Service Management System Manual

PHX058

Contents

1. Document Control

1.1 Purpose of this Manual

Service Management is an essential part of good IT services governance, which in turn is a cornerstone in corporate governance for managed services delivery. An integral part of IT governance is IT Service Management (ITSM) pertained to how managed services are delivered, measured against service levels, and assessed based on performance.

Aligned with, and drawing strongly on ITIL best practice, this service management document details the controls for Service Management as required under ISO/IEC20000.

Core principles for Service Management, as defined in ISO/IEC20000, are adapted to the local situation for the following areas:

- IT Service Management Plan
- Service Management Objectives and Targets
- Service Delivery requirements
- Roles and Responsibilities
- Effective IT services and performance
- Opportunities for Improvement
- Service Management System
- The design, transition of new/changed services
- Service delivery processes
- Resolution processes
- Control processes including capacity and demand management; service review and customer satisfaction and complaint processes.

1.2 Scope

The service management scope is defined as "The Service Management System for the Azure Managed Services provisioned by Phoenix Software Limited."

This document scope extends to the staff and stakeholders directly impacted by Phoenix Managed Services.

2. Context Of the Organisation

2.1 Understanding the organisation and its context

Phoenix is a UK based MSP which focusses on customers in but not limited to the following sectors – public sector, housing associations, charities, and education.

To understand the organisation and its context we must consider the following internal and external issues.

- Culture
- Values
- Policies
- Procedures
- Resources

- Capabilities
- Limitations
- Industry
- Market trends
- Competitors

- Regulatory requirements
- Social factors
- Economic factors
- Political factors

2.2 Understanding the needs and expectations of Interested Parties

Phoenix Software Ltd has determined:

a) interested parties that are relevant to the service management system
b) the requirements of those interested parties relevant to a service management system

Interested parties are persons or organisations that can influence the managed service delivery and maintenance processes of Phoenix Software Ltd;

Interested Parties	Requirements
Customers	Quality, Cost, Security, Compliance, Performance, SLA's, Scalability Expertise
Employees	Skills, development, work life balance, teamwork, clear expectations, workplace safety, compensation (package/salary)
Suppliers	Quality, timeliness, cost, flexibility, reliability, compliance
Regulators	Data privacy and security, licensing, health and safety, environmental regulations, financial regulations, employee regulations
Certification Bodies	Compliance, documentation, continuous improvement, training and development, risk management, performance metrics, external audits
Partners	Compatibility, expertise, reputation, scalability, cost effectiveness, innovation, partnership agreements

2.3 Determining the scope of the Service Management system

The organisation has determined the boundaries and applicability of the Service Management Committee (SMC) to establish its scope.

When determining this scope, Phoenix considered:

a) the identified external and internal issues
b) the activities, products, and services;
c) the authorities and ability to exercise control across managed service workstreams.

The scope of the service management system for Phoenix Software Ltd is:

"The Service Management System for the Azure Managed Services provisioned by Phoenix Software Limited."

2.4 Service Management System

Phoenix Software Ltd has established and implemented a service management system to determine:

- Application and reporting of monitoring and measurement of effective operation of the service management system and service delivery
- Resources required for service delivery
- Leadership and top management responsibilities
- Responsibilities and authorities for the maintenance of the management system.
- Interested parties
- Risks and opportunities in accordance with the maintenance of the service management system and how to address them
- Evaluation of the maintenance of the system through internal and external audit procedures
- Improvement in the processes of the service management system
- Maintained documented information to support the operation of its managed service processes
- Continual improvement of Phoenix's approach to service management, maintenance, and delivery.

3. Leadership

3.1 Leadership and commitment

Management of Phoenix Software Ltd demonstrate leadership and commitment with respect to the service management system by:

- Ensuring the service management plan is created, implemented, and maintained in order to support the service management policy, and the achievement of the objectives and service requirements.
- Ensuring that appropriate levels of authority are assigned for making decisions related to the SMS and the services
- Ensuring value for the organisation and customer is determined
- Ensuring control over other party involvement in the service lifecycle as far as possible
- Ensuring integration of the SMS requirements into Phoenix's business processes
- Ensuring that the resources needed for the SMS and the services are available
- Communicating the importance of effective service management, achieving the service management objectives, delivering value, and conforming to the SMS requirements
- Ensuring that the SMS achieves its intended outcomes
- Directing and supporting persons to contribute to the effectiveness of the SMS and the services

- Promoting continual improvement of the SMS and the services
- Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

3.2 Service Management Policy

Management of Phoenix Software Ltd has established, implemented, and maintains a Service Management Policy. This is available to all staff and interested parties.

