TRANSPORT

EXHIBIT 19

POLICIES AND PROCEDURES

(INCLUDING WORK, HEALTH, AND SAFETY)

26 SEPTEMBER 2014

VERSION 1.0

COMMERCIAL-IN-CONFIDENCE

TABLE OF CONTENTS

1.0 GENERAL WORK HEALTH AND SAFETY (WHS) REQUIREMENTS

1.1 General WHS Requirements

The Supplier shall have in place appropriate policies, practices, and procedures to meet its statutory obligation to provide a safe workplace, as stipulated in the WHS Act and the WHS Regulation.

1.2 Site-specific WHS Requirements

In addition to the above general expectation concerning the Supplier's own management of Work Health and Safety (WHS), the Supplier will comply with additional Site-specific WHS requirements when on Transport Sites and other premises.

As the hazards differ at each Site, so too do the controls in place. Consequently, whilst on Transport Sites, the Supplier's representatives will:

- Only utilise the defined access / egress points;
- Comply with all WHS-related instructions, including signage, such as Site speed limits and traffic directions, and minimum clothing expectations, such as footwear;
- Complete and comply with the relevant Site induction(s);
- Consult with the Supplier's nominated Transport representative if the work to be performed differs in any way from the general duties agreed to in this contract

1.3 Transport WHS Policies

Transport has certain WHS Policies that the Supplier must comply with. The following is a list of the current WHS policies:

- Drug and alcohol policy
- Environmental and sustainability policy
- Safety policy
- Workplace standards policy
- Just culture

These will be provided to the Supplier during the due diligence process, either in hard copy or through the Transport online intranet portal.

2.0 OTHER POLICIES

The Supplier shall have in place appropriate policies, practices and procedures to meet the requirements set out in the policies of Transport. Policies the Supplier is expected to comply with include, but are not limited to, the following:

2.1 ITIL Policies and Procedures

2.1.1 General

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RailCorp			ICFMS Interim MRD Management Process	Master reference data management process (spans multiple ITIL disciplines)
RailCorp		Presentation	ICS Service Delivery Practice – Enhancement Overview	One-page slide showing an overview of Railcorp service delivery practice
RailCorp			ICT Environment Management Process	Environment management process (spans multiple ITIL disciplines)
RailCorp		Spreadsheet	Process capability summary	High-level overview of ITIL process maturity at RailCorp

2.1.2 Service Design

2.1.2.1 Service Catalogue Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	08PR2160	Procedure	Updating of Price Book	Procedure to ensure that the IM&IT Price Book is accurate and effectively maintained on the Intranet
RailCorp			BSC Brochure draft	Business service catalogue for fleet services

2.1.2.2 Service Level Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	01PR0410	Procedure	BAP Overview	Overview of how BAPs are drafted, reviewed, finalised approved, registered and filed. Traces the flow of the BAP between the IM&IT staff member initiating the BAP/changes (Initiator), TSS IT Infrastructure Operations, Contract Management Unit

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
				and the Data Centre Outsourced Service Provider
RMS	01PR2170	Procedure	Customising an SLA	Procedure to ensure that Service Level Agreements (SLAs) are properly created, maintained, and meet the requirements of the Customer
RMS	01PR2190	Procedure	Service level reporting procedure	Relates to how RMS reports to its internal customers, NOT how 3rd party service providers report to RMS
RMS	02PR2010	Procedure	Supplier performance management	Describes how the performance of major Suppliers and Service Providers is continuously monitored to ensure that contractual Service Levels are achieved
RMS	02PR8670	Procedure	Contract performance management	Procedure to ensure that contractual agreements are consistently met
RMS		Report	Data Centre Contract Monthly SLA Report June 2012	Monthly report
RMS		Report	Data Centre Contract Monthly SLA Report July 2012	Monthly report
RMS		Report	Data Centre Contract Monthly SLA Report August 2012	Monthly report

