

**COMMERCIAL IN CONFIDENCE**

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

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**COMMERCIAL IN CONFIDENCE****0.2 Document History**

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
0.1	16/10/06	First draft taken from CS/PRO/074. Updated to include HNG-X document references. Security Management appendix added Incident Management Process modified to reflect current working practises. Hardware and Network Call priorities referenced Problem Management escalation changed to SDM rather than Problem Initiator.	
1.0	06/11/06	Updated with comments following review of v0.1. Issued for approval	

0.3 Review Details

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**COMMERCIAL IN CONFIDENCE****0.4 Associated Documents (Internal & External)**

Reference	Version	Date	Title	Source
PGM/DCM/TEM/0001 (DO NOT REMOVE)	1.0	13/6/06	Fujitsu Services Post Office Account HNG-X Document Template	Dimensions
CS/IFS/008			POA/POL Interface Agreement for the Problem Management Interface	PVCS
CS/PRD/021			POA Problem Management Process	PVCS
CS/PRO/110			POA Problem Management Database Procedures	PVCS
PA/PRO/001			Change Control Process	PVCS
CS/QMS/001			Customer Service Policy Manual	PVCS
SVM/SDM/SD/0001			Service Desk – Service Description	Dimensions
CS/FSP/002			Horizon System Helpdesk Call Enquiry Matrix and Incident Prioritisation	PVCS
CS/REQ/025			Horizon HSD: Requirements Definition	PVCS
SVM/SDM/PRO/0001			POA Major Incident Escalation Process	Dimensions
CS/PLA/015			HSD Business Continuity Plan	PVCS
SVM/SDM/SD/0002			Engineering Service Description	Dimensions

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

0.5 Abbreviations

Abbreviation	Definition
HSD	Horizon Service Desk
ISO	International Standards Organisation
ITIL	Information Technology Infrastructure Library
KEL	Known Error Log (in the context of this document, this is a workaround and diagnostic database)
MSU	Management Support Unit
OLA	Operational Level Agreement
ORF	Operational Review Forum
OTI	Open Teleservice Interface
PO	Post Office
POA	Post Office Account
POL	Post Office Limited
SDM(s)	Service Delivery Manager(s)
SDU	Service Delivery Unit

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SLT	Service Level Targets
SMC	Systems Management Centre
SRRC	Service Resilience & Recovery Catalogue
SSC	System Support Centre
VIP	VIP Post Office, High Profile Outlet
A+G	Advice & Guidance
BCP	Business Continuity Plan
RFC	Request For Change
KEDB	Known Error Database
IMT	Incident Management Team
PSE	Product Support Engineers
SMT	Service Management Team
OMDB	Operational Management Database
NBSC	Network Business Support Centre
UNIRAS	Unified Incident Reporting & Alerting System

0.6 Glossary

Term	Definition

0.7 Changes Expected

Changes

0.8 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.

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1 Introduction

1.1 Process Owner

The owners of this process are the Fujitsu HSD Operations Manager and the POA Service Delivery Team Manager responsible for the Fujitsu contract.

1.2 Process Objective

The objective of this document is to define the process for Incident Management in the POA environment. For the purpose of this document an Incident is defined as:

“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.”

This process applies to all Incidents received by the POA HSD, where they are related to the Fujitsu outsourcing contract. N.B calls presented to POA HSD that should be placed with the NBSC are transferred/ referred from POA HSD to NBSC.

The scope of the process is from the receipt of an incident by the HSD, through to the successful workaround or resolution of the incident.

For clarity it should be noted that the HSD/IMT are responsible for managing/owning Incidents.

1.3 Process Rationale

The primary goal of the Incident Management process is to restore normal service operation as quickly as possible, thereby minimising adverse impact to the business. In turn this ensures the highest level of service quality and availability. Normal service operation is defined here as service operation within Service Level Targets (SLT).

This process takes account of the requirements of improved service to be delivered to POL, through the introduction of the HSD. The implementation of the IMT is documented and is aimed at delivering improved understanding and communication between POL and POA leading to an increase in the perceived service level within POL.



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2 Inputs

The inputs to this process are:

- All Incidents reported by Contact with the HSD. Contact is defined as voice or Tivoli Alert as the methods of communication with the HSD and fall into the following categories:
 - Business process error
 - Hardware or software error
 - Request for information e.g. progress of a previously reported Incident
 - Network Error
 - Logging via HNG-X web interface
- Severity and SLT information.
- Evidence of an Error.
- System Alerts received automatically from OMDB. Due to the urgent nature of these alerts they will be dealt with directly by SSC, with an update of workaround or resolution supplied to HSD. It should be noted that these alerts enter the process at step 3, and are not subject to steps 1 & 2 of this process.

