



EQUITY BANK UGANDA LTD
IT SERVICE MANAGEMENT
POLICY

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Table of Contents

1	INTRODUCTION.....	4
1.1	OBJECTIVES	4
2	SERVICE MANAGEMENT POLICY STATEMENTS.....	4
2.1	CONFORMITY AND REPORTING.....	4
2.2	SERVICE REQUIREMENTS.....	4
2.3	SERVICE MANAGEMENT OBJECTIVES	4
2.4	CONTROL OF PROCESSES OPERATED BY OTHER PARTIES.....	5
2.5	SERVICE IMPROVEMENT.....	5
2.6	APPROACH TO MANAGING RISK.....	5
2.7	HUMAN RESOURCES	6
2.8	AUDITING AND REVIEW	6
2.9	SERVICE REPORTING	6
3	SERVICE LEVEL MANAGEMENT	7
4	SUPPLIER MANAGEMENT	7
4.1	SUPPLIER CONTRACT MANAGEMENT	8
4.2	ADDRESSING INFORMATION SECURITY WITHIN SUPPLIER AGREEMENTS	8
5	BUSINESS RELATIONSHIP MANAGEMENT	10

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. 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 Ltd in the area of 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.

2 Service Management Policy Statements

2.1 Conformity and Reporting

- i. 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 shall be 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 staff within IT through team meetings and awareness documents.

2.3 Service Management Objectives

- i. Service management objectives shall be set during the budget planning period to 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 and the plan and objectives at an interval shall be conducted to ensure that they remain valid.

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. 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 to service improvement shall be to:
 - Continually improve the effectiveness of the Service Management System and services
 - Increase the level of proactivity regarding the on-going delivery of IT services.
 - Make the delivery of IT services more measurable 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 to prioritise and assess timescales and benefits.
- ii. The 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 Service Manager.
- iv. As part of the evaluation of proposed service improvements, the following criteria shall be used:
 - Cost
 - Business Benefit
 - Risk
 - Implementation timescale
 - Resource requirement
- v. If accepted, the service improvement proposal shall be prioritised to allow more effective planning.

2.6 Approach to Managing Risk

- i. Equity Bank Uganda risk management strategy and process shall be used in the service management system where Risk Management shall take place at the following 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
- ii. Risk assessments shall be done on an annual basis, or upon significant change to the business or IT service provision as per the existing Equity Bank Uganda's Risk processes and plans.

2.7 Human Resources

- i. Management shall ensure that all IT 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.
 - Annual management review of conformity to policies and procedures within IT Service Division
 - Annual External audit against the standard to maintain certification.

2.9 Service Reporting

- i. The following reports shall be produced by the Service Management Team 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
User Satisfaction Survey report	Feedback to users on results of survey; establish action plan
Performance Reports	Summarise performance of various services delivered against agreed targets.

- 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.

Policy Statements

- i. Every IT service provided 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. SLAs shall be agreed on and signed off on by the Head of IT, the service provider and business owner.
- iv. SLAs shall be documented to a level of detail sufficient to establish whether key business requirements are being met by the service.
- v. Definitions of metrics and targets used to define levels of acceptable service shall be agreed by all parties to the SLA.
- vi. Only measurable targets shall be included in an SLA.
- vii. Performance against the targets defined in the SLA shall be reported on at a frequency documented in the SLA.
- viii. 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).
- ix. Changes to an SLA shall be agreed in writing by all parties to that SLA.
- x. The levels of service provided as part of underpinning contracts shall be aligned with the related SLA so that SLA targets can be met.
- xi. Failures to meet SLA targets shall be investigated and, if appropriate, service improvement plan initiated,
- xii. The service management team shall continuously identify improvement opportunities and include them in the Continual Service Improvement (CSI) register.

4 Supplier Management

To ensure Equity bank implements 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, management shall take a deliberate approach to the management of third-party suppliers in support of the delivery of IT services to the customer.

Policy Statements

4.1 Supplier Contract Management

- i. Written contracts shall exist between suppliers and Equity Bank Uganda Ltd for all services being offered.
- ii. The contract shall include as 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 Bank Uganda Ltd and the supplier
- iii. Equity Bank Uganda Ltd shall hold original hardcopy contracts signed by all parties which shall also be scanned and held electronically.
- iv. Any changes to the scope or terms of existing contracts shall be managed and documented fully via the change management process.
- v. The roles of and relationships between lead and sub-contracted suppliers shall be documented within the contracts.
- vi. 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.
- vii. Contracts shall be reviewed against current service requirements at planned intervals.
- viii. Contract disputes shall be recorded and managed to closure.

4.2 Addressing Information Security Within Supplier Agreements

- i. Due diligence shall be conducted for all suppliers before being on-boarded.
- ii. 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.
- iii. 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.
- iv. Separate Non-Disclosure Agreements shall be used where a more specific level of control over confidentiality is required.
- v. 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.

- vi. Remote access by suppliers shall be approved via methods that comply with the information security policies.
- vii. Access to Equity Bank Uganda Ltd information shall be limited where possible according to clear business need.
- viii. Basic information security principles such as least privilege, separation of duties and defence in depth shall be applied.
- ix. 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 Bank Uganda Ltd.
- x. Incident management and contingency arrangements shall be put in place based on the results of a risk assessment.
- xi. Awareness training shall be carried out by both parties to the agreement, based on the defined processes and procedures.

5 Business Relationship Management

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. Ensure that IT management has a clear understanding of the business priorities and objectives of the customer of those services.
- iii. Ensure that IT top management reviews, validates and approves all business requirements.
- iv. Develop a communication strategy for effective communication with its customers.
- v. Maintain a service complaints process with a clear escalation process that shall be communicated to all stakeholders.
- vi. Maintain an updated complaints log with a ticket number, complaint description, type and actions taken on the registered complaints.
- vii. Ensure 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).
- viii. Ensure that IT Management and its customer hold review meetings at least quarterly, to discuss past performance, current and projected business needs and proposed changes to the service scope and associated service level agreements (SLAs).
- ix. Perform Service reviews before and after any major changes which affect the customer.