



POA Customer Service Major Incident Process

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This document contains sections that have been identified to POL as comprising evidence to support the assessment of named Acceptance Criteria by Document Review. These sections must not be changed without authority from the FUJITSU (UK & IRELAND) Acceptance Manager.

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Security Risk YES

Assessment Confirmed

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Note: See Royal Mail Group Account HNG-X Reviewers/Approvers Role Matrix (PGM/DCM/ION/0001) for guidance.



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0.2 Document History

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
0.1	03-Oct-06	First draft – to detail the Major Incident Escalation process. Draft taken from Horizon Document CS/PRD/122, V1.0.	
1.0	11-Oct-06	Revision following comments from Reviewers	
2.0	02-Sep-08	Changes for Acceptance by Document Review: insertion of Section (0.4) containing table of cross references for Acceptance by Document Review and addition of note to front page. No other content changes.	
2.1	24-Feb-2009	Changes made for Acceptance by Document Review by Fiona Woolfenden including the removal of references to CS/PRD/074 which has been Withdrawn and replaced by SVM/SD/PRO/0018 and other tidying up changes. Other changes to update Contact details.	
2.2	14-Apr-2009	Some Personnel Name changes and POA to RMGA + Abbreviations. Security Updates to sections 5.1, 6.3, 8.2.1, 9.0,	
2.3	3-June-2009	Some Personnel Changes and minor changes following review in May 2009	
3.0	7-July-2009	Following security audit 2 minor changes. Alan Simpson now on distribution and 6.3, an extra bullet entry added at end of list.	

0.3 Review Details

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(*) = Reviewers that returned comments

0.4 Acceptance by Document Review

The sections in this document that have been identified to POL as comprising evidence to support Acceptance by Document review (DR) are listed below for the relevant Requirements:

POL NFR DR Acceptance Ref	Internal FS POL NFR Reference	Document Section Number	Document Section Heading
SER-2200	SER-2178		Whole Document
SER-2202	SER-2179		Whole Document
SEC-3095	SEC-3266	3.3.5	Security Triggers
SEC-3095	SEC-3266	10.5	Security Major Incidents

0.5 Associated Documents (Internal & External)

Reference	Version	Date	Title	Source
PGM/DCM/TEM/0001 (DO NOT REMOVE)			Fujitsu Services Royal Mail Group Account HNG-X Document Template	Dimensions
CS/IFS/008			RMGA/POL Interface Agreement for the Problem Management Interface	PVCS
CS/PRD/021			RMGA Problem Management Process	PVCS
CS/PRO/110			RMGA Problem Management Database Procedures	PVCS
PA/PRO/001			Change Control Process	PVCS
CS/QMS/001			Customer Service Policy Manual	PVCS



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SVM/SDM/SD/0001			Horizon Service Desk – Service Description	Dimensions
SVM/SDPRO/0018			RMGA Customer Service Incident Management Process	Dimensions
CS/FSP/002			Horizon System Helpdesk Call Enquiry Matrix and Incident Prioritisation	PVCS
TBA			SMS Messaging User Guide	PVCS
CS/PRD/121			SMS Major Communication Framework Process	PVCS
CS/PLA/079			Horizon Services Business Continuity Plan	PVCS
CS/PLA/080			Horizon Support Services Business Continuity Plan	PVCS
CS/PLA/015			Horizon Systems Helpdesk and Business Continuity Plan	PVCS
SVM/SDM/PLA/0001			HNG-X Support Services Business Continuity Plan	Dimensions
SVM/SDM/PLA/0002			HNG-X Services Business Continuity Plan	Dimensions
SVM/SDM/PLA/0030			HNG-X Engineering Service Business Continuity Plan	Dimensions
SVM/SDM/PLA/0031			HNG-X Security Business Continuity Plan	Dimensions
SVM/SDM/SD/0011			Branch Network Services Service Description	Dimensions

Unless a specific version is referred to above, reference should be made to the current approved versions of the documents.

0.6 Abbreviations

Abbreviation	Definition
A+G	Advice & Guidance
BCP	Business Continuity Plan
HSD	Horizon Service Desk
ISO	International Standards Organisation
ITIL	Information Technology Infrastructure Library
KEDB	Known Error Database
KEL	Known Error Log
MBCI	Major Business Continuity Incident
MSU	Management Support Unit
OCP	Operational Change Proposal
PO	Post Office
RFC	Request For Change



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RMGA	Royal Mail Group Account
POL	Post Office Limited
SCT	Service Continuity Team
SDM(s)	Service Delivery Manager(s) (NB: Throughout this document SDM refers to a person responsible for the Service, and the SDM could work in, but not limited to, the Service Delivery, Service Support, Release Management or Security teams.
SDU	Service Delivery Unit
SLT	Service Level Targets
SMC	Systems Management Centre
SRRC	Service Resilience & Recovery Catalogue
SSC	System Support Centre
VIP	VIP Post Office, High Profile Outlet

0.7 Glossary

Term	Definition
T	Time of incident occurring
T+3	Time Incident Occurred plus 3 minutes

0.8 Changes Expected

Changes

0.9 Accuracy

Fujitsu Services endeavours to ensure that the information contained in this document is correct but, whilst every effort is made to ensure the accuracy of such information, it accepts no liability for any loss (however caused) sustained as a result of any error or omission in the same.



0.10 Security Risk Assessment

Security risks have been assessed and it is considered that there are no security risks relating specifically to this document.

1 Introduction

1.1 Process Owner

The owner of this process is the RMGA Service Support Team Manager.

