Access to Trade Repositories SLA

Annex 3.3

1   Service definition (scope)

In the context of this service level agreement (SLA), an "IT-system" is to be understood as a set of technical resources used for electronic processing of data. "EMIRT" is the central integrated IT-system consisting of the following modules:

1. An interface allowing NCAs and ESMA to submit data queries to Trade Repositories, and to receive corresponding responses from Trade Repositories;
2. An interface allowing Trade Repositories to receive data queries centrally from ESMA and transmit the corresponding responses to the requester through ESMA.

2   Operating hours

The production system will operate 7 days per week and 24 hours per day, apart for planned service interruptions.

Support will be available during ESMA working hours.

3   Service availability

For the purpose of this SLA, availability is defined as the ability of the system to support the services 1 and 2 above, without unplanned interruption.

The target service availability of this system is 98%, measured quarterly, outside of planned service interruptions.

3.1 Planned service interruptions

Service interruptions may be planned in particular for maintenance or technical operations, such as the release of a new version, a technical intervention on hardware or software, or the testing of a disaster recovery plan.

For planned service interruptions impacting NCAs or trade repositories, ESMA's User Support should inform NCAs and trade repositories contacts:

- 10 working days in advance in the Production environment.
- 5 working days in advance in the Testing environment.

4   Incidents management

For the purpose of this agreement, an incident is defined as an unplanned interruption to one of the above IT services, or a reduction in the quality of one of the above IT services.

Upon notification of an incident, ESMA will acknowledge receipt to the reporter of the incident and classify the incident according to its impact and urgency levels as per tables below.

Urgency Level	Definition of the Urgency Level
High	The incident prevents performing adhoc queries
Medium	The incident prevents performing automated queries
Low	Any other cases

Impact Level	Definition of the Impact Level
High	More than 25% of the NCAs are affected by the incident Or More than 25% of the trade repositories are affected by the incident
Medium	Strictly more than one NCA is affected by the incident Or Strictly more than 15% of the trade repositories are affected by the incident
Low	Not more than one NCA is affected by the incident And Not more than one trade repository is affected by the incident

Priority Levels		Urgency Levels		
		High	Medium	Low
Impact Levels	High	Critical	High Priority	Normal
	Medium	High Priority	High Priority	Normal

Low	**Normal**	**Normal**	**Low**

Incidents target resolution time will be function of their priority, as defined in the table below.

Incident Priority	Target Resolution Time[1]	
Critical	24 hours	An incident may be resolved by the provision of a workaround and the planning of a system update
High Priority	3 days	
Normal	Planned	
Low	Planned	

As part of the incident resolution process, ESMA may need to request information from external entities such as NCAs or trade repositories. The time between the submission of a request for information to an external entity, and the reception of the requested information will not be counted in the time to resolution of an incident, nor as unavailability period for the service in case the incident relates to unplanned service interruption.

4.1 Unplanned service interruptions: Recovery Point Objective

In case of unplanned service interruptions, the Recovery Point Objective will be the day before the service interruption was effective.

Depending on the cause, trade repositories may be requested to resubmit data already submitted from that date.

5 Key Performance Indicators

Key Performance Indicators will be reported on a quarterly basis.

Criteria	Target
Service availability rate over the last quarter	>= 98 %
Percentage of incidents resolved within SLA	>= 90 %

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[1] Markets' working days

6 Change Management Process

The Change Management Process will be governed by ESMA IT Systems Change Management Process – ESMA/2014/INT/39.

7 NCAs' duties and responsibilities

As part of the incident resolution process, ESMA may request information from NCAs. NCAs must ensure that they provide ESMA with any requested information as soon as possible to ensure responsive resolution of any incident reported.

8 Contact points within the National Competent Authority

Function	Name	e-mail	Phone
Head of Business Unit			
Deputy Head of BU			
Business Manager			
Deputy BM			
CIO			
Deputy CIO			
IT Production Manager			
IT Project Manager			