3.3 Organisation roles, responsibilities, and authorities

Phoenix Software Ltd ensures that the responsibilities and authorities for roles relevant to Service management are assigned and communicated at Board level. These are listed in the Service Management Plan PHX117

Management assigns the responsibility and authority for:

- Ensuring that the Service Management System conforms to the requirements of the Standard ISO20000-1:2018
- Reporting on the performance of the system to management

Service Management Committee roles, responsibilities and authorities have been clearly identified and communicated to members of staff.

The Service Management Committee consists of:

Name	Job Title	Role
Clare Metcalfe	Operations Director	Liaison and Company Board Member
Richard Barwick	Head of Service Delivery	Service Management System Manager
Ben Rayner	Director of Managed Services and Solutions	Managed Services Steering Committee Lead
Daryn Sugden	Managed Services Products Manager	Managed Services Product Owner
Geoff McGann	Governance Manager	Internal Audit, BSI liaison, documentation, Standard conformance, reporting and system maintenance
Rebecca Tosler	Governance Administrator	Internal Audit, BSI liaison, documentation, and system maintenance

This team is responsible for the governance and performance monitoring of the Managed Services to the ISO20000 Standard.

The Managed Services Steering Committee consists of:

Name	Job Title
Ben Rayner	Managed Service and Solutions Director
Darren Goldsborough	CTO

Paul Chesworth	Head of Consultancy
Richard Barwick	Head of Service Delivery
Daryn Sugden	Managed Services Products Manager

This team is responsible for the development and maturity of new and existing Managed Services.

The Managed Services Steering Committee is also supported by the following subject matter experts for services relevant to their area:

Name	Job Title
Fred Astfeldt	Head of Managed Security Services
Harry Whitney	Infrastructure Services Manager
Sam Copsey	Cloud Services Manager
Richard Brown	Azure Practice Lead
Mick Baker	Infrastructure/EUC Practice Lead
David Lea	M365 Practice Lead
Sam Vokes	Intune Practice Lead
Lee Brown	Cloud Security Practice Lead
Craig Taylor	Director of Cloud Solutions
Robert McMurdo	Modern Endpoint Solutions Lead
Sean Robinson	Director of Optimisation and SAM

Managed Service delivery roles:

IT Service Desk	Responsible for technical delivery – 1st line troubleshooting and triage, single point of contact.
Infrastructure Services	Responsible for technical delivery – infrastructure solutions (servers, networks, storage, on-premise, backup solutions, M365, EUC)
Cloud Services	Responsible for technical delivery – cloud solutions (Azure, AVD)
SOC	Responsible for technical delivery – managed SOC and security services
Customer Success	Responsible for customer satisfaction and performance review delivery, customer feedback and escalations
Service Delivery	Administration of contracts, onboarding coordination, schedule reviews, schedule tasks

4. Planning

4.1 Actions to address risks and opportunities

When planning for the service management system, the company considers the issues referred to in 4.1 and the requirements referred to in 4.2 and the scope of the service management system, and determines the risks and opportunities that need to be addressed to:

a) ensure the system can achieve its intended outcomes defined through service planning
b) prevent or reduce undesired effects through change and risk management
c) achieve continual improvement

Phoenix Software Ltd defines and applies a Risk Assessment process within the Information Security Risk Assessment and Methodology Policy. Risks include but are not limited to:

a) Impact to the organisation
b) Not meeting service requirements through service credit management
c) The involvement of other parties in the service lifecycle

The Risk methodology includes risk acceptance criteria and when risks must be managed and reviewed at least annually.

Phoenix works to action risks and opportunities appropriately according to prioritisation through risk and impact scoring and ensures plans are in place to integrate and implement the actions into the Service Management System processes while evaluating the effectiveness of these actions.

