

# ELMS Service Level Agreement

November 11

# 2010

This document summarises the services provided to BIS for the provision, support and maintenance of the Electronic License Management System (ELMS) used to deliver UK compliance with the EU Services Directive.

## Service Level Agreement

### Version Control

Original Version Nos	New Version Nos	Amendment	Author	Authoriser	Date
		Creation of Document	Pierre Morele		
	v 0.2	Amendment to Structure and wording and insertion of title, tables, headers, footers and Headings	Helen Taylor		27/10/2010
	V 0.3	Revision to reflect existing contractual relationships and obligations	John Pitman		11/11/2010

**Contents**

- 1 Introduction ..... 3
- 2 Service Levels ..... 4
  - 2.1 Availability ..... 4
  - 2.2 Disaster Recovery ..... 4
  - 2.3 Incidents ..... 4
  - 2.4 Capacity ..... 5
  - 2.5 Security ..... 5
  - 2.6 Content ..... 6
  - 2.7 Transactions ..... 6
  - 2.8 Familiarisation Environment ..... 7
  - 2.9 Monitoring ..... 7
  - 2.10 Updates to Formalities ..... 8
- 3 Authority Responsibilities ..... 9
- 4 Acronym and Definition Table ..... 10

## 1 Introduction

This document summarises the services provided to BIS for the provision, support and maintenance of the Electronic License Management System (ELMS).

ELMS is part of the online licence application service on the current [businesslink.gov.uk](http://businesslink.gov.uk) site plus associated sites [www.nibusinessinfo.co.uk](http://www.nibusinessinfo.co.uk) [Northern Ireland], [www.bgateway.com](http://www.bgateway.com) [Scotland] and [www.fs4b.wales.gov.uk](http://www.fs4b.wales.gov.uk) [Wales] and offers facilities specified as a requirement of the EU Services Directive:

These services are the Electronic Assistance Facility (EAF) referred to in the enabling regulations (The Provision of Services Regulations 2009) that implement the EU Services Directive in the UK; hence Businesslink is in effect the EAF.

Through the regulation both BIS and HMRC have a joint responsibility to maintain the EAF and regulators (CA/LA) have a responsibility to make their applications processes accessible through the EAF and ensure information about what they do is kept up-to-date.

For clarity and avoidance of doubt, although the EAF is provided as a service by the Business.Gov Programme (referred to as the PROGRAMME), the ownership of the policy regarding the Services Directive remains with BIS.

This document describes the services for the financial year 2010-11.

ELMS: is a facility that allows Local and Competent Authorities to access online licence applications and complete their processing and to configure specific details regarding applications and authority users. ELMS is made up of three components

- Users Self Service (USS)
- Enhanced Transaction Manager (ETM)
- Enhanced Formality Functionality (EFF)

Additional ELMS services include:

- Familiarisation Environment (AIS3) as a Test and Payment reference test site for the Authorities.
- ELMS Portal – an Authorities facing information site for the provisioning of relevant documentation specific to the EU Directive and on-boarding activities required to be carried out by the Authorities.

## 2 Service Levels

### 2.1 Availability

Availability	The businesslink.gov.uk website operates 24 hours per day 365 days per year.
Maintenance Windows	There may be up to four maintenance windows per annum (of unspecified time) resulting in the total non-availability of services. We will endeavour to arrange these for outside of Business Hours if possible. We will put in place a holding page on the businesslink.gov.uk website to cover planned outages. All planned maintenance will be notified to systems users (LA's/ CA's) 24 hours in advance of the commencement of work.
Planned Releases	These will normally be outside of Business Hours. We will put in place a holding page on the businesslink.gov.uk and ELMS websites to cover planned releases. All planned releases will be notified to systems users (LA's/ CA's) 24 hours in advance of commencement of release.
Reactive Releases	Where a release is required to facilitate the rectification of a systems incident, notification of the change to LA's /CA's or applicants may not be possible. In such an event, a release may be deployed during Business Hours, provided it will not prevent application processing. Where application processing may be affected at least 1 hours notice will be required.

