



Service Management System Manual

ITG

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1 Purpose and Scope

Note: Items in black are direction from the standard.

1.1 Purpose

ITG has issued this Service Management System (SMS) Manual to articulate the processes that constitute service delivery and demonstrate its commitment to maintaining quality in an environment that fosters customer satisfaction and continual improvement.

This SMS Manual is organized to be consistent with the ISO 20000-1:2011 structure.

1.2 Scope and Exclusions

The scope to be covered by this certification is “Service Call Management for Customers”.

This SMS Manual is the primary reference for all matters dealing with Service Call Management as it pertains to ISO 20000-1:2011. It is available for inspection by our staff, customers, potential customers, and third party ISO auditors.

SMS customers in the context of this document include recipients (external), of services resulting from contract awards, as well as Company staff (internal), receiving services from internal resources.

This manual addresses ISO 20000-1:2011 requirements and makes reference to the procedures that implement these policies and that are applicable to all Company business units.

ITG conforms to all ISO 20000-1:2011 International Standard requirements. The SMS scope covers the entire spectrum of Service Call Management services delivered to ITG customers by ITG, headquartered in Falls Church, Virginia.

2 Normative References

No normative references are cited. This clause is included in order to ensure clause numbering is identical with ISO/IEC 20000-2:—, *Information technology — Service management — Part 2: Guidance on the application of service management systems*

3 Terms and definitions

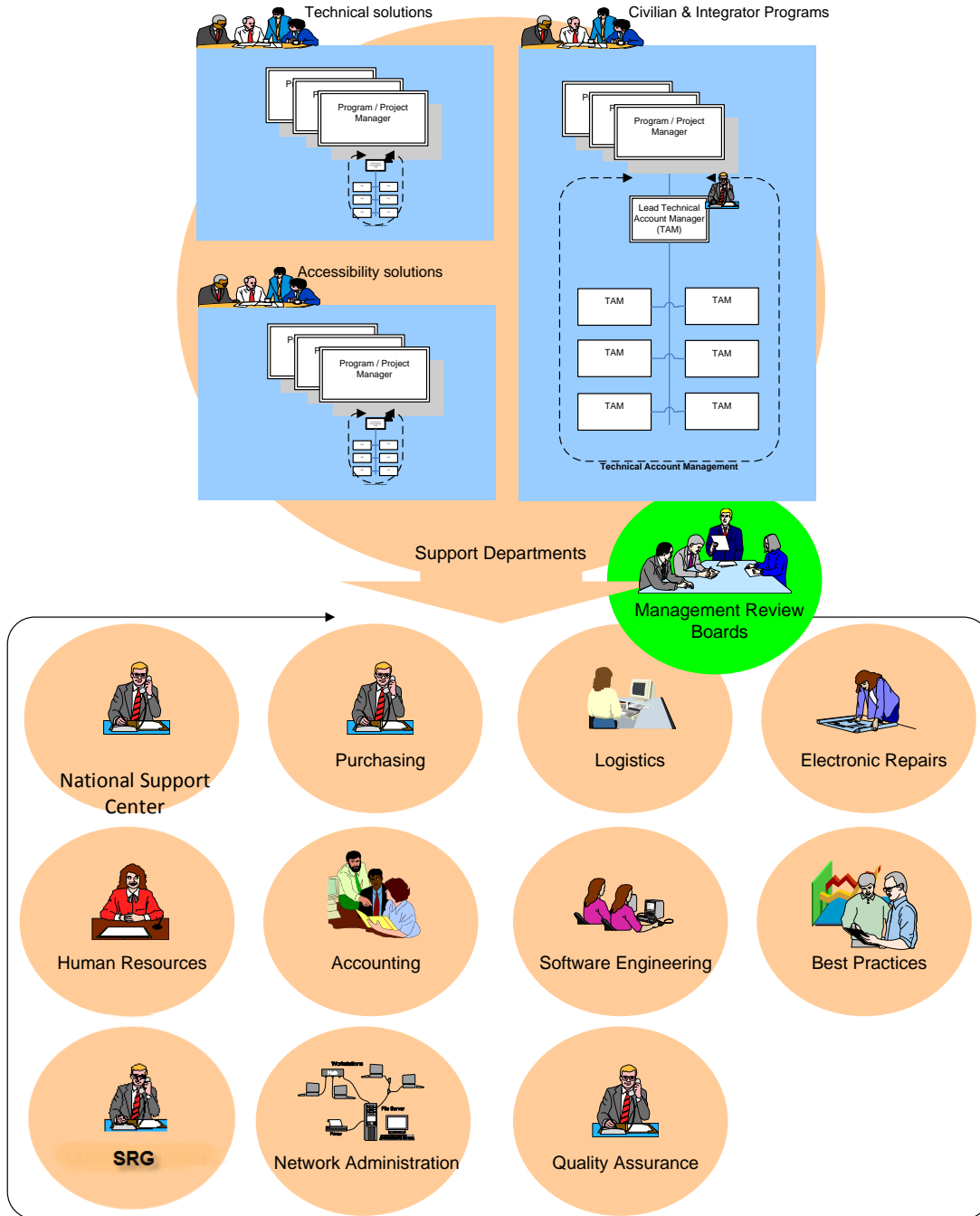
For the purposes of this document the terms and definitions defined in ISO/IEC 20000-1:2011 apply.