4.2 Service Management Objectives and planning to achieve them

4.2.1 Service Management Objectives

Phoenix Software Ltd has established the service management objectives for relevant functions and levels.

The service management objectives shall:

a) be consistent with the Service Management policy.
b) be measurable or monitored (as practicable)
c) consider applicable requirements and results from risk assessment and risk treatment
d) be communicated
e) be updated as appropriate

The company retains documented information on the service management objectives in the ISO20000 Service Objectives document.

4.2.2 Planning actions to achieve service objectives:

When planning how to achieve its service management objectives, the company shall determine:

a) what will be done
b) what resources will be required
c) who is responsible
d) when they will be completed
e) how the results will be evaluated (9.1.1)

Objectives for service management are documented and available to all staff and interested parties.

4.3 Service Management Plan

Phoenix has created, implemented, and will maintain a Service Management Plan. This plan takes into consideration:

a) The Service Management Policy
b) Service Management Objectives
c) Risks and Opportunities in relation to service offerings
d) Service requirements
e) Other requirements specified by ISO20000.

The Service Management Plan is available to all staff and includes:

a) A list of all services offered
b) Known limitations that could impact the Service Management System and its services
c) Relevant policies, standard, legal, regulatory, and contractual requirements
d) How these obligations apply to the Service Management System and its services
e) Any authorities and associated responsibilities for the Service Management System and its services
f) Human, Technical, Information and Financial resources required
g) Working with other parties (where involved)
h) Technology used to support the Service Management System
i) Effectiveness of the Service Management System and its services – measurement, auditing, reporting and improvements

5. Support of the Service Management System

5.1 Resources

Phoenix Software Ltd has allocated the human, technical, information and financial resources needed for the establishment, implementation, maintenance and continual improvement of the service management system and the operation of the services to meet the service requirements and achieve the service management objectives.

At management level these resources include the Chief Technical Officer, Financial Director, Director of Managed Services and Solutions, Operations Director, Head of Service Delivery, Senior Technical Consultants and Governance Manager.

5.2 <u>Competence</u>

The company has:

a) determined the necessary competence of person(s) doing work under its control that affects its service management system. Consultants have appropriate Azure Professional exams and Service Desk personnel have ITIL certifications.
b) ensure that these persons are competent based on appropriate education, training, and experience
c) where applicable, take actions to acquire the necessary competence and evaluate the effectiveness of the actions taken. This takes place through monthly competency reviews
d) Certifications of exams held in Personnel. Reviews (strictly confidential) held by the managers

It is the Service Desk Manager's responsibility to ensure that individuals undertaking a service delivery role have the necessary skills – this is delivered through:

a) Hiring for a specific skill set
b) Training of staff members including technical certifications for vendor technologies and/or service-related training such as ITIL qualifications, internal training programs and peer training.
c) Experience of staff member

Training records are maintained by the Training and Development Manager

5.3 <u>Awareness</u>

Persons delivering services are aware of:

a) The Service Management Policy;
b) Service Management Objectives;
c) The services relevant to their role;
d) their contribution to the effectiveness of the services, including the benefits of improved performance;
e) the implications of not conforming with the service management system requirements.

All Staff at Phoenix Software Ltd are aware of the service management system. This has been delivered by email with documentation held on the internal SharePoint system. Quarterly team meetings are held for increased communication with the service delivery team.

5.4 <u>Communication</u>

Phoenix Software Ltd has established, implemented, and maintained processes needed for internal and external communications relevant to the service management system, including:

a) What is communicated
b) These will include but not limited to SMS manual and relevant updates, Service offerings and technical updates
c) Communications will take place through document releases, updates, and reviews
d) Communication will take place with Internal and external parties appropriately
e) Communication will take place via multiple of mediums including but not limited to email, Teams, website

5.5 <u>Documented Information</u>

Phoenix Software Ltd.'s service management system shall include:

a) Documented information required by ISO20000:2018.
b) Documented information determined by the organisation as being necessary for the effectiveness of the service management system.