1.2 Process Objective

The key objective of the process is to ensure effective and efficient management of Major Incidents, through:

- Improvements of communication channels.
- Clarify the need to communicate awareness of potential incidents
- Improved accuracy of reporting against status of incident
- Allowing technical teams the right amount of time to diagnose and impact an incident
- Avoid unnecessary alerting of the customer
- Demonstrate to the Post Office a more professional approach
- Provision of clear defined roles and responsibilities
- Defined reporting/update timelines through duration of a major incident.
- Improved governance
- Assessing which incidents are major and which are 'Business as Usual'



1.3 Process Rationale

This document outlines the communication and management process and guidelines to be followed in relation to Major Incidents impacting the live estate.

The methodology defined within this document augments the existing SMS framework process presently deployed within the live estate.

The aim of the document is to provide a pre-defined process on which future major incident communication and management will follow and that any parties involved in that process provide updates /receive updates at defined intervals from inception to closure of any major service impacts.

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2 Mandatory Guidelines

Whilst it is important to maintain a balance between:

- a) Allowing the technical teams the right amount of time to diagnose and impact an incident
- b) Avoid unnecessary alerting of the customer
- c) Assessing which incidents are major and which are 'Business as Usual'

The following guidelines should be adhered to.

- During HSD Core Hours (Monday – Friday 08:00 – 18:00 and Saturday 08:00 – 14:00) Post Office Horizon Service Desk should be the first point of contact for operational contact between Fujitsu and the end user. Outside these hours SMC acts as the first point of contact.
- Any activity detailed in this document which is assigned to the HSD is handed over to SMC outside the HSD Core Hours.
- The relevant technical teams who are monitoring and aware of a potential major incident must page/call the appropriate Fujitsu Service Delivery Manager / Owner (Duty Manager out of hours) as **soon as possible**, rather than wait. The Fujitsu Service Delivery Managers are detailed in Appendix 10.2. This is not limited to major incidents alone, but must be delivered wherever a state other than Business as Usual has been detected. The Fujitsu Service Delivery Manager / Owner must in turn communicate the potential incident, to POL SCT for awareness and monitoring in POL. However this could be done via the HSD IMT.
- The Fujitsu Service Delivery Manager / Owner (or Duty Manager out of hours) is responsible for communicating both up the Fujitsu Organisation and across (see appendix 10.3) to their counterpart in POL. Where this is impractical (i.e. leave, out of hours, unavailable), the initiative should be taken to jump up the organisation. The important fact is that the customer is informed in a timely manner and at the correct touch point. This communication should be by voice or direct SMS. The communication should include the date, time, name, nature of problem, severity, if service affecting, likely impact, and the owner for contact.
- The Fujitsu Service Delivery Manager / Owner (Duty Manager) should also initiate communication using SMS via HSD, 08.00 to 18.00 Monday to Friday, and Saturday 08.00 to 14.00. Outside of these hours, SMS should be sent via SMC.



3 Definition of a Major Incident

3.1 Incident Classification

As a general rule a Major Incident will always be an incident rated as severity level A (critical) in the RMGA Customer Service Incident Management Process Details document (SVM/SDM/PRO/0018) version 2.0, or a series of connected lower severity rated Incidents which combine to have a significant business impact. However not all incidents rated at severity level A qualify. This is because the severity levels do not necessarily translate to the global business impact on POL's business. For example a single counter post office which is unable to transact, regardless of its business volumes is rated as a Severity A.

For simplicity, Incidents are classified into three impact levels: High, Medium and Low.

High – An Incident that has occurred with a significant and potentially prolonged adverse impact on POL business. Typically these Incidents will initially require a significant amount of reactive management before they can be controlled and resolved.

Medium – An Incident that has the potential to cause significant impact to POL business but can be controlled and mitigated against through effective management.

Low – An Incident that requires business attention but if managed effectively will not have significant impact on POL business.

3.2 Influencing Factors in calling Major Incident

It is important that a major incident is defined as such, because of its business impact on the day when it occurs, rather than simply being defined as a major incident because it appears on a list. The following parameters will also feed into the consideration of whether a major incident exists, as follows:

- Duration i.e. how long has the vulnerability to service already existed
- Impact across the estate, including consideration of whether a service is merely degraded or actually stopped
- Time at which the event occurs in relation to the 24 hour business day
- Time of year – eg Christmas / Easter / End of month/quarter DVLA
- Anticipated time before service can be resumed
- Impact to POL Branches, customers, clients or brand image
- Business initiatives e.g. product launches

3.3 Major Incident Triggers

The criteria below could trigger a major incident, however as detailed in 3.2, the influencing factors must be considered. As such the list below can never be exhaustive, whilst if an incident occurs which is not detailed, this should not be precluded from being a major incident.



3.3.1 Network Triggers

Network Major Incident triggers are as follows:

- Complete or significant outage of Central network
- Complete or significant outage of BT network
- Complete or significant outage of VSAT sites

3.3.2 Infrastructure Components Triggers

Infrastructure component Major Incident Triggers are as follows:

- Total loss of environments providing individual on-line service capability
- Breach of access to data centres
- Breach of security
- Virus outbreak

3.3.3 Data Centre Triggers

Data Centre Major Incident triggers are as follows:

- Network/LAN outage
- Loss of data centre
- Breach of security

3.3.4 On-Line Services Triggers

On-Line services Major Incident Triggers are as follows:

- On-line service unavailable within Data centre (not counter level)
- Number of Branches not able to provide on-line services – as defined by POL
- 3rd party provided service failure – Link, Fujitsu Group

3.3.5 Security Triggers

Security major incident triggers are as follows:

- Actual or suspected attacks on the Fujitsu Services RMGA Network or Information System.
- Theft of IT equipment / property, including software

In the event of a Security Major Incident (which may also include PCI Incidents), the security incident management process as detailed in

SVM/SDM/PRO/0018 Appendix A must also be followed by the SDM owning the Service.



