

Annex D

to EMSA/OP/24/2015 Tender Specifications

Working Procedures and Service Levels for Helpdesk and corrective Maintenance

Specific requirements for corrective maintenance and help-desk services

Withstanding the requirements mentioned in the tender specifications, the following specific requirements apply:

1. The contractor within this type of service may be requested to carry out, under a Service Contract, one or more of the following tasks:
 - Receive notifications on service failures, control the processing of the reported incidents and keep EMSA informed about the status of issues;
 - Provide helpdesk according to the priority levels set in here-in;
 - Analyse the incidents causing unforeseen service interruption and provide feedback to orient the required interventions for repair or maintenance by EMSA or by its contractors;
 - Incorporate minor change requests to the application code to correct blocking or serious errors and/ or address a change of requirements by the MS
 - Support the back-up and recovery in case of failure;
 - Analyse performance bottle-necks;
 - Analyse backup needs for production environments;
 - Analyse monitoring needs for production environments;
 - Implement monitoring parameters/interfaces as required by EMSA.

These tasks will be performed respecting at least the minimal procedures and minimum service levels prescribed in the “Service level agreement for corrective maintenance and help desk services”.

2. Minimum reports and deliverables per type of service:
 - a. Provision of the services required respecting the requirements, procedures and service levels.
 - b. Inclusion of the results of analysis of each incident in TeamForge (the tool used by the Agency for Application Lifecycle Management).
 - c. Quarterly reports for the services provided.

Service level agreement for corrective maintenance and help desk services

Scope of SLA

The SLA covers all the software components for service (s) covered by the Service contract for help-desk and corrective maintenance. These software components may be hosted at EMSA or another location managed by a Member State and/ or a third party chosen by EMSA.

The SLA covers all the functional, non –functional and security related issues, detected by EMSA staff, another Contractor of EMSA, the software development contractor and MS following the placement of a patch release in production. A functional issue may relate to:

1. A “bug” (deviation of the system from the agreed specifications); and/ or
2. Changes of minor scale in the system behaviour (i.e. those related to the change of an applicable business rule) addressing an existing operational requirement that was not foreseen in the implementation contract for the release that is in production and/ or a change in the system behaviour requested by the MS.

It should be noted that bug resolution should normally take place under warranty. The aim of the SLA is to ensure that the resolution of bugs will take place in a timely manner in accordance to their priority (refer below). Resolution of bugs for software components not covered by warranty shall be covered under the Service contract drawn for corrective maintenance and help-desk services.

Priority definitions

The priority levels (scheduled, low, normal, urgent, or critical) for all system interventions (for maintenance and reported bugs) shall be classified by EMSA Staff. The priority will determine the procedure for processing and solving any issues including those detected or system incidents reported by users. The classifications are based on an assessment of the importance and urgency of the issue as well as the consequences for the Agency and the Member States exchanging data using a service covered by the contract for help desk and corrective maintenance services.

The priority definitions are defined in the table below:

Priority	Definition
1: Critical	An incident causing total loss of the primary functions of the service(s) covered by the contract for help-desk and corrective maintenance.
2: Urgent	An incident with blocking effects on the work-flow of an individual or a small group of users of the service(s) covered by the contract for help-desk and corrective maintenance.
3: Normal	An incident affecting an individual user or a small group of users causing interruptions to the normal work-flow of the service(s) covered by the contract for help-desk and corrective maintenance.
4: Low	A minor incident affecting only an individual or a small group of people with minor consequences to the work-flow of the service(s) covered by the contract for help-desk and corrective maintenance.
5: Scheduled	Issues or maintenance requiring a scheduled intervention in agreement with EMSA. This can be an issue requiring an intervention addressing minor faults or to pre-empt any service quality degradation, for those service(s) covered by the contract for help-desk and corrective maintenance.

Response to issues reported for analysis/ resolution

For the purpose of this contract the following definitions apply:

Acknowledgement time	The time elapsed from the moment the request was received by the contractor's Helpdesk until the acknowledgement by mail or phone.
Analysis Time	The analysis time includes analysis of the call, provision of impact to the application and resolution planning.
Resolution Time	Resolution time is the time between the completion and publication of the call analysis until completion of a successful intervention that re-establishes the affected function which triggered the incident.
Processing Time	The processing time is the total time in which the user can expect resolution of the reported incident. It starts after the incident is reported to the contractor by phone or e-mail or detected by an user or a member of EMSA or regional server operator staff. This covers the time for acknowledgement, analysis as well as the resolution time.
Normal working hours	Working hours of EMSA (Monday to Friday is from 08:30 to 18.00 (UTC), in accordance with EMSA official calendar)
Time base	Period during which the above mentioned acknowledgement/ analysis/ resolution actions related to an issue reported to the contractor must be completed. For example if the priority of an issue is "Normal", the time base is from Monday to Friday, normal working hours, the analysis time for an incident happening on Friday evening, one hour before end of normal working hours will include one hour on Friday plus the additional time spent on Monday as from 8h00.