2.1.2.3 Capacity Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	01PR4000	Procedure	IM&IT Capacity Planning Procedures	Process to define the process for planning the data centre and network equipment, software and environment requirements
RMS		Monthly Report	May12 Capacity Reporting	Operational capacity reports for the month
RMS		Monthly Report	Jun12 Capacity Reporting	Operational capacity reports for the month

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS		Monthly Report	Jul12 Capacity Reporting	Operational capacity reports for the month
RMS		Monthly Report	Aug 12 Capacity Reporting	Operational capacity reports for the month
RMS		Plan	FY2012-2013 Capacity Plan	RMS Capacity Plan, including all initiatives underway regarding capacity

2.1.2.4 Availability Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS		Performance Report	Aug 2012 ITSS Monthly Report for IT Server Systems	Not really an availability procedure, but may lend understanding as to things that are tracked with respect to server availability

2.1.2.5 IT Service Continuity Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	IS-RTA-DR9-001	Procedure	Disaster invocation process	Procedure for managing DR-impacting incidents, notification, and then invoking the DR process
RMS	IS-RTA-DR3-01-APP02	Procedure	Disaster declaration	Defines criteria and process for escalations by the Critical Outage Management Team to determine if incidents are disastrous and to activate the DRP
RMS	IS-RTA-DR3-01-APP03	Procedure	Recovery team actions	Large document that describes DR team responsibilities and actions, grouped by recovery teams, and shows their responsibilities
RMS	IS-RTA-DR3-01-APP04	Procedure	RTA recovery policy	Defines the approach to conduct DR plan testing and the steps to communicate a DR situation
RMS	IS-RTA-DR3-01-APP05	Procedure	RTA recovery process	Provide a textual and graphical summary of activities during the recovery process in time sequence (Recovery Roadmap)

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	IS-RTA-DR3-01-APP06	Procedure	RTA technical execution plans	Describes the technical recovery instructions for the Technical Recovery Teams to follow to restore the system environments to the fallback facility in the event of a disaster
RMS	IS-RTA-DR3-01-APP07	Procedure	RTA reference materials	Provides references to other materials that can be used by recovery teams to guide them in managing disastrous events
RMS	IS-RTA-DR3-01-APP08	Procedure	RTA complete server list	2011 server and rack configurations as they existed in RMS
RMS	IS-RTA-DR3-01-APP10	Procedure	RTA system backup management	Describe the system backup methodology currently in place and the process of offsite tape retrieval
RMS	IS-RTA-DR3-02	Procedure	RTA DR document user guide	Explains the purpose of each of the documents in the DR documentation framework, and provides a guide to disaster-oriented documentation in the framework
RMS	IS-RTA-DR3-03	Procedure	RTA ROC user guide (Ultimo)	A guide to the Fujitsu Recovery Operations Centre located at Ultimo
RMS	IS-RTA-DR3-04	Procedure	RTA POC user guide (North Ryde)	A guide to the Fujitsu Production Operations Centre located at North Ryde
RMS	IS-RTA-DR4-01	Procedure	RTA test request form	Template used for each recovery test to describe the objectives, assumptions and expected results of the test
RMS	IS-RTA-DR4-02	Procedure	RTA test event log	Extensive document showing how observations are captured during DR testing
RMS	IS-RTA-DR4-03	Procedure	RTA test progress report	Template used for progress reporting for DR testing
RMS	IS-RTA-DR4-04	Procedure	RTA test issue log	Template used for reporting issues and requiring actions to be taken as a result of DR testing
RMS	PN 094	Policy Document	RTA business continuity management policy	Policy document showing relationship between business continuity and IT service continuity processes

2.1.2.6   Information Security Management

See Attachment 2.1-C (Data and Physical Security Procedures) for a complete list of information security policies and procedures.

