



G-Cloud 15 Service Definition
Smart Ticketing Service
Unicard
Lot 2b Software as a Service

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1. Introduction

1.1. Company Overview

Unicard are a leading provider of transport management solutions that enable public sector and private transport operators to launch and manage their own ITSO ticketing schemes.

Since we started in 2003, we have worked in partnership with scheme owners and stakeholders, supporting scheme expansion from single usage to multi-operator and multi-modal configurations.

Our ticketing scheme management solution is built around a complete suite of software products, built in-house using open and distributed architectures. We typically provide retail portals, mobile applications, account based ticketing, contactless EMV middle and back office, CMS/CRM systems, HOPS/AMS, Part 11, card production and top-up workstations. We work in partnership with the scheme stakeholders and transport equipment suppliers to deliver these, ensuring our customers enjoy comprehensive solutions which they can support and configure themselves if they wish to do so.

We also market software components and certify ITSO terminals and systems on behalf of transport equipment suppliers and system integrators, or build bespoke solutions for customers outside of COTS offerings.

Unicard have grown rapidly in recent years due to the success of our HOPS/AMS and Part 11 products, and our proactive customer service, and we now have a wide range of HOP/AMS and cEMV implementations across more than 60 live systems. Our flagship schemes process approximately 4 billion journeys a year.

1.2. Value Proposition

We offer a turn-key, low-maintenance solution for local governments and regional transport authorities to deliver multi-operator commercial travel products, as well as concessionary travel schemes such as school transport, ENCTS or youth schemes. Our solution also works for private and commercial transport operators, equipment suppliers and system integrators.

We support a variety of customers, from simple single-user and concessionary travel programmes to complex multi-modal and multi-operator configurations.

Our in-house research, strategy and development capabilities give us an affordable, well-managed ability to develop market-leading technologies and affordably maintain existing products.

As part of our continuous improvement processes, we ensure to stay-up-to-date with the latest developments within the transport management market as well as developments in new technology, led by our product team and an independent board of advisors.

We run regular deep dive workshops with our key customers to discuss industry perspectives and upcoming challenges.

We also have a customer roundtable, bringing representatives from all of our key clients together to discuss the latest trends and collaborate on solutions together.

1.3. What the Service Provides

Unicard are offering a Smart Ticketing Managed Service: a complete solution for managing commercial and concessionary (ENCTS) travel schemes with multi-token smart ticketing.

The service includes a cloud-based Customer Management System (CMS), contactless EMV middle and back office (including Account Based Ticketing), Payments Service, ITSO HOPS, AMS and Part11 Remote Fulfilment Service, Customer Portal, Reporting and Support.

It is modular and can be delivered as a new deployment, a migration, or an integration with existing systems.

At Unicard, we fully host and manage our own solutions which are backed by 24/7 support and professional services consultancy (available as per our rate card) for peace of mind. Our service also includes proven integration with supporting services such as identity checking, card production or revenue management.

Our schemes can also be expanded to cover non-traditional modes of travel like ferries, tolls, parking, and even local council services like library and leisure access.

1.4. Overview of the G-Cloud Service

Unicard are offering a hybrid cloud service.

The system comes with:

- ITSO HOPS and RPOST
- cEMV Ticketing Middle- and Backoffice
- Payment Services Processing
- Backoffice Customer Management System
- Account Based Ticketing and Capping engine
- Public-facing Retail and Account Management Web Portal
- Mobile App for iOS and Android
- Professional Services for Setup, Migration and/or Integration (included in cost)
- API Suite
- Training
- 24/7 Customer Support
- Ongoing Development and Maintenance

Key service capabilities include:

- Passenger and cardholder management
- Concessionary travel scheme management, including ENCTS
- Commercial travel scheme management
- Full API access
- Fully managed service is available
- Multi-token capable, including ITSO, barcode, app, cEMV
- Secure browser access for administrators and contact centre employees
- Real-time data exchange and reporting
- A fully certified and accredited solution

Key service benefits include:

- A fully integrated service that reduces your costs and management overheads
- Our solution easily migrates from, or integrates with, existing ITSO and cEMV services
- An easy-to-use interface which reduces training requirements and increases contact centre efficiency

Customers of this service include:

- Transport Scotland
- Transport for West Midlands
- Transport for Wales
- Solent Transport
- Rail Delivery Group
- Nottinghamshire County Council
- Oxfordshire County Council
- Kent County Council
- Smart Applications Management
- ITSO/Yotra

1.5. Associated Services

Bolt-on services include:

- Experian Identity Checking
- Upgraded Support Packages
- Card Production
- Payment Services Processing (for ticket retail)
- Change Requests / Additional Support (Time and Materials)
- Additional Professional Services / Consultancy

2. Data Protection

2.1. Information Assurance

The system is accredited to the following standards:

- ISO 9001
- ISO 27001
- Cyber Essentials Plus
- PCI-DSS
- ITSO Certification
- MTT and Visa Transit certification

Full details of relevant policies and processes are held in our Information Security Management System and can be made available upon request.

