roles and responsibilities shall be clearly defined in areas such as backups, incident management, vulnerability assessment and cryptographic controls.

v. Appropriate legal advice shall be obtained to ensure that contractual documentation is valid within the country or countries in which it is to be applied

vi. The information security requirements and controls shall be formally documented in a contractual agreement which may be part of, or an addendum to, the main commercial contract.

vii. Separate Non-Disclosure Agreements shall be used where a more specific level of control over confidentiality is required.

viii. The information security provisions in place at existing suppliers (where due diligence was not undertaken as part of initial selection) shall be clearly understood and improved where necessary.

ix. Remote access by suppliers shall be approved via methods that comply with the information security policies.

x. Access to Equity's information shall be limited where possible according to clear business need.

xi. Basic information security principles such as least privilege, separation of duties and defence in depth shall be applied.

xii. Suppliers shall be expected to exercise adequate control over the information security policies and procedures used within sub-contractors who play a part in the supply chain of delivery of goods or services to Equity

xiii. Incident management and contingency arrangements shall be put in place based on the results of a risk assessment.

xiv. Awareness training shall be carried out by both parties to the agreement, based on the defined processes and procedures.

5. Business Relationship Management

This policy section deals with anticipating current and future customer needs and setting out strategies on how to meet them.

The Bank promises to fulfil expectations of its customers through effective business relationship management and shall;

i. Develop and maintain a registry of all the IT customers, users and other interested parties and their associated services.

ii. Have a clear understanding of the business priorities and objectives of the customer of those services.

iii. Agree on a communication, that shall be documented and adhered to by both the IT Department and its customers.

iv. Ensure that a service complaints process is established and implemented with a clear escalation process that shall be communicated to all stakeholders.

v. Maintain an updated complaints log that shall have a ticket number, complaint description, type and actions taken on basis of the registered complaints.

vi. Ensure that the level of customer satisfaction with the services is measured on a regular basis and opportunities for improvement identified and followed up by conducting customer satisfaction surveys (CSAT).

vii. Ensure that the IT Department and its customer hold review meetings at least quarterly, which shall include discussion of past performance, current and projected business needs and proposed changes to the service scope and associated service level agreements (SLAs). The review meetings shall have clearly documented minutes.

viii. Ensure that the relationship between the IT Department and the customer be based upon regular constructive feedback with the joint objective to improve the IT services to the benefit of the organization as a whole.

ix. Ensure Service Reviews be held before and after any major changes which affect the customer.