

Office of the Adjudicator – Broadcast Transmission Services

Report for the period 1 January 2019 – 31 March 2019

Contents:

- 1. Background**
- 2. Office of the Adjudicator**
- 3. Disputes and guidance**
- 4. Publication of reference offers**
- 5. Reporting and audit**
- 6. Planned future activity**

1. Background

On 11 March 2008, the Competition Commission (CC) announced its decision to allow the merger of transmission companies Arqiva and National Grid Wireless (NGW) subject to the agreement of a package of measures (undertakings) to protect the interests of their customers.

Arqiva and NGW overlap in the provision of Managed Transmission Services (MTS) and Network Access (NA) to transmitter sites and associated facilities for terrestrial television and radio broadcasters. In its final report, the CC found that Arqiva and NGW were the only active providers of MTS/NA to the UK television broadcasters. The companies were also the most significant providers of national MTS/NA to UK radio broadcasters with a combined market share of more than 85%. In both cases, prior to merger, the companies had exercised a competitive constraint on each other.

The CC concluded the merger of the two companies would lead to a “substantial lessening of competition” in broadcast transmission services, specifically in the provision of MTS/NA to television and radio broadcasters.

After consultation by the CC with Arqiva, its customers and other stakeholders, the Commission accepted certain undertakings from Arqiva on 1 September 2008.

http://webarchive.nationalarchives.gov.uk/20140402141250/http://competition-commission.org.uk/inquiries/ref2007/macquarie/pdf/notice_undertakings.pdf

The Undertakings are intended to mitigate the substantial lessening of competition by protecting existing and new customers over the terms and conditions of supply, including protection against future price rises and protection against changes in non-price related areas (such as discrimination issues and service standards).

The Undertakings provide for the appointment of an Adjudicator, as described in Appendix 1 (Adjudication Scheme) and Appendix 2 (Adjudication Rules). The main role of the Adjudicator is to determine disputes arising out of the operation of the Undertakings.

Paragraph 35 of Appendix 1 to the Undertakings requires the Adjudicator to make periodic reports to the Office of Fair Trading (now the Competition and Markets Authority), copied to Ofcom, covering the following points:

- Any Guidance issued
- Determinations in relation to Disputes
- The views of the Adjudicator about the operation of the Undertakings, the Adjudication Scheme and Adjudication Rules as well as any recommendations for amendments
- The views of the Adjudicator on the performance of Arqiva in complying with the Undertakings

This report covers the operation of the Office of the Adjudicator over the period from 1 January 2019 to 31 March 2019. This report will be published on the website of the Adjudicator (www.ota-bts.org.uk) with any information that the Adjudicator regards as confidential redacted.

2. Office of the Adjudicator

2.1 Adjudicator

The Office consists of Alan Watson as Adjudicator and Jon Butler as Deputy, both are part time. Megan Donald is Executive Assistant and Office Manager, also on a part time basis.

Legal advice is provided by Mr Paul Herbert of Goodman Derrick LLP.

The Adjudicator and Deputy have vacated the office at Ofcom, but Megan remains there. IT is now directly provided with a resulting change in web and email addresses

Website: www.ota-bts.org.uk

Adjudicator alan.watson@ota-bts.org.uk

Deputy jon.butler@ota-bts.org.uk

Exec asst megan.donald@ota-bts.org.uk

2.2 Budget

The operational budget for 2018/2019 is £477,364 with a contingency of £470,000.

Expenditure from 1 April 2018 to 31 March 2019 is £391,245.44 with no recourse to contingency.

The budget for 2019/20 has been set at £473,872 with a contingency of £470,000.

2.3 Stakeholder Meetings

During this period regular meetings and communication with stakeholders have continued and include government departments, television broadcasters and radio broadcasters, both large and small:

Confidential information redacted

2.4 Arqiva

Paragraph 35 of Appendix 1 of the Undertakings requires the Adjudicator to comment on the performance of Arqiva over this period, in relation to the Undertakings.

The performance of Arqiva continues to be generally satisfactory.

3 Disputes and Guidance

In this period there have been no disputes requiring the use of the formal dispute procedure. Further information on Guidance can be found in Paragraph 6.1 of this document.

4 Publication of Reference Offers.

The 2018-19 radio rate card for site access can be found at;

https://www.arqiva.com/documentation/reference-offers/broadcast-radio/Arqiva_Radio_Rate_Card_for_Network_Access_2018-19.pdf

Reference offers can be found at:

<https://www.arqiva.com/documentation/reference-offers/>

There have been no new reference offers during this period.

