

Assessment Report



Organisation Fujitsu Services Limited
Report Author John Cooper
Visit Start Date 29/05/2007



Introduction

This report has been compiled by John Cooper and relates to the assessment activity detailed below:

Visit ref/Type/Date/Duration	Certificate/Standard	Site address
7034247 Continuing assessment 29/05/2007 3 day(s)	FS 00445 BS EN ISO 9001:2000	Fujitsu Services Limited Lovelace Road Bracknell RG12 8SN United Kingdom

The objective of the assessment:

Continuing assessment against the requirements of both ISO9001:2000 and the TickIT Guide version 5.0. aligned to the agreed arrangements outlined in the Fujitsu Service UK 2007/8 delivery plan. Emphasis on the Software development process around the Royal Mail Account and associated measurements.

Management Summary

A document has been produced to ensure deviations from core processes are appropriately approved and effectively managed.

[This process is effective]

The areas assessed exhibited extremely good alignment between organisational policy and objectives. [This area is effective]

Frequent local executive reviews are held to ensure alignment of organisational policy, strategic planning and objectives. Results from monitoring account performance also form an integral part of executive meetings. The Horizon Account is stable and generally operates within expected parameters.

[This area is effective]

HNG-X Account is embryonic and is still in a state of flux, issues exist concerning resources, planning etc. [This area was generally found to be effective]

Processes within the POA show a good approach to the ethos of adopting the process approach, outputs from one process can easily be traced to the input criteria of the next process. Internal audits have facilitated, monitored, tested and taken corrective appropriate corrective action(s) to ensure the process approach to the BMS is adopted successfully.

[This area was found to be effective]

Third party supply management appears to be well managed within the business and manages to effectively detect poor performance, e.g. third party supplier to HNG-X project.

[This area was found to be effective]

With the recent changes to the HNG-X project resource planning has been a difficult area to manage. This is most probably been caused by the requirement to use core services (e.g. non-local test beds) and the realignment of the HNG-X plan. To alleviate resource issues, including resources from core, a new resource manager was appointed as a result of Red Alert 892.

The new appointment has greatly reduced some of the earlier issues with resources for projects.

[Post new Resource Manager appointment; this area was found to be effective]

Account Performance measures are taken very seriously and are regularly monitored, effective preventive and corrective action methods are in place.

[This area was found to be effective]

There were no outstanding issues/nonconformities to review from previous assessments.

4 issues requiring attention were identified. These, along with other findings, are contained within subsequent sections of the report.

An issue relates to a single identified lapse, which in itself would not indicate a breakdown in the management system's ability to effectively control the processes for which it was intended. It is necessary to investigate the underlying cause of any issue to determine corrective action. The proposed action will be reviewed for effective implementation at the next assessment.

Areas Assessed & Findings

Arrival and opening meeting. Jan Holmes

Introduction and Overview

<< ISO9001:2000 (TickIT) >>

Project Management of Horizon and its ongoing maintenance runs relatively smoothly, primarily due to it having established processes and a reasonably stable group of people. However, its replacement HNG-X has been subjected to a number of changes that have caused issues with the overall delivery schedule. Executive management are reviewing the project plan and resource requirements as the plan ramps up for installation in 2008.

All Employees spoken to undoubtedly have a commitment to provide the contractual service levels for projects, they were also aware of their objectives and the importance attached to meeting them.

The competence displayed by staff is extremely high and communication across the teams appears to work effectively.

Overall a very positive impression of service delivery for Horizon was observed across the various functions audited. HNG-X is still embryonic, emphasis is being placed on delivery requirements by ensuring the correct cross functional teams are in place. The approach taken to HNG-X is different to that used for Horizon in that close relationships have been established with the customer to ensure their requirements are built in to the projects right from the requirements side through to its eventual delivery.

Opening Meeting Jan Holmes

Account Director - (29 May 07) Mr Ian Terblanche

Communication and transparency is seen as a priority by the Account Director and to ensure effective communications he carries out an executive briefing of all staff where "headline news" is announced; this is really an opportunity to reflect on current successes, lessons learned and strategic planning for the future.

In addition there are regular team emails and monthly executive team meetings to ensure objective alignment occurs for all staff.

Services levels and requirements are regularly discussed at both internal and customer meetings, typically these include:

- Tuesdays - Internal review Meeting.
- Wednesday - Internal Project Board Meeting.
- Thursday - External Project Board Meeting.
- Friday - Level Two Planning Meeting.

Service Delivery to Post Office Ltd (POL) - (29 May 07) Naomi Elliot, Liz Melrose, Peter Thompson, Steven Taplin.