When creating and updating documented information, Phoenix Software Ltd will ensure the document has appropriate:

a) Identification and description (title; date; author; and reference number)
b) Format and media
c) Review and approval for suitability and adequacy

All documents are controlled as per the Document Control Policy, which is reviewed, at least annually, alongside the availability and suitability of all service-related documentation.

Documented information required by the service management system and ISO20000:2018 shall be controlled to ensure:

a) It is available and suitable for use, where and when it is needed;
b) It is adequately protected (from loss of confidentiality, improper use, or loss of integrity);

Phoenix ensures documentation is:

a) Distribution, access, retrieval and use through availability processes;
b) Storage and preservation, including legibility by using electronic distribution;
c) Control of changes (e.g. version control) through quality documentation requirements;
d) And the retention and disposal of records as appropriate.

Documented information of external origin as defined by Phoenix Software Ltd and deemed necessary for the planning and operation of the service management system, is identified, and controlled.

Phoenix maintains documented information within Teams channels, including but limited to:

a) The scope of the Service Management System
b) Policy and objectives for service management
c) Service Management Plans
d) Change Management Policy
e) Information Security Policy
f) Service Continuity Plans
g) Processes of our Service Management System including Service Delivery
h) Service Requirements
i) Service Catalogue
j) Service Level Agreements (SLA)
k) Contracts with external suppliers
l) Agreements with internal suppliers or customers acting as a supplier
m) Procedures that are required by the ISO20000:2018 Standard
n) Records required to demonstrate evidence of conformity to the requirements of the ISO20000:2018 Standard

5.6 Knowledge Maintenance

Phoenix maintains knowledge necessary for support as relevant by:

a) Knowledge base within Microsoft Teams as a 'Wiki' updated regularly by the Service Desk Management team and Technical Experts.
b) Soft skills training within the Phoenix Learning Management System (LMS)
c) Knowledge sharing is via the knowledge base Wiki and quarterly Service Desk team meetings
d) Distribution and training of the Service Management System Policies under the guidance of the Governance Manager.

6. Operation

6.1 Operational planning and control

As part of Operations planning, there are established:

a) Performance criteria based on service requirements
b) Implemented controls of the processes as per the SMS and its services
c) Retention of all necessary documentation required to have confidence in the service management system

These form part of the Service Management Committee review meeting process review Service level agreement performance; customer satisfaction data; capacity management; service request review; internal audit findings and continual improvements to ensure high quality service delivery to plan for growth and development on solid foundations.

6.2 Service Portfolio

Phoenix operates its Service Management System to ensure co-ordination of its activities and the resources.

This is determined within the planned services and addresses service requirements for existing/new and changes to any service, which are defined and documented in the Managed Service Design Document.

Control of parties involved in the Service Management are documented in the Service Management Plan which determines:

1. Those services that are provided/operated by other parties
2. Service components that are provided/operated by other parties
3. Processes, or those part of the process, in the Service Management System that are provided/operated by other parties

In the event a third-party provider is used, within the Service Management Plan – 'Other Parties' define and apply relevant controls and performance criteria for other parties that include:

- Measurement and evaluation of process performance
- Measurement and evaluation of effectiveness of services.

The activities provided by a third party must be documented within the Service Management Plan.

The service requirements for existing and new services, and changes to services will be determined and documented. The criticality of services will be determined based on the needs of customers and the company in order to manage dependencies and duplication between services.

Service Catalogue Management:

Service catalogue is established for the Azure Managed Service. This is updated with any service changes.

Asset Management:

All assets used to deliver services are managed within the Asset Register.

Configuration Management:

The types of configuration information are defined, and services classified. Configuration information is recorded to an appropriate level of detail within the Service Management Plan depending on the criticality and type of services. Access to configuration information is controlled and includes:

a) Unique identification
b) Type of configuration information
c) Description of the configuration information
d) Relationship with other configuration information
e) Status.

This information is controlled through authorized updates and annual reviews by technical staff and change management applies for traceability and auditability to maintain the integrity of the configuration information. The configuration information shall be updates following the deployment of changes to configuration information. Phoenix will annually audit the configuration information for accuracies.

Types of configuration information are defined; services are classified as configuration items.

6.3 Relationship and Agreement

Phoenix may use third party suppliers to:

a) Provide or operate services
b) Provide or operate service components
c) Operate processes, or parts of processes, which are in the Phoenix's service management system.