### 2.2 Disaster Recovery

DR	The businesslink.gov.uk website systems have been configured to guard against the failure of any single component. All information and content held by the website is backed-up to a warm-standby system not less than 200 miles from the main site. Detailed business continuity plans and disaster recovery (DR) procedures have been defined, which would be invoked at the decision of Business Link in the event of a major incident to provide a live DR site
----	---

### 2.3 Incidents

Incident Handling	Incidents relating to the website will be prioritised based as per the table below. The priority level will be assigned by the authorised businesslink.gov.uk Live Operations Manager through verifications with the Theme Manager where required. Any escalation of reported incidents must be to the Theme Manager via the ELMS Portal Feedback Form ( <a href="http://elmsportal.businesslink.gov.uk/feedback">http://elmsportal.businesslink.gov.uk/feedback</a> ). The ELMS Support Team will acts as the authority designated escalation point for incidents.
-------------------	---

Before invoking this process, the authority should verify as far as possible that the incident is not the result of some deficiency or malfunction in its local systems or infrastructure.

Priority	Scenario	Resolution time
1	Total failure of the UKWelcomesELMS website (need to email)	<b>4 hours (Holding page in place – 90 seconds)</b>
2	Major failure of an associated application E-mail Notification, EFF, and ETM (need to email)	<b>12 hours (between 08:00 and 18:00)</b>
3	Limited service failure. These would be agreed between the fault reporter and the programme live service manager.	<b>3 working days to deliver a fix to system test</b>
4	Minor incidents; one-offs which can wait until next maintenance release for fixing.	Agreed case-by-case.
5	Incidents raised by businesslink.gov.uk suppliers and other third parties but which do not impact the processing of licensing activity.	Agreed case-by-case.

Note: Issues with the Familiarisation Environment and ELMS Portal will be responded to on a reasonable endeavours basis and treated as Priority 5.

The PROGRAMME Help Desk can be contacted through the ELMS Portal Feedback Form or email, using the details below.

<b>Feedback Form</b>	<a href="http://elmsportal.businesslink.gov.uk/feedback">http://elmsportal.businesslink.gov.uk/feedback</a>
<b>E-mail</b>	<a href="mailto:elms@businesslink.gov.uk">elms@businesslink.gov.uk</a>
<b>Hours of Service</b>	08:00 - 18:00 Monday-Friday (excluding bank holidays in England and Wales)

## 2.4 Capacity

Capacity	The PROGRAMME has put in place procedures to enable forecasting of the business and technical requirements required by the expansion in its user base and additional content and transaction services for each financial year. To ensure that adequate capacity is available this forecast is updated monthly and tracked against actual usage.
----------	---

## 2.5 Security

Security guidelines	The PROGRAMME has security guidelines for the management of Businesslink.gov.uk website and has provided security guidelines for authorities. These can be found on the ELMS Portal- <a href="http://elmsportal.businesslink.gov.uk/media/61">http://elmsportal.businesslink.gov.uk/media/61</a> ).
Information governance	The PROGRAMME will maintain the confidentiality of information to prevent the misrouting of information which could lead to unauthorised disclosure. The PROGRAMME will adhere to all data protection rules and regulations and ensure that, where required, information is kept private within a defined group of users.
Information Protective Marking	No Protectively Marked information is to be published to the businesslink.gov.uk website. Any exchange of Protectively Marked information with us will be limited to no higher than Impact Level 3 (RESTRICTED) subject to the accreditation of both parties to accept this level of Protective Marking
System Accreditation	The businesslink.gov.uk website and supporting IT systems are accredited for secure operation by HMRC. We will maintain this accredited status.
GSi Accreditation	The PROGRAMME will obtain and maintain GSi accreditation and carry out IT Health Checks
System security	The PROGRAMME will endeavour to ensure that all data originating from businesslink.gov.uk is secure and free of known viruses, worms and other security threats. We will endeavour to ensure that all logons and passwords of PROGRAMME systems are kept by the account holder only and shared with no one either within their organisation or within third parties.
Access to secure systems	The PROGRAMME will ensure that access to all of our systems is only granted to users who have a valid business requirement to use these systems. The PROGRAMME will ensure access rights are withdrawn from staff once they have left the employment of the PROGRAMME.
Premises and logistics	The PROGRAMME will maintain the integrity of data stored, processed and transmitted. Audit records are kept of key system events for six years and will be made available, upon due request, to law enforcement agencies or the courts. The PROGRAMME will protect against accidental or unauthorised deliberate modification, addition, loss or duplication of what?. The PROGRAMME will ensure that all hardware at businesslink.gov.uk premises will be secure and protected from interference by unauthorised personnel.