4 Service management system general requirements**4.1 Management responsibility****4.1.1 Management commitment**

ITG employs a mixed management structure. A portion of ITG has a 'functional' structure where a functional department (e.g., Call Operations, Purchasing, etc.) reports to a functional manager. As well, a horizontal management structure is in place, defined as Management Review Boards which are ITG Committees composed of managers and individual contributors that participate in the formulation of horizontal policies identify improvements and promote the quality orientation of the Company.

Projects at ITG use National Support Center resources. There is no single functional manager for the National Support Center function. Instead National Support Center staff report up through their respective project management teams as shown on the following page.

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Top management shall provide evidence of its commitment to planning, establishing, implementing, operating, monitoring, reviewing, maintaining, and improving the SMS and the services by:

- a) Establishing and communicating the scope, policy and objectives for service management;

ITG management has defined and documented its basic philosophy which is:
The customer will be satisfied.

We always strive to ensure that our customers are satisfied and to continually improve our methodologies to achieve this goal.

This basic business philosophy is relevant to our organizational goals and to meeting the needs and expectations of its customers. This philosophy has been communicated to all employees within the scope of the Business Quality Management System. ITG ensures that its business philosophy is understood. This is accomplished through communications, distribution of a variety of literature and monitoring of customer satisfaction. Quality concepts are integrated into our company culture.

ITG business philosophy is implemented through the application, documentation and training of the practices outlined in this manual. It is maintained through Business Quality Management System audits, corrective and preventive actions, SMS reviews, and is inspected and verified for suitability, adequacy and effectiveness during Management Reviews.

Reference: ITG 2009-2010-2011 Business Plan

Reference: Service Management Plan. DCS # 354

Reference: CENTRE, TAM/SME Management Review Board Meeting Minutes - emails.

- b) Ensuring that the service management plan is created, implemented and maintained in order to adhere to the policy, achieve the objectives for service management, and fulfill the service requirements;

ITG conducts internal audits at planned intervals to ensure conformance with:

- The Service Management Plan. DCS # 354
- The ISO 20000-1:2011 standard
- The ISO 9001:2008 standard
- The ISO 27001:2005 standard
- The CMMI corporate assessments (SVS/DEV), and
- To ensure that the Business Quality Management System is suitable, adequate, and effective.

Reference: Procedure - Internal Audits, ITG QP-7, DCS#220

Reference: Work Instruction - Internal Audits, ITG QWI-7, DCS#222

- c) Communicating the importance of fulfilling service requirements;

ITG has established and ensures communication takes place between its various levels and functions regarding the importance of meeting the service management objectives and the need for continual improvement. This is accomplished via the following vehicles:

Reference: The Common Enterprise Resource (CENTRE) system

Reference: CENTRE Features Checklist, DCS#1009

Reference: Service Management Manual (this manual) DCS#738

Reference: CENTRE Projects Module

ITG's Management Review Board structure

Reference: Procedure Management Review Boards, DCS#544

Planned business meetings

Reference: CENTRE, Meeting Minutes module

Through e-mail and regular open forums,

Through internal documents

Evidence of the discussions, options and decisions culminating from all the meetings above can be found in the meeting management module of ITG CENTRE.

- d) Communicating the importance of fulfilling statutory and regulatory requirements and contractual obligations;

It is the policy of ITG to ensure that statutory, regulatory, and customer requirements are fully understood and that the Company has the capability to meet them.