Third party processes and activities shall be documented within the appropriate Service Management Plan.

The maintenance of customer satisfaction and managing of customer relationships is the responsibility of the customer assigned Customer Success Team member. Business Relationship Management is handled by the Customer Success Team, headed by the Director for Managed Services and Solutions, also responsible for reviewing and communicating service reviews.

Service Reviews are held at least bi-annually and include a review of service changes; performance against agreed Service levels; Trend analysis, customer satisfaction and service improvement suggestions.

Monthly service performance reports must be provided to the customer via the Service Desk, with the Service Desk Manager ultimately responsible for the distribution of the reports.

Service complaints are defined within our ISO9001 controls and recorded on the 'Phoenix Software ISO Measurement Log' and managed to closure in line with the Phoenix Software Complaints Procedure.

Actual/periodic changes in workload compared to workload limits as defined within SLA's are reviewed in the Service Management Committee with Capacity Management and Pipeline forecasting and communicated to the relevant stakeholders.

Where SLA's are not met, Phoenix's Service Desk Manager will review with senior managers to identify opportunities for improvement which are logged on the ISO Measurement Log.

Supplier Management is addressed in accordance with ISO27001 processes and ensures external suppliers are defined, to include the scope of service, service components, processes (or part thereof), along with requirements to be met by the Supplier(s) including service level agreements; other contractual obligations and any authorities.

Supplier Service Level Agreements are aligned for the external suppliers into customer SLA's.

Key suppliers are reviewed annually in line with our ISO27001 controls and where appropriate, performance levels reviewed with the supplier as a means of performance measurement review against SLA targets, actual and periodic changes in workload compared to workload limits in the SLA, analysis, and areas for improvement to identify and limit risk where possible.

Opportunities for improvement will be sought in the event service level targets are not met.

Suppliers must have contracts in place which will include when appropriate:

a) scope of the services, service components, processes, or parts of processes to be provided or operated by the external supplier
b) requirements to be met be the external supplier
c) service level targets or other contractual obligations
d) authorities and responsibilities of the organisation and the external supplier.

Any disputes between Phoenix and the external supplier will be recorded and managed to closure.

6.4 Supply and Demand

Phoenix budgets and accounts for all services in accordance with its financial management policies and processes.

Costs are budgeted, measured, and reviewed at regular intervals to ensure effective financial control for decision making purposes.

Costs are reported within the monthly management accounts issued to the Phoenix Board including an analysis of costs by category against the budget. The information is used to support decisions about financial controls and processes and to re-forecast costs for the remainder of the year accordingly.

Demand Management is used to determine current demand and forecasting for future demands including monitoring and reporting on both demand and consumption of services

monthly and is available within the Microsoft Dynamics and reviewed in the Service Management Committee meetings held quarterly.

Capacity Management covers the capacity requirements for human, technical, information and financial resources that are determined, documented, and maintained to ensure that current and forecast capacity based on demand for services; impact on capacity against agreed service level targets and requirements for service level availability and continuity are documented, reviewed, and measured for improvements in line with timescales and threshold for changes to service capacity.

Service desk performance and capacity monitoring is completed through PowerBI dashboarding and reviewed quarterly by the Service Management Committee and more frequently during adverse circumstances increasing demand on resources.

6.5 Service Design, Build and Transition

6.5.1 Change Management

The Change Management Policy details all service components and other items that are under the control of change management. This includes categories of change (including emergency change) and how these are to be managed and the criteria to determine changes including those with the potential to have a major impact on customers or services.

All change requests include how to add, remove, or transfer services which are recorded and classified as part of the Change Management Process and activities as follows:

a) new services with the potential to have a major impact on customer or other services as determined by the change management policy
b) changes to services with the potential to have a major impact on customer or other services as determined by the change management policy
c) categories of change that are to be managed by service design and transition according to the change management policy
d) removal of a service
e) transfer of an existing service from the organisation to a customer or other party
f) transfer of an existing service from a customer or other party to the organisation.