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3 Risks and Dependencies

3.1 Risks

The following define the risks to the successful delivery of the process:

- Break in the communications chain to third parties. Mitigation is to invoke escalation procedures.
- Non-availability of the HSD Incident Management System or HSD ONE systems. Mitigation is given in the HSD Business Continuity Plan.
- Non-availability of the OTI links to core & external service desk tools.
- Lack of information given to the HSD regarding changes, POL Business updates, request for changes, status of Problems etc. Processes must be followed to lessen this risk, such as the Change Management and Problem Management Processes.
- Unavailability of sufficient support unit staff
- Unavailability of sufficient tools for Incident diagnosis
- Non-availability of KEL or call management systems
- The provision of inadequate staff training within the HSD, SDU's or 3rd party suppliers
- Unavailability of systems for evidence gathering.

3.2 Dependencies

This process is dependent on:

- Effective Incident handling by the HSD
- The known error information being available and kept up to date with all errors as the root cause becomes known to Problem Management
- HSD knowledge database (HSD ONE) kept up to date with POL business and services knowledge
- Fujitsu infrastructure support of the HSD tools
- Appropriate training plans / skills transfer of desk agents.
- Appropriate training needs to include hardware, software and networks support staff, SDU's and 3rd party suppliers
- Effective routing of calls to SDUs and third parties
- Effective escalation procedures and the maintenance thereof within Fujitsu, POL and third parties
- Governance of Incident / Problem Management procedures
- Effective feedback to POL through Service Management ORFs, contributing to end user education and reduced Incident rates.
- Internal feedback to improve the Incident / Management Process.
- SLT and OLA knowledge and understanding across all Fujitsu and 3rd party support
- POA, SDU and 3rd party consistent co-operation in incident identification and resolution



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4 Resources

The resources required for this process are:

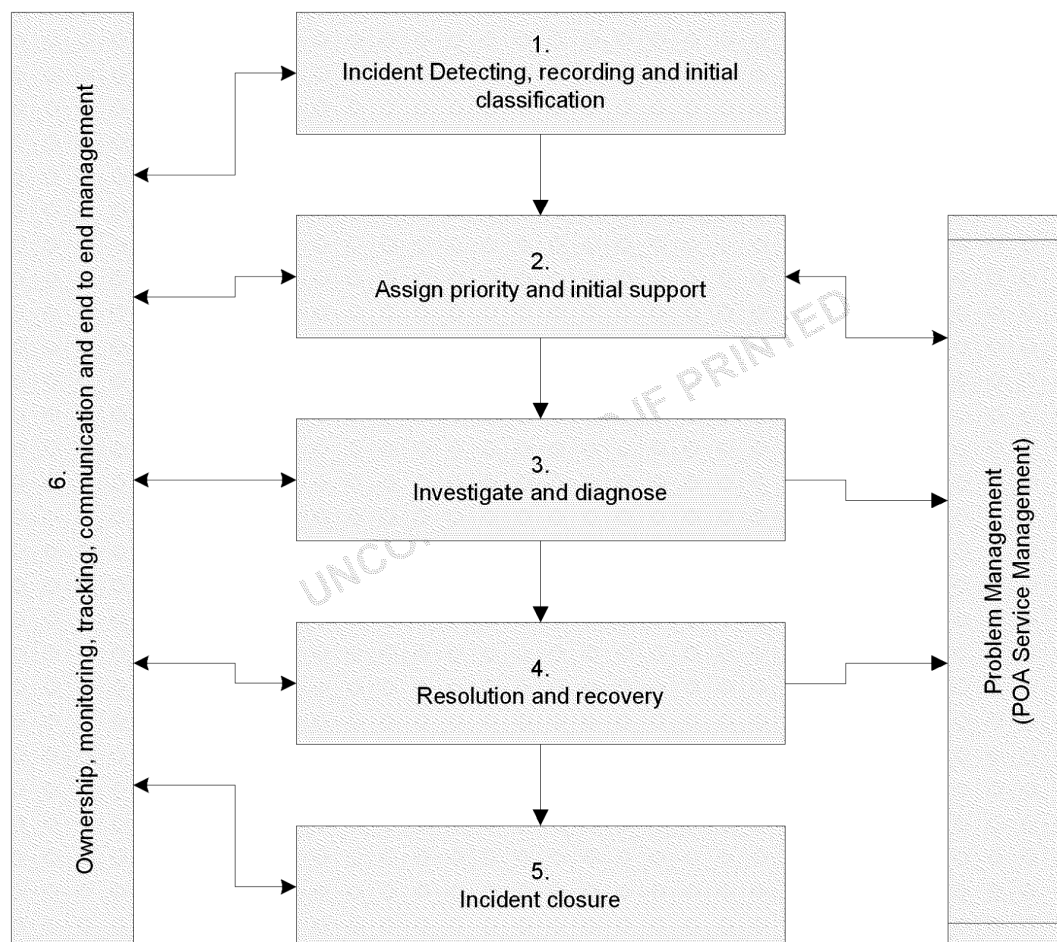
- Process Owners
- Incident Management Team
- Service Management Team
- HSD/SMC
- SSC
- SDU's
- Call Management System
- HSD ONE
- Peak
- Despatch 1
- TIVOLI
- Additional remote Management, Operational and Diagnostic tools
- Detailed Process and Procedure documentation