The aim in this area is to provide a defined service level to the branches; (this includes areas such as the data centre, networks support and system monitoring) the service level is defined in the service description document. Performance against this document is monitored against eighty two service level targets and is monitored formally each month using the same format as defined in the service review book. Reported service levels are communicated both in house and externally with the customer.

Any deviations from the agreed service level are reported to the Customer Services Director and if appropriate they are added to the risk register.

The service levels are formally documented within contractual documents, these are consistently reported in a customer agreed format. All staff interviewed were aware of the departmental objectives and what their expected contribution was in respect of their achievement.

The expected service levels are realistic but it was noted that some targets for service delivery are not wholly dependent on the performance of the group involved in delivery of the service. E.g. The target documented in one service review book required "software incidents resolved by a re-boot in <=30 minutes should be 100%" this is an ideal target but it requires the user calls back within the 30 minutes of placing the call.

HNG-X Design & Development - (29 May 07) Gill Jackson

This area is responsible for the managing of teams, coding, unit testing, new work and modifications. User requirements are effectively captured within the "DOORS" system.

Project "Moneygram" was selected and its progress monitored through the change process CP4269, the introduction of a new data this was effectively traced through the version control, design and design acceptance processes.

Horizon Design and Development - (29 May 07) Pete Ambrose

Primarily this area is involved in Horizon post design activities through to system test. Changes typically originate from in house requirements but can also originate from the customer. If this results in a high level design it will be passed to the design activity.

Occasionally small HNG-X projects fall into this area but this is as an exception rather than the rule.

Code is generally tested on the fly within the group but final testing is carried out by an independent group. Change request CP4143 was tracked through the design and development process, however, this change had not yet reached the final test stage.

•Change Request CP4143, the addition of RIP command !z !Z and !G

The unit test plan did not show the CP reference for additional testing required for XML data and new !z rip commands.

Application Development - (29 May 07) Annie Stredwick

The principal function of this area is dealing with business cases from requirements in Horizon for counter and access counter development; requirements are stored in "DOORS"

Released requirements from the requirement manager are held in a local spread sheet along with the release requirements. Models are produced and when it is felt ready they are put forward for peer review, following successful peer review Java units and test specifications are produced.

Source is held in CVS, after hand over the code is subjected to component integration testing and on successful test documentation is pulled together for the technical authors , e.g. high and low level design documents for the formal review process.

Bugzilla, an open source bug reporting system is used prior to test but post test "PEAK" is used to track bugs.

System Integration Director- (29 May 07) Martyn Hughes

The current incumbent has only been in position for around three weeks so a general approach was used to understand strategic planning, objectives, change control, project logs, lessons learned and CMMI processes.

General project processes and governance meetings were discussed and the methodology of recordings these formally was determined as being on the spot light system.

Infrastructure - (30 May 07) Chris Beddoes, Dave Tanner

Currently the HNG-X project transition process has approximately 29 designers on board, the project involves Networks, System and Estate Management, System Recovery and Platform and storage.

The original project plan is currently under review due to time slippage on the project, primarily caused by resource shortages, integration into core services, underestimation of migration timescales and continuing changes to requirements. Resources that used to be immediately available such as the test rig is now off site and this has reduces flexibility. The new project plan is still in the design stage and has not yet been agreed and finalised.

Integration Manager - (30 May 07) David Hinde

The function of the integration team is to take deliverables from development and infrastructure teams and reintroduce back into the configuration system "Dimensions".

The area has recently had its scope of operations broadened to include building definitions and building in governance, to date only one release delivery has occurred.

Drop dates are currently being revised in terms of what is dropped within defined timescales, this is still waiting to be formalised within "Dimensions".

The first drop occurred in early 2007 and Int2 has just been dropped, it is anticipated that by drop 4 the local processes in line with Core processes will have been formalised and documented.

- Evolving integration process documents at the local level are yet to be aligned with core processes.

Release Manager - (30 May 07) John Budworth, Sarah Payne

Sarah Payne

The release management process is currently awaiting approval following feedback from inf1. A second draft is now being produced and is held within dimensions; in fact it is planned that the whole release process will work within dimensions.

The prime function is to build system test rigs with particular base lines, sent to dimensions, authorised and child MSC raised.

PC0145919, clarion storage for HNG-X-INF2 Parent 043j0107959, Child 043j0107959-02, build instruction Dev/INF/LLD/0015.IS was tracked through the MSC system and release note process, no issues were raised.

John Budworth (Software code fixes, Daily processes)

For new functionality a CP is generated. PEAK is the system used to control releases for Horizon.