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SVM/SDM/PLA/0031 HNG-X Security Business Continuity Plan defines the actions to be taken if security violations are identified. This must also be followed by the SDM owning the service.

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4 Calling the Major Incident

During business hours the Service Delivery Manager / Owner responsible for the Primary Service affected declares Major Incident and is designated the Incident Manager for the duration of the Incident (with handovers to the Duty Manager where applicable.)

Where the impact of the incident is not immediately obvious, and it is not clear if Major Incident should be called, escalation and discussion with the Service Delivery / Service Support Team Manager, Head of Service Management or CS Director should occur, and a collective decision made. If Major Incident is not called, the incident should be monitored until closure, to ensure that the impact does not increase to Major Incident.

In the event that multiple Services are impacted, an Incident Manager will be appointed by Service Delivery / Service Support Team Manager, Head of Service Management or CS Director, who will remain in this role until incident closure.

Out of hours the Duty Manager is responsible for declaring Major Incident.

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5.1 Process Description

(Any reference below made to T, = Time of incident occurring. Hence T+3 = Time Incident Occurred plus 3 minutes).

Box Title	Description	Key timescales	Action owner
Major Incident Identified?	Incident identified, the definition of an Incident is "Any event which is not part of the standard operation of a service and which causes, or may cause, an interruption to, or a reduction in, the quality of that service." (SVM/SDM/PRO/0018). An Incident may be reported from within POL domain, a supplier domain or other route		
Major Incident Triggers Met?	<p>An initial impact assessment of the incident is undertaken by members of the RMGA Service Team taking into account impact on:</p> <p>Live Service, Financial Integrity, Business Image</p> <p>The incident is profiled as a Major Incident as outlined within this document, including consideration of all influencing factors, time, geographical coverage, business impact, security, public perception, duration and relevant business initiatives coinciding at POL and decision taken to call Major Incident</p> <p>POL SCT will be informed by the Service Delivery Manager / Owner managing the Major Incident of the incident & the incident will also be escalated to Service Delivery / Service Support team managers, if this has not already occurred.</p> <p>With agreement from RMGA Service Delivery Manager, or Duty Manager out of hours, SMS will be sent to RMGA and POL Management alerting to the potential existence of a Major Incident.</p>	<p>T+3</p> <p>All timescales quoted within this document as viewed as maximum, to be improved upon wherever possible</p> <p>T+5</p>	<p>RMGA Service Delivery Manager / Owner(Duty Manager), RMGA Service Delivery / Support Manager, Head of Service Mgmt, CS Director</p> <p>Service Delivery Manager / Service Owner</p> <p>HSD (in hours)</p> <p>SMC (out of hours)</p>
BAU Incident Process	If Major Incident is not declared then the BAU Incident process is followed – POL SCT will be informed that there is no MI & a closure SMS sent. The SDM for the service should ensure that the Incident is re-impacted during its lifecycle to ensure that the impact has not increased. If, subsequently the incident is declared Major Incident, move to box "Incident		



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	Investigation and Diagnosis started".		
Incident Investigation & Diagnosis	<p>Relevant internal SDUs / Third Parties contacted to initiate investigation & diagnosis.</p> <p>Major Incident Report opened</p> <p>Major Incident Conference call scheduled & agenda distributed.</p>	T+ 5	<p>Service Support Manager</p> <p>Service Delivery Manager</p>
Major Incident Bridge 1	<p>The Major Incident Bridge is chaired by the Service Delivery Manager / Owner who has been nominated as the Major Incident Manager. The Major Incident Bridge is SERVICE FOCUSED.</p> <p>The Major Incident Bridge aims :</p> <ul style="list-style-type: none"> To discuss & agree the recovery investigation & resolution of Major Incidents To provide a forum for up-to-date progress reports To aid communication, and the creation of Technical Bridge Minutes which are distributed to all involved parties and RMGA & POL Management. This ensures that Major Incident progress is known by all. To collate information for inclusion on the Service Portal. <p>Attendees at the Major Incident Bridge include, but are not limited to, RMGA Service Management, SDU, Third Parties, POL., CS Security & POL Security Managers</p> <p>The Major Incident Bridge follows a set agenda which covers:</p>	T + 15	Service Delivery / Service Support Manager



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	<p>Roll call, Summary of Incident, Incident Overview, Current Impact, Current Investigation / Recovery Action, Remedial Actions, Actions to carry forward to Major Incident Review</p> <p>The agenda template is stored on \\ATCFS7\POcust_serv\01Public\Major Incident Management\Templates</p> <p>Following the Major Incident Bridge, a further SMS will be sent, providing an update on the Incident</p> <p>If the outcome of the Technical Conference Call is that the Incident is determined Business As Usual (low) then an SMS communication will be sent stating that the Incident is not a Major Incident.</p> <p>From this point forward, SMS communication, timing and delivery requests, becomes the responsibility of the RMGA Service Delivery Manager / Owner acting as Major Incident Manager. 30-minute updates should be the norm</p> <p>Service Delivery Manager / Owner will also distribute minutes following the conference call</p>	MIB + 15	
Clear recovery path identified	<p>If during the conference call a clear recovery path is identified, this should be discussed and agreed on the call. Following agreement the recovery should be implemented.</p> <p>If there is no clear recovery path, further investigation will be undertaken.</p>		
Recovery / Investigation	<p>The RMGA Service Support Team Manager, acting as recovery manager will liaise with the SDUs and /or third parties during the investigation / recovery.</p> <p>Where appropriate a Technical Bridge will be called for a technical discussion of the Major Incident.</p>	T + x	RMGA Service Support Team Manager