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5 Process Flow

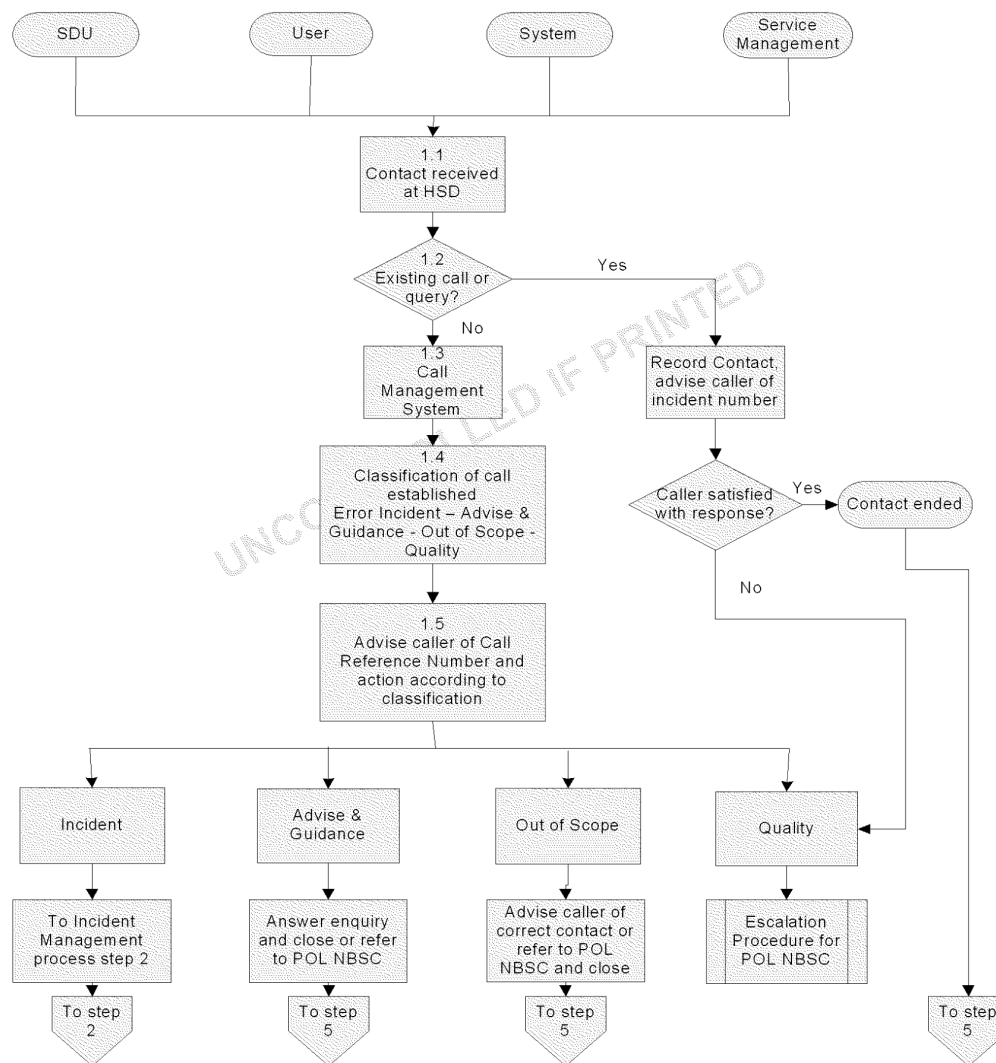
5.1 Level 1 Incident Management Process



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5.2 Level 2 Incident Management Processes