6.5.2 Service Design and Transition

Service design and transition includes plans for new and changed services which includes:

a) Authorities and responsibilities for design, build and transition activities
b) Those activities performed by Phoenix Software Ltd and/or third parties within agreed timescales
c) All human, technical, information and financial resources
d) Dependencies on other services

e) Testing needed for new or changed services
f) Service acceptance criteria and intended outcomes from delivering new/changed service(s) in measurable terms
g) Impact on the SMS, other services, planned changes, customers, users, and other interested parties.

Services that are removed or transferred, include the date(s) of the removal of the service and the activities for archiving, disposing or transfer of data, documented information, and service components are captured within the internal-facing Service Catalogue.

Any new/changed services shall be built and tested to verify that they meet the service requirements, conform to the documented design and meet the agreed service acceptance criteria.

Where the acceptance criteria are not met, Phoenix will make the decision on necessary actions and deployment through the Internal Change Procedures.

Release and deployment management is used to deploy approved new or changed services into a live environment.

Release and Deployment Management is planned for new/changed services and service components into the live environment. Planning is co-ordinated with change management and includes references to the related requests for change, known errors or problems, which are being closed through the release. This includes dates for deployment of each released, deliverables and methods of deployment. This is documented within Change Management.

All releases are verified against documented acceptance criteria and approved prior to deployment through Change Management requests and new managed service designs. If the acceptance criteria are not met, the organisation and interested parties make decisions based on any necessary action(s) and deployment.

A baseline of affected Continuous Integration (CI) is taken before deployment of each release in the live environment and the integrity of the service and service components are maintained.

All successes and/or failures are monitored and analysed. Measurements include incidents related to a release in the period following deployment of a release. These results and conclusions drawn from the analyses are recorded as an incident within the ISO Measurement Log and reviewed by the Service Management Committee to identify opportunities for improvement.

All successes/failures of releases and future releases are made available for other service management activities.

6.6 Resolution and Fulfilment

Resolution and Fulfilment incorporates Incident Management; Service Request Management; Service Request Management and Problem Management.

Incident Management incidents are:

a) Recorded and classified;
b) Prioritised taking into consideration impact and urgency
c) Escalated if needed
d) Resolved
e) Closed

All incidents are logged in the ISO Measurement Log and reviewed to identify opportunities for improvement.

Major incidents are defined within the Service Desk Guide; handled appropriately and reviewed within Service Desk Team Meetings.

Service Requests are documented, recorded, and classified, prioritised, fulfilled and closed. This is managed through ticketing system ZenDesk.

Problem Management ensures that Phoenix analyses all data and trends on incidents to identify problems for effective management. This includes root analysis where possible to determine potential actions for the prevention of occurrence/reoccurrence of incidents. All problems are recorded and classified; prioritised; escalated as necessary; resolved where possible and closed within ZenDesk.

All records are updated with actions taken within ZenDesk and any changes needed for problem resolution are managed according to the Change Management Policy.

Root cause, is reviewed but where the problem is not resolved, Phoenix determines the best course of action to reduce/eliminate the impact of the problem on the service. All known errors are recorded ZenDesk and up-to-date information on known errors and problem resolution(s) are made available for other service management activities.

Root cause analysis is monitored, reviewed, and reported quarterly at the Service Management Committee review.

6.7 Service Assurance

Service availability is assessed through LogicMonitor reporting and reviewed quarterly by the Service Management Committee with consideration for the service availability requirements and targets, taking into account relevant business requirements, service requirements, SLA's and any other risks as determined by the organisation.

All results are recorded and monitored, with comparison against metrics and targets. Any unplanned non-availability is investigated and actions as necessary taken in line with service continuity and continuous improvement.

Service Continuity Management risks are documented and reviewed annually by the Service Management Committee with a review to determine the service continuity requirements, taking into account the relevant business requirements, service requirements, SLA's, and other identified risks

Service Continuity Plan(s) are documented within the Phoenix Business Continuity Plan and make reference to:

a) Criteria and responsibilities for invoking service continuity
b) Procedures to be implemented in the event of a major loss of service
c) Targets for service availability when the service continuity plan is invoked
d) Service recovery requirements and;
e) Procedures for returning to normal working conditions

The Service Continuity Plan(s) are accessed via network drives and physically with the Operations Director when access to the normal service location is prevented.