2.1.3   Service Transition

2.1.3.1   Change Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
STA	Procedure	PROC 0901	Change Management	Documents the Change Management Procedure
RMS	01PR0015	Procedure	General change management	Very high level process flow
RMS	01PR0350	Procedure	Management of change request proposals	High level change request lifecycle process description
RMS	01PR0400	Procedure	Request for change – Outsourced Service Providers	Detailed change request process, oriented toward third party service providers that will implement change requests passed to them by RMS
RMS	01PR0405	Procedure	Request for change – IM&IT Technical Support	Detailed change request process, oriented toward internal RMS staff processing change requests
RMS	04PR4060	Procedure	Desktop Infrastructure Change Mgt.	Addresses all additions, modifications and deletions to Desktop Infrastructure devices
RMS	06WI6000	Work Instruction	Desktop Infrastructure Change Mgt.	A "how to" companion to 04PR6000 focusing on how to obtain necessary approvals for changes to the desktop operating environment
RMS	06WI6001	Work Instruction	Desktop Infrastructure Change Mgt. Communication	A "how to" companion to 04PR6000 focusing on planned communication events from IT support related to changes to the desktop operating environment
RMS	06WI6310	Work Instruction	Desktop Operating Environment Change	A "how to" companion to 04PR6000 focusing on detailed steps related to changing the desktop operating environment
RMS	07PR7010	Procedure	Work Request Handling Procedure	Detailed flow charts related to processing requests by

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
				the IT Telecommunications Customer Service Unit
RMS		Document	IRT Weekly CAB (5-Dec-2012)	Representative example of a CAB report
RMS		Document	CRC Meeting Minutes	Example of a Change Review Committee review meeting from 4 October 2012
RMS		Work Instruction	Support Desktop Change Implementation	A "how to" companion to 04PR6080 focusing on detailed steps related to changing the desktop operating environment
RailCorp	IS-IS-CM9-004	Work Instruction	Change Management Work Instructions	Addresses logging change requests through Unicenter Service Desk (USD)
RailCorp			Fleet Services Change Management Process	As stated in document title
RailCorp			ICFMS Change Management Process	As stated in document title
RailCorp	ICT-OPS-POL-001		Change Management Policy	Brief policy statement
RailCorp	ICT-OPS-PRO-003		Change Management Procedure	A "users' guide" approach to the Change Management process
RailCorp		Presentation	Process Flow – BAU Change Management	1-page process flow chart for the process

2.1.3.2   Service Asset and Configuration Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	02PR2040		Equipment & Asset Movement	Describes how the movement of IT equipment from one location to another is tracked to preserve the integrity of equipment records
RMS	02PR2042	Procedure	Motor Registry Equipment Replacement	Describes how the Hardware Service Provider manages the replacement of failed Motor Registry equipment with serviceable equipment
RMS	02PR2045	Procedure	Disposal of IT Equipment	Covers the de-installation, sanitising and disposal of IT equipment

IBM Exhibit 19 - Policies and Procedures

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	02PR2060	Procedure	Asset Stocktake Procedure	Ensures that all IT assets are accounted for and are reconciled regularly to the IMS/APM Asset Database
RMS	06PR6510	Procedure	Asset Repairs (Desktop and Notebooks)	Describes how the repair or replacement of desktop and notebook computer assets is managed
RMS	06PR6530	Procedure	Asset Repairs (Printers and Office Equipment)	Describes how the repair or replacement of printers and office equipment is managed
RMS	08PR2080	Procedure	Reporting Lost, Damaged, or Stolen IT Assets	Covers the initial notification by a User of loss, damage or theft and extends to the writing off and replacement of the asset and settlement of any insurance claim
RMS	CPS39		RTA Mobile Phone Policy	Identifies approvers and roles/responsibilities associated with acquisition and use of an issued mobile telephone
RMS		Zip file	DRIVES CM Lifecycle	Zip file containing descriptions of the change and configuration management tool called GuardIEn that is included in DRIVES
RMS	06PR6520	Procedure	Maintenance and support of Motor Registry, LAN Equipment	Describes how an incident reported by a Motor Registry is managed and resolved in order to minimise disruption to the user
RMS	PN257	Policy	Management of ICT Assets	Policy document addressing the management of all ICT assets used in RMS
RMS		Policy	Management of RTA Telecomm Services	Policy document addressing the management of all telecommunications services used in RMS
RMS		Policy	Secure disposal of computer storage media	Instructions to prevent unauthorised disclosure of RMS data
RMS		GRAPHIC	Asset management overview	Graphic showing all related documents associated with the asset management function
RMS		Work Instruction	Asset procurement and maintenance	A comprehensive design document outlining processes involved for the asset procurement and maintenance function
RailCorp		Procedure	ICT Code Management Process	As shown in document title