5.2.1 Step 1: Incident Detecting, Recording and Initial Classification

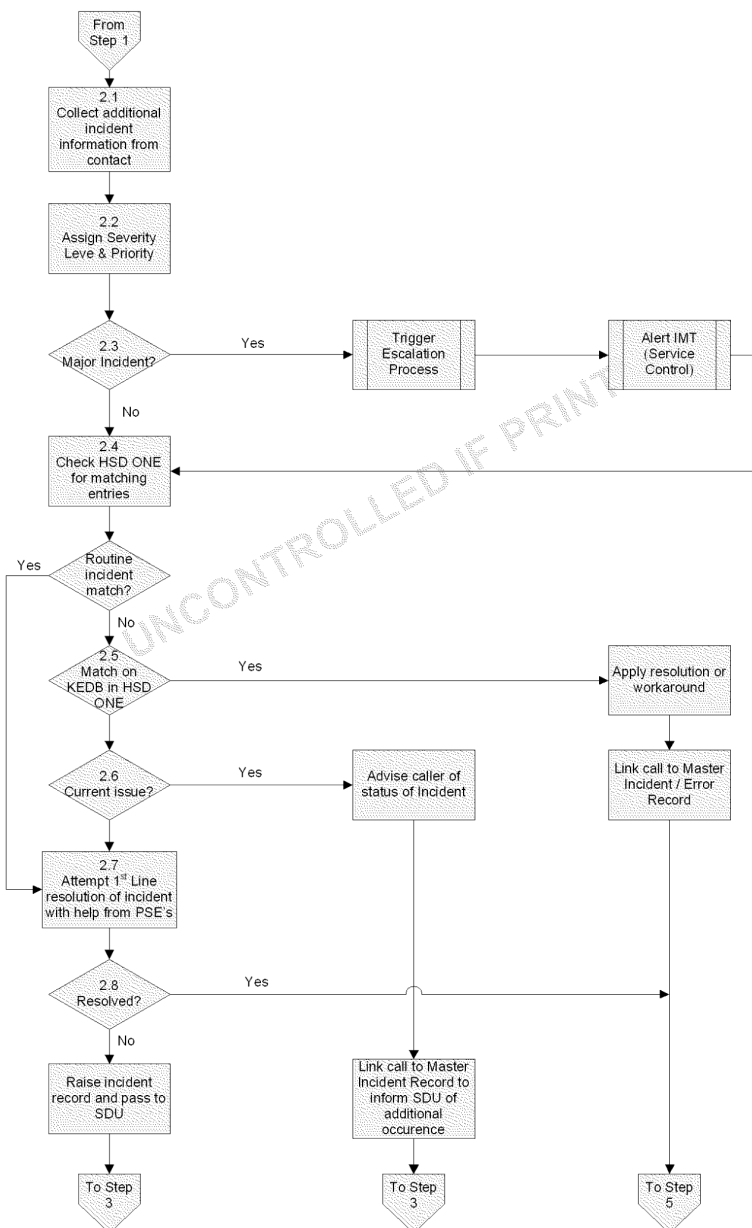
Responsible: HSD, users, SDU's, Service Management

1.1 An Incident is received through contact (see definition in Section 2.0 above) with the HSD from:

- Users
- Fujitsu SDUs
- POA IT Service Management
- Third Parties
- Fujitsu Service Delivery Management

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- 1.2** The caller may be enquiring about an existing Incident. Details are provided and if the response is satisfactory, contact is ended, moving the incident to step 5. If the caller is not satisfied with the response, the relevant Escalation Procedure is invoked. In cases of Incidents that are either taking an above average time (for this type of Incident) to resolve or involve multiple SDU's, the HSD alerts the relevant Service Delivery Manager to provide focused management of the Incident.
- 1.3** For a new Incident, Contact details are recorded if not system generated. Details taken are dependent upon the error reported. Typically they may include:
- The user's name and unique ID number
 - Location and contact details
 - Alternative contact details (where appropriate)
 - Hardware details as appropriate
 - Software error details, including application use at point of failure where known
 - Business and User Impact
 - Description of Incident
 - Location access times
 - Caller assessment of the priority of the incident.
- 1.4** Classification of Call determined as one of the following:
- Error Incident – invoke Incident Management Process Step 2
 - Quality – record details of complaint or compliment and invoke the relevant Escalation Procedure.
 - Advice & Guidance – Cold Transfer to NBSC.
 - Out of scope – if the call is not within scope for the services provided by Fujitsu advise the caller of the correct number or refer to POL NBSC and close incident.
- 1.5** The caller is advised of call reference number and the incident follows the process as appropriate for the nature of the call.