5 Reporting and Audit

5.1 Regulatory Accounts

Arqiva is obliged to produce annual accounts in accordance with the requirements set out in Paragraph 15 and Appendix 14 of the Undertakings.

The accounts for the period 1 July 2017 to 30 June 2018 have been produced and approved and are available at:

<https://www.arqiva.com/documentation/regulatory/>

The Regulatory Accounting Principles and Methodologies (RAPAMS) which set out how the accounts are produced and are approved by the Adjudicator can be found at the above link.

5.2 Compliance Report

Paragraph 18.1 of the Undertakings requires Arqiva to deliver an annual report to the Office of Fair Trading (now the Competition and Markets Authority) setting out steps taken to comply with the Undertakings and details of any breaches and including steps taken to remedy them.

The 2018 report has been delivered to the CMA, Ofcom and the Adjudicator. There were no instances of non-compliance.

5.3 The Undertakings

The Adjudicator believes that the Undertakings, the Adjudication Scheme and Adjudication Rules are satisfactory at the present time and that no changes are needed.

5.4 Information Security Strategy

Paragraph 16.2 of the Undertakings requires Arqiva to produce an Information Security Strategy which defines the measures to be taken to ensure that confidential information held in one part of the company cannot be used by another for commercial advantage.

The Information Security Strategy can be found at:

<http://www.arqiva.com/documentation/corporate/arqiva-information-security-strategy-version-1.0.pdf>

The Adjudicator has recently audited the information security strategy. The audit report is attached as Appendix A to this report.

6 Planned future activity

6.1 Guidance

The Adjudicator has previously issued guidance covering Paragraphs 6 and 9-12 of the Undertakings. The Adjudicator considers that no further guidance is currently required in relation to Paragraph 6 of the Undertakings.

At present the Adjudicator is of the opinion that no Guidance is required in relation to Paragraph 3 of the Undertakings. Application of, and compliance with, this paragraph will be monitored and Guidance issued at a later date if necessary.

The Adjudicator holds a series of documents produced by Ofcom which cover detailed guidance for the production of reference offers. Some of this is specific to the now historic high power DTT reference offer and so the Adjudicator has now prepared and published a summary document which covers the aspects which constitute current guidance.

<http://www.adjudicator-bts.org.uk/guidance.htm>

6.2 Audits

Arqiva use a database system called KEEP to maintain site infrastructure records. The KEEP database records a variety of site data which includes information relating to the height, type and location of antenna systems. Antenna information from KEEP is used to determine the loading which the antenna system places upon the site mast or tower. This loading (windloading) is used to calculate a part of the charges to the users of the antenna systems.

In March 2016, the Office of the Adjudicator BTS undertook the first audit of the accuracy of the KEEP data, the second audit was undertaken in June 2016. Twelve transmitter sites were visited for the assessment of 1343 antennas, the electricity use of 56 transmitter systems and the accommodation allocated to 12 transmitter systems. The audit tests showed that 256 antenna observations were not reasonably consistent with the KEEP records while both the electricity use and accommodation use were reasonably consistent with Arqiva's records. The 256 antennas were predominantly microwave dishes for non-broadcast use and while these data inconsistencies may impact the calculation of some charges to Broadcasters the overall impact was found to be minimal.

In May 2016 Arqiva produced an action plan to address inconsistencies in the antenna records and in September 2017 a third audit of six sites was undertaken by the Adjudicator. The selection of these six sites includes two which were included in a previous audit, two which had been surveyed by Arqiva and two which had neither been audited or surveyed.

The site observations in the September 2017 audit showed a similar number of discrepancies to Arqiva's KEEP records when compared to previous audits in March 2016 and June 2016. In the September 2017 audit, 743 site observations were compared to Arqiva's KEEP records. Of these 743 antennas, 136 were recorded as not reasonably consistent with Arqiva records

Arqiva worked with the Adjudicator in the analysis of the findings and noted that ... *'Despite positive action since the last audit, Arqiva is disappointed that this audit has picked up several data record issues and we recognise that there is still work to do to carry on improving our antenna data records. We note that the observations have a very small impact on some customer charges, both positive and negative.....'*

The full audit report was provided as an annex to the December 2017 report.

A further KEEP audit in 2018 showed significant improvement on the previous audits. The full report was published as an Annex to the Q4 2018 report. The Adjudicator intends a further audit in 2019.

6.3 700 MHz clearance.