At least annually, the service continuity plan(s) are tested against the service continuity requirements and/or following a major change to the service environment. All results are recorded, and reviews are conducted after each test or after the service continuity has been invoked by the Operations Director. Any deficiencies identified are reported to the Senior Leadership team and any actions necessary undertaken and documented.

Information Security Management is maintained to the ISO27001 Standard. The Information Security Policy is available to interested parties of ISO27001 and ISO20000.

All policies are located on the Phoenix SharePoint and available to all Phoenix staff members; and where requested; to Customers, Users, External Suppliers, and other interested parties.

Information Security Controls

Company-wide Information security controls are subject to internal and external audits at least annually in order to maintain ISO27001 certification.

Full audit reports including recommendations are documented between the Governance Manager and the Service Management System Committee. Security controls will be risk assessed, proportionate to the environment, and agreed by the Service Management System Committee.

Internal audits are conducted at regular intervals to address the information security risks to the Services Management System (SMS). These risks are identified within the Phoenix Risk Register and documented as Internal Audit Reports. All findings are reviewed in line with both policies in line with Continual Improvement and where necessary, actions are undertaken to improve the security posture of the SMS.

All information security controls, in line with both ISO27001 and ISO20000 are recorded and classified, prioritised with consideration of information security risk; escalated where necessary, resolved, closed, and reviewed by the Senior Management team security incidents based on type, volume, and impact(s) on the SMS, Services and interested parties. All incidents are reviewed, analysed, and presented to Senior Leadership on a bi-annual basis which form part of the Senior Leadership reviews.

Information Security Incidents

All information security incidents are:

a) Recorded and classified
b) Prioritised taking into consideration the information security risk
c) Escalated if needed
d) Resolved
e) Closed

In accordance with ISO27001 maintenance. Information security incidents are reported and reviewed regularly to identify opportunities for improvement.

7. Performance Evaluation

7.1 Monitoring, measurement, analysis, and evaluation

7.1.1 General

Phoenix Software Ltd has determined what needs to be evaluated, monitored, and measured taking into account the methods used when it is performed and the analysis of the results relating to the service management system.

These will include:

a) what needs to be monitored and measured, including service processes and controls
b) the methods for monitoring, measurement, analysis, and evaluation of the risk, as applicable, to ensure valid results
c) when the monitoring and measuring shall be performed
d) when monitoring and measurement shall be analysed and evaluated

Performance evaluation of service delivery and the ISO20000 Standard maintenance takes place quarterly through service management committee reviews where appropriate data is reviewed with senior management. This data includes SLA Performance; Customer Satisfaction; Capacity Management; Demand Management; Release and Deployment; Service Request Review; Service Availability results; Service Continuity results; Internal Audit findings; Continual Improvement suggestions/

progress; Awareness and Communication; and overall maintenance of the Service Management System.

This information is made available through monitoring and reporting toolsets and is collated prior to the review by the Governance Manager.

7.2 Internal Audit

7.2.1 General

Phoenix Software Ltd conducts internal audits at planned intervals to provide information on whether the service management system:

a) conforms to

1. the company's own requirements for its service management system;
2. the requirements of the ISO20000:2018 Standard

b) is effectively implemented and maintained

7.2.2 Internal Audit Programme

Phoenix Software Ltd:

a) plans, establishes, implements, and maintains an audit programme, including the frequency, methods, responsibilities, planning requirements and reporting of the internal audits. The audit programme takes into consideration the importance of the processes concerned, changes affecting the company and the results of previous audits
b) defines the audit criteria and scope for each audit
c) selects auditors and conducts audits that ensure objectivity and the impartiality of the audit process
d) ensures that the results of the audits are reported to the relevant management
e) takes appropriate correction and corrective actions
f) retains documented information as evidence of the audit programme and the audit results

7.3 Management Review

Management shall formally review the company's environmental management system every 6 months to ensure its continuing suitability, adequacy, effectiveness, and alignment with the company strategy.