2.2. Data Back-Up and Restoration

Unicard distinguishes two type of copies:

- Short-term or backup – stores the copy of information for up to 7 days for quick restoration
- Long-term or archive backup – a snapshot of information at a fixed moment

Backups can contain:

- Information held in files, databases, e-mail messages
- Software such as installation packages
- Systems such as software and related information in databases and/or files

A set of backups and/or archives is kept outside the information processing and storing facilities in a remote location at sufficient distance for disaster recovery and business continuity purposes. Their media is tested independently and as part of a disaster recovery drill at least annually.

The backup owner is the same as the information asset owner. One backup can contain the information assets of different owners.

The business requirements for backups are a set of parameters agreed with the customer prior to an order being placed: what, when, how often will backups take place, for how long and where will information be retained, what is the level of protection (i.e. encryption, physical vault), what is the priority in a group of backups.

In the case of the upgrading or decommissioning of an application system, backup considerations will include backup transformation and archiving the system.

A backup plan is prepared and maintained for all backup tasks by the IT Department.

Backups:

- Backups are prepared using specialized automated tools.
- All backup media in use shall have guaranteed reliability and a maximal period of reuse according to their specific features and frequency of reuse.
- Backups of in-house developed software packages and related source code are prepared manually by the person who is responsible for the project or update. These copies are treated as archives.

Restoration:

- Restoration of a backup or part of it can be ordered by the information asset owner and is conducted through a Request Fulfilment Process.
- If required, the implementation is conducted through a Ways of Working Process or Incident Management Process.
- Testing of the backup restoration process will be completed every six months.

Monitoring and reporting:

- The performance of backup tasks shall be monitored daily for events that require manual activity, such as increasing the disk space.
- The Jira system will be used for tracking the events and incidents related to unsuccessful backup or restoration activity.
- Issues with backups and restorations shall be reported monthly.

2.3. Business continuity statement/plan

Scope:

The purpose of Unicard's Business Continuity Plan is to prepare Unicard to be able to respond to, and recover from, a business disruption in the least amount of time possible – as well as ensuring that the business can function at such a level, thereby reducing the impact to our customers.

Key business areas covered by the business continuity plan:

- Recover Unicard status to pre-incident condition in the optimal time frame
- Protect staff and ensure their welfare
- Limit the impact and protect the reputation of Unicard and its customers
- Direct and clear customer communication
- Restore IT systems necessary for customer data processing and handling
- Restore facilities necessary for Unicard internal processes
- Secure supply chain
- Secure solution delivery
- Restore Unicard operational, finance and administration functions

Critical functions covered by the business continuity plan:

- Operation of the system software
- Operation of application software
- Reliability of server hardware
- Reliability of databases and files
- Reliability of network equipment
- Providing a work environment

Dependencies:

The two core areas that feed into multiple functions of the business are:

- **Support/Service**

The Unicard service team are involved in all aspects of the business, not just Business as Usual (BAU) operations. The service function is relied upon by both the commercial team and projects team for technical information and support across their different functions.

- **Product**

The product team are integral to the design and roadmap of Unicard products. The team sit centrally in the business, having input and pulling data from the development, project and service teams.

The Product Lifecycle is a good example of the relationship and dependency between all these functions. A new product will move through various controls and teams during its planning and implementation stage until the product is released to the market and handed over to the service team to support.

To ensure risk is minimal, each team has a number of skilled personnel that role-share. This means that if a key resource is unavailable, other technically adept people can step in to ensure that no bottlenecks or other pain points arise.

Critical functions and maximum tolerable period of interruption:

- Operation of the system software: 8 hours
- Operation of application software: 16 hours
- Reliability of server hardware: 8 hours
- Reliability of databases and files: 8 hours
- Reliability of network equipment: 48 hours
- Providing a work environment: 4 hours
- Internet connectivity: 4 hours

Outline plan to maintain operations:

- Operation of the system software: provide replacement workstation during restoration, install software from image, restore from backups; all servers in the virtual environment are fully duplicated; physical servers will have software installed from image
- Operation of application software: for workstations, install software from image, restore from backups and test device; all servers are fully duplicated, therefore production is transferred to another one during software installation, restoration and server testing
- Reliability of server hardware: All systems in the hosting environment have dual power supply, RAID hard drives and cooling redundancy. All systems in the virtual environment are fully duplicated. All SAN data is synchronized in real time. Support Team will restore server.

- Reliability of databases and files: All parts of the database environment are fully duplicated. In the case of server failure, the system will switch to the failover database server and Support Team will investigate and resolve issue.
- Reliability of network equipment: All network paths and network devices are fully duplicated. Any damaged device will be replaced.
- Providing a work environment: carry out repairs or, if required, provide new office and IT equipment
- Internet connectivity: Two distinctly separate networks run via diversely routed, fully segregated cores with fully redundant power architecture and five upstream links from three separate locations, providing 4 fully diverse paths to the internet. In the case of the absence of any internet provider, the system is switched to another one.

A more detailed plan can be provided to the buyer on request.

2.4. Privacy by Design

Unicard follow ISO27001, Cyber Essentials and PCI-DSS compliant processes, with environments to match. We are also ISO9001 certified and follow GDPR and DPA 2018 requirements for data protection too.