The Adjudicator has no formal role in the 700MHz clearance programme but some aspects do come within the remit.

The Office of the Adjudicator - BTS

Audit of the Arqiva Information Security Strategy

Non-Confidential version

Contents

Introduction..... 3

Executive Summary & Outcome..... 4

Audit Scope..... 5

Audit Steps 5

Audit Step 1 - Review the protocols & measures..... 6

Audit Step 2 - The tests and checks..... 6

Audit Step 3 - Evidence..... 7

Annex 1: Arqiva protocols applying to the sale and marketing of Connect TV services in the context of ISS 14

Annex 2: ISS Protocols and Measures - The Undertakings..... 15

Version No	Date	Modified by	Notes
0.2	7/3/2019	J Butler	First draft for comment
1.0	22/3/2019	J Butler	Final version
1.1R	25/03/19	J Butler & Arqiva	Redacted Version

Introduction

1. The purpose of this document is to set out the findings from the third audit of the operation of Arqiva's Information Security Strategy (ISS).
2. On 11 March 2008, the Competition Commission (CC) announced its decision to allow the merger of transmission companies Arqiva and National Grid Wireless (NGW) subject to the agreement of a package of measures (Undertakings) to protect the interests of their customers. Section 16¹ of the Undertakings requires that Arqiva publish an ISS to meet the confidentiality of information requirements of the Undertakings. The Undertakings also set requirements related to this strategy. The Office of the Adjudicator - BTS undertook the first audit of the Arqiva ISS during March 2011 and the second audit during December 2016 and January 2017.
3. This third audit uses a similar approach to the second audit and considers structural changes within Arqiva, procedural changes and current measures employed by Arqiva to meet the requirements of the ISS. The scope of this audit is set out in this document with references to previous audits where helpful to do so.
4. A preliminary meeting with Arqiva was held in November 2018 to discuss organisational changes since the previous audit and the scope of this audit. Arqiva have since provided answers to follow up questions and have provided several documents and statements to support these answers. At a second meeting Arqiva provided further evidence of the ISS protocols and measures in operation. Interviews were held with personnel from Arqiva's training department and internal audit department.

¹ This section of the Undertakings is shown in Annex 2

Executive Summary & Outcome

5. This is the third audit of Arqiva's protocols and measures for information security. Information security is a requirement from section 16 of the Undertakings. The protocols and measures are set out in Arqiva's Information & Security Strategy (ISS). Arqiva provided evidence of these measures in operation in the form of documents, statements, examples and live demonstrations.
6. Arqiva supplied evidence that they consider the confidentiality of information during organisational restructuring & staff movements and follow formalised protocols when undertaking sensitive work. Directors and Senior Managers monitor activities which require compliance with the Undertakings and are required to sign compliance statements. ISS matters are tabled as regular agenda items at departmental and team meetings. Sensitive information is handled in accordance with ISS protocols and stored in appropriate systems. Arqiva test the operation of the protocols and measures relating to the electronic storage and physical disposal of sensitive information and those relating to staff access of controlled areas. The tests are undertaken by internal and external auditors and for compliance with ISO 27001. Arqiva monitor staff training and awareness relating to the Undertakings and require staff to sign a code of conduct which includes ISS requirements.
7. The findings of this audit are that Arqiva have **reasonably demonstrated that the ISS protocols and measures are operating satisfactorily**. There is one observation and recommendation for consideration by Arqiva;
 - Arqiva did not demonstrate protocols for the disposal of sensitive electronic documents nor evidence of electronic document disposal taking place. It is recommended that Arqiva consider the introduction of appropriate protocols.

In response, Arqiva provided the following reply;

"Arqiva continues to consider the practical options to allow disposal of sensitive electronic documents. With the ongoing business requirements for data system resilience, with storage for contractual and future audit purposes, (both for customers and for regulation), there are many challenges in both securely handling electronic documents and potentially disposing of them permanently. The disposal is not a requirement that we have had from customers to date.

We are proposing to address this observation in the future in the following way.

Once a project or spectrum auction involving handling and storage of Confidential Information has been completed, then such information held on dedicated server space which is directly accessed by the business could be deleted. We will work with Arqiva's Information Technology specialists to confirm how this might be achieved. The Confidential Information would still be sitting on back-up servers but not on "information systems/electronic storage space" that could be directly accessed by the business.

We will continue to consider options that may be available in terms of up to date industry practice in this area."