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Major Incident Bridge 1+	<p>At the time agreed at the first Major Incident Bridge, the subsequent Major Incident Bridges are held. The same agenda is followed, and progress on actions / recovery is provided.</p> <p>If no clear recovery path is identified, the decision is then taken on whether to escalate for War Room direction</p>	T + x	RMGA Service Delivery Manager
Escalate for War Room direction	<p>The nature of the incident determines which RMGA Service Team members and POL Managers are involved in the War Room but it would include all or some of the following:</p> <ul style="list-style-type: none"> • POL • RMGA Service Support Manager (War Room Chairman) • RMGA CS Director • 3rd party Executives • Appointed working group representatives as appropriate <p>The purpose of the War Room is to:</p> <ul style="list-style-type: none"> • Provide appropriate direction on Incident resolution • Provide added impetus to restoration of service ASAP • Involve 3rd party Executives • Define communication intervals to Key Stakeholders • Provide focused Incident Management in line with the impact and severity of the Incident. 	Timescale dependant on impact and nature of incident.	<p>RMGA Service Support Team Manager</p> <p>POL Service Manager</p>



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War Room drive working group actions	War Room provide the appropriate direction on the incident resolution priorities.	Timescale dependant on impact and nature of incident.	RMGA Service Support Team Manager. War Room.
Incident Resolution	Once the incident is deemed to be resolved, final Major Incident conference call is held to agree & confirm resolution of incident. Major Incident Review date to be set at the final Major Incident Conference call. SMS communication sent confirming resolution of incident. Draft Major Incident Report distributed within 24hrs of resolution of Major Incident.		RMGA Service Support Team Manager
Major Incident Review & formal Incident Closure	Formal Closure of the Major Incident & a review of the Incident including consideration of: <ul style="list-style-type: none"> • Lessons learnt • Incident definition • What went well • Timeline • Changes required to infrastructure • A review of the Major Incident Communication Process • Root Cause Analysis * if known at this point • Business impact • Action plan • Service Improvement Plan update 		RMGA Service Delivery Manager



6 Conference Calls / War Room

6.1 Major Incident Conference Call

This is a Service Focussed call for Service Management, Technical experts and POL to discuss the service impact of the Major Incident and to receive updates on progress of the Incident.

Invitations to the Major Incident Conference Call will be via SMS, email or voice. The dial in details will be provided at the same time as the meeting invitation.

The Major Incident Conference Call will be inceptioned at T + 15, and at regular intervals during the Major Incident, the exact scheduling will be discussed and agreed at each preceding Major Incident Call.

Each Major Incident Conference Call follows a set agenda which will be distributed with the meeting invitation where possible. The conference call is chaired by the Service Delivery Manager / Owner acting as Major Incident Manager.

Following each Major Incident Conference Call, a set of minutes will be published, which will subsequently form part of the Major Incident Report.

6.2 Technical Conference Call

This is a technical conference for experts to discuss and analyse the incident enabling an appropriate action plan to be formulated to restore the service to POL without delay. The Technical Conference Call will baseline the anticipated response, covering resolution, time and resources required.

The Technical Conference Call will be inceptioned as required by the Service Support Manager.

6.3 War Room

The purpose of the War Room is to provide a focused area from which strategic decisions can be made regarding a Major Incident confirmed a MBCI.

Attendance will be mandatory from the following or their designated representative:

- RMGA Customer Services Director
- RMGA Service Management Team Manager
- RMGA Business Continuity Manager
- RMGA Service Delivery Manager / Owner (Business line specific)
- POL Head of Technical Services
- POL Service Continuity Manager
- POL Service Delivery Manager
- POL Business Continuity Manager
- 3rd Party Account/Service Delivery Manager
- RMGA Security Manager (If MI is a PCI or Major Security Incident)
- POL Security Incident Manager (If MI is a PCI or Major Security incident)



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Actions within the War Room include:

- Agreement of Containment Plan
- Documentation of all agreed actions with owners, and timescales
- Consistent management of the major incident across all involved locations
- Management of potential / MBCIs within POL & RMGA
- Co-ordinate meeting times and locations

In the event of a major incident requiring a War Room to be incepted, it is envisaged that this will be in place at T+60. Participants required in the War Room will be contacted via SMS as appropriate.

Telephone number for the War Room working group is **GRO**, the Chairman will enter the call prior to the attendance of other callers and enter a designated PIN, allowing direct entry for subsequent callers.

The Major Incident Review is chaired by the Major Incident Manager and follows a set agenda, which should be distributed with the Major Incident Review meeting invite, along with the draft copy of the Major Incident Report.

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7 Formal Incident Closure & Major Incident Review

The purpose of a Major Incident Review is:

1. To understand the Incident that prevented a Service or Services from being delivered.
2. To confirm impact to the business, during and after the Incident and agree number of branches impacted and duration of Major Incident.
3. To confirm the end-to-end recovery process & timeline and identify that all documented processes were followed.
4. To analyse the management of the Incident & the effectiveness of the governance process.
5. To identify corrective actions to:
 - i. prevent recurrence of Incident
 - ii. minimise future business impact
 - iii. improve management of Incidents
6. To formally close the Major Incident

Output: To confirm details provided in the draft MIR provided to POL, update with corrective actions and redistribute. The agreed impact of Major Incident must be sent to Branch Network Service Delivery Manager for inclusion in the Counter Availability SLT Figures.