This forms the basis of the service management system management review and shall include consideration of:

a) the status of actions from previous management reviews

b) changes in external and internal issues that are relevant to the service management system

c) feedback on the service management system performance, including trends in:

1. nonconformities and corrective actions
2. monitoring and measurement results
3. audit results

d) opportunities for continual improvement;
e) feedback from customers and other interested parties
f) adherence to and suitability of the service management policy and other policies required by ISO 20000:2018
g) achievement of service management objectives
h) performance of the services
i) performance of other parties involved in the delivery of the services
j) current and forecast human, technical, information and financial resource levels, and human and technical resource capabilities
k) results of risk assessment and the effectiveness of actions taken to address risks and opportunities
l) changes that can affect the service management system and the services.

The outputs of the management review shall include decisions and actions related to continual improvement opportunities, resources, and any need for changes to the service management system.

The company retains documented information as evidence of the results of management reviews.

7.4 Service Reporting

Phoenix has determined reporting requirements for communicating the service performance back to the customer and to the service management committee for performance review.

Reports on the performance and effectiveness of the service managements system and the services shall be produced using information from the service management system activities and delivery of the services. Service reporting shall include trends.

Phoenix make decisions and take actions based on the findings in the service reports. The agreed actions shall be communicated to interested parties.

Service Level Agreements are determined for each service within service contracts.

Service levels across all customers are reviewed quarterly by the Service Management Committee.

Performance metrics against SLA's are monitored and reported monthly.

8. Improvement

8.1 General

Phoenix Software Ltd determines opportunities for improvement (9.1, 9.2 and 9.3) and implements necessary actions to achieve the intended outcomes of the service management system.

8.2 Non-conformity and corrective plan

When a nonconformity occurs, Phoenix Software Ltd shall:

a) react to the nonconformity as appropriate:

    a. take action to control and correct it
    b. deal with the consequences

b) evaluate the need for action to eliminate the causes of nonconformity, in order that it does not reoccur or occur elsewhere, by:

    1. reviewing the nonconformity
    2. determining the causes of the nonconformity
    3. determining if similar nonconformities exist or could potentially occur

c) implement any action needed
d) review the effectiveness of any corrective action taken
e) make changes to the service management system, if necessary

Corrective actions shall be appropriate to the effects of the non-conformities encountered.

Phoenix Software Ltd retains documented information as evidence of:

f) the nature of the nonconformities and any subsequent actions taken
g) the results of any corrective action

Non-conformities and corrective actions are recorded in the Nonconformity and Corrective Action log including the nature of any non-conformities; subsequent actions taken and the results of any corrective actions.

8.3 Continual Improvement

The company continually improves the suitability, adequacy, and effectiveness of the service management system.

The organisation has determined evaluation criteria to be applied to the opportunities for improvement when making decision on their approval. Evaluation criteria includes alignment of the improvement with service management objectives.

Opportunities for improvement will be documented. Phoenix will manage approved improvement activities that include:

a) Setting one or more targets for improvement in areas such as quality, value, capability, cost, productivity, resource utilisation and risk reduction;
b) Ensuring that improvements are prioritised, planned, and implemented
c) Making changes to the service management system if necessary.
d) Measuring implemented improvements against the target(s) set and where (target(s) are not achieved, taking necessary actions
e) Reporting on implemented improvements.

Continual Improvement is reviewed as part of the service management system Management Review.

Version Control

Author	Version	Date	Description
SMC	1.0	15/04/2020	Publication
Amy Trimble	1.1	23/04/2020	Major Incident updated.
SMC	2.0	27/04/2020	1.1 Changes agreed
Amy Trimble	2.1	22/02/2021	Review - Roles updated
SMC	2.1	10/03/2022	Annual review – no changes
SMC	3.0	04/04/2023	Full document review, updated roles
SMC	3.1	08/06/2023	Remove Roles and Responsibilities section, reference their new location

Document Approval

Name	Version	Date	Position
Sam Mudd	1.0	15/04/2020	Managing Director
SMC	1.1	23/04/2020	SMC
SMC	2.0	27/04/2020	SMC
SMC	2.1	22/02/2021	SMC
Clare Metcalfe	3.0	04/04/2023	Operations Director
Clare Metcalfe	3.1	08/06/2023	Operations Director

Signed: *Clare Metcalfe*   Clare Metcalfe, Operations Director

Dated: 08/06/2023