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RailCorp			ICT Configuration Management Current State Overview	As shown in document title
RailCorp		Procedure	Configuration Management Process	As shown in document title

2.1.3.3   Release and Deployment Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
STA	PROC 09.20	Procedure	IT Project Handover	Details the procedure for the transfer of a project to the Business As Usual (BAU) support
STA	Form 700 I.T.	Template	Project Handover Template	Template that guides the handover process and provides required fields to ensure proper transfer to BAU
RMS	06WI6314	Work Instruction	Setting release priorities	Guidance for setting the priority of proposed releases
RMS	06WI6314	Work Instruction	Release rollout process	Guidelines for establishing release timelines
RMS	09PR0705	Procedure	ISD Monthly DRIVES Release Deployment	Instructions related to the monthly ISD DRIVES release to ensure correct preparation, testing, and authorisation prior to hand-off to the Data Centre outsourcer for implementation
RMS	09PR0710	Procedure	DRIVES interim release management	Process to coordinate and manage minor change requests, maintenance fixes and small projects outside of the normal major releases
RMS	10PR0005	Procedure	Deployment procedure	Procedure for transferring application software from the RTA development or testing environment (QC) to the production environment (vendor)
RMS		Report	FEB13 Defects Report Example – 29January2013	Format of report distributed via email
RMS		Report	FEB13 Status Report W 130123	Format of status meeting report

IBM Exhibit 19 - Policies and Procedures

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS		Diagram	IM_IT HANDOVER PROCESS OVERVIEW	Swim lane chart showing the handover process between project managers and 3rd party data centre service provider
RMS		Spreadsheet	MAY13 Release Snapshot 1211320	Tracking spreadsheet showing status of releases in the system
RMS		Procedure	NOV12 Release PIR	Guidelines for release implementation review sessions
RMS		Procedure	Operational support manual (OSM)	Template for defining the purpose, architecture, installation, configuration, diagnostic and operational requirements for systems/applications releases
RMS		Spreadsheet	Quarterly Release Milestones	Tracking spreadsheet showing timing for releases
RMS		Spreadsheet	Release defect statistics 2009-2012	Tracking spreadsheet for all defects observed in releases from 2009 to 2012
RailCorp			ICT Enterprise Release Management Policy	
RailCorp		Work Instruction	ERM Process Activity Description	
RailCorp		Diagram	ERM Project Manager's Pack	1-page Overview
RailCorp	QRG MD5.4		Undertake Post Implementation Review (PIR)	Instructions for PIR
RailCorp	QRG MR 3.1		Prepare and manage detailed implementation plan	Enterprise release management sub-process
RailCorp	QRG MR 3.3		Create, Confirm, and Distribute the Release Implementation Plan	Enterprise release management sub-process
RailCorp	QRG MR 3.10		Ensure all child RFCs are attached to master RFC	Enterprise release management sub-process
RailCorp	QRG MR 3.15		Prepare ICT Release Notifications	Enterprise release management sub-process

IBM Exhibit 19 - Policies and Procedures

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RailCorp	QRG MR 4.1		Initiate and monitor ITE refresh	Enterprise release management sub-process
RailCorp	QRG MR 4.1		Raise Master RFC for ITE Refresh	
RailCorp	QRG PR1.6		Publish and Communicate Future Release Calendar	
RailCorp	QRG PR2.1		Raise master RFC for a Release	
RailCorp	QRG PR2.2		Update the enterprise release pipeline	
RailCorp	QRG PR2.3a		Instructions for release component request	
RailCorp	QRG PR2.3b		Instructions for impact assessment	
RailCorp	QRG PR4.1.1		Complete exemption request form	
RailCorp	QRG PR4.1.9		Process Exemption Request and Communicate Exec Decision	
RailCorp	QRG PR4.2.1		Complete Exception Request	
RailCorp			Quick reference role guides business users	
RailCorp			Quick Reference Role Guides - Change Requestor, Release Coordinator, Project Manager	
RailCorp			Quick Reference Role Guides Enterprise Release Manager	
RailCorp			Quick Reference Role Guides ERM IUO Group Participant	
RailCorp			Quick Reference Role Guides Working Group Participant	