If this review highlights areas where improvements can be made, an agreed Service Improvement Plan will be produced with appropriate actions, owners and timescales. Service Management will track all actions to resolution. Third party actions will be reviewed at Service Review meetings.

The Agenda for the Major Incident Review is stored on: \\ATCFS7\POcust_serv\01Public\Major Incident Management \Templates

It is critical that the number of branches impacted and the duration of the Major Incident is agreed at the Major Incident Review and this agreement must come from POL. If for some reason POL is not present at the Major Incident Review meeting, a separate conversation must take place. This information is required because Major Incidents affect Counter Availability and Liquidated Damages (LDs) are paid on Counter Availability as detailed in 7.1 below.

7.1 Calculating Liquidated Damages payable on Major Incidents.

Liquidated damages are payable on Major Incidents which qualify as Failure Events as detailed in the Branch Network Service Description (SVM/SDM/SD0011). Failure Event is defined in this document as an event or series of connected events which causes one or more Counter Positions to be deemed to be Unavailable due to a Network Wide Failure or a Local Failure. Ongoing failures will be deemed to be part of such Failure Event until the Failure Event is closed in accordance with the Incident closure and Major Incident Review process as detailed in section 7.0.

For a Failure Event the Incident Closure & Major Incident Review Process will require Post Office and Fujitsu Services to agree the number of Branches and Counter Positions affected and the duration of the outage;

The duration of the Incident must be agreed with Post Office & rounded to the nearest 30 minutes as detailed in the Network Wide Rounding Table below

Network Wide Rounding Table

Duration of Incident	Deemed duration for the purposes of LD calculations



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30 minutes or less	30 minutes
More than 30 minutes but less than 1 hour	1 hour
1 hour or more but less than 1 hour 30 minutes	1 hour
1 hour 30 minutes or more but less than 2 hours	2 hours
N hours or more but less than N hours 30 minutes	N hours
N hours 30 minutes or more but less than (N+1) hours	(N+1) hours

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8 Fujitsu Services Roles and Responsibilities

This section defines the roles and responsibilities individuals and teams have with regard to the Major Incident Escalation Process.

8.1 Horizon Service Desk

8.1.1 Role of the HSD in a Major Incident

The role of the Horizon Service Desk (HSD) in the event of a Major Incident is two-fold

* Receive & log calls from the Post Masters, and communicate the progress of investigations to any PMs who call into the desk.

* The HSD should also complete the "HSD Impact" template and forward to the RMGA CS Service Delivery Manager, who is managing the Incident. This template should be completed every 15mins from the point of declaring Major Incident, until the RMGA SDM asks for this to cease. The Service Delivery Manager / Owner will provide the Summary of Incident to be included in the template.

8.1.2 HSD Templates

NAME TEMPLATE	OF	LOCATION	DESCRIPTION / NOTES	DISTRIBUTION
Impact on HSD		\\ATCFS7\POcust_serv\01Public\Major Incident Management\Templates	This template is used to communicate the impact of a Major Incident to RMGA Service Management (Service Delivery.) The template can be copied to email.	RMGA Service Delivery Manager



8.2 Service Delivery Manager / Owner

Throughout this document the term Service Delivery Manager refers to the RMGA owner of the Service impacted, and is not limited to a manager working as part of the Service Delivery Team.

8.2.1 Role of the Service Delivery Manager / Owner in Major Incident

The primary role of the Service Delivery Manager / Owner in a Major Incident is to facilitate the management of the Incident, through investigation and diagnosis to resolution, with the aim of making the process as efficient & effective as possible. The Incident Manager acts as the central point for communication and non-technical information flow, allowing the Recovery Manager to focus on the technical & the resolution of the Incident. The Service Delivery Manager / Owner is also responsible for creating and maintaining all the associated documentation.

The Service Delivery Manager:

- * Has responsibility for creating the Major Incident documentation: Major Incident Report
- * Manages the communication, internally within Royal Mail Group Account (RMGA).
- * Communicates progress of Incident with POL SCT
- * Identifies Business & Service impact, through discussions with the users, POL SCT & HSD – providing this input into the Major Incident Conference Call.
- * Calls & chairs the MI conference call
- * Produces & distributes the MI conference call minutes.
- * Liaises with SSC to update the Service Portal / updates the Service Portal

Following resolution of the Incident the Service Delivery Manager / Owner schedules and chairs the Major Incident Review and creates the Major Incident Report Document. Any corrective actions arising from the Major Incident Review will be added to the Corrective Actions log and tracked through to completion. The updates will be distributed to POL as required, and in the case of a Security Major Incident associated with PCI Failures, then the POL Security team will receive a copy of the report.



