

ICL Pathway	ICL Pathway Customer Service Policy Manual	Ref: CS/QMS/001
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**Document Title:** ICL Pathway Customer Service Policy Manual

**Document Type:** Quality Management System

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**Abstract:** This document forms part of the ICL Pathway Customer Service Quality Management System. It provides policy guidelines to support the definition of the CS business processes.

**Document Status:** Approved

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## 0 Document Control

### 0.1 Document History

Version No.	Date	Reason for Issue	Associated CP/PinICL No.
0.1	15.1.01	First draft	
1.0	26.1.01	For approval.	

### 0.2 Approval Authorities

Name	Position	Signature	Date
Stephen Muchow			

### 0.3 Associated Documents

Reference	Version	Date	Title	Source
CS/QMS/002	latest		ICL Pathway Customer Service Process Manual	ICL Pathway

### 0.4 Abbreviations/Definitions

Abbreviation	Definition
ATP	Authorised Temporary Procedure
BCMT	Business Continuity Management Team
BET	ICL Pathway Business Effectiveness Team
CS	ICL Pathway Customer Service
HSRF	Horizon Service Review Forum
HSH	Horizon System Helpdesk
MBCI	Major Business Continuity Incident

NBSC	Networked Business Support Centre
PIR	Post Implementation Review
PON	Post Office Networks
TP	Temporary Procedure

### *0.5 Changes in this Version*

Version	Changes
0.1	First draft.
1.0	Minor revisions in sections 3.4, 4.1.1, 6.2, 7.4, 8.8, 9.2, 9.3, 9.4, 10.2.2, 12.0, 14.0. Sections 4.1.2 and 4.1.3 deleted.

### *0.6 Changes Expected*

Changes
a) The addition of a process modelling convention. b) Additional information on software release management. c) Additional information on operational business change.

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## 1 *Introduction*

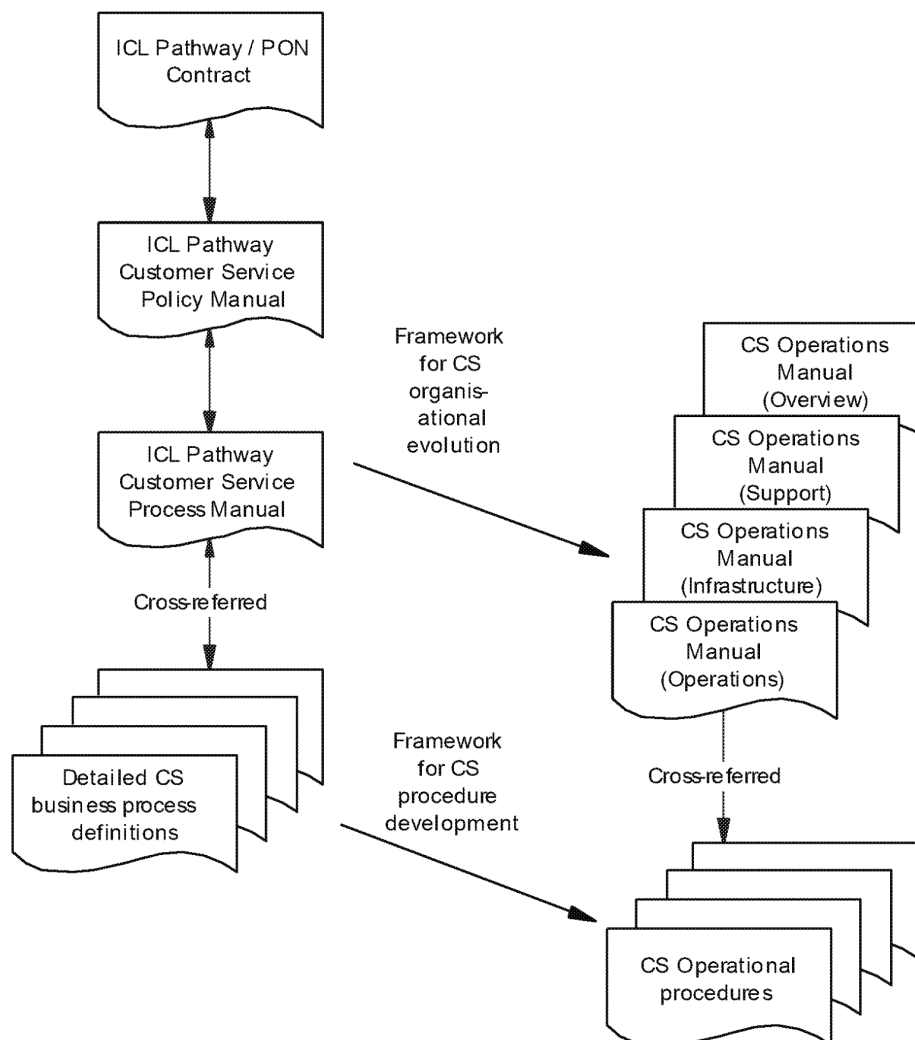
This document forms part of the ICL Pathway CS Quality Management System. It provides policy guidelines to support the definition of the CS business processes.

