



Smart Meters Programme Schedule 8.9

(Operations Manual) (CSP South version)

Schedule 8.9 (Operations Manual) (CSP South version)

Amendment History		
Version	Date	Status
v.1	Signature Date	Execution copy

**SCHEDULE 8.9
OPERATIONS MANUAL**

1. PURPOSE

This Schedule 8.9 sets out the required content of the Operations Manual for the purposes of Clause 33 of this Agreement.

2. REQUIRED CONTENT

The Operations Manual shall, at a minimum, contain the following information:

Required Content	Description
General	<p>The Operations Manual shall include a description (to a reasonable level of detail) of:</p> <ul style="list-style-type: none"> (a) how the Services are to be performed and delivered by the Contractor so as to comply with the requirement of this Agreement, including the DCC Requirements; (b) all quality assurance procedures relating to the Services; (c) the security procedures and policies that will apply to the Services (which shall comply with Schedules 2.3 (Standards) and 2.5 (Security Management Plan)); (d) the supervision, monitoring, staffing, reporting, planning and oversight activities to be undertaken by the Contractor in relation to the Services; (e) the Contractor's incident and problem management escalation procedures; and (f) other relevant Contractor standards and procedures.
Design documentation	<p>The Operations Manual shall include up-to-date copies of the Contractor Solution Design Documents and the Communications Hub Documents, together with other relevant architecture diagrams, functional specifications and/or technical specifications of all relevant networks, systems, hardware, software and platforms to be used by or on behalf of the Contractor in performing the Services (including the Contractor System).</p>
Interfaces	<p>To the extent not specified in the Interface Specifications (as further described in Schedule 6.3 (Development Process)), the Operations Manual shall include a detailed description of all technical and operational interfaces between:</p> <ul style="list-style-type: none"> (a) the Contractor Solution; and (b) the Systems of other DCC Eco-System Entities, including Other ESP Solutions, the systems of any DCC Service Provider or other third party (including any Other Energy Industry Systems), the Smart Metering Systems and/or the DCC Environment, <p>including all interfaces referred to in Schedule 2.1 (DCC Requirements).</p>
User manuals etc.	<p>The Operations Manual shall include up-to-date copies of:</p>

Required Content	Description
	<ul style="list-style-type: none"> (a) the Continuous Improvement Plan; (b) the Quality Plan; (c) the Service Management Framework; (d) the Service Portfolio (as further described in Schedule 2.1 (DCC Requirements)); (e) all Service-specific training materials; (f) details of working practices and process documentation (including documentation for Service Desk operations); (g) incident and problem management processes; (h) release, demand and configuration management processes; (i) system operator documentation; (j) the BCDR Plan; (k) Asset management plans; (l) relevant RAID logs; (m) the Exit Plan; (n) any other Service-specific documentation or management information referred to in Schedule 2.1 (DCC Requirements) which is required as part of the Contractor's knowledge management system; and (o) any other manuals, profiles, plans, processes or other documentation relevant to the provision and/or operation of the Services.
Environment	The Operational Manual shall include up-to-date copies of the Environmental Management Plans (as further described in Clause 27.5 of this Agreement).
Security	<p>The Operations Manual shall include up-to-date copies of;</p> <ul style="list-style-type: none"> (a) the Contractor Security Policy; (b) the ISMS; and (c) the Security Management Plan, <p>each as further described in Schedule 2.5 (Security Management Plan).</p>
Information Assets Register	The Operations Manual shall include up-to-date copies of an "Information Assets Register" which describes the information held by the Contractor in relation to the Services, the way in which such information is used by the Contractor and related technical information (including file format). For the avoidance of doubt, this is separate to the Asset Register (as further described in Schedule 6.3 (Development Process)).
Internal Control Document	<p>The Contractor acknowledges that the DCC is required to prepare and maintain an "Internal Control Document" under the terms of the DCC Licence.</p> <p>Accordingly, the Operations Manual shall include an "Internal Control Document", which shall be consistent with the Internal Control Document prepared and issued to the Contractor by the</p>