For all ITSO-aligned data, Unicard are aware of known data fields that can be classified as Personally Identifiable Information (PII) under GDPR. As part of Unicard's standard processes we carry out GDPR Data Protection Impact Assessments (DPIAs) to ensure that all GDPR risks have been identified, assessed and mitigated against.

With regards to the non-functional requirements, and in particular with regards to data security and data protection, these are captured and analysed by the Tech Lead, supported by the CTO in their role as Data Protection Officer. Unicard operates a mature and robust Ways of Working (WoW) framework that is designed to ensure that quality is built-in to our processes, from start to finish. As part of our WoW framework, we have specific controls and quality gates in place to ensure that we deliver all the buyer's security requirements.

Unicard has in place security structures, including committees, to cover areas such as GDPR, PCI, ISO and Risk Management. These security functions are made up of senior Unicard stakeholders from Product, Development, IT, Customer Care and Project Management. The CTO is ultimately responsible for ensuring that we provide our solutions in full compliance of the client's security requirements, along with other standards such as PCI DSS, ISO27001 and Cyber Essentials.

3. Using the service

3.1. Ordering and Invoicing

All quotations and proposals are based on information relating to the requirements provided by the customer to Unicard. Please email sales@unicard-uk.com prior to placing your order with the outline details of your needs and we will arrange a discovery session to examine your detailed requirements.

Unicard reserve the right to amend any quotation or proposal in the event of changes to specifications or other requirements relating to the proposed project that may be discovered by Unicard or requested by the customer. Any additional charges resulting will be agreed with the customer according to the SFIA rate card.

An order made by a customer constitutes an offer by the customer to purchase the products and/or services in accordance with these Terms. The customer is responsible for ensuring that the terms of the order and any applicable specification that may be sent by the customer from time to time are complete and accurate.

An order shall only be deemed to be accepted when Unicard issues a written acceptance of the order, at which point the contract shall come into existence.

We can assist in the creation of the Order Form.

3.2. Pricing Overview

Specific pricing information can be found within the pricing document. Each module is priced according to a specific unit price (such as transactions, customer records or journeys) on an annual basis. There are One Off costs for Onboarding and pay-per-use bolt-on services.

All rates, fees and other costs provided as part of a proposal are valid for thirty days from the date of the proposal and are subject to Unicard receiving a Purchase Order no later than thirty days from the date of the proposal.

Unicard prices are charged and paid for in pounds sterling (£).

All costs provided represent the net amounts to be received by Unicard and do not include any current or future customs duties or taxes, including, but not limited to, sales tax, withholding taxes, VAT and any other taxes which may apply. Travel and subsistence expenses are not included unless specified. Unicard will make every attempt to minimise staff travel. However, should a resource be required to travel, the customer will be responsible for actual and reasonable travel and subsistence expenses. All significant travel and subsistence costs will be pre-approved by the customer.

Unicard shall be entitled to raise an invoice at any time during the duration of a contract. Invoices are payable, without deduction or set-off, within 30 days of the date stated on the invoice. Invoices are payable by electronic funds transfers in the currency stated on the invoice.

Quotations and proposals may include, where applicable, a price for travel expenses. Should a meeting be cancelled by the customer, then the customer shall be responsible on a full indemnity basis for all liabilities that Unicard incurs as a result of cancelling and/or rearranging any travel arrangements that have been arranged by or for it.

The customer agrees and understands that, should the price include a sum to retain the services of Unicard for a certain period then this is not refundable.

3.3. Availability of Trial Service

Prospective customers can access a generic version of our Customer Management System loaded with a test data set for as long as required. Contact sales@unicard-uk.com to arrange a free trial.

3.4. On-Boarding, Off-Boarding, Service Migration, Scope etc

3.4.1. Onboarding

The Project Lead will arrange a project kick-off call that should be attended by the core project team from the buyer's side, typically within one week of the award. In non-pandemic times this would normally be in person at the buyer's offices, however a web conference is also suitable if it makes scheduling and attendance easier on both sides. Unicard attendants will be the Project Lead, Account Manager, Tech Lead, Support Lead, and Product Manager. Buyer's attendants should be any senior decision maker, the Project Lead, and the Technical Lead. This call will introduce the roles and responsibilities of each participant. Unicard will present what they believe the goals to be of the overall project and the requirements gathering phase, based on the tender requirements, as well as initial timelines for comment and review. We will also present the specific tasks required to carry out the requirements gathering/discovery phase.

The Unicard Project Lead will then circulate minutes of the meeting(s), and prepare a project plan for the requirements gathering phase. We would typically look to kick off the requirements gathering within a week of the initial call; the length of the phase will depend on the nature of the requirements e.g. number of incumbent suppliers, extent of custom development needed, availability of key experts from buyer and suppliers.