**COMMERCIAL IN CONFIDENCE****5.2.2 Step 2: Assign Priority and Initial Support****Responsible: HSD**

2.1 The HSD agent collects additional information in order to determine the nature, impact and urgency of the Incident.

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- 2.2** Call Severity is assigned based on the impact and urgency as per the criteria in the table below. Call Priority for Hardware and Network calls is assigned in accordance with the Priority matrix as detailed in Engineering Service Description (SVM/SDM/SD/0002), a copy of which each agent should have on their desk.

Severity	Importance	Definition
A	Critical	<ul style="list-style-type: none">BUSINESS STOPPED, a Post Office down, unable to process any business, or central system failure which will result in a number of Post Offices being unable to process work.
B	Major	<ul style="list-style-type: none">BUSINESS RESTRICTED, a Post Office restricted in its ability to transact business, e.g. one counter down.
C	Medium	<ul style="list-style-type: none">NON-CRITICAL, a Post Office working normally but with a known disability, e.g. an interim solution (workaround) has been provided.
D	Low	<ul style="list-style-type: none">INTERNAL, an internal HSH/HIT/SMC problem, e.g. a Service Desk PC or a phone set inoperable.

- 2.3** If the incident is considered a Major Incident as defined in SVM/SDM/PRO/0001 Major Incident Process, the Major Incident Procedures are invoked.
- 2.4** The HSD agent then attempts to resolve the Incident using the resources available. This starts by interrogating HSD ONE to find all information related to the Incident symptoms. If the Incident is routine, i.e. there is a predetermined route for resolution, then the Incident is resolved on the call or referred to the relevant SDU using the HSD Support Matrix in HSD ONE.
- 2.5** If the Incident is not routine, the HSD agent checks for Known Errors listed in HSD ONE and the SSC KEL against records relating to the Incident symptoms. If a match is found, the agent informs the caller of the workaround or resolution available.
- 2.6** If there is no match in HSD ONE or the SSC KEL, the HSD Incident Management System stack is checked for current incidents outstanding. If a match is made, the caller is then advised of the status of the incident and the master record is updated to reflect the current occurrence.
- 2.7** If no match is made against the HSD Incident Management System stack, the HSD continues with first line resolution of the Incident assisted by the Product Support Engineers (PSE's). IMT are appraised of the position.
- 2.8** If the PSE's cannot resolve the Incident, it is referred to the relevant SDU using the HSD Support Matrix in HSD ONE. IMT are appraised of the position. For Hardware calls, the caller is given an indication of engineer arrival time, based on the SLA associated with the priority of the call.

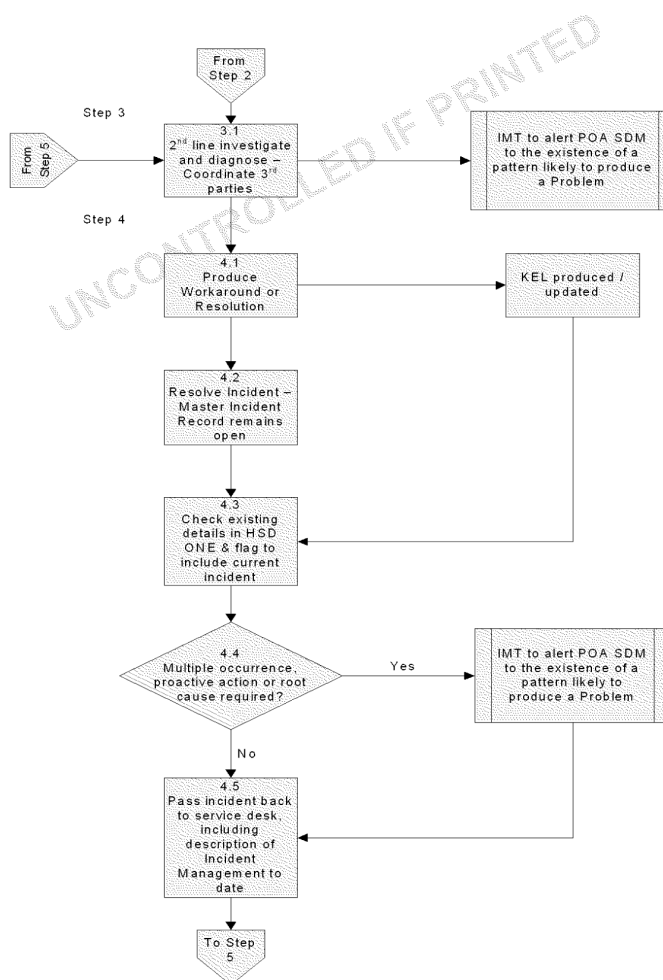
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5.2.3 Steps 3/4: Investigation and Diagnosis; Resolution and Recovery