IBM Exhibit 19 - Policies and Procedures

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RailCorp			RailCorp Release Management Process Document v1	
RailCorp			Enterprise Release Management Control Centre Process	

2.1.3.4   Service Validation, Testing and Acceptance

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
STA	WI 71.14.06	Work Instruction	System and User Acceptance Test Plans Review	Process for reviewing the Test Plans for an ICT project, including 3rd party ICT services
RMS	04PR4060	Procedure	Independent testing	Ensures that independent application and/or system testing is correctly conducted
RMS	06PR6370	Procedure	Sociability testing	Ensures that sociability testing of new server and desktop products occurs before incorporating the product(s) into Production
RMS	06WI6370	Procedure	Sociability testing	Detailed test instructions and checklist for testing in support of 06PR6370
RMS	09PR0560	Procedure	Drives Test Data Management	Procedures to extract data from DRIVES production data for development, testing and training purposes
RMS	09PR0565	Procedure	Drives Test Data Management – Scrambling DRIVES Data	Procedures to scramble "real" data so it is no longer possible to trace a real person from the data that is visible
RMS	09PR0910	Procedure	Defect Management - Finance Defects	Procedure to assess inconsistencies in the financial records and correct records within the time constraints imposed by the daily reconciliation of the financial system
RMS	09PR0920	Procedure	Defect Management – Assess Production Defect	Procedure to ensure that production defects are properly assessed and solutions and test plans are developed to fix them
RMS	09PR0930	Procedure	Defect Management - Assessment and Resolution of Data Fix Defect	Procedure to ensure that Data Fix defects are properly assessed and SQL scripts are developed and run to fix them
RMS	09PR0940	Procedure	Defect Management - Scoping Content for Interim Releases and Maintenance Releases	Procedure to ensure that defects are properly prioritised and the fixes are fully tested prior to inclusion in an Interim Release or a Maintenance Release
RMS	10PR0010	Procedure	Test Preparations	Defines the process of preparing for the execution of

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
				testing
RMS	10PR0030	Procedure	System Testing	Defines the processes relating to System Testing
RMS	10PR0035	Procedure	Coordination of user acceptance testing	Define the actions required for the IM&IT Project Manager together with the Business Project Manager to engage QC in allowing independent User Acceptance Testing (UAT) by the Business Users
RMS	10PR0040	Procedure	Acceptance Testing	Defines the processes relating to Acceptance Testing
RMS	10PR0050	Procedure	Staging Testing	Defines the processes relating to the Staging Test phase
RMS	10PR0055	Procedure	Production Readiness Review	Detailed process for conducting PRRs, confirming that IM&IT and the Business approve the deployment of code into Production on the scheduled release date
RMS	10PR0056	Procedure	Production Verification Testing	Detailed process for Production Verification Testing (PVT) - a post deployment health check
RMS	10PR0058	Procedure	Test Documentation	Defines the standard documents used to support the testing processes
RMS	10PR0090	Procedure	Batch Testing Procedure	Procedure to confirm that Batch Programs are working as specified before they are implemented into Production
RMS	10PR0110	Procedure	Automated Test Process	Describes the workflow in testing of a module/system using the automated test tools QARun, TestPartner and AXE
RMS	12PR0100	Procedure	Internet EBusiness Environment Test Guidelines	Summarises the procedures and control documents required for the Environment Testing of Internet EBusiness developed applications
RMS	12PR0110	Procedure	Internet EBusiness Development to Environment Testing Handover Procedure	Procedure for the handover of a product from Development to Environment Testing as defined in the Internet EBusiness Development Methodology prior to the commencement of Environment Testing
RMS		Procedure	Defect Tracking Black Book Users'	Users' guide that provides clear and concise