The CS business is considered to be divided into a number of key process areas, see CS Process Manual [ref. 1] for detail. The information contained within this document defines the policy guidelines that relate to the operation of the CS business processes and the CS external interfaces.

## 2 *Scope*

The scope of this document mirrors that defined in the CS Process Manual, see [ref. 1] for detail.

### 3 CS Process Engineering Methodology



The CS process engineering methodology distinguishes between policy guidelines, business process definitions and operational procedures.

#### 3.1 CS policy guidelines

##### Policy

- CS will record and maintain the policy guidelines that are required to support the development and maintenance of CS business process definitions in a CS Policy Manual.
- The CS Policy Manual will be recorded on PVCS.

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### 3.2 *CS business process definitions*

CS business process definitions have the following characteristics:

- a) they are owned and authorised by nominated members of the CS Management Team;
- b) they show the inputs to and the outputs from the CS business;
- c) they show how the process inputs, e.g. incidents, problems, complaints, etc. flow through the CS business and describe the major activities performed;
- d) they provide a maintained framework to support the evolution and optimisation of the CS organisational structure, roles, responsibilities and business effectiveness.
- e) they provide a maintained framework for the development of operational procedures.
- f) they define the current (as is) situation or a planned future position.

#### **Policy**

- a) CS will develop and maintain a CS Process Manual. The CS Process Manual will contain high-level definitions of the key CS business processes. The CS Process Manual will be recorded on PVCS.
- b) Where there is a business case for holding additional process information, CS will develop and maintain additional cross-referred lower-level business process definitions. These will also be recorded on PVCS.



### 3.3 *CS operations manuals*

**Policy**

- a) Each of the following CS organisations will develop and maintain an Operations Manual: CS Infrastructure, CS Operations and CS Support
- b) The CS operations manuals will include information on roles and responsibilities.
- c) CS operations manuals will be recorded on PVCS.

### 3.4 *CS operational procedures*

CS operational procedures have the following characteristics:

- a) they relate to a particular CS organisational unit;
- b) they are owned and authorised by the CS line manager responsible for a particular CS operational unit;
- c) they describe how activities are currently carried out within a particular CS operational unit;
- d) they include exception handling and escalation procedures.

In the context of this document operational procedures also includes CS work instructions.

**Policy**

- a) CS line managers will develop, implement and maintain operational procedures and / or work instructions for all business activities that are carried out within the business area they are responsible for.
- b) CS operational procedures and / or work instructions will be recorded on PVCS. Alternatively, they may be recorded on a CS Intranet site. However, if this option is chosen, CS line managers must put in place local procedures to ensure that:
  - current versions of operational procedures and / or work instructions are published on the CS Intranet site;
  - their staff know how to access current versions of operational procedures and / or work instructions;
  - security is in place to safeguard the procedural information published on the CS Intranet site;
  - a capability exists to quickly access (within 1 hour) the procedural information from an alternative source, if the electronic data on the Intranet site is lost.