Responsible: SDU's

2nd line support stage. The referred SDU investigates and diagnoses the Incident, based on information already taken by the HSD, together with any new information. The SDU also coordinates where sub-contract third parties are involved. If the Incident has no associated KEL, or it is complex and involves multiple SDU's, or if it has been unresolved for an extended period, the IMT will alert the POA Service Delivery Manager to the existence of a pattern likely to produce a Problem.

Out of hours, SMC should check the OLA documentation to determine if out of hours support is available for the Service impacted. In the event that out of hours support is available, SMC will discuss incidents with the Duty Manager, who in turn will discuss incidents with the line of business SDM.



4.1 A workaround or resolution is produced by the SDU.



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- 4.2 The SDU then either applies the workaround or resolution or passes it to the HSD to implement. The Master Incident Record (if one exists) remains open at this point.
- 4.3 The SDU checks the workaround or resolution has been successful. HSD are responsible for updating details recorded in HSD ONE, from details supplied via the KEL created by SSC. HSD ONE should be identical to SSC KEL in relation to Application Software, but may also contain additional information.
- 4.4 Where this Incident has a number of Calls referenced to it, or where there is a probability that proactive action is required to prevent further occurrences of this Incident the IMT will alert the POA SDM to the existence of a pattern likely to produce a Problem
- 4.5 The Incident is then passed to the HSD to manage the closure

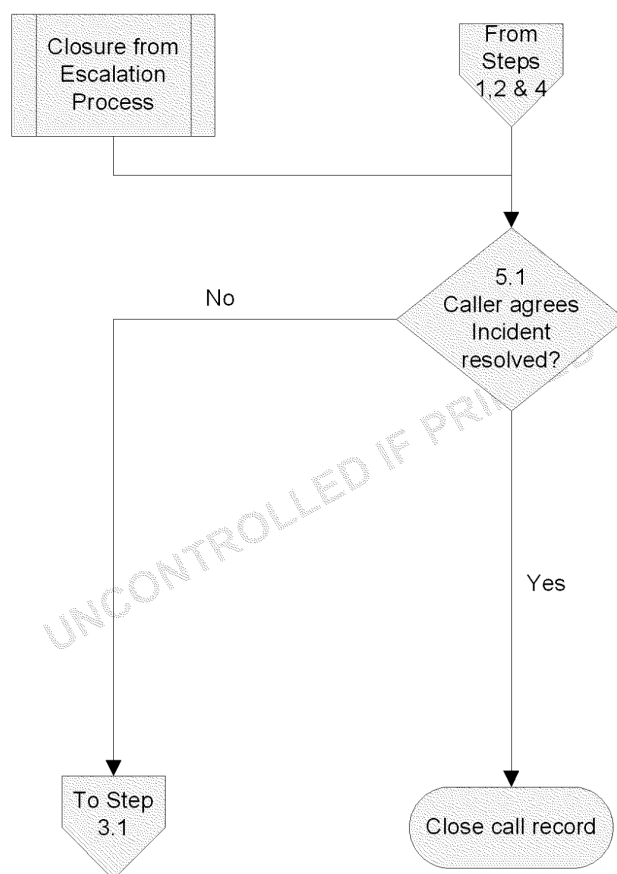
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5.2.4 Step 5: Incident Closure

Responsible: HSD



The Call is then closed with the agreement of the originator. If not, it will be returned to the SDU to be reworked.

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Throughout the Incident, the HSD retains ownership for monitoring and keeping the call raiser informed of progress, unless the incident is specifically software related, in which case SSC hold the responsibility for confirming details of closure.

The HSD manages the complete end-to-end Incident process.