Audit Scope

8. In March 2011, the first audit scope was agreed between the Adjudicator and Arqiva with the aim to answer the question: 'Do Arqiva meet the requirements of the Undertakings in regard of their ISS?' The following specific questions were considered.
 - 8.1. Do the protocols and measures described in the Arqiva ISS document meet the requirements of the Undertakings?
 - 8.2. Can Arqiva demonstrate that these protocols and measures are appropriately applied and successfully practised within their business?
9. Arqiva's ISS document has not changed since the first audit in 2011 and so question 8.1 is not revisited. Question 8.2 will be considered in this 2018 audit through the audit steps set out below.

Audit Steps

10. In March 2011, it was agreed that the first audit would use the following steps to answer audit questions 8.1 and 8.2.
 - a) Review the ISS document with Arqiva.
 - b) Establish how the protocols and measures within the ISS document are practically undertaken within Arqiva.
 - c) Agree tests and checks related to these protocols and measures as applied to real business activities within Arqiva.
 - d) Undertake these tests and checks, and to obtain evidence as appropriate
 - e) Establish if the protocols and measures, as evidenced, meet the requirements of the Undertakings

Steps b, c & d relate to audit question 8.2 and form the basis of this third audit as shown in paragraph 11.

11. The steps for this third audit are as follows.

Step 1: Review the protocols and measures previously tested and establish whether the same are in operation or whether there have been any changes or new protocols/measures introduced.

Step 2: To agree tests and checks related to these protocols and measures as applied to real business activities within Arqiva.

Step 3: Undertake these tests and checks, and to obtain evidence as appropriate.

Audit Step 1 - Review the protocols & measures

12. Step 1 of the audit considers the protocols and measures previously tested and whether those same measures are in operation or whether there have been any changes or new measures introduced. The protocols and measures are defined in Arqiva's ISS as follows.

- Principles for Access and Use of Confidential Information
- Protocol for the Identification and Treatment of Different Categories of Confidential Information
- Measures to Ensure the Security of Confidential Information, including
 - Security of Information Storage and Systems
 - Physical Security of Confidential Information
 - Employee Disclosure
 - In the event that Arqiva is a bidder in a Competitive Spectrum Action
 - Staff Training and Awareness

13. Arqiva's ISS has not changed since previous audits and these same protocols and measures are in use by Arqiva.

Audit Step 2 - The tests and checks

14. The operation of the protocols was considered by review of Arqiva documents, reports, templates and emails for real business activities. This included Arqiva's audit and compliance reports as evidence of the measures being tested. Arqiva's systems for web-based training, electronic training records and web-based protocols were reviewed 'live' at Arqiva Crawley Court.

15. The tests are considered in the form of questions as set out below. These are the same questions from step 2 of the previous audit.

Do Arqiva....

- Consider information security during organisational restructuring?
- Use appropriate protocols for undertaking sensitive work?
- Handle sensitive information in accordance with the ISS protocols?
- Use appropriate systems for storing sensitive information?
- Use appropriate systems for controlling physical access to secure areas?
- Test that these measures are effective?
- Provide training and awareness of their ISS and the requirements of the Undertakings?
- Consider matters relating to ISS compliance at board meetings?

16. Arqiva supplied written evidence in support of their responses and other evidence was provided for review at Arqiva Crawley Court.

Audit Step 3 - Evidence

This section contains evidence of the ISS protocols in action set against the questions set out in paragraph 15 of this document. The evidence was provided by Arqiva in the form of documents, presentations and live demonstrations. This was provided during meetings with Arqiva and in follow up sessions.

Some responses may be relevant to more than one question and are only shown against one question to avoid repetition. Each question is taken in turn with the responses and evidence beneath.

17. Do Arqiva consider information security during organisational restructuring?

17.1. Organisational structure diagrams

Arqiva provided organisational structure diagrams with named individuals for the Terrestrial Broadcast business. The diagrams included direct report and were provided for the following business areas;

- Client Management Director (✂)
- Director DTT MuxCo (✂)
- Head of Account Management Digital Platforms (✂)
- Director of Strategy, Ventures, Product and Marketing (✂)
- Head of Product and Proposition Development (✂)

Arqiva explained the operation of the groups and the working links between groups including the points of separation.