## 4 Construction of process models and their storage

### 4.1 Process models included in document CS/QMS/002 and CS Process Definitions in the series CS/PRD/XXX

#### 4.1.1 Production of process models

##### Policy

The preferred process modelling tool is Inspiration. By exception, other tools may be used. However, use of other modelling tools requires prior authorisation from the CS Business Effectiveness Manager.

## 5 Retention of process records

##### Policy

Selected records of the data that pass through CS processes will be retained for a defined period. The retention periods is defined as “end of contract plus six years”.

The following records will conform to the above.

##### Pathway CS and ISD Incident Management records

PowerHelp records

Live Incident Management PinICL records

BIMS records

##### Pathway CS Problem Management records

Live Problem Management PinICL records

##### Pathway CS Software Release Management records

Software release notes

##### Pathway CS Operational Business Change records

OBC forms

##### ISD Change Control records

OCP forms

## 6 *General topics that relate to more than one service management discipline*

### 6.1 *Operational Interface Agreements and Operational Level Agreements*

#### Policy

- a) ICL Pathway CS will work with relevant PON authorities to develop and implement Interface Agreements (IFAs) and / or Operational Level Agreements (OLAs) for each service management interface that exists between ICL Pathway CS and PON.
- b) The IFAs and OLAs will specify the actions that are taken when errors occur, including a clear definition of when and how incidents are raised.
- c) IFAs and OLAs will be produced and published by either ICL Pathway CS or PON. Both organisations will authorise their use in the live environment.
- d) Authorisation of an IFA or OLA will signify an obligation to ensure that local operational procedures conform to the content of the IFA or OLA.

### 6.2 *Escalation*

#### Policy

- a) Exceptional situations that occur in any of the CS service management disciplines (incident management, problem management, service review, etc.), which have a significant effect on the ICL Pathway or PON business, will be escalated within the relevant ICL Pathway CS management structures.
- b) Further escalation to ICL Pathway Divisional alert will be at the discretion of the CS Management Team.
- c) Escalation will normally occur:
  - when there is a time delay which causes consequential business impact, or
  - when it has not been possible to reach agreement on the definition or management of an issue.

## 7 *Operate and monitor the live environment*

### 7.1 *Operate ICL Pathway central systems (including in-built software routines and automated processes)*

Operation of the ICL Pathway central systems has two components:

- a) the automated elements that are controlled by in-built software routines;
- b) manual activities that are subcontracted to ISD.

#### **Policy**

- a) Changes to software that is involved in the operation of the ICL Pathway central systems will be managed via the ICL Pathway Change Control Process which is owned by the ICL Pathway Programme Office. CS Operations and / or Support Services will impact any proposed software changes.
- b) Significant changes to manual procedures, e.g. those that affect the running of an interface, will be managed by the Operational Change Process which is owned by ISD. CS Operations Services will approve any proposed changes.
- c) ISD will develop and maintain operational procedures for all manual activities that are associated with the operation of the ICL Pathway central systems.
- d) CS will have the opportunity, subject to giving prior warning, to audit the ISD operational procedures.
- e) CS Operations Services will review the ISD provided service at agreed intervals.

### 7.2 *Monitor ICL Pathway central systems*

The monitoring of the ICL Pathway central systems:

- a) is achieved via the use of service management tools, e.g. Tivoli;
- b) is subcontracted to ISD.

#### **Policy**

- a) ISD will develop and maintain operational procedures for all manual activities that are associated with the monitoring of the ICL Pathway central systems.
- b) ISD will maintain a clear set of criteria for determining which “system

events” are progressed to incidents.

- c) Changes to (a) or (b) above will be managed by the Operational Change Process which is owned by ISD. CS Operations Services will approve any proposed changes.
- d) CS will have the opportunity, subject to giving prior warning, to audit the ISD criteria for raising incidents and the ISD operational procedures.
- e) CS Operations Services will review the ISD provided service at agreed intervals.

### 7.3 Record changes to ICL Pathway central systems

This section applies to non-software changes. Software changes are controlled via the ICL Pathway Change Control Process which is owned by the ICL Pathway Programme Office.