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8.2.2 Service Delivery Templates

NAME TEMPLATE	OF	LOCATION	DESCRIPTION / NOTES	DISTRIBUTION
Notification of Major Incident		\\ATCFS7\POcust_serv\01Public\Major Incident Management \Templates	Used to communicate the key information as requested by POL. THIS MUST BE EMAILED WITHIN 15 MINS OF MAJOR INCIDENT INVOCATION.	POL RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
Major Incident Report Template		\\ATCFS7\POcust_serv\01Public\Major Incident Management \Templates	The Major Incident Report contains all the information about a Major Incident. This document is distributed to POL.	POL RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
MI Conference Call Agenda		\\ATCFS7\POcust_serv\01Public\Major Incident Management \Templates	Used to provide structure to the MI Conference Call and ensures that all relevant information is collected.	Attendees of MI CONFCALL RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
MI Conference Call Minutes		\\ATCFS7\POcust_serv\01Public\Major Incident Management \Templates	Ensures that minutes from the MI Conference Call are produced in a consistent format, and that all attendees are aware of actions & status of recovery. Aids communication	Attendees of MI CONCALL RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
Major Incident Review Agenda		\\ATCFS7\POcust_serv\01Public\Major Incident Management \Templates	Standard format for Major Incident Review & ensures that all areas are addressed.	Attendees of MIR RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
Major Incident Review Minutes		\\ATCFS7\POcust_serv\01Public\Major Incident Management \Templates	Standard format for Major Incident Review minutes. Ensures that information is collected in correct format for inclusion in other reports / to be taken to Service Review.	Attendees of MIR RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS



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8.2.3 Service Delivery Activities

This template can be printed out and used as a checklist during a Major Incident.

Incident Management Timeline		Service Delivery Manager Activities
Incident + 0 mins	Incident identified	<input type="checkbox"/> Invoke Major Incident <u>Documentation</u> <input type="checkbox"/> Open Major Incident Report (Powerhelp number, start timeline) <input type="checkbox"/> Save Major Incident Report on central server. <input type="checkbox"/> Open Service Portal Incident <input type="checkbox"/> Prepare Notification of Major Incident template <u>Communication</u> <input type="checkbox"/> Ensure HSD / SMC is aware of Incident & request HSD Impact template to be completed. Provide Incident Summary details for HSD / SMC to add to the template <input type="checkbox"/> Inform POL <input type="checkbox"/> Escalate to RMGA management <input type="checkbox"/> Send alert SMS
Incident + 15 mins		<input type="checkbox"/> Determine Business impact (impact on transactions, & branches.) <input type="checkbox"/> Calls MI Conference Call <u>Documentation</u> <input type="checkbox"/> HSD Impact template received. <input type="checkbox"/> Information added to POL Major Incident invocation template. <input type="checkbox"/> Email completed POL Major Incident invocation template to POL <input type="checkbox"/> Update Major Incident Report <input type="checkbox"/> Update Service Portal <u>Communication</u> <input type="checkbox"/> Send update SMS (including time of MI Conference Call – if applicable)
Incident + x mins	MI Conference Call	<input type="checkbox"/> Chairs MI Conference Call <u>Information Required</u> <input type="checkbox"/> HSD impact including Business impact (impact on branches / counters & transactions)
Incident + x mins	Post MI Conference Call	<input type="checkbox"/> Creates & distributes the MI Conference Call Minutes <input type="checkbox"/> Save copy of MI Conference Call Minutes on central server <u>Documentation</u> <input type="checkbox"/> Update Major Incident Report (timeline & impact) <input type="checkbox"/> Update Service Portal <u>Communication</u> <input type="checkbox"/> Send update SMS
To be repeated following every MI Conference Call		
Incident + x mins (Within 24hrs)	Post recovery	<u>Documentation</u> <input type="checkbox"/> Update Major Incident Report & save on server. <input type="checkbox"/> Email draft Major Incident report to POL <input type="checkbox"/> Update Service Portal Incident <input type="checkbox"/> Schedule follow up MI Conference Call to ensure that recovery has been effective & that Incident is resolved.



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			<u>Communication</u> <ul style="list-style-type: none"><input type="checkbox"/> Ensure HSD is aware of Incident resolved / downgraded to BAU.<input type="checkbox"/> Cease completion of HSD Impact template.<input type="checkbox"/> Inform POL / RMGA Management of Incident Status<input type="checkbox"/> Send closure SMS
Incident 24hrs	+		<ul style="list-style-type: none"><input type="checkbox"/> Schedule MI Review and distribute agenda<input type="checkbox"/> Chair MI Review<input type="checkbox"/> Track Corrective Actions <u>Documentation</u> <ul style="list-style-type: none"><input type="checkbox"/> Update Major Incident Report & save on server.<input type="checkbox"/> Email Major Incident report to POL
Incident 48hrs	+	Major Incident Review	<ul style="list-style-type: none"><input type="checkbox"/> Chair Major Incident Review<input type="checkbox"/> Agree timescales and number of branches impacted as required for HNG-X LD payments
Incident 48hrs	+	Post Major Incident Review	<ul style="list-style-type: none"><input type="checkbox"/> Create Major Incident Review Minutes and save to central server.<input type="checkbox"/> Distribute Major Incident Review Minutes.<input type="checkbox"/> Add corrective actions to the "corrective actions spreadsheet"

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8.3 Service Support Manager – Recovery Manager

8.3.1 Role of the Service Support Manager in Major Incident

The primary functions of the Service Support Manager is to act as Recovery Manager and to co-ordinate and manage the restoration of Service, focusing on the technical teams and acting as the communication point for the technical teams and 3rd parties.

The Service Support Manager:

- * Manages the technical recovery of the Incident – liaising with SDUs & Third Parties.
- * Provides updates on the recovery, when technicians / representatives of technical teams are unable to attend the MI Conference Call.
- * Is the only person to liaise directly with the technical teams, including technical third parties.
- * Ensures that technical investigative actions are tracked and completed.
- * Tracks technical corrective actions through Service Review meetings

In the event of a central infrastructure Major Incident with no impact on the business, the SDM will not be involved and the SSM will be responsible for chairing any meetings / creation of documentation.

Service Support may well feel the need to schedule a Technical Conference Call, which will have a technical focus.