Since the time of the previous ISS audit organisational structure changes have taken place, some permanent and some temporary. Examples were provided along with operational protocols and these are described below;

17.2. Temporary appointment of commercial director for 700MHz Clearance

ISS compliance protocols were put in place for the temporary appointment of Director Arqiva DTT MuxCo (✂) to head up the commercial side of the Arqiva Transco DTT 700MHz Clearance Programme in February 2017. Supporting evidence of these protocols was provided; Copy of compliance protocols and email exchanges between OTA, OTA legal (✂), Arqiva legal (✂), Arqiva Company Secretary (✂), confirmation of circulation to Arqiva customers (✂). The protocols include a requirement for a formal monthly declaration to be submitted by the commercial head of the DTT 700MHz Clearance Programme. The protocols are signed by the Managing Director (✂) on behalf of Arqiva Limited.

17.3. Transfer of Connect TV team into Terrestrial Broadcast

✂

18. Do Arqiva use appropriate protocols for undertaking sensitive work?

✂

19. Do Arqiva handle sensitive information in accordance with the ISS protocols?

19.1. Handling of reference offers and customer bids following Ofcom licence advertisements.

Arqiva use ISS protocols when dealing with reference offers and customer bids following licence advertisements from Ofcom. These advertisements are monitored by Arqiva and appropriate managers are made aware of the relevant protocols as and when the advertisements are announced. Supporting evidence; ✂

19.2. Handling of reference offers, customer bids and Arqiva bids following Ofcom licence advertisements.

✂

19.3. Handling of sensitive information and compliance awareness as a business as usual activity.

Arqiva Radio Account Managers and Arqiva Regulatory Team have regular conference calls to discuss any matters relating to regulatory compliance. ✂

Representatives across Arqiva meet monthly in a formal meeting to discuss any regulatory compliance matters including Head of Radio, Legal, Regulatory Team, Strategy Ventures Product & Marketing. The format of the meeting includes sections for Super Credits, Sale of Equipment, Renewal of Contracts, New Transmission Agreements, Network Access, Reference Offer, Adjudicator matters and Confidentiality issues. Supporting Evidence; ✂.

20. Do Arqiva use appropriate systems for storing sensitive information?

Arqiva report that since 2013 they have received accreditation to the ISO 27001 standard for Information Security Management. Arqiva carries out regular internal audits to confirm the requirements. In addition, Arqiva use external auditors to test the requirements are met. The external audit reports were presented for review at Crawley Court on 28 November 2018 and did not contain any non-compliances nor observations in regard of information storage.

Arqiva protocols document SY-SD-001-1.0 31 May 2018 Information Classification. Prepared by Arqiva Information Assurance. A ten-page document defining the classification scheme for Arqiva's information and the inventory requirements for information assets. The purpose of this standard is to ensure that Arqiva's information assets are given the appropriate level of protection based on their

classification. Evidence provided; October 2018 Connect TV product recommendation relating to capacity agreements noted as 'Company Confidential' on each page.

Arqiva provided information regarding encrypted PC storage, PC screen locking, clear desk policy and document disposal. PC security is a part of the ISO 27001 standard. The clear desk policy was evident when visiting Arqiva at Crawley Court and secure disposal bins were observed. The ISO 27001 audit included checks of confidential document disposal certificates from 3rd party disposal companies.

21. Do Arqiva use appropriate systems for controlling physical access to secure areas?

Arqiva consider information security and the impact of role changes when Arqiva staff move from one position to another. Supporting evidence; ✂.

The widespread use of access control systems is evident at Arqiva Crawley Court. Accreditation to the ISO 27001 standard includes physical security measures and is a part Arqiva's external audit.

Arqiva presented electronic reports of internal audits of the access measures in operation. Arqiva presented external audit reports for review at Crawley Court on 28 November 2018 and these did not contain any non-compliances nor observations in regard of access control.

22. Do Arqiva test that these measures are effective?

22.1. ISO 27001 compliance and audit

ISO 27001 is described as an *international standard which is recognised globally for managing risks to the security of information you hold. Certification to ISO 27001 allows you to prove to your clients and other stakeholders that you are managing the security of your information. ISO 27001:2013 (the current version of ISO 27001) provides a set of standardised requirements for an Information Security Management System (ISMS). The standard adopts a process based approach for establishing, implementing, operating, monitoring, maintaining, and improving your ISMS.*

The following notes are from a meeting with Arqiva on 28 November 2018 covering ISO 27001 compliance and audit;



22.2. Arqiva internal compliance certification

Arqiva produce internal monthly compliance certificates for the Connect TV team. These documents are produced by the Regulatory team and reviewed by the Company Secretary. The certificate includes sections for the handling of Confidential Information. The document is signed with a formal declaration of accuracy. Supporting evidence; Copy of certificate dated 1 August 2018.