Non-software changes may be required for sizing reasons, e.g. a larger capacity disk. Alternatively, changes may result from industry changes, e.g. certain hardware components being replaced by new versions.

#### Policy

- a) Non-software changes to the ICL Pathway central systems will be managed by the Operational Change Process which is owned by ISD. CS Operations Services will approve any proposed changes.
- b) The OCP forms will be used to provide a historical record of the non-software changes that have been applied to the ICL Pathway central systems.
- c) The retention period for OCP forms is defined in section 5.

### 7.4 Manage software distribution

Wherever possible, software is distributed electronically via the ICL Pathway central systems.

Software distribution is controlled by a Release Note provided by CS Release Management authorities.

The software distribution process is subcontracted to ISD.

#### Policy

- a) ISD will develop and maintain operational procedures for all manual activities that are associated with the distribution of software.
- b) CS will have the opportunity, subject to giving prior warning, to audit the ISD operational procedures.
- c) CS Operations Services will review the ISD provided service at agreed

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intervals.



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## 8 Incident Management

Incident Management provides a controlled environment for the resolution of day to day events that interrupt normal operation of the systems, services and procedures within the live operational environment. Incident Management also provides:

- a) triggers for problem management;
- b) triggers for the application of business continuity plans;
- c) onward routing of unresolved complaints;
- d) service data for reports.

A large part of incident management is subcontracted to ISD. The exceptions are third line software support, which is handled by the ICL Pathway CS System Support Centre (SSC) and the handling of business incidents, which is managed by the ICL Pathway CS Management Support Unit (MSU).

### Incident

An incident is an individual day to day event, within the live environment, which is reported to the ICL Pathway single-point-of-contact, i.e. the HSH. Incidents may also be reported to the PON single-point-of-contact, i.e. the NBSC. Incidents may be transferred between the HSH and the NBSC.

Where there is any chance of confusion, incidents are more tightly defined as “live incidents”.

To avoid confusion, “incidents” that occur in the pre-live environment are always referred to as “pre-live incidents”.

The main incident types include:

- a) requests for advice and guidance;
- b) reported faults or failures in equipment, software, services or procedures;
- c) reported user errors;
- d) reported complaints;
- e) situations which need to be recorded for audit trail purposes.

### Temporary procedure (TP)

A TP describes the actions to be taken when specified types of incident are encountered. TPs are developed by the appropriate expert domain within Incident Management and are recorded on a Known Error Log.

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## 8.1 Hours of operation (call answering)

**Policy**

24 hours, each day of the year excluding Christmas Day.

## 8.2 Incident logging and prevention of callers being “bounced” from desk to desk

**Policy**

- a) All valid telephone calls made to the ICL Pathway HSH will result in an incident being raised and a priority being allocated.
- b) Incidents will be assigned an unique reference number.
- c) The HSH will maintain a call matrix that clearly defines the types of incidents that they accept and manage to resolution.
- d) The HSH will maintain an awareness of the types of Horizon related incidents that are handled by the NBSC.
- e) If callers contact the HSH when they should have contacted the NBSC, the HSH will normally refer the caller to the NBSC, i.e. ask them to dial the NBSC number. By exception, if the caller states that they have already been referred to the HSH by the NBSC, the HSH will accept the call, raise an incident and communicate the incident to the NBSC.

## 8.3 Linking incidents passed between desks

**Policy**

- a) If the HSH wishes to transfer an incident to the NBSC, the HSH will retain ownership of the incident until the NBSC accepts the incident.
- b) If the NBSC accepts the incident, the HSH will cross-refer their incident to the NBSC incident and then close the HSH incident.
- c) If the NBSC does not accept the incident, the HSH will retain ownership of the incident and escalate the situation within the their line management for resolution.