Required Content	Description
	<p>DCC from time to time.</p> <p>The Contractor's Internal Control Document shall be sufficient to demonstrate that the Contractor has put in place and maintains:</p> <ul style="list-style-type: none"> (a) an appropriate organisational structure within which activities are planned, executed, controlled, and monitored effectively to enable the achievement of the DCC Objectives; (b) transparent and reliable audit trails for all processes, procedures, and internal financial controls relating to the Contractor's management and operation of the Services; (c) a monitoring process that provides control procedures for all of the Contractor's activities in relation to this Agreement and ensures that those procedures are followed; and (d) a formal procedure for identifying the lack of an effective system of internal control in any particular respect and for ensuring remedial action.
<p>Risk Management Strategy</p>	<p>The Contractor acknowledges that the DCC is required to prepare and maintain a "Risk Management Strategy" under the terms of the DCC Licence.</p> <p>Accordingly, the Operations Manual shall include a "Risk Management Strategy", which shall be consistent with the Risk Management Strategy prepared and issued to the Contractor by the DCC from time to time.</p> <p>The Contractor's Risk Management Strategy must represent a robust framework for the identification, evaluation, and management of risk. The Risk Management Strategy shall, in particular:</p> <ul style="list-style-type: none"> (a) explain the Contractor's attitude to, capacity for, and tolerance of risk (which must be consistent with the DCC's attitude to, capacity for, and tolerance of equivalent risks, as defined in the DCC's own Risk Management Strategy); (b) enable risks to be identified across all of the Contractor's activities under this Agreement along with an assessment of the materiality in each case; (c) require the maintenance of a permanent risk register; (d) contain risk evaluation criteria which are to be reviewed annually; and (e) provide for the allocation of resources in respect of risks.
<p>Compliance Statement</p>	<p>The Contractor acknowledges that the DCC is required to prepare and maintain a "Compliance Statement" under the terms of the DCC Licence that is approved by the Authority and that describes the practices, procedures, and systems that the DCC has adopted (or intends to adopt) to ensure compliance with its duties under the DCC Licence in relation to the security and protection of "Confidential Information" (as defined in the DCC Licence).</p> <p>Accordingly, the Operations Manual shall include a "Compliance Statement", which shall be consistent with the Compliance Statement prepared and issued to the Contractor by the DCC from time to time.</p>

Required Content	Description
	<p>The Contractor's Compliance Statement shall describe the practices, procedures, and systems that the Contractor has adopted (or intends to adopt) to ensure compliance with its obligations under this Agreement in relation to the security and protection of DCC Confidential Information.</p>
<p>Contractor Development Plan</p>	<p>The Contractor acknowledges that the DCC is required to prepare and maintain a "Development Plan" under the terms of the DCC Licence.</p> <p>Accordingly, the Operations Manual shall include a "Contractor Development Plan", which shall be consistent with the Development Plan prepared and issued to the Contractor by the DCC from time to time.</p> <p>The Contractor Development Plan shall set out and explain in appropriate detail how the Contractor shall support, and contribute to, the DCC's business development objectives for the three (3) year period (consisting of the current Contract Year and each of the two succeeding Contract Years), as set out in the DCC's Development Plan.</p> <p>The Contractor Development Plan shall include such information and evaluation in respect of the following matters as may affect the DCC's business development objectives for the period covered by the Plan:</p> <ul style="list-style-type: none"> (a) the main trends and factors that are likely to affect the future development and performance of the Services in whole or in part; (b) the opportunities likely to be available to the Contractor and the DCC for developing the infrastructure, systems, and processes used for the provision of Services; (c) the current condition of any of such infrastructure, systems, and processes in terms of the capacity, loading, and utilisation factors applicable to them and the interdependence between them; (d) the loading and utilisation of such infrastructure, systems, and processes by different categories of the Services; (e) the availability of spare capacity within any of such infrastructure, systems, and processes, and the scope for using it for the purpose of providing new or amended Services; (f) potential changes in the Contractor's business processes or ways of working that would result in a more efficient provision of Services, or in overall productivity gains or the reduction of operational risk; (g) the emergence of specific new or evolving relevant technologies that could improve the Contractor's management and operation of the Services in whole or in part; and (h) the assessment criteria and cost-benefit analyses used by the Contractor to support the DCC's business development objectives with due regard for the matters set out in the DCC's Development Plan.

Appendix 1 – Outline Operations Manual