Arqiva produce internal monthly compliance certificates for Terrestrial Broadcast. These documents are produced by the Regulatory team and reviewed by the Company Secretary. The certificate includes sections for Super Credits, Sale of Equipment, Renewal of Contracts, New Transmission Agreements, Network Access, Reference Offer, Adjudicator matters and Confidentiality issues. The document is signed with a formal declaration of accuracy. The document also includes schedules of compliance rules and pricing terms. Supporting evidence; Copy of certificate dated 27 September 2018.

23. Do Arqiva provide training and awareness of their ISS and the requirements of the Undertakings?

23.1. Arqiva 'Undertakings' courses and ISS awareness

The following notes are from discussions with Arqiva's training manager on 28 November 2018.

Arqiva demonstrated the 'Undertakings 2018' and 'Undertakings 2018 refresher' training courses on a live e-learning platform at Arqiva offices at Crawley Court. The training courses covered all aspects of the Undertakings and incorporated a test with an 80% pass mark. An individual is only registered as having completed the course once the test has been successfully completed. All relevant staff in Arqiva Terrestrial Broadcast (TB) are required to undertake the Undertakings course when joining and the refresher course annually. A tracking system provides reports on satisfactory completion of the courses and any staff who have not completed the course are flagged for follow up.

The tracking system was demonstrated during the meeting which showed no individuals more than four weeks overdue for the Undertakings course and no individuals more than three weeks overdue for the Undertakings Refresher course. Any overdue courses are flagged to the individual's line manager for escalation. Completion statistics are a measured KPI for the administrators of the training programmes. There are over 200 individuals who are required to take these courses in 2018.

Periodically, the list of staff in Arqiva TB is compared to those flagged in the e-learning platform to ensure they match. Arqiva report that during times of restructuring the impact on training course requirements is considered. An example being the Arqiva Transformation Group who were added to the group requiring Undertakings training.

23.2. Arqiva code of conduct

Arqiva have a formal code of conduct which applies to all Arqiva staff on both a permanent and temporary basis. The code of conduct includes requirements relating to anti-fraud and corruption, anti-trust, confidentiality and integrity, and compliance with the code. The confidentiality section specifically refers to regulatory compliance, the Undertakings and Arqiva's Information Security Strategy. An appendix to the code of conduct includes specific ISS requirements for those Arqiva staff with access to confidential information covered by the Undertakings. The appendix requires the signature of the member of staff to indicate that they have read and understood the requirements. Supporting evidence; 200.

Arqiva's intranet contains details of the Undertakings, a copy of the code of conduct and a board overview of the ISS and Undertakings. Supporting evidence; Copy of screen shot from intranet and demonstration while on site with Arqiva.

24. Do Arqiva consider matters relating to ISS compliance at board meetings?

24.1. Annual undertakings compliance reports

Arqiva produce annual undertakings compliance reports and provided a copy of the report titled 'Arqiva Limited & Arqiva Services Limited undertakings compliance report August 3rd 2018 relating to the period 1 July 2017 to 30 June 2018 (the reporting period)'. The document lists all paragraphs from the Undertakings which are relevant to compliance obligations and provides a template to note status. All areas are noted compliant.

24.2. Handling of confidential information at board meetings

- ✂

Annex 1: Arqiva protocols applying to the sale and marketing of Connect TV services in the context of ISS

Arqiva document titled 'Protocols to apply to the sale and marketing of Connect TV Services in the context of the Information Security Strategy (ISS) as referred to in the Competition Commission Undertakings.



Annex 2: ISS Protocols and Measures - The Undertakings

Section 16.2 of the Undertakings states that Information Security Strategy shall require Arqiva to implement appropriate measures described as:

- 16.2.1 to ensure the security of Arqiva's information storage systems and data systems (including data collection, storage and archiving), particularly where confidential information referred to in paragraph 16.1 is stored in systems shared between business units;
- 16.2.2 to ensure the physical security of confidential information referred to in paragraph 16.1;
- 16.2.3 to ensure that an employee of one business unit does not disclose or use the confidential information referred to in paragraph 16.1 of which the employee had become aware whilst working for another business unit;
- 16.2.4 to ensure the security of the confidential information referred to in paragraph 16.1 in the event that Arqiva is a bidder in a spectrum auction in competition with a Customer or prospective customer; and
- 16.2.5 to ensure that staff receive adequate training in relation to the Information Security Strategy