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## 8.4 Incident resolution

### Policy

- a) Following the logging of an incident the HSH will assume responsibility for the control and co-ordination of the efforts required to resolve the incident.
- b) Incident resolution will be progressed in accordance with agreed target resolution times.
- c) The HSH will either resolve the incident themselves or route the incident to the appropriate expert domain. The incident record will be updated each time there is a change of status, e.g. network tested and found to be OK, incident routed to third line support.
- d) Resolution will follow defined support procedures, which will normally result in the system being returned to normal operation within the agreed target resolution time. By exception Temporary Procedures may be applied while a fix is developed.

## 8.5 Development of Temporary Procedures

### Policy

- a) In exceptional situations expert domains may develop TPs to contain incidents while a fix is developed. TPs will be recorded on a Known Error Log.
- b) TPs must be authorised if they impact Horizon business processes, at which point they become Authorised Temporary Procedures (ATPs). Authorisation is performed under the control of Problem Management.

## 8.6 Incident closure

### Policy

- a) Individual incidents that relate to technical or system errors will be closed when the service has been returned to normal operation, either by resolving the incident or applying a TP. Closure will be agreed with the originator of the incident.
- b) Incidents that are “offered” to the PON NBSC will be closed when the NBSC accepts responsibility for incident resolution.
- c) “Master incidents” that record the need for a fix will remain open until notification of successful release of the fix has been received.
- d) “Master incidents” that relate to a problem will remain open until the problem is resolved.

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## 8.7 *Provision of information for service and performance reporting*

### Policy

The HSH will maintain records to facilitate performance reporting and incident trend analysis.

## 8.8 *Communicating problems and major business continuity incidents*

### Policy

- a) The HSH will communicate problems to the ICL Pathway CS Duty Manager. The definition of a problem is given within the section entitled Problem Management.
- b) The HSH will communicate Major Business Continuity Incidents to the ICL Pathway CS Duty Manager. The definition of a Major Business Continuity Incident is given within the section entitled Business Continuity Management.

## 8.9 *Onward routing of business incidents*

### Policy

Business incidents identified by Incident Management will be routed to the ICL Pathway MSU. The MSU will maintain procedures for communicating, reporting and resolving business incidents and any financial implications.

## 8.10 *Onward routing of unresolved complaints*

### Policy

- a) Wherever possible, complaints reported to the HSH will be resolved by the HSH.
- b) Complaints that cannot be resolved by the HSH will be routed to the Strategic Services Unit (SSU) within ICL Pathway CS for resolution.

## 9 Problem Management

Problem Management provides a controlled environment for the resolution of problems that arise within the live operational environment.

### Problem

Problem is the term used for an adverse situation that is: (a) caused by a defect in the specification, design, production, implementation or use of any of the service components and (b) substantial enough to warrant action to eradicate it. A problem may be indicated by a trend of incidents. Problems are deemed to exist when they are recorded on the ICL Pathway CS or PON Problem Management Databases.

### Authorised Temporary procedure (ATP)

An ATP is a TP that has an impact on the Horizon business processes and requires authorisation by PON before it is used within the live environment.

### 9.1 Hours of operation (progressing problem resolution)

#### **Policy**

9.00am to 5.00pm Monday to Friday.

### 9.2 Logging problems

#### **Policy**

- a) ICL Pathway CS will develop and maintain procedures to control the receipt of problem notifications from HSH, from within ICL Pathway CS and in the case of cross-domain problems (problems that involve both ICL Pathway CS and PON organisations), problem notifications from PON Problem Managers.
- b) Problem notifications will result in a problem being raised, the assignment of a unique reference number and the logging of the problem on the ICL Pathway CS Problem Management database.
- c) Cross-domain problems, i.e. problems that require the involvement of both ICL Pathway CS and PON, will be logged on both the ICL Pathway CS and PON Problem Management databases. The ICL Pathway CS and PON problem references will be cross-referred.
- d) All problems reported by PON will be recorded on the ICL Pathway CS Problem Management database, irrespective of any initial judgement relating to ICL Pathway's required involvement.

### 9.3 Allocation of a Problem Manager

**Policy**

A CS Problem Manager will be allocated for each problem recorded on the ICL Pathway CS Problem Management database.

