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Information Technology

Global Service Level Agreement

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Approval of the Requirements indicates an understanding of the purpose and content described.

Approver Name	Title	Signature	Date
Steve Stevens	Vice President Information Technology		

Revision History

Date	Ver.	Description	Author/Contributor
10/29/2019	0.90	Draft Global SLA	Stevens
10/30/2019	0.91	First Draft	Stevens
10/30/2019	0.92	Draft Review updates	Stevens
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IT Global Service Level Agreement

1 Objective

A Service Level Agreement (SLA) defines services and sets performance standards between a service provider and customers. A typical SLA includes an IT service description, agreed to service level targets, responsibilities of the IT Service Provider, responsibilities of the Customer, plus general terms and conditions.

This document defines a general SLA architecture for the Information Technology Department (IT) to provide greater flexibility and ease of maintenance when changes occur to IT's service model. This document also defines the global service level for all IT services and is a baseline upon which more specific service level agreements will be added. Essentially, these are the global terms and conditions that form the base of IT's SLA framework.

The IT Service Level Agreement framework architecture consists of:

IT Global SLA:	General areas of support and targets that are applicable to every IT service (this document).
Service Specific SLA:	Levels of support and targets applicable to a specific service.
Customer SLA:	Service level agreement that documents optional customer specific requirements (additions or changes) those are unique to that customer.

If there are content differences, precedence is given to documents in the following order: Customer SLA, Service Specific SLA, and then IT Global SLA.

2 Global Service Levels

This section defines the basic level of service all customers can expect from IT.

2.1 IT Service Desk

The IT Service Desk offers a single point of contact for all customer inquiries related to IT services for Harvest. The IT Service Desk is available from **6:00 a.m. to 6:00 p.m. Arizona time Monday through Friday**, excluding holidays. After hours emergency support is available at all other times. Service desk agents provide service analysis and problem solving.

The differences in the levels of support, including duties and tasks association with each level, is explained further under Section 3.3 Service Delivery.

2.2 Maintenance Windows

Many IT Services are available 24x7, excluding outages from planned maintenance windows and unavoidable events. Maintenance windows are used only when needed for planned changes that have gone through the IT Change Management Process. In

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addition to the Standard IT Maintenance Windows, site-specific changes may be coordinated with customers at non-standard times.

IT Standard maintenance windows include:

- 8:00 p.m. to 11:00 p.m. every Sunday

Service specific maintenance windows outside of these standard windows are documented in the service specific SLA.

2.3   Contacting Support and Ticket Escalation

The IT Service Desk is the single point of contact for initiating all Service Incidents and Requests, including any requests for ticket escalation. Customers may contact the IT Service Desk using the **Web Portal http://help.harvestinc.com (VPN required for remote users) or by phone 480-565-1982**.

Special procedures are defined in the design of both incident and support processes to address special circumstances such as:

- Major Incidents
- Periods of urgency
- Request to address emergencies outside the working hours

In those cases, emergency procedures are defined as escalation. Major incidents will include additional communication to Users on a frequent basis and notification to Leadership of both the customer and Harvest IT. A service customer may choose to invoke "escalation' meaning that the service delivery process may engage additional tiers of specialists, the service prioritization may be increased to the highest level possible, or both when appropriate.

The Business Analyst (BA) or Project Manager (PM) assigned to your organization is available to address any questions regarding IT services, processes or information technology business needs. You may contact your Business Analyst or Project Manager directly or initiate a Service Request with the IT Service Desk.

3   Service Incidents and Requests

This section defines how service incidents are handled as well as the service request process.

3.1   Ticket Creation and Prioritization

Two types of tickets may be created by contacting the IT Service Desk. An Incident is any disruption of service. A Service Request is a request for information or a request for a new service or to change an existing service. Customers may open an Incident or a Service Request ticket through the Web portal or by calling the IT Service Desk.

Upon ticket creation, the customer will automatically be emailed a Receipt Confirmation with a ticket number. This confirmation notes that the Incident or Service Request has been received at the IT Service Desk and that it is being assigned to a work group.

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The IT Service Desk assigns a Priority to every Incident or Request. A Priority Model is used to ensure a consistent approach to define the sequence for a ticket to be handled and to drive the assignment of resources.

The <u>default</u> Priority assigned to a ticket depends upon:

- The Impact on the business: scope, and effect of the incident or service request on business processes
- The Urgency to the business: time within which the resolution is required to avoid or minimize business impact

3.2   Ticket Target Resolution Times

The Incident Target Resolution Time is the total time from ticket creation to Incident Resolution (restoration of service to the user). Service may be restored either through a workaround or a permanent solution. IT is committed to resolve ninety percent (90%) of Incidents within the time frame specified for each Priority.

The following chart shows the target response and resolution times by Priority after the initial assessment/assignment of an Incident by the Service Desk.

Incident Priority	Target Response Time	Target Resolution Time
Emergency (1)*	30 minutes	4 hours or less**
High (2)*	1 hour	8 hours or less**
Medium (3)	8 hours	24 hours or less
Low (4)	1 business day	3 business days

Request Priority	Target Resolution Time
Emergency (1)	Same business day or less
High (2)	1 business day or less
Medium (3)	2 business days or less
Low (4)	5 business days or less

Note that Incidents and Requests that are escalated to Tier III or Tier IV (vendor or partner resources) for resolution may require additional time.

*Note Incidents and Requests highlighted in yellow will be covered for retail facilities after hours, weekends, and holidays by the on-call support staff.