Freedom of Information The PROGRAMME will provide the Authority with a copy of all requested Information in its possession in the form that the Authority requires.

The PROGRAMME will not reply to FOIA related requests directly. Such requests will be passed on for action by HMRC / BIS as appropriate.

## 2.6 Content

Directories	The PROGRAMME will carry out assessment spot checks on the accuracy of information, and (where within its control) will correct inaccuracies identified.
Broken Links	The PROGRAMME will run a regular broken link report and (where within its control) correct as appropriate. Where broken links impact on the ability to apply, receive applications, or respond to applications for licences these will be notified to Local and Competent Authorities.
Quality Framework	The PROGRAMME will carry out regular assessments of the quality of content on the Businesslink.gov.uk website and action any deficiencies.
Style Guide	The PROGRAMME will provide and maintain a businesslink style guide and ensure compliance with it and the UK Welcomes and EUGO guides through annual audit.
Compliance to Government Accessibility Standards	The PROGRAMME will endeavour to meet all 'priority 2' checkpoints of the World Wide Web Consortium (W3C) Web Content Accessibility Guidelines (WCAG) 1.0 in order to conform to Level AA of those guidelines for the businesslink.gov.uk website

## 2.7 Transactions

Note: online licence transactions may be hosted either by Business Link (referred to as 'Mode 3') or by the Local Authority or Competent Authority (referred to as 'Mode 1'). Mode 1 transactions will be developed and maintained by the Local Authority or Competent Authority; "Mode 3" transactions will be developed and maintained by Business Link

LA/CA System Administrator Functionality	<p>Authority users will be able to localise their own configuration at the Authority Formality Interaction level (i.e. add any specific attachments required by that Authority, help contact number, etc).</p> <p>ELMS Self Service will support versioning at both the Formality Interaction (centrally) and LA/CA Formality Interaction level allowing users the ability to make changes that will become live at some time in the future.</p> <p>ELMS Self Service configuration changes will be applied to the production website via the use of a deploy button available to Authority Users. Changes do not go live if an Authority User just saves the change.</p> <p>Some data about a formality (Legislation; Tacit Consent permitted; Service name (not LAs) or Authority (Name, brand colour, logo) is maintained centrally. This can be changed by submission of a completed spreadsheet obtained from <a href="http://elmsportal.businesslink.gov.uk/page/ladatacaptureemails">http://elmsportal.businesslink.gov.uk/page/ladatacaptureemails</a>. A maximum of 15 working days may elapse between submission and application to the service.</p>
Authentication and Authorisation	<p>Any issues with this functionality will be logged and prioritised by its impact on the end-user or Authority as detailed in (Incidents) section 2.4 above.</p> <p>A level 1 Government Gateway Service is set up to authenticate an Authority User and allow access to functionality provided by the level 1 Government Gateway.</p> <p>The details of this authentication shall be sent to the authorities by the PROGRAMME. If any Authority loses this information and requests a copy the information shall be provided on a reasonable endeavours basis.</p>
Data Download	<p>An Authority User with the appropriate role will be able to download files that contain submitted transactions for that Authority. A zip file will be created on the Shared Storage system when a user submits an application, this zip file will contain the completed PDF form and any uploaded attachments. The Authority User will be able to select which applications to download using the Enhanced Transaction Manager User Interface, the system will create an overarching zip file containing the chosen zipped submissions which the user will download.</p> <p>The PROGRAMME may from time to time revise what file types the online licence application service accepts from applicants and authorities are obliged to ensure that</p>