### 9.4 Problem resolution

**Policy**

ICL Pathway CS Problem Managers will:

- a) manage problem resolution;
- b) ensure that the problem record on the Problem Management database is maintained to reflect the current position;
- c) manage the allocation of Problem Resolution Manager(s), on an as required basis, to progress specific problem resolution activities, e.g. change to a procedure, software fix;
- d) trigger the creation of a cross-domain problem on an as required basis;
- e) escalate within ICL Pathway CS on an as required basis.
- f) manage the authorisation of TPs provided by Incident Management, if the TP affects the Horizon business processes.
- g) trigger the creation of TPs or ATPs, on an as required basis, to contain the effects of a problem while a fix is put in place.

### 9.5 Problem closure

**Policy**

Problems will be closed when it has been agreed, by the relevant authorities, that the underlying cause has been fixed or removed.

### 9.6 Post Implementation Review (PIR)

**Policy**

Following closure of a problem, a PIR will be held at the discretion of the Problem Manager or at the request of an ICL Pathway CS or PON Service Manager. The Problem Manager is responsible for arranging and running the PIR and producing a PIR report.

## 10 Business Continuity Management

Business continuity has two main components. The first is business continuity planning, which involves the proactive identification of things that can go wrong with the end-to-end services, developing appropriate business continuity plans and testing that the plans work in practice.

The second component involves the application of the business continuity plans when the end-to-end service is interrupted.

### Business Continuity Plans

Business continuity plans detail the actions to be taken when the end-to-end service is interrupted.

### Major Business Continuity Incident (MBCI)

MBCIs are a special type of incident, which are raised in response to the reporting to the HSH of a major failure or disruption in the end-to-end service. MBCIs are routed to the ICL Pathway CS Business Continuity Manager and act as a trigger for the application of pre-defined business continuity plans.

### 10.1 Hours of operation (application of business continuity plans)

#### Policy

ICL Pathway CS Business Continuity Management: 24 hours, each day of the year excluding Christmas Day.

### 10.2 Business continuity planning

#### Policy

ICL Pathway CS and PON business continuity authorities will:

- a) jointly develop test scripts;
- b) agree a schedule for testing the contingency and recovery arrangements for defined components of the Horizon service;
- c) maintain a joint Business Continuity Forum for reviewing all business continuity arrangements on at least a quarterly basis;
- d) work together to assess the risks and impacts of new systems / services or changes to current systems / services, the results of which will be used to identify the level of contingency required.
- e) develop business continuity plans to meet the contingency requirements.



### 10.2.1 Logging and routing of MBCIs

**Policy**

The HSH will log MBCIs in the normal way and immediately route, via the ICL Pathway CS Duty Manager, to the ICL Pathway CS Business Continuity Manager.

### 10.2.2 Managing MBCIs

**Policy**

- a) The business continuity manager within ICL Pathway CS or PON that is first notified of the MBCI will contact the other organisation (ICL Pathway CS or PON) and progress the formation of a cross-domain Business Continuity Management Team (BCMT).
- b) Responsibility for the management of a MBCI will be clearly allocated and rest with either ICL Pathway CS or PON. This will normally be the organisation that is responsible for incident recovery.
- c) The BCMT will be responsible for ensuring that, when a MBCI is identified, the correct contingency and recovery actions are put in place. Contingency actions will be defined by the appropriate pre-defined business continuity plans maintained by ICL Pathway CS.
- d) The BCMT will develop an action plan.
- e) The BCMT will monitor both the recovery and contingency actions to ensure that resolution meets planned targets.
- f) ICL Pathway CS and PON Business Continuity Managers will keep a full account of events on their Business Continuity databases.
- g) Any contingency action that is in place will be withdrawn when recovery has occurred, or as dictated in the respective business continuity plan.

### 10.2.3 MBCI closure

**Policy**

The BCMT will agree when the MBCI can be closed.

### 10.2.4 Post implementation review (PIR)

**Policy**

- a) Following closure of the MBCI, a PIR will be held to review the MBCI and identify improvement opportunities. The Business Continuity Manager that managed the MBCI is responsible for arranging, running the PIR and producing a PIR report.