Activities include:

- Regularly monitoring the status and progress towards resolution of all open Incidents
- Note Incidents that move between different specialist support groups, indicative of uncertainty and possibly a dispute between support staff
- Give priority for Incident monitoring to high-impact Incidents
- Keep affected users informed of progress without waiting for them to call, thus creating a pro-active profile
- Monitors SLT and escalates accordingly. If an Incident has no associated KEL or, it is complex and involves multiple SDU's, or if it has been unresolved for an extended period, IMT will alert the POA SDM to the existence of a pattern likely to produce a Problem.
- Updating HSD ONE from information supplied from SSC KEL. This may be applied as a direct copy or amended for use by the agents, dependant upon the technical complexity of the update.



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6 Outputs

The outputs from this process are:

- A Problem referred to the Service Delivery Manager with line of business responsibility, where there have been one or more Incidents for which the underlying cause is unknown
- An update to the Knowledge Database
- A workaround or permanent resolution for a hardware, software or network error
- An answer to a question from a user
- The receipt and onward transfer of information received by the HSD
- A service improvement recommendation.
- Change of operations procedures.
- Change of Business Continuity Plan (BCP) priorities and documentation.

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7 Standards

This Process conforms to:

- Process Management and Control PA/PRO/038
- ITIL Best Practice
- BS15000
- BS9001

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8 Control Mechanisms

The contractual measures that apply to this service are described in the Horizon HSD Service Description (SVM/SDM/SD/0001)

This covers service availability, service principles, service definition, incident prioritisation, service targets and limits and HSD performance reporting.

In addition, internal measures may apply for specific productivity and service improvement activities.

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9 Appendix A: Security Incident Reporting

9.1 Scope

This annex outlines the process regarding the investigation, and reporting of all IT security incidents concerning the HORIZON Network and all IT equipment.

9.2 Aim

The aim of these instructions is to ensure that details of all IT related security incidents are reported to one central point and that any follow up investigations are managed in an efficient and auditable manner.

9.3 Changes

These work instructions are primarily for use by HORIZON Service Desk Staff, the POA Security Team, the POL Security Team, and SSC staff. Approval from POL is to be gained before any significant changes to the work instructions are implemented. All readers are encouraged to propose changes to Work Instructions, in writing, to the POA Security Manager.

9.4 POL Incident Handling Guidance,

All POL incidents will still be handled in accordance with existing POL guidelines. This document does not replace these, or, indeed, replace any part of the content - rather it lays down the POAccount framework under which the work is carried out.

9.5 IT Incidents

9.5.1 Incident Definition

9.5.1.1 An information security Incident is: "an event that compromises the confidentiality, integrity or availability of Fujitsu Services Post Office Account information or information technology assets, having an adverse impact on Fujitsu Services reputation, brand, performance or ability to meet its regulatory or legal obligations."

9.5.2 Incident Categories

9.5.2.1 Incidents can be categorised in many ways, they can occur alone or in combination with other incident categories and can vary significantly in severity and impact. It is important that all incidents are recognised and acted upon.

9.5.2.2 For the purpose of illustrating the impact of incidents two levels of severity have been defined (Note: in practice the assessment may be less straightforward):

A MINOR incident will normally have limited and localised impact and be confined to one domain, resulting in one or more of the following:

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- Loss or unauthorised disclosure of internal or sensitive material, leading to minor exposure, or minor damage of reputation
- Loss of integrity within the system application or data, leading minimal damage of reputation; minimal loss of customer / supplier / stakeholder confidence; negligible cost of recovery
- Loss of service availability within the domain, leading to reduced ability to conduct business as usual; negligible loss of revenue; minimal loss of customer / supplier / stakeholder confidence; negligible cost of recovery

A MAJOR incident will have a significant impact on the Network Banking Automation Community resulting in one of more of the following:

- Loss or unauthorised disclosure of confidential or strictly confidential material, leading to brand or reputation damage; legal action by employees, clients, customers, partners or other external parties
- Loss of integrity of the applications or data, leading to brand or reputation damage; loss of customer / supplier / client confidence; cost of recovery
- Loss of service availability for applications or communications networks, leading to an inability to conduct business as usual; loss of revenue; loss of customer / supplier / client confidence; cost of recovery

9.5.3 Examples of IT Incidents

- Theft of IT equipment / property, including software
- Malicious damage to IT equipment /property, including software
- Theft or loss of Protectively Marked, caveat or sensitive IT Data.
- Actual or suspected attacks on the Fujitsu Services POA Network or Information System.
- Potential compromise of systems or services at the Data Centre through evidence retrieved and presented by Police.
- Attacks on Fujitsu Services Post Office Account personnel via Information Systems. (I.e. Harassment, Duress
- Malicious/offensive/threatening/obscene emails).
- Breaches of software licensing

The above list are examples, and by no means exhaustive. Any other IT related incidents reported, will be considered and passed to the appropriate authority for action.