3.4.2. Requirements Gathering and Specification

The output of the requirements gathering phase is a Project Initiation Document, which contains a detailed project plan containing the following:

- **Summary:** description, prerequisites, external and internal dependencies, assumptions and lessons incorporated. Also includes a quote on which the project is based and estimate in man days for each resource required.
- **Schedule:** A report of the estimated time involved in the project as a high-level Gantt chart or similar schedule
- **Project Control:** A description of key milestones and how progress will be monitored and communicated

The plan is circulated to all relevant stakeholders, and is then signed off or amended as necessary.

To understand the technical requirements, the Project Lead will assign Business Analyst resource(s) to the project who work alongside a Tech Lead to conduct a detailed technical investigation as part of a wider Discovery Phase; the Project Lead reports to the CTO, who reports to the CEO. The Business Analyst will contact the buyer and the incumbent supplier to identify the people who are responsible for the existing technology infrastructure and data security requirements, and the systems that are to be considered as part of the existing infrastructure. This is a two-way process requiring active participation from subject matter experts on both sides. The BA will serve as the main point of contact for this phase, and is responsible for discovering, analysing, and documenting the requirements and current operation of the systems. They are supported by the Project Lead, who is responsible for ensuring the delivery remains on track and will arrange the weekly status calls, and the Account Manager, who assist with client communications and stakeholder management, as well as understanding the commercial implications of the current situation. A typical discovery phase lasts between 4-12 weeks depending on the complexity of the project.

These will then be documented in a Functional Design Specification, which will be shared with all stakeholders for review and signoff. The FDS outlines the current situation, the agreed list of requirements, a suggested solution design, key assumptions and unknowns, a topline solution design, and a list of system changes required. It may optionally include wireframes and process flows if necessary. The FDS serves as a reference point throughout the lifespan of the project, and is kept up-to-date by the Project Lead as needed.

3.4.3. Monitoring and Support

Following the completion of user acceptance testing, the implementation phase is complete and the project moves into early life support, a period of enhanced support typically lasting 2-4 weeks (included in the cost). During this period, the system is closely monitored by the Project Lead and Technical Lead.

During the discovery phase, the Project Lead will work with the buyer to prepare a set of Key Performance Indicators that establish the most important metrics to monitor to confirm the success of the implementation. For example, KPIs could be: user accounts created, transactions received, notifications generated, system availability, server response times, and functional/database performance tests. Performance against the KPIs is averaged over a monthly period and compared against the baseline.

During the system lifespan responsibility for meeting the technical requirements of the system is held by a Support Manager in the Support Team, reporting to the Head of Customer Care. We provide a General Support Agreement for each system that outlines our commitments to service monitoring. Unicard employ a dedicated, in-house 24/7 system monitoring team, who report and act on system incidents to both the Infrastructure and Support team to minimise system downtime and maximize availability.

3.4.4. Offboarding

When the contract ends, data can be extracted/exported through the system APIs or can be provided in an industry-standard export format. We will facilitate a reasonable migration of data to a new provider in industry-standard export formats defined by Unicard.

3.5. Training

As part of the mobilisation phase, the requirements for any training are gathered and documented by the Project Lead and signed off with the buyer. Then, towards the end of the implementation phase, the Project Lead collaborates with the Support Lead to prepare a Training Plan based on these requirements.

The training plan outlines:

- Who are the people to be trained, with their contact details
- How the training should be carried out: workshops, webinars, one-to-one sessions
- Where the training should be carried out: at the buyer's premises, in the field, or online
- When training is required: key milestones and related communications according to a time plan
- What training materials are necessary, including pre, during and post-training

This plan will be shared with the buyer for approval, amended if necessary, and then actioned by the Support Lead.

A typical best-practice approach we employ would be to hold a single “train the trainers” session, lasting half a day, at the buyer's offices for all managers using the system (up to 20 people; multiple sessions on consecutive days should take place if more people need training). The training is usually led by a Support Analyst for the system and the Account Manager.

An agenda for the session will be circulated one week before. It typically takes the form of a guided presentation and live demo, followed by Q&A, for each area of the system. The session should be recorded by the buyer, and made available on a company intranet or similar (if the session is taking place at Unicard's office or remotely, we will arrange recording). User documentation is also provided following the training session, including a knowledge base.

Follow-up training and revised documentation, for example after a major new update, can be arranged as part of the support agreement (see pricing document). Specific questions that users have raised following training, that can't be answered by the buyer's trainers, can be submitted as support tickets.

3.6. Implementation Plan

The implementation phase involves our Development team configuring our off-the-shelf product to the buyer's needs and integrating with the required data sources. During the implementation phase, the Project Manager is responsible

for the day-to-day management – this activity can be delegated to another Project Manager, Project Executive or Team Manager, but the Project Manager holding the project mandate remains ultimately responsible for the project delivery.

The PM oversees the work of the Development team in an Agile process, ensuring that the Development team takes responsibility for assigning the work to appropriately skilled/experienced resources and managing the technical work on site. The PM guides the development team through the stages of analysis, design, configuration/implementation and testing as per the project requirements.

The Development team is responsible for the handover of the technical deliverable required for the project acceptance by a PM. These are provided in the form of a configured system, packaged in an incremental source-controlled release, tested by the Development team and deployed to an accessible environment, ready for inspection. Each release must be accompanied by release notes, documenting the changes/deliverable for the version provided.