- 
- b) The BCMT will ensure that recovery and continuity plans are updated as necessary.

### 10.2.5 Raising problems

#### Policy

ICL Pathway CS and / or PON Business Continuity Managers will raise a problem if they suspect that there is an underlying cause for the MBCI.

## 11 Service and Performance Reporting

Service and performance reporting identifies the level of performance of systems and services in the live operational environment. Until the roll-out programme is completed it also includes implementation reporting.

Reports are provided to service reviews to:

- a) show how services are performing against agreed SLAs;
- b) provide information for service improvement;
- c) aid in decision making;
- d) highlight problems.

Reports may:

- a) be periodic to support regular meetings;
- b) be ad hoc;
- c) provide analysis or forecasting information.

#### Service and Performance Reports

Service and performance reports contain information about a particular service, derived from a reliable source, which is meaningful to the reader and aids decision making.

#### Policy

- a) Service and performance reports will be objective and relevant to the interests of the target audience, with data and information contained within the report specific to the requirements of the target audience.
- b) Reports will be timely, reliable, clear, concise and meaningful to the reader.
- c) Reports will have instructions that explain the format and content.
- d) Reports will be in a format that the target audience understands and are able to use effectively to allow informed decisions to be made.
- e) The content of reports will include a core set of information, plus ad hoc

detail when appropriate, e.g. an explanation of a fluctuation in the reported information.

- f) Agreements will be formulated with all suppliers of data to ensure that a clear and consistent information set is always available for analysis purposes.
- g) Periodic reports will be produced and distributed to agreed timescales, e.g. monthly, weekly.
- h) Ad hoc reports will be produced, on request, in accordance with pre-defined reporting arrangements.
- i) Reports will evolve to:
  - reflect the changing state of the business;
  - incorporate audience feedback on the style, layout, format and level of detail.

## 12 Service Review

Service reviews bring together relevant people to assess how the service is performing and initiate any required actions to correct shortfalls or take advantage of improvement opportunities.

### Service Review

Service reviews examine information relating to the performance of services in order to identify:

- a) services that are not conforming to agreed SLAs;
- b) any services that are deteriorating;
- c) SLAs that are no longer realistic;
- d) existing SLAs that are no longer required;
- e) situations where additional OLAs are required.

When applicable, service reviews also identify, record and communicate to relevant authorities:

- a) service improvement opportunities;
- b) problems.

### Service Review Forum

Service review forums are formal pre-defined meetings held periodically to an agreed timetable.

There will be a number of forums:

- a) internal forums held as necessary within ICL Pathway CS and PON;



b) ICL Pathway CS and PON cross-domain forums, with each addressing a specified service element;

c) contractually defined forums, e.g. Horizon Service Review Forum (HSRF).

The HSRF reports to the Contract Administration Board and the Contract Steering Group. Information on these forums is defined in Schedule Ao4 of the contract.

#### Policy

- a) Service review forums will be well structured and chaired by a nominated manager from either ICLP or PON.
- b) The chairman will ensure that:
  - minutes are produced and circulated to interested parties;
  - issues that cannot be resolved by the service review forum will be escalated to the HSRF.
- c) Problems will be discussed at service review forums, noted in the minutes and progressed with via Problem Management.
- d) Service improvements opportunities will be discussed at service review forums, noted in minutes and progressed as service improvement initiatives.

## 13 Change Management

There are two main types of change, i.e. ad hoc change and predefined change.

Ad hoc change uses PON raised Change Requests (CRs), ICL Pathway raised Change Proposals (CPs) and ICL Pathway raised Contract Change Notices (CCNs). The ad hoc change process is well established and managed within ICL Pathway by the Programme Office.

Pre-defined change uses agreed change mechanisms, i.e. Operational Business Change, to make changes without the requirement for PON to raise a CR. There are two types of OBC, i.e. product change and outlet changes.

## 14 Software Release Management

#### Policy

- a) Planned software releases will be communicated to PON via a weekly

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release schedule and daily release notifications.

- b) Software release to the live environment will be controlled by ICL Pathway CS authorised Release Notes.