9.6 Reporting

9.6.1.1 Anyone reporting should be encouraged to report incidents to their Line Manager in the first instance. The Line Manager will gather as much detail of the incident as possible, following company procedures. He or she will undertake an initial local investigation into the incident, ensuring that in the case of missing equipment or materials that they have not just been misplaced.

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9.6.1.2 If the investigation shows that an incident has occurred that warrants further investigation the Line Manager should immediately log a call with the Post Office Account Service Desk, stating that they are reporting a security incident, giving brief details. Please note that in certain cases there may be circumstances where no details of a sensitive, nature should appear on the call log. Having logged the call and obtained a call reference number, the Line Manager may then continue with the investigation, and act as a liaison between the person reporting and all concerned parties. Once logged, the investigation will thereafter be referred to by the Call Number.

9.6.1.3 All Incidents reported to the Service Desk with a call reference but classified as non Serious should be forwarded to POA Security Management to determine if there is a Security Impact.

9.6.1.4 If the severity of the Incident is considered as Serious the Incident details must be reported to the POL Security Manager immediately. Contact details are available on Café VIK. Depending on the type of Incident and the severity of the incident POA Security will make the decision to escalate the details to the POL Security. In the case of Data Centre incidents specifically Security will also inform the Data Centre Manager if this has not already been done.

9.6.1.5 In all cases relevant details should only be recorded and discussed as necessary between the person investigating or Line Manager dealing with it and any relevant parties who need to be included in the investigation. Information on any incident must not be passed to anyone who is not directly involved with the investigation without the authority of POA Security Manager.

9.6.1.6 Once a call is raised with the SSC the call will then be placed on the call stack of the POA Security Team, who will monitor the incident, assist or advise the Line Manager if required, and be available to take over the investigation should the need arise, but always be able to respond, within 2 hours (during normal working hours of between 9am and 5pm) of the initial call being made.

9.7 Investigation

9.7.1 Policy

Although an incident call will initially be owned by the POA Security Manager in order to have one point of contact for all parties, some or all of the investigation requirements may be passed to one or more of the following for further action:

9.7.2 POL Security / Investigation Team

9.7.2.1 In the event that the reporting of an incident is passed to POL Security or the Investigation Team, all details of the investigation, and final outcome or reference details, should be relayed back to the POA Security Team to record on the initial case report (ICR).

9.7.2.2 In the event that the POA Security Manager takes ownership of an investigation, he will report the results to POL Security and the Investigation Team where required.

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9.7.2.3 During any investigation the POA Security Team must comply with the appropriate legislation.

9.7.2.4 All initial investigations carried out by Line Managers should be carried out at the earliest opportunity and any queries should be directed to POA Security Manager.

9.7.3 Process

9.7.3.1 In most cases the initial investigation will be carried out by the Line Manager or his/her nominated deputy. The POA and POL Security Teams will be on hand to provide assistance or advice if required.

9.7.3.2 The follow up (more detailed) investigation, may then be carried out by either the Line Manager, representatives of POL or POA Security or other parties, depending on the circumstances of the incident.

9.7.3.3 Where appropriate, POA Security will report to/ liaise with the local Police and/or other external Agencies; this will only be done following consultation with the POL Head of security or her staff.

9.7.3.4 Copies of the initial and follow up reports will be submitted to relevant authorities and details of all investigations will be held on file by the POA Security team to aid any subsequent trend analysis.

9.8 REMEDIAL ACTION

9.8.1 On Completion of report

When the final report of an investigation has been completed, it should be passed to the relevant authority for follow up action, the results of which should be referred back to the POA Security Manager.

9.8.2 Completion of Investigation

When an investigation is closed the POA Security Team will close the initial call.

9.8.3 UNIRAS Reporting

On call closure, the POA Security Team will complete and notify UNIRAS where required.



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9.9 TRENDS & AUDITING

9.9.1 Frequency

9.9.1.1 POA Security Team will carry out a 6 monthly check of all investigations and create a summary report highlighting all incidents to the POL Head of security.

9.9.1.2 The report will highlight any trends or weaknesses which may need to be raised at future Security Forums.

9.9.1.3 Details from the 6 monthly reports may also be considered suitable for Line Managers.

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