The acknowledgement time should be less than 15 minutes. The maximum acceptable analysis and resolution time, depending on the priority level of an intervention or incident, is identified in the table below:

Priority	Analysis Time	Resolution time	Time Base (all times are Portuguese local times)
Critical and Urgent	2 hours	2 hours	0h00 to 24h00, 7 days from Monday to Sunday
Normal	4 hours	8 hours	8h00 to 19h00, working days
Low	1 working day	2 working days	Office hours, normal working days of EMSA
Scheduled	To be agreed on a case by case (24 to 72 hours).	To be agreed on a case by case (24 to 72 hours).	Office hours, normal working days of EMSA

Procedures for issue analysis and resolution

The bugs detected during an incident affecting an operational service shall be reported following the procedures and workflow applicable for incident or problem management (refer to the relevant annex of the tender specifications). The procedure for the bug analysis, resolution and reporting is outlined below.

The actions to be undertaken are:

	Action	Remarks	Responsible
1	In the event that the incident was detected by EMSA staff and/or reported by a MS to MSS: Incident is reported to the contractor by e-mail (sent by MSS or the Application team) and then registered in Teamforge. All the actions taken by the contractor to resolve the incident shall be recorded in TeamForge (by the contractor ¹).	EMSA shall set the priority level.	EMSA
3	Investigation and diagnosis.	Analysis time as above.	Contractor (and EMSA)
4	Resolution and recovery.	Resolution time as above.	Contractor
5	Incident is closed.	EMSA is informed by e-mail.	Contractor
6	A report on the incident is recorded in TeamForge and (if the nature of incident was critical/ Urgent) e-mailed to EMSA.	Deadline for this report is the next working day after the incident, latest by 12:00 o'clock UTC.	Contractor

The priority definitions/response/acknowledgement times are applied as specified above.

For critical/urgent incidents, a report will be recorded in TeamForge and e-mailed to **EMSA/[project officer responsible for the contract for corrective maintenance and Help Desk Services]** the next working day after the incident, by 12:00 UTC the latest.

Content of the Incident Report as per Point 6 will include as a minimum:

- TeamForge artifact number as well as the EMSA ticketing tool reference (NUMARA) if this reference was previously recorded in the TeamForge artifact by the reporting officer that opened the artifact.
- Date and time of the incident being reported via email/telephone by EMSA to the contractor.
- Contact information of the EMSA contact person (First and last name, telephone number).
- Date and time of Acknowledgement.
- Classification of the incident.
- Analysis date and time.
- Resolution date and time.
- Processing time of the incident.
- Incident closure date and time.
- Root cause of the incidents.
- Actions taken.
- Suggested supplementary actions.
- Availability statistics (per MS connection).

¹ As a normal practice, the contractors shall be granted access to TeamForge to update the description of artifacts.

- Justification in case of violation of times.
- Enclosures to the report.
- Report date and time.

Every quarter, a summary report is to be provided by the Contractor via e-mail to the **EMSA/[project officer responsible for the contract for corrective maintenance and Help Desk Services]** during the first five working days of the relevant month, by 16:00 UTC at the latest. The report shall include references to the TeamForge artifacts opened for the issues reported by EMSA to the contractors. The template used for the report should be agreed with the Agency.

If decided by EMSA, two exercises per year an exercise could be planned, coordinated and executed by the contractor and the Agency. The objective is to determine the staff preparedness and readiness in relation to the performance requirements. The content of the exercise shall be agreed between the contractor and EMSA. A joint post-exercise evaluation will follow to agree, as appropriate, an action plan for possible improvements (if any).

SLA monitoring

Performance of the Contractor against the SLAs as defined above (refer to response to issues). will be assessed on quarter basis with Maintenance reports including the following statistics (all timing based on UTC):

- Median and mean average time of TtA and TtS (see definitions below) shall be provided, grouped per priority, over the reporting period. Outliers have to be reported as well.
- List and statistic of all issues which are not closed, grouped by priority. The contract status (within or outside SLA) has to be provided
- All issues which have been closed or are in process in the reporting period. The TtA and TtS shall be provided, grouped per priority. The compliance with the SLA has to be indicated.

Definitions

Time to acknowledge (TtA): The time the contractor is informed of the problem until the contractor provides an initial investigation and analysis of the problem

Time to solve (TtS): The time the contractor is informed of the problem until the moment the problem is solved and a hotfix was provided.

Penalties

According to the terms included in the service contract the following price reductions shall be applied in case of service non-compliance, for services provided under a corrective maintenance and help-desk services contract:

- (i) For non-compliances related to “Critical” issues: A reduction to the contracted value equivalent to (for each day of breaching the SLA) the price of two person days of a senior programmer rate, up to a maximum 10% reduction to the contractual value.
- (ii) (For non-compliances related to “Urgent” issues: A reduction to the contracted value equivalent to (for each day of breaching the SLA) the price of one person day of a senior programmer rate, up to a maximum a 7% reduction to the contractual value.
- (iii) For non-compliances related to “normal” issues: A 5% reduction to the contracted value if, during the course of the contract, at least 20 breaches of the SLA for “Normal” issues are recorded.