	<p>they are capable of reading new types in order to meet their application processing targets.</p> <p>Access problems to this download via the PROGRAMMES infrastructure will be treated as a priority 2 incident. If the error proves to be with the Authority local systems there is no obligation on the part of the PROGRAMME to resolve the issue.</p>
Status Management	<p>An Authority User with the appropriate role will be able to update a transaction's status using Enhanced Transaction Manger.</p>
Messenger	<p>Enhanced Transaction Manager application problems on the PROGRAMMES infrastructure will be treated as priority 2 incidents. Following investigations and discussions by all parties, if the error proves to be with the Authority local systems there is no obligation on the part of the PROGRAMME to resolve the issue.</p> <p>An Authority user can add free form text messages and optional message attachments to a transaction.</p> <p>When a message is added to a transaction by an Authority User the recipient (i.e. the Applicant) will be sent an email notification telling them that they need to follow the email link and access the message in ETM.</p> <p>The file upload will allow Applicants to upload and attach documents to a message.</p> <p>Content errors with these messages are the responsibility of the authority.</p>
Email Notifications	<p>Message delivery failure is the responsibility of the PROGRAMME who will prioritise the problem in accordance with section 2.4 above (Incidents) and taking into account the impact of the failure on the submission's Tacit Consent timeframe.</p> <p>These emails will contain a link to either the Businesslink or UKWelcomes system or content explaining how to access the message; no specific or personal information will be contained within the message.</p> <p>Authority will be able to set their Notification Preferences as part of ESS.</p> <p>If there are any problems with the Email Notifications applications then the priority of the problem will be based on the impact of the failure on the transactions completion, as defined in (Incidents) section 2.4 above .</p>
Payment Service Configuration	<p>If the problem is demonstrated to lie with the Authority local systems then the Authority is to be so advised and there is no obligation on the part of the PROGRAMME to resolve the issue.</p> <p>The PROGRAMME will only update the Payment Service Provider and Merchant ID information upon notification from an approved Authority contact. This information should be sent to the ELMS Support Team. Any update can only be actioned via mail or e-mail and on subsequent confirmation via ELMS Support Team with the approved AUTHORITY (Primary Liaison Point (PLP)) contact.</p>
Payment Reconciliation	<p>The PROGRAMME will provide a weekly payment reconciliation report to be downloaded if authorities require. This report will contain data matching payments with applications to an authority. The report can be used by that authority to check for discrepancies between funds collected and funds due.</p>

## 2.8 Familiarisation Environment

Familiarisation Environment	<p>There is a familiarisation and training environment (which replicates the ELMS Self Service environment to a high degree) for the Authority.</p> <p>Access to this environment will be provided via a URL which will also be displayed on the <a href="http://elms.businesslink.gov.uk/elmsportal">elms.businesslink.gov.uk/elmsportal</a> website. A user ID which is unique to this environment will be set up manually by the ELMS SupportTeam.</p> <p>Any support required for this environment beyond the issuing of user ID's which are provided within 3 working days of request is given on a reasonable endeavours basis and is not governed by any SLA's.</p>
-----------------------------	--

## 2.9 Monitoring

Mode 3 Transaction Monitoring	<p>The PROGRAMME will monitor the flow of Mode 3 transactions through the system and where it detects that Authority's are not adequately fulfilling their role will contact said Authority's to inform them. Where concerns remain about Authority's fulfilling their role after they have been contacted then the PROGRAMME will inform BIS.</p>
-------------------------------	--