8.3.2 Service Support Templates

NAME TEMPLATE	OF	LOCATION	DESCRIPTION / NOTES	DISTRIBUTION
Technical Update for MI Conference Call		\\ATCFS7\POcust_serv\ 01Public\Major Incident Management \Templates	Contains technical information which should be brought to the MI Conference Calls	None



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8.3.3 Service Support Activities

This template can be printed out and used as a checklist during a Major Incident.

In the event that there is no business impact, the Service Support Manager will assume the documentation responsibilities.

Incident Timeline	Management	Service Delivery Manager Activities
Incident + 0 mins	Incident identified	<input type="checkbox"/> Invoke Major Incident <input type="checkbox"/> Ensure that Data Centre Ops are running ping scripts (every 15 mins from each DC) <input type="checkbox"/> Contact Technical Teams for update. <input type="checkbox"/> Agree next update point with Technical Team (if not MI Conference Call)
Incident + x mins	MI Conference Call	<input type="checkbox"/> Provide technical input into the MI Conference Call if technical teams are unavailable.
Incident + x mins	Post MI Conference Call	<input type="checkbox"/> Complete actions assigned to Service Support <input type="checkbox"/> Ensure that SDUs complete actions.
MI CONCALL + 15 mins		
To be repeated for every MI Conference Call		
Incident + x mins (Within 24hrs)	Post recovery	<input type="checkbox"/> Ensure that all Technical teams are aware that the Incident has been resolved / downgraded. Thank teams for their effort. <input type="checkbox"/> Provide input into update of Major Incident Report.
Incident + 48hrs	Major Incident Review	<input type="checkbox"/> Attend Major Incident Review
Incident + 48hrs	Post Major Incident Review	<input type="checkbox"/> Add corrective actions to the "corrective actions spreadsheet" to be tracked through Service Review meetings. <input type="checkbox"/> Ensure SDUs complete MI Corrective Actions



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8.4 SDUs: Technical Teams / Third Parties

8.1.1 Role of the SDUs: Technical Teams / Third Parties during a Major Incident

The role of the Technical Teams / Third Parties during a Major Incident is to investigate the Incident, and in the event of no pre-determined recovery options, suggest and evaluation of potential recovery options to resolve the Incident.

The technical teams should not be contacted by any party other than the Service Support Manager (Recovery Manager.)

The Technical Teams / Third Parties should send an attendee to the MI Conference Call and following resolution to the Major Incident Review meeting. Where attendance on the MI Conference Call is not possible, a full update **MUST** be provided to the Service Support Manager to ensure that that the Bridge can be updated.

8.1.2 Technical Teams Templates

This template has been designed to assist the technical teams / Third Parties in compiling the information required for a MI Conference Call.

NAME TEMPLATE	OF	LOCATION	DESCRIPTION / NOTES	DISTRIBUTION
Technical Update for MI Conference Call		\\ATCFS7\POcust_serv\01Public\Major Incident Management \Templates	Used to provide structure to the MI Conference Call and ensures that all relevant information is collected.	Not for distribution



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9 Post Office / Fujitsu Services Interfaces

The Post Office / Fujitsu Services interfaces are all detailed in the Process Description, section 5.1, however for ease the interfaces have been extracted into the table below.

Stage in Process	Description of Interface	Timescales	FJS Owner
Major Incident Triggers Met?	POL SCT will be informed by the Service Delivery Manager / Owner managing the Major Incident of the incident. SMS will be sent to RMGA Management alerting to the potential existence of a Major Incident.	T+3 T+5	RMGA SDM / Owner (Duty Manager) HSD / SMC (out of hours)
BAU Incident	POL SCT will be informed that there is no Major Incident SMS sent	As appropriate	RMGA SDM / Owner (Duty Manager) HSD / SMC (out of hours)
Incident Investigation & diagnosis	POL invited to Major Incident Bridge	T+5	RMGA SDM / Owner (Duty Manager)
Major Incident Bridge	POL attendance on MI Bridge	T+15	N/A
MI Minutes distributed	POL recipient of the MI Bridge Minutes	MI Bridge +15	RMGA SDM / Owner (Duty Manager)
As determined on MI Bridge / in person with POL	Regular SMS / phone updates to POL SCT	As determined on MI Bridge / in person with POL	RMGA SDM / Owner (Duty Manager)
War Room	POL attendance at War Room	Timescale dependant on impact and nature of incident & progress of resolution.	RMGA SDM / Owner (Duty Manager)
Incident Resolution	POL attendance on conference call SMS sent		RMGA SDM / Owner (Duty Manager) HSD / SMC (out of hours)
Major Incident Draft Report	POL sent MI draft report including Security for PCI Major Failures	MI + 24hrs	RMGA SDM / Owner (Duty Manager)
Major Incident Review & formal Incident Closure	POL attendance at Major Incident Review	MI + 48hrs	RMGA SDM / Owner (Duty Manager)

As detailed under Appendix 10.3, escalation of the Major Incident will also occur; this activity running concurrently to the interfaces detailed above.