Before the submission of a proposal or the acceptance of a customer requirement, the contract or order is reviewed by staff to ensure that:

- Requirements are adequately defined and documented,
- Differences between the contract requirements and those in the proposal or quotation are resolved,
- ITG has the capability and capacity to meet contract or order requirements, and
- If an order is received verbally, ITG ensures that the order requirements are agreed upon before acceptance and documents such statements as requirements.

Where contract requirements are changed, ITG ensures that relevant documentation is amended, relevant contract personnel are made aware of the changed requirements, change



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impact is analyzed, resources are allocated as appropriate and that a record of the amendment is maintained in accordance with the Contract records in the Records Control System.

Business Development department personnel are responsible for communication and interface with customers' organizations in contract matters.

Records of the results of contract reviews and actions arising from these reviews are maintained.

Reference: Procedure - Management Review Boards, ITG QP-11, DCS#544

Reference: CENTRE, Meeting Minutes module

Reference: CENTRE Contract records

Reference: Business Quality Manual DCS#167 V9 Par 1.1 (Purpose)

e) Ensuring the provision of resources;

ITG management determines and provides, in a timely manner, resources needed:

- To implement and improve the processes of the Business Quality Management System which is the baseline for all Quality Standards embraced, and
- To enhance customer satisfaction by meeting requirements.

These resources are assessed and reviewed on a periodic basis consistent with business planning activities and in conformance with individual Quality Standards requirements.

When planning the use of labor resources, CENTRE's 'Resource Capacity Report' will provide a view of labor resource availability by displaying engaged time. As well, when selecting resources for a particular Project, CENTRE will present the availability of a resource and the number of tasks the resource is committed to.

Resource Capacity Report

RESOURCE CAPACITY REPORT FOR [All Employees]																					
SKILL [Call Center]																					
Period: 04/12/2012 to 5/12/2012																					
Resource Name	Thu 4/12	Fri 4/13	Sat 4/14	Sun 4/15	Mon 4/16	Tue 4/17	Wed 4/18	Thu 4/19	Fri 4/20	Sat 4/21	Sun 4/22	Mon 4/23	Tue 4/24	Wed 4/25	Thu 4/26	Fri 4/27	Sat 4/28	Sun 4/29	Mon 4/30	Tue 5/1	
Bail, Bryan K. (K)																					
Beasley, Dianne K.																					
Beaupre, Rachael C.																					
Buenaventura, Bryan																					
Destefani, Robert																					
Dudley, Jason (n)																					
Goldsmith, Marva L.																					
Gonsalves, Geraldine A.	4.7025	4.7025	1.3625	1.3625	4.4525	4.4525	4.4525	4.4525	4.4525	1.1125	1.1125	4.4525	4.4525	4.4525	4.4525	4.4525	1.1125	1.1125	4.4525	4.4125	
Hentz, Robert S.																					
Hicks, Adrian G.																					
Holmlund, Kimberly B.	0.9	0.9			0.9	0.9	0.9	0.9	0.9			0.9	0.9	0.9	0.9	0.9			0.9	0.9	
Johnson, Steve F.																					

Reference: Capacity Planning Checklist, DCS#716

Reference: CENTRE Projects

- f) Conducting management reviews at planned intervals;

ITG conducts internal audits at planned intervals to ensure conformance with:

- The ISO 20000-1:2011 standard
- The ISO 9001:2008 standard
- The ISO 27001:2011 standard
- The CMMI corporate assessments (SVS/DEV), and
- To ensure that the Business Quality Management System is suitable, adequate, and effective.

Reference: Procedure - Internal Audits, ITG QP-7, DCS#220

Reference: Work Instruction - Internal Audits, ITG QWI-7, DCS#222

As well, the ITG principal Service Management document, the 'Service Management Plan' DCS # 354 is regularly reviewed and updated as seen by the number of related revisions.

- g) Ensuring that risks to services are assessed and managed.