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
			Guide	information on how IM&IT uses "Test Track Pro" to raise and track defects
RMS		Report	NOV12 defects – 08Oct update	Example of a defect report delivered via email summarising defects observed
RailCorp		Presentation	Process Flow - TARC	Testing steps/components – 1 page high level

2.1.3.5 Knowledge Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	01PR0012	Procedure	Publishing BMS documents	Describes the steps which must be taken to publish an approved document in the IM&IT Business Management System (BMS) for use by IM&IT staff
RMS	03PR0160	Procedure	Sharing a repository element	Flow diagram and procedure to ensure that repository elements are shared correctly
RMS		Table	Objective's business classification scheme	Index from the Objective records management tool showing how artefacts are classified
RMS	PN 245	Policy Document	Electronic recordkeeping policy	Recordkeeping policy for RMS
RMS	PN 245p	Procedure	Procedure for managing Email as records	Ensures that all records of business activities conducted through the email system are captured and managed in the corporate recordkeeping system
RMS		Recordkeeping circular	RTA business classification scheme	Explains business classifications related to the records management framework

2.1.4 Service Operation

2.1.4.1 Event Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	06PR6100	Procedure	Monitoring of the RMS Networks	Process and flow diagram for actions taken when RMS' Network Outsourcer identifies a issue/concern

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
				on the network
RMS		Presentation	Monitoring tools initiative	Snapshot of current state of network monitoring capability, including high-level application overview
RMS		Work Instructions	Monitoring review summary	Mission statement for application monitoring, including vision, drivers, objectives, and benefits
RailCorp			ICFMS Interim Event Management Process	Event management process document

2.1.4.2   Incident Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
STA	PROC 0921	Procedure	Service Desk Function and Incident Management	Describes the Incident Management procedure
STA	WI 09.01.01	Work Instruction	Notifying PC and IT System Faults (Issue 3)	Describes how Incidents or Service Requests for equipment, systems or services are to be notified to the ICT Unit
STA	WI 09.21.01	Work Instruction	After Hours Support (Issue 2)	STA support is normally done during Business Hours, but this describes as-needed provision of support after hours
RMS	01PR6000	Procedure	Critical incident management support process	Process for the management of critical (Severity 1 2 and 3) incidents from identification to resolution
RMS	06PR6010	Procedure	IT Support Centre incident management process	Defines how calls to the IT Support Centre (ISC) are received, logged, assigned, monitored, resolved, and closed
RMS	06PR6012	Procedure	Managing incidents reported by the Minister's office	Demarcation of responsibility between RMS and the CCSU IT Service Centre in responding to requests from the minister's staff
RMS	06PR6020	Procedure	IT Support Centre (ISC) call monitoring	Process and flow diagram for receiving, tracking, and closing incidents
RMS	06WI6312	Work Instruction	Desktop and server incident reporting	"How to…" document for using Incident Report Form for changes/fixes to the Standard Operating