Directive Compliance	BIS, will monitor compliance with the Services Directive and will monitor web site content and items such as deployment status, tacit consent, fees and digital signatures and indicate to authorities from time to time instances where it is considers an Authority's data anomalous or contradictory to the Directive.
Inappropriate Content	Upon receipt of a complaint regarding inappropriate content being displayed by the Authority (which would have been loaded as part of the ELMS Self Service process) the PROGRAMME will review the content and then take the appropriate action i.e. contact the Authority and highlight the area of concern, contact BIS to make them aware of the problem and monitor to ensure that the content is replaced / updated as required.
Withdraw Authority Access	If it becomes necessary to withdraw Authority user's access or to terminate an LA/CA account; BIS will communicate with the Authority and agree via instruction to the PROGRAMME to this effect. The Theme Manager via the Live Operations Manager will then arrange for the appropriate action to be taken.

## 2.10 Updates to Formalities

Corrections and Legislative Change	Corrections and changes to formalities and forms, whether to correct minor errors or incorporate legislative changes will normally be implemented on the live site on a quarterly update cycle. If, in the PROGRAMME's judgement, the absence of a correction or change will open authorities to a significant risk of legal challenge or infraction proceedings, an interim release will take place.
New Formalities	Where, for any reason, a new formality is brought within scope of the EAF, such that forms will need to be prepared for it, the authorities affected will be notified by the PROGRAMME as soon as practicable so that they can prepare to handle the associated forms or develop their own form.
Authority Requested Change	If an Authority is sole user of the form, they may request a change; however they may need to cover the costs of such a change. If the form is shared by multiple authorities, it can only be changed by mutual agreement, including agreement on the distribution of costs.

Note: For avoidance of doubt, it is NOT the responsibility of the PROGRAMME to notify authorities of legislative changes or offer advice on those changes.

### 3 Authority Responsibilities

The Authority will undertake the following roles and responsibilities for the online licence application service:

- Ensure their websites are directive-compliant with new legislation and reflect changes to legislation correctly and if they use forms to deploy/redeploy
  - Ensure they supply accurate links to Local Direct Gov (LDG) (LAs) or via the PROGRAMME (other CAs)
- If they stop or start regulating something in scope of EAF they must tell the PROGRAMME;
- Should act upon the notification emails received from ELMS and in the absence of emails regularly check for formalities being submitted;
- Maintain the correct email addresses for receiving notifications;
- Maintain the proper working of transactional systems should they provide an online application facility other than the via the ELMS forms service;
- Where ELMS transactions involving fee payments are used, maintain the proper working of their online payment facility;
- Ensure that they are capable of reading the file types supported by ELMS;
- Responsibility for the operational management, content and images for the localisation and deployment of formalities accessed via ELMS Self Service, including adherence to all standards, processes and protocols;
- Take responsibility for the case management of queries relating to their licence application queries;
- Identifying and providing training for Authority staff within their Authority;
- Creation and development of processes and protocols to be followed by staff upon taking on the ELMS Self Service;
- Responsible for succession planning internal to Authority;
- Maintain independent audit records of their processing of applications through ELMS.

## 4 Acronym and Definition Table

<b>Acronym</b>	<b>Name</b>	<b>Description</b>
-	Business Hours	Local UK times: 08:00 – 18:00, Monday – Friday (Inclusive)
CA	Competent Authority	A body that sets rules or requirements which service providers have to comply with, and those who are involved in authorising service providers (i.e. ‘competent authorities’). These bodies include Government Departments, Devolved Administrations, local authorities, licensing and authorisation bodies and other authorities such as professional bodies or bodies who maintain required registers or deliver required training qualifications.
LA	Local Authority	An administrative unit of Local Government – can include, but is not limited to, Unitary Authorities, County Councils, District Authorities and Parish/Town Councils.
TC	Tacit Consent time/timeframe	The timeframe within which, if an applicant has not had a response from an LA/CA, then their application is deemed to have been granted.
-	User	Applicant, LA or CA who use the system to apply for or process licensing information in compliance with the EU Services Directive.