The PM is responsible for reviewing every release and deciding whether specific testing is required. Some system changes may involve the provision of buyer training or a user guide.

The PM is responsible for managing and supporting customer acceptance testing defined in the System Requirements Specification or equivalent document in conjunction with the buyer (based on the buyer's requirements). All buyer acceptance testing completed is subject to review and approval by the PM as required (with issues recorded in a risk/issue list to track resolution, verification and closure).

Our software quality assurance (SQA) process ensures the developed solution meets defined quality specifications and complies with the required standards. It incorporates requirements definition, software design, coding, source code control, code reviews, software configuration management, testing and release management.

Our SQA process includes the following activities:

- Reviews

- Requirement Review
 - Design Review
 - Code Review
 - Deployment Plan Review
 - Test Plan Review
 - Test Cases Review
- Testing levels
 - Unit Testing
 - Integration Testing
 - System Testing
 - Security/Penetration Testing
 - Acceptance Testing

Pre-deployment, issues raised during each round of testing are managed and rectified on a priority-based scheme, where issues raised will be reviewed and assessed based on their impact to the overall success of the implementation. Issues are logged in an internal portal and are reviewed continuously by the project manager and test manager until satisfactory quality is achieved within the timeframes available.

The PM is responsible for reviewing every release and deciding whether a conduction of specific testing is required. Some system changes may involve the provision of buyer training or user guide creation to support the client in the using of the new functionality.

The PM is responsible for managing and supporting customer acceptance testing defined in the System Requirements Specification or equivalent document in conjunction with the buyer (based on the buyer's requirements). All buyer acceptance testing completed is subject to review and approval by the PL as required (with issues recorded into specific risk/issue list to track resolution, verification, and closure).

Finally, a post-project review is conducted during the Project Closure process to ensure that objectives have been met, to put together a Handover plan if

required and to list any outstanding actions. The Lessons Learned document should be produced by the PM/AM at the end of the process.

A more detailed implementation plan can be provided to the buyer on request.

3.7. Service Management

Unicard take great pride in our continual improvement and innovation, and as such our solutions will require updating over time. Business as Usual (BAU) changes can range from minor tweaks to legal compliance and implementation of new features and functionality.

Maintenance windows are communicated at least 5 working days in advance (and typically earlier).

Customers may also request their own changes following our Change Advisory Board procedure.

Unicard has ISO20000 and ITIL certification.

3.8. Service Constraints

Phone support is available from 8am to 6pm (UK time), from Monday to Friday.

24/7 Out of hours support is available via the web ticketing system.

Our system operates on a 99.5% uptime SLA, calculated on a monthly basis.

It is rare that we deprecate a feature. However, it is sometimes necessary. Users will be given at least 6 months' notice of upcoming deprecation of features wherever possible.

3.9. Service Levels

3.9.1. Service Guarantee

All services have the same baseline service level agreement:

1. 98% system uptime plus
2. Response times for faults within the following times:
 - Priority 1 Fault (Critical): Response within 1 business hour
 - Priority 2 Fault (High): Response within 4 business hours
 - Priority 3 Fault (Medium): Response within 6 business hours
 - Priority 4 Fault (Low): Response within 8 business hours
 - Priority 5 Fault/Service Request (Non-issue): Response within 8 business hours

Priority	Response	Restoration
1	1 hr	4 hrs
2	4 hrs	8 hrs
3	6 hrs	3 days (business)
4	8 hrs	6 days (business)
5/Service Request	8 hrs	6 days (business)
Major Incident Report	15 days (business)	

Upgraded support packages with faster and slower SLA response times and higher and lower uptime percentages are available as a bolt-on service.

3.9.2. Service Details

The Unicard support team are responsible for maintaining system availability and functionality. Unicard support operate within the business hours of 08:00 to 18:00, Monday to Friday. In addition to the support team, Unicard employ a dedicated 24/7 system monitoring team, whose responsibilities include being a first point of contact for out-of-hours support (included in the price) and raising reported issues to the service desk. The benefits of having a dedicated support team are that the customer has a single, easy-to-use point of contact for any

issues experienced, receives regular communications updates during fault resolution, and benefits from the teams' dedicated experience and expertise in fault finding and fault fixing.

For fault rectification, we work on a priority-based scheme, where issues raised will be reviewed and assessed based on their impact and the nature of the emergency. The issue will be given a Priority number and an SLA timer will be applied to the ticket.

Unicard provide a customer-facing portal allowing customers to report incidents or support requests relating to their systems. The portal has been configured to match an appropriate level of severity and priority depending on the information entered by the customer. Each severity type is given a predefined SLA time target. The portal allows customers to interact with Unicard instantly, view all open and closed issues, and escalate any issues if the incident becomes more severe.

Fault rectification for all priorities is managed by a Support Analyst in the first instance. If the issue is not resolved to the customer's satisfaction, this is escalated to either the Head of Customer Care or the CTO, depending on the nature of the problem.

A fault is classified as resolved when the system is once again operating according to the defined specifications and within defined SLAs, this status has been communicated to the customer, and the customer has accepted resolution of the fault.