** Requires phone call verification of resolution

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3.3 Service Delivery

Technical support for incident response and request resolution is subdivided into tiers, or levels, in order to better serve the customer base. The reason for providing a multi-tiered support system instead of one general support group is to provide the best possible service in the most efficient possible manner. Harvest support structure uses a four-tiered technical support system.

Tier I Basic Customer Issues	Phone/Email Support 1. Gather the customer's information 2. Perform troubleshooting to determine issue, underlying cause and steps for resolving the issue 3. utilize remote-control tools to take over the user's machine for the sole purpose of troubleshooting and finding a solution to the problem.
Tier II Onsite Support	Planned onsite installations or replacements of various hardware components, software repair, and diagnostic testing 1. Gather customer's information 2. Receive approval from IT and Retail management for performing Tier 2 work 3. Can also perform Tier 1 duties as needed.
Tier III IT Specialist	Specialists with experience and knowledge of the system/software in question provide in-depth technical support. 1. Tier III Specialists work together with Tier I and Tier II specialists to assist with research and development of solutions to new or complex issues.
Tier IV Vendor Involvement	Vendors that provide expertise into their specific system will be utilized when Tier III is unable to resolve or is not available.

4 Change Management

IT has a Change Management Process with the goal of protecting the shared environment of Harvest's infrastructure from unintended impacts as a result of changes made to the various systems, applications, and equipment managed by IT.

All changes must adhere to the following guidelines:

- IT will notify Customers of planned changes to IT Services.
- Planned Changes will occur during the maintenance window.
- Changes required outside the maintenance window require business review.

- Significant change (i.e. platform, architecture, etc) must be co-reviewed with impacted business leaders.

5 Customer Communication

IT will update customers as tickets are being remediated and upon ticket resolution. IT will also provide communications, through the IT Service Desk, when Incidents or outages occur that may impact the customer.

If an Incident is causing major impact, or potentially major impact, to the business and requires a response that is above and beyond that given to standard incidents, a Major Incident (MI) may be declared. Typically, MIs are prioritized as critical incidents and require cross-organization coordination, management escalation, the mobilization of additional resources, and increased communications. The Business Analysts will work with their respective Departments to maintain updated MI contact information.

6 Security Standards and Policies

IT services adhere to Harvest security standards and policies. The Customer is responsible for ensuring that their use, processes and data are compliant with and follow security standards and policies. As an example, the Customer is responsible for classifying their data and identifying additional security that may be required for data classifications such as PII, HIPPA, PCI or IRS 1075.

7 Customer and IT Access and Assets

7.1 Protection of Equipment

Customers must protect all IT owned assets that are residing at customer locations or being used by customer personnel or contractors. While the customer is responsible for the physical security of the assets, IT will replace assets that are lost, damaged or stolen while on customer premises and/or in use by customer employees or contractors.

7.2 Site Environmental

Customers must provide, protect, control and monitor any onsite environmental associated with the presence of IT owned assets. This includes HVAC, static electricity, humidity, air circulation, electrical circuits and line fluctuations, flooding, physical access, space management, and BCP/DR plans for the environmental controls.

If a new location or site is being considered for IT Services, a site survey will be conducted by IT staff to determine if there are environmental concerns or other issues that need to be addressed as part of the service provisioning process. Any issues that cannot be addressed or that are non-standard will be documented in an MOU, including additional costs (if applicable) and other actions needed to mitigate the risk or concern.

7.3 IT Access and Changes to IT Equipment on Customer Premise

Departments must provide timely physical site access to IT staff so that IT can provide the necessary support for the services being provided to that location. Access must be provided to IT assets located on customer premise, including access to server closets, wiring closets, switches and other IT managed devices.

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- IT staff must adhere to a Department's security access requirements, e.g., signing a visitor's access log or Dispensary Agent card.
- Departments agree to permit IT to provide services and the management of IT remote equipment in the Department.

7.4 On-boarding and Off-boarding of Employees and Contractors

Human Resources will alert the IT Service Desk for the on-boarding and off-boarding of employees/contractors when they are entitled to receive support for any IT service. In addition, IT owned assets deployed to Department employees/contractors must be returned to IT for proper equipment cleanup and potential reuse, upon termination.

8 Service Level Reviews

IT will hold periodic Service Level Reviews with our customers. The reviews will be facilitated by the IT Business Analyst and conducted at a minimum on an annual basis or as needed.

As a part of Service Level Reviews, SLAs will be periodically reviewed and modified as required. SLAs will also be reviewed under any of the following conditions:

- Whenever there is a significant and/or sustained change to the delivery of the service
- Whenever there is a significant change requested to the SLA that supports the IT service
- Whenever changes are required due to compliance, legislation or legal order.

Customers may request a review of their SLAs at any time by contacting their assigned IT Business Analyst. As a result of these service reviews or as other information is provided, service improvement programs may be implemented.

9 Metrics and Reports

Metrics and reports will be discussed at the Service Level Reviews. Archival of all reports shall follow the records retention schedule adopted by policy, as applicable.

Report Name	Reporting Metric	Reporting Interval	Reporting Source
SLA Report for Incidents Resolved	Resolved incidents within and outside of the SLA; Service Request Resolution Times	Monthly	Service Management Reporting Tool

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Report Name	Reporting Metric	Reporting Interval	Reporting Source
Change Management**	Successful Changes as defined in the Change Management Process	Monthly	Change Management System

** Change Management Process is currently being built out and reporting will not be immediately available.