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10 Appendices

10.1 List of Templates

All templates are stored on the central share. : \\ATCFS7\POcust_serv\01Public\Major Incident Management \Templates

NAME OF TEMPLATE	DESCRIPTION / NOTES	DISTRIBUTION
Impact on HSD	This template is used to communicate the impact of a Major Incident to RMGA Service Management (Service Delivery.)	RMGA Service Delivery Manager
Notification of Major Incident	Used to communicate the key information as requested by POL. THIS MUST BE EMAILED WITHIN 15 MINS OF MAJOR INCIDENT INVOCATION.	POL RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
Major Incident Report Template	The Major Incident Report contains all the information about a Major Incident. This document is distributed to POL.	POL RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
MI Conference Call Agenda	Used to provide structure to the MI Conference Call and ensures that all relevant information is collected.	Attendees of MI CONCALL RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
MI Conference Call Minutes	Ensures that minutes from the MI Conference Call are produced in a consistent format, and that all attendees are aware of actions & status of recovery. Aids communication	Attendees of MI CONCALL RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
Major Incident Review Agenda	Standard format for Major Incident Review & ensures that all areas are addressed.	Attendees of MIR RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
Major Incident Review Minutes	Standard format for Major Incident Review minutes. Ensures that information is collected in correct format for inclusion in other reports / to be taken to Service Review.	Attendees of MIR RMGA Service Support & Service Delivery RMGA Head of Service Management RMGA Head of CS
Technical Team Update to MI CONCALL	The technical teams / third parties are responsible for updating the MI Conference Call with <input type="checkbox"/> Input into the Incident Timeline <input type="checkbox"/> Service & Infrastructure impact <input type="checkbox"/> Risk & Impact assessment of recovery actions <input type="checkbox"/> Progress against recovery actions / investigation. <input type="checkbox"/> Provide update from third parties from which the technical teams / third parties are responsible for.	Not distributed – to assist in preparation for the MI CONCALL.



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10.2 Service Delivery Managers, Areas of Responsibility & Contact Details.

All alerts to be raised to Service Manager within 3 minutes

OOH Duty Manager Pager (**GRO) is to be used between the hours:**

17.30 - 09.00 Monday to Thursday

17.00 - 09.00 Friday

24 hour i.e. all day Saturday/Sunday

Outside of these times, please use the contacts list below

AREA OF RESPONSIBILITY	EXAMPLE INCIDENTS	ESCALATION TO:	CONTACT DETAILS	BACK UP
Infrastructure issues. NT / UNIX / Data Centres All network issues	Network Incidents Data centre issues Storage Incidents NT /UNIX Incidents	Ian Mills	GRO	Kirsty Gallacher GRO
Banking and Online Services (Inc: DVLA, Debit Card, EPAY)	Online Service outages	Mike Stewart 1st point of contact	Pager GRO Mobile GRO	Kirsty Gallacher 3 rd Point of Contact GRO
Banking and Online Services (Inc: DVLA, Debit Card, EPAY)	Online Service outages	Mike Woolgar 2nd point of contact	Pager GRO Mobile GRO	Kirsty Gallacher 3 rd Point of Contact GRO
Reference data escalations	New product not functioning	Dave Wilcox	GRO	Kevin McKeown GRO
APS/TPS/SAP/POLFS, LFS	Files Not delivered, Data Transfer	Mike Stewart 1 st Point of Contact	Pager GRO Mobile GRO	Kirsty Gallacher 3 rd Point of Contact GRO
APS/TPS/SAP/POLFS, LFS	Files Not delivered, Data Transfer	Mike Woolgar 2nd point of contact	Pager GRO	Kirsty Gallacher 3 rd Point of Contact



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			Mobile GRO	GRO
Business Continuity	Invoking business continuity incident	Adam Parker	GRO	Kirsty Gallacher GRO
Engineering	Major issue with engineering service	Leighton Machin 1 st Point of contact	GRO	Sarah Bull 3 rd Point of Contact GRO
Engineering	Major issue with engineering service	Susie Appleby-Robbins 2 nd Point of Contact	GRO	Sarah Bull 3 rd Point of Contact GRO
Branch services	Potential environmental issues at individual branches	Denise Miller	GRO	Nick Crow GRO
OBC Escalations	OBC job going wrong/press involved /unhappy postmaster	Ian Venables	GRO	Chris Bourne GRO
Major software problem	Major software problem	Mik Peach	GRO	John Simpkins GRO
HSD/SMC/PostShops	Major Powerhelp call logging issues. Major PostShop outage	Sandie Bothick	GRO	Sarah Bull GRO
Security	Security Issues Virus Alerts	Peter Sewell	GRO	Kirsty Gallacher GRO
Release Management / Service Introduction	Issues caused by Releases	Sarah Bull	GRO	Steve Denham GRO



10.3 Escalation Communication Protocol

The primary principle:

Up”
and
“Across

Escalation protocol:

Fujitsu; Service Owners	SCT / Problem Managers
Service Delivery Team Manager	Service Improvement Manager
Head of Service Management	Supplier and Service Performance Manager
Customer Service Director	Head of Network Support / IT Director

10.4 Major Business Continuity Incidents (MBCI)

For Horizon the MBCI triggers are listed in:

- Horizon Services Business Continuity Plan (CS/PLA/079)
- Horizon Support Services Business Continuity Plan (CS/PLA/080)
- Horizon Service Desk Business Continuity Plan (CS/PLA/015).

For HNG-X the MBCI triggers are listed in:

- HNG-X Support Services Business Continuity Plan (SVM/SDM/PLA/0001)
- HNG-X Services Business Continuity Plan (SVM/SDM/PLA/0002)
- HNG-X Security Business Continuity Plan (SVM/SDM/PLA/0031)
- HNG-X Engineering Service Business Continuity Plan (SVM/SDM/PLA/0030).

These documents should be referred to as appropriate in the event of Major Incident to determine if Business Continuity needs to be invoked.

10.5 Security Major Incidents

In the event of a security major incident, the incident processes as detailed in the RMGA Customer Services Incident Management Process (SVM/SDM/PRO/0018 Appendix A) must also be followed.



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SVM/SDM/PLA/0031 HNG-X Security Business Continuity Plan defines the actions to be taken if security violations are identified.

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