3.10. Outage and Maintenance Management

We provide a General Support Agreement for each system that outlines our commitments to service monitoring. Unicard employ a dedicated, in-house 24/7 system monitoring team who report and act on system incidents to both the Infrastructure and Support teams to minimise system downtime and maximize availability.

As part of systems development, the Head of Operations prepares a Monitoring and Review plan and stores it within the ISMS for each system/solution, which the IT Teams will follow using a dedicated monitoring system called OpManager, as well as error logs and audit sheets.

Monitoring of the system components is done by the 24/7 Team in response to an OpManager or other system event alert. The following sequence is followed:

1. OpManager is configured to provide reports that are based on pre-agreed parameters for uptime, service responsiveness (milliseconds), general availability, transaction volumes, and any other custom parameters required for a specific project. Any breach is emailed to relevant teams. These include Customer Support, Operations, Security and IT.
2. These reports are checked every morning by the 24/7 Team, and on-demand if a system alert has been generated. Any alerts are acted on to restore the system immediately following an established troubleshooting checklist that is specific to each system. If the 24/7 team cannot rectify the issue, an investigation is raised according to the priority of the issue.
3. Following an error, a ticket is created in our ticketing system by the 24/7 Team or any other party that discovered the issue, and any findings are updated on the ticket. Should this fail to happen, and a ticket has not been updated within 48 hours for any reason, it will be automatically escalated by the ticketing system.

System Administrators will examine the Monitoring and Review plan for any recommendations or find the baseline that the systems should meet, then provide advice on any required changes to the system. Should there not be a specific Monitoring and Review plan they are to raise this in the Request for Investigation ticket but still try to resolve the issue and provide relevant information.

Unicard also provide a customer-facing portal allowing customers to report incidents or support requests relating to their systems. The portal has been configured to match an appropriate level of severity and priority depending on the information entered by the customer.

The portal allows customers to interact with Unicard instantly, view all open and closed issues and escalate any issues if the incident becomes more severe.

Unicard also compile the following reports as standard, led by the nominated support manager for the system:

System Availability – provided on a three-monthly/annual basis. These reports are provided in Excel format and provide a breakdown of system uptime expressed as a monthly percentage (or daily/weekly/quarterly if contractual KPIs are based on that timeframe), average response time in milliseconds, and the number of successful/unsuccessful transactions for the period.

Service Desk Management (SDM) – a monthly report consisting of:

- Summary of issues raised over the reporting period, with current status/resolution
- Summary of issue types, severity, current status
- Action time against defined SLA per issue or average
- Breached issues
- Outstanding issues raised prior to the reporting period
- Customer-focused statistics, reports of issues/incidents

Major Incident Report – an ad-hoc report after a major interruption to the service detailing the reasons for the outage, the response taken, and future mitigation actions.

3.11. Financial Recompense Model for not Meeting Service Levels

Should a failure to meet the 98% uptime guarantee or fault response times be detected by the Support Manager while preparing the System Availability, Service Desk Management, or Major Incident Reports, the customer is notified following a procedure that is specific to each customer and agreed during the specification phase of the project. Typically, the Support Manager will contact the Account Manager, and between them they will notify the customer's nominated representatives by the channel of their choice – usually this is an email to a nominated mailing list, optionally followed by a phone call. The

Support Manager will attach the relevant report and ask for confirmation that the customer is aware of the failure.

Depending on the severity of the failure, it is likely that a follow-up call with the Support Manager, Account Manager and customer stakeholders will be arranged within 48 hours (or sooner for more severe breaches) where the issue will be discussed further. Depending on the outcome of this meeting, the customer may choose to raise a formal notice of SLA breach; in which case, we will work together with the customer to provide suitable remedies for the breach based on severity that have been agreed as part of the service contract.

A service point is defined as 0.1% of the annual service charge with a monthly cap of 40 service points.

For every 1 percent under the 98% uptime service level, rounded to the nearest whole number, for any given month, 5 service points will be credited to the account.

For each response time that is not met, 2 service points (P1 & P2) / 1 service point (P3, P4, Service Request) will be credited to the account.

For each resolution time that is not met, 3 service points (P1) / 2 service points (P2) / 1 service point (P3, P4, Service Request) will be credited to the account.

4. Provision of the service

4.1. Customer Responsibilities

If a migration is to take place, Customers are expected to provide access to the appropriate people and data, including management of the incumbent provider.

Unicard acts as a Data Processor for the purposes of GDPR. The customer must act as the Data Controller.

All quotations and proposals are based on information relating to the requirements provided by the customer to Unicard.

Unicard reserves the right to amend any costs at call-off stage in the event of changes to specifications or other requirements relating to the proposed project that may be discovered by Unicard or requested by Customer. Any additional charges resulting will be agreed with the customer on a time and materials basis via the rate card.