IBM Exhibit 19 - Policies and Procedures

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
				Environment
RMS	06WI6406	Work Instruction	Desktop and server incident reporting	Related to 06WI6312, but focused on reporting on this process
RMS		Report	IT Server Systems-Daily Exception Report	Example of a daily report of incidents and impacts identified
RMS		Report	All resolved calls by resolving unit	Summary of all calls resolved from November 2011 through December 2012, broken out by category
RMS		Report	Severity Report – Sev 1 Business Critical	Example of a monthly summary of all Sev 1 incidents, including status through closure
RMS		Report	Severity Report – Sev 2 Business Critical	Example of a monthly summary of all Sev 2 incidents, including status through closure
RMS		Report	Fortnightly Incident Age Detail	Extensive tracking report showing the age of all incidents as of the report date, including all incident details and status
RMS		Guideline Document	Major Incident Reporting	Process for how a Major Incident Report (MIR) is drafted by the Outsourcer, reviewed by the RTA, finalised and circulated within the RTA
RMS	PN 100	Policy Document	Security Incident Management	Process for managing security incidents
RMS	WI CRM V7	Work Instruction	Introduction to SAP CRM	Procedure manual that explains how SAP CRM is used to log requests, assign them to resolvers, monitor personal or group queues, and search for requests
RMS		Work Instruction	Incident response communication matrix	Table that identifies the communication plan notification timeframes and points of escalation for Sev 1, 2, and 3 incidents
RMS		Work Instruction	IRT severity matrix with summary	Definitions of Sev 1, 2, and 3 incidents, and the Business Application Profile table as it existed in 2011
RailCorp		Procedure	ICFMS Interim Incident Management Process	As shown in document title
RailCorp		Procedure	ICFMS Interim Major Incident Management Process	As shown in document title

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RailCorp		Procedure	ICFMS Interim Significant Incident Management Process	As shown in document title
RailCorp		Procedure	Incident Management Process	As shown in document title

2.1.4.3　　Problem Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	01PR7000	Procedure	Problem management process	Describes how problems are identified, assessed, categorised, prioritised and resolved by internal Transport staff (not by 3rd parties)
RailCorp			ICFMS interim PM process map	High level process flow diagrams

2.1.4.4　　Request Fulfillment

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
STA	PROC 09.02	Procedure	ICT Customer Service Charter (Issue 1)	Mission statement for customer service; written for consuming end users' understanding
STA	PROC 09.07	Procedure	Laptop PDA allocation	Process to provide STA end users with a laptop computer or Personal Data Assistant (PDA)
RMS	01PR0006	Procedure	Operational environment development and application implementation	Process for defining and implementing the application operational environment and implementing an application into the operational environment
RMS	01PR0175	Procedure	Management of consulting service requests to outsourced service providers	Process to ensure that Consulting Service Requests to and proposals from RMS Outsourced Service Providers are properly managed
RMS	06WI6032	Work Instruction	RTA SOE Installation guide for pre-staging new PCs and notebooks	Provides guidance during pre-staging of the RTA Standard Operating System on all new desktop and notebook systems

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	06WI6033	Work Instruction	RMS SOE field installation guide	Guidance for field installation of all PCs and Notebooks with the RMS Standard Operating System (multiple screen shots, detailed instructions)
RMS	06WI6034	Work Instruction	RTA SOE installation forms	Installation checklist used for config and deploy
RMS	06WI6035	Work Instruction	RTA SOE pre-installation call guide	Checklist and instructions for pre installation telephone calls to verify details of the end user requirements and ensure their readiness for the products and/or services to be provided by the vendor

2.1.4.5   Access Management

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
STA	PROC 71.12	Procedure	Information Security Access Control (Issue 3)	Implements ISO/IEC 27001 controls for access control
STA	WI 71.12.06	Work Instruction	ICT Process Owners and Managers (Issue 1)	Details the State Transit staff positions responsible for ICT systems
RMS	03PR0120	Procedure	Granting User Access to an Application	Applies to users of the Corporate Oracle Design repository
RMS	03PR0130	Procedure	Registering New Information System Applications	Ensuring new information applications are correctly registered in the Corporate Oracle Design repository
RMS	06PR6270	Procedure	Managing Access to RMS Systems	Governs requests to access RMS Systems or to modify and delete existing access
RMS	06WI6060	Work Instruction	Elevated Access	Procedure for special groups such as developers and minor software/system administrators can obtain elevated access to their desktop environment
RMS	09PR0600	Procedure	Managing access to DRIVES data	Ensures that RMS' DRIVES production and test data is adequately and systematically secured and controlled

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RailCorp		Presentation	BAU User Access Management	1-page process flow for access management