The Company has defined "Risk" as any event that represents potential harm to the Company's interests/goals. Company Departments on a regular and periodic basis submit Risk Assessment reports to Executive Management. As well, risks, where identified, are catalogued at the Project, Task and Contract levels, as well as associated risk mitigation strategies and outcomes. Risk Management Objectives are the goals that are accomplished when such events do not occur. The goals are:

- Corporate Stability and Safety
- Corporate Business Continuity
- Corporate Compliance with Relevant Legal Frameworks
- Financial Viability
- Financial Fidelity
- Contract Profitability
- Effective Contract Performance
- High Employee Retention
- High level of information security
- Confidence in Business Continuity Plan

The Company has in-place processes to identify, evaluate, and mitigate risk. The totality of these processes constitutes the ITG comprehensive Risk Management Plan. For the purpose of the Company Business Quality Manual, the manifestation of risk represents a non-conformity. Risk mitigation is defined as follows:

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Date: 07/16/2013

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- As a preventive action when actions are taken to prevent the occurrence of a non-conformity/risk manifestation,
- As an anticipated/planned corrective action if non-conformity/risk manifestation occurs,
- As a corrective action taken to mitigate an unforeseen non-conformity/risk manifestation

Risk is evaluated and identified in the following areas:

- Corporate
- Financial
- Contract
- Health
- Information Security

Corporate

The Company has an umbrella insurance plan that protects assets from litigation, natural disasters, acts of terror, loss of executive management and other unforeseen insurable events (Accounting Cabinet #1).

With respect to infrastructure, the Company employs the use of an Infrastructure Review Board that meets, discusses and acts on issues of Business Continuity. The Company has a Business Continuity Plan, that once activated enables the Company to continue operations during inclement weather, or other conditions that make the arrival of staff members on-site unattainable.

Reference: Emergency Management Response Plan, DCS#434

As well, the Company has processes that ensure the continuity and the recovery from unforeseen events. Such processes are:

- Back-up and restore for all data depositories (SQL Server Administrative Manual, DCS#179)
- IT Support Workflow (EMRP Activities)

The company evaluates legal risk and employs the services of a law firm that advises and acts upon request.

Financial

The Company ensures that it maintains financial resources to effectively pursue its goals. In addition to retained earnings, the company maintains a standing line of credit to fund extraordinary expenses (RCS-Accounting, Bank Statements- Cabinet #1).

Further, to ensure the prevention of potential risks that may arise from incorrect accounting methodologies the company employs a series of Quality Assurance Preventive Actions processes (Operations Flowchart- Finance and Accounting, DCS#89).

Additionally, the company has secured the services of independent accounting auditors that validate the Company's procedures and review financial results.

Contract Profitability

The Company requires that Business Units (BDMs) provide a daily risk assessment report on all contracts, or processes to senior management. The report contains areas of potential harm and proposed mitigation methods.

Reference: Work Instruction: Daily Risk Assessment Report, DCS#438.

Extensive evaluation is performed to establish cost levels and acceptable margins.

Reference: CENTRE Reports, CENTRE contract Financials

Further, upon award contracts/projects/tasks are evaluated for risk presence, as well as preventive actions, whose implementation would eliminate, or, reduce risk (CENTRE Software Requirement No.227).

Electronic devices supported by the company are evaluated to ensure appropriate whole unit replacement, resulting in reducing costs (CENTRE Software Requirements No. 231).

Contract Performance

The Company invests human, financial, and system resources to monitor and ascertain Contract Performance. Customer surveys are performed daily on approximately 25 percent of all customer interactions. Survey data is automatically compiled and results in Customer Satisfaction Reports by a variety of categories including month, contract, as well as Company-wide (CENTRE Reports).

Supply vendors are evaluated during the execution of each purchase order, resulting in sound purchasing practices and on-time goods delivery (CENTRE Vendor Main Table).

Subcontractors are evaluated as they are utilized, ensuring contract compliance (CENTRE Subcontractor Main Table).

Health and Safety

The Company procures and makes available at no cost, to all full time staff members medical and group life insurance plans, ensuring employee and dependent health maintenance resulting in low employee turnover.

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Reference: Risk Management Plan, DCS#494

Reference: Procedure - Risk Management ITG QP-10, DCS#521

Reference: Work Instruction – Daily Risk Assessment Report ITG QWI-14, DCS#438

Reference: ISO 27001:2011 Risk Management conformance

Information Security

The Company has implemented ISO/IEC 27001:2005 the international standard for entities to manage their Information Security. The standard sets out how a company should address the requirements of **confidentiality**, **integrity** and **availability** of its information assets and incorporate this into an Information Management Security System (ISMS).

Reference: ITG 27001-2005 Information Security Management System Manual, DCS # 959

- END OF EXCERPT -