An order made by a customer constitutes an offer by the customer to purchase the products and/or services in accordance with these Terms. The customer is responsible for ensuring that the terms of the order and any applicable specification that may be sent by the customer from time to time are complete and accurate

Travel and subsistence expenses are not included unless specified. Unicard will make every attempt to minimise staff travel. However, should a resource be required to travel, the Buyer will be responsible for actual and reasonable travel and subsistence expenses. All significant travel and subsistence costs will be pre-approved by the Buyer. Should a meeting be cancelled by the Buyer, then the Buyer shall be responsible on a full indemnity basis for all liabilities that Unicard incurs as a result of cancelling and/or rearranging any travel arrangements that have been arranged by or for it.

Unicard shall be entitled to raise an invoice at any time during the duration of a contract. Invoices are payable, without deduction or set-off, within 30 days of the date stated on the invoice.

The Customer agrees and understands that, should the price include a sum to retain the services of Unicard for a certain period then this is not refundable.

Title to the products shall remain with Unicard until Unicard has been paid in full for the products and all and every product or services that it had delivered to the Buyer whether under the contract or otherwise.

Information provided by Unicard for any proposal, which includes but is not limited to pricing, configurations, technical literature and specifications, constitutes Unicard trade secrets and is confidential and proprietary to Unicard, its affiliates and suppliers.

The customer acknowledges and agrees that it shall be prohibited from disclosing any product to any third party except as permitted by Unicard in writing, or by these Terms.

Unicard reserves the right to add the Buyer's name and logo to its list of published customers on its website and promotional material, unless instructed otherwise.

The Buyer shall indemnify and keep fully indemnified Unicard at all times from for and against all liabilities, costs, expenses, damages, and damages (including any direct or indirect consequential losses, loss of profits,) and all interest, and penalties suffered by or incurred by Unicard arising from any breach of contract by the Customer.

4.2. Technical Requirements and Client-Side Requirements

Specific technical requirements can be discussed prior to an order being placed. The Unicard system is web-based and the management interfaces work with any modern browser. Token acceptance (e.g. cEMV, ITSO, barcode) is dependent on the appropriate reader hardware being available.

4.3. Development life cycle of the solution

All projects at Unicard follow a strictly defined “Ways of Working” process based on the Agile methodology. This system is managed by a dedicated Product Manager and responsibility for project management is jointly owned by the Head of Product, the CTO, and the CEO. It consists of:

- a) A 73-point process flow for all work that is delivered by the business, with clearly defined stage gates and sign-off points
- b) A list of required documentation for each step of the progress, with standardised document templates/meeting formats for each, plus reference examples
- c) A detailed list of roles and responsibilities for each member of the project team
- d) Online tooling to support in project delivery, including a monitoring system that checks that each project is compliant with the Ways of Working process and all documents are filled out and uploaded

The stages of the Way of Working are:

- Feasibility
- Requirements
- Discovery & Specification
- Development
- Quality Assurance
- Prep and Go Live
- Support/BAU
- Project Closure

The Ways of Working is based on our experience of working with local authorities, and is our bespoke methodology to make the process of managing the programme of works as easy as possible. It combines structural aspects of the traditional project management methodology PRINCE2 with the development flexibility and speed of Agile/Scrum. It is certified to ISO 9001 and ISO 27001.

Typically, we customise our existing codebase and develop new features to meet requirements for the MVP, using an Agile development process, with iterative cycles of software development, testing and user acceptance. This

process gives us the flexibility to deal with changing stakeholder requirements whilst still delivering an MVP to the timescales required. Following deployment of the MVP, we will continue to iterate on the application using a “test and learn” approach. This will follow the backlog created during the Discovery phase, as well as new requirements that arise from any of the stakeholders.

We work in close collaboration with the buyer, embedding our resources in the customer’s team ensuring we work towards a meaningful customer proposition. Our product design methodology prioritises requirements based on the widely respected Design Thinking model. It is designed to effectively understand and quantify the needs of each stakeholder, and then create a delivery plan and product scope that effectively balances these (sometimes conflicting) needs with commercial and policy objectives.

Performance of the project management function is reviewed on a fortnightly call attended by all project managers as the CEO, Chairman, CTO, and Head of Product. They review the percentage of on-time deliveries against agreed milestone dates, prioritise resource clashes, and examine any specific question, comments, issues or escalations raised internally or externally.

4.4. After-sales Account Management

4.4.1. Account Management

As part of the mobilisation process, the Account Manager will prepare a client communication plan. This is a document detailing the strategies, processes, and specific details of communicating with clients on projects. This is a fluid document, capable of expanding or shrinking based on the project requirements. It is based on a template, that can later be modified to deal with the specific requirements of a project. This plan covers both external stakeholders on the client's side and within third parties, as well as team members and senior management on Unicard's side.

The communication plan outlines:

- Who are the most important stakeholders in the project and their communication details (emails, phone numbers, addresses)
- How to communicate with stakeholders, including preferred channels, tone and message depth
- When to communicate: daily, weekly, monthly, at project start, at project end, etc.

Having a well-defined plan standardises all of our communication across projects, which makes managing complex projects much easier. It also helps us to anticipate client needs and address them before they arise, based on prior experience. The main point of contact will be outlined in the communications plan (typically the Project Lead or the Account Manager), as well as the escalation routes that are available to the buyer for specific scenarios.