2.1.5 Continual Service Improvement

2.1.5.1 CSI Improvement Process

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS	01PR0100	Procedure	Corrective and Preventive Action	Process flow and procedure for proper and timely corrective/preventive action
RMS	01PR0105	Procedure	Action Request Log Procedure	Using the Action Request Log (ARL) when an opportunity for business improvement arises
RMS		Diagram	IM&T Service Integrator Options	Describes the business relationships with Transport acting as the integrator for ICT services for the RMS business

2.1.5.2 Service Reporting

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RMS		Report	RMS CRC 10th May 2012	CRC report
RMS		Report	RMS CRC 12th April 2012	CRC report
RMS		Report	RMS CRC 12th January 2012	CRC report
RMS		Report	RMS CRC 14th June 2012	CRC report

2.2 Current Project Management Methodology

Agency	Doc #	Doc Type	Doc Title	Purpose of Document

IBM Exhibit 19 - Policies and Procedures

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
STA	PROC 09.19	Procedure	IT Project Management Framework	Overview of the project phases that form part of the STA's IT Projects Methodology
STA		Supporting graphic	PMO Framework	Graphic showing all phases (supports Proc 09.19)
STA		Supporting Graphic	PMO Start-Up Process	Graphic swim lane chart detailing the start-up phase
STA		Supporting Graphic	PMO Initiation Process	Graphic swim lane chart detailing the initiation phase
STA		Supporting Graphic	PMO Planning Process	Graphic swim lane chart detailing the Planning phase
STA		Supporting Graphic	PMO Execution Process	Graphic swim lane chart detailing the execution phase
STA		Supporting Graphic	PMO Closure Process	Graphic swim lane chart detailing the closure phase
STA	PROC 19.10	Procedure	IT Project Variation Control	Procedure for managing IT Project variations
STA	PROC 19.13	Procedure	How to Start-up an IT Related Project	Procedure for initiating a request to enhance existing or introduce new IT applications/software/systems and/or infrastructure
STA	PROC 19.14	Procedure	IT Issue Management	Procedure for managing IT Project issues
STA	PROC 19.15	Procedure	IT Project – Risk Management	Procedure for managing IT Project risks
STA	PROC 19.16	Procedure	IT Project Status Explanatory Notes	Guidelines for completing the Project Status Report (PSR) (FORM 317)
STA	PROC 19.17	Procedure	IT Governance Model	Outline the IT Project Governance Model
STA	PROC 19.18	Procedure	IT Project Evaluation	Instructions for completing the project evaluation report, including FORM 659
STA	PROC 19.20	Procedure	IT Project Handover	Procedure to manage the transfer of project to the Business As Usual (BAU) support
STA	WI 09.13.01	Work Instruction	IT Project Sizing Fact Sheet	Guidelines for sizing and planning projects based on small, medium, and large categories
STA	WI 09.18.01	Work Instruction	Project Evaluation Report Explanatory Notes	Detailed instructions for completing FORM 659 to identify the success of the project
STA	Form 659	Template	Form 659 – Project Evaluation Report	Form for evaluating a project at close-out
RailCorp			FS Resource Modelling	Procedure for performing resource requirements estimation and allocation for projects

COMMERCIAL-IN-CONFIDENCE

IBM Exhibit 19 - Policies and Procedures

Agency	Doc #	Doc Type	Doc Title	Purpose of Document
RailCorp			FS Governance Structure (interim)	A governance structure for fleet services

2.3   ICT Policies and Procedures

- ICT information management policy

- ICT Information Security policy (refer to Attachment 2.1-C (Data and Physical Security Procedures)

2.4   Other

- Environmental and sustainability policy

- Environmental management specification for contractors

- General safety specification for suppliers

- Risk management policy

- Safety policy (refer to Attachment 2.1-C (Data and Physical Security Procedures)

All policies and procedures that the Supplier will be required to comply with effect from the Execution Date will be provided to the Supplier during the due diligence process, either in hard copy or through the Transport online intranet portal. The Supplier will be required to comply with these policies and procedures, as updated from time to time by Transport, together with any new policies and procedures introduced and notified to Supplier from time to time during the Term.