The communication plan is managed by the Account Manager and reviewed in conjunction with the Project Lead should any situations change – for example, the addition of a new partner or stakeholder into the process; a change in activity levels on the project; or the project progressing into a different phase e.g. development to launch.

To ensure active communication, the communications plan typically recommends a minimum of a weekly project call with all relevant parties throughout the development and delivery phases of the project, a monthly project board report and meeting, plus additional ad hoc communications as

necessary. Following delivery of the system this would change to a fortnightly status call, a monthly project board report and meeting, plus additional ad hoc communications as necessary (e.g. through support tickets). However, the specifics will be decided and agreed between all parties within the first week of commencement on the work.

4.4.2. Customer Satisfaction

To ensure customer satisfaction, we conduct regular Net Promoter Score (NPS) surveys each year to help measure our success as a business. This is based on classic NPS methodology with a scoring on a scale from 1 to 10, plus additional qualitative customer care questions. A report is compiled by the HCC and shared with everybody in the business. Any negative comments from the survey are followed up with the buyer by the Support Team and Account Manager, to understand whether further remedial action is required.

All of our team, not just customer facing roles, are encouraged all to keep this score in mind and think of ways they can maintain, or better still, improve this score in their day-to-day work. In addition to the NPS, we also send out follow-up surveys to get additional information and feedback from our customers; we are keen to listen to what they have to say about our products and us a company and feed that back into everything we do. Our high NPS score shows that our customers are highly satisfied with our products and services, to the extent they are willing to recommend us to their colleagues and partners.

Alongside the NPS work, during the course of project delivery, customer satisfaction is a high priority goal. The Account Manager and Project Lead are tasked with monitoring customer positivity through the regularly meetings and status calls, and actively flagging any issues that need escalation. Such issues are typically raised and discussed at a monthly project board with the customer, as well as in ad hoc internal catchups for each customer account if any negative issue has been observed.

4.5. Termination Process

Unicard's termination agreements are peculiar to each customer and are usually predicated on the particular service or product, or range of products, that we are supplying to that customer.

In all of our contracted work there are typically contracted notice periods and contractual obligations for both the customer and ourselves which must be adhered to, due to the nature of the services we provide. Because the majority of our work is in the public sector, we are meticulous in following these contractual obligations closely. For G-Cloud 15 customers, termination approaches are in line with the call-off terms and include the right to terminate for any reason with 30 days' notice.

The buyer acknowledges that it has purchased the Services for the Minimum Period and any Renewal Term(s)), as defined in the Certificate or Order Summary. Early termination therefore incurs a termination fee equivalent to the full value of the Setup Fee, Platform Fee, and Licence Fee for the remaining Minimum Period and any Renewal Term(s).

5. Our experience

5.1. Case Studies

Over the last 20 years, Unicard's methodologies and partnership approach have delivered vast benefits for our extensive customer base. Collaboration is the cornerstone of our investment and development roadmap, and we recognise the value of choice and flexibility.

Unicard are very proud of the long-standing relationships we have with our customers, the longest of which goes back 18 years to Solent who were Unicard's first ever customer in 2003; Unicard has just been selected by Solent as a key partner in the winning consortium to deliver their Mobility-as-a-Service project funding as part of the DfT's Future Transport Zone initiative.

5.1.1. Transport for the West Midlands

This is illustrated perfectly with Transport for West Midlands (TfWM) where our relationship goes back to 2008, and where we are currently 4 years in to a 10-year contract. The confidence shown by TfWM in Unicard as their principal provider has encouraged Unicard to move into areas we previously had not operated, and the trust placed in us has paid huge dividends for both parties in the partnership, with TfWM's Swift scheme now the largest and most progressive travel solution for the UK public outside of London's Oyster scheme.

Our close ways of working embrace collaboration with our customers, often embedding our resources in the customer's team, ensuring close alignment to goals and objectives, taking ownership of any outputs and ultimately delivering the right customer outcome – exhibited very well again at TfWM.

5.1.2. Transport Scotland

Unicard have recently been selected as the preferred provider for the Transport Scotland HOPS. This is a 6-year contract and the change of provider necessitated an expedient transition from the incumbent (ACT) to Unicard. This has taken place without incident in incredibly short time frames (12 weeks) for this type of work.

5.1.3. SAM

With SAM, our relationship goes back a number of years, and more formally over the last 5 years, where SAM have selected Unicard out of all the HOPS suppliers on their framework for the provision of their own managed service, judging us to provide the best technical, operational and commercial offering. SAM wanted a truly open and interoperable HOPS, capable of handling large volumes of transactions, so that they (SAM) have the freedom to select any supplier for the other components of the system, with minimal integration or development needed thanks to our “out-of-the-box” API solution.

We believe that we have been successful in maintaining our customer relationships because we have a clear set of core values that underpin our high

performing business culture, guide our decision making and guide how we conduct ourselves internally as well as with our customers.

5.2. Contact Details

If you have any further queries, please contact sales@unicard-uk.com or call 01202 850810. Our offices are located at Holes Bay House, Upton Road, Poole, BH17 7AG.