User calls are raise via the call centre in the "Power help system", if the call centre is unable to resolve the problem or a bug is found a PEAK is created and development weigh up the risks, in turn this may be discussed at the weekly meeting to weigh up the value of the fix.
the tracking of Incident management is via PEAK.

PEAK reference PC014036 was chosen and followed through PEAK to evaluate the effectiveness of record keeping within PEAK, all records relating to this PC were effectively recorded.

Test Manager - (30 May 07) Peter Dreweatt

The test team in this area is responsible for functional testing of Horizon and HNG-X systems; though the amount of test work on Horizon is reducing as HNG-X is being developed.

Inf1 is the only code that has passed test and been delivered, appropriate records were found to demonstrate its progress through the testing.

- Presently there is no formal method of recording where actions from lessons learned are transferred to or closed, i.e. where records of resolution of these issues lay.

Resource Manager - (30 May 07) Peter Davenport

This is a newly created function developed from Red Alert 892 and is designed to chase resource requests. The issues revolving around HNG-X development resources have resulted in a second quality alert (949); however it is fair to say that the introduction of this position has reduced the number of resource request outstanding.

Security Manager - (30 May 07) Brian Pinder, Peter Sewell

The security manual is an integral part of the contract documentation and forms the basis of the organisations security policy.

An audit of the process of issuing, tracking, cancellation and withdrawal of security tokens was undertaken.

A volunteer's token was validated against the list of approved token holders held on the local recording system to ensure the token had been appropriately registered; the volunteer's token had been registered. Lost tokens can be revoked via the local secure terminal or via an offsite unit, this was again validated

against the locally held list of token holders and was found to be correct.

System virus definitions and system software patches are recorded in the vulnerability register and applied monthly.

- The vulnerability register records system vulnerabilities, these are recorded in the PEAK system and are evaluated by the appropriate operational team to evaluate the actual or perceived risk to the system. Presently there are a number of vulnerability issues that have not been recorded as being resolved; in some cases this appears to be due to the fact that some teams asked to evaluate vulnerabilities do not have access to PEAK.
- Records need to be generated to demonstrate that actual or potential risks have either been considered and dismissed or rectified.

HR Manager - (31 May 07) Chris Bridgland

The HR function in the PBU is a generalist function covering the planning, implementation, measurement and reporting upon core HR policy that is held on Café Vic, no parallel local procedures exist.

The area of appraisal monitoring was selected for audit. Currently the level of completed employees appraisals stands at 66% even though the target date for the completion of employee appraisals is the end of May 07. Presently completion of employee appraisals does not form part of the Managers performance targets but it is anticipated this will be introduced.

Any delinquency in employee appraisals is reported to both the manager responsible for carrying out the appraisal and to director level.

Supply Chain - (31 May 07) Andy Tait

The area works to core processes and its main function is to manage migration between sites and procurement.

Objectives include the forward planning of expenditure, monitoring expenditure against plan and to maximise the effectiveness of controlling purchasing costs within defined targets; this is reported in PL. Orders are placed on corporate via the "CAFOS" system; corporate also measure the performance and selection of suppliers though supply chain performance can be fed back directly.

- Opportunity for improvement.

Visibility of approved suppliers is not currently available to people based in the local procurement area; there may be potential efficiency benefits to be realised if access to these people were to be granted

Sales and Marketing - (31 May 07) Ian Terblanche

Overall business objectives are tiered down into lower level objectives and KPI's, these are monitored to better understand developing trends within the processes.

Currently the PO is the largest area of spend and is financed by the government, all other RMG units are self financing. Growth opportunities are less feasible within PO than other RMG's and it is anticipated that additional effort will be put into the RMG area.

A regular RMG marketing news letter is produced to highlight successes within RMG and it is anticipated that this will help make potential customers more aware of the products and services available from Fujitsu.

Assurance Manager - (31 May 07) Jan Holmes

Processes such as policy, objectives, customer satisfaction, corrective and preventive actions have been covered within the individual areas defined within this audit.

The internal audit process has been fully aligned with core processes, no deviations have been sought.

The local, internal audit plan for 2007 has been defined, authorised and implemented and the 2006 internal audit schedule has been formally closed down. The latest schedule defines the areas to be audited such as T releases, HNG-X, third party suppliers, appraisals and joint audits with POL.

The audit plan and detail reports demonstrate effective process coverage, positive audit trails are recorded and corrective actions are raised and closed out appropriately.

Monitoring of open corrective actions takes place until effective closure is obtained, monthly reports detailing corrective actions, corrective action trends, process performance and are produced and presented to executive management for their consideration.

Issues Arising from this Assessment

Ref	Area/Process	Clause
A88325/1	Horizon Design and Development - (29 May 07) Pete Ambrose	7.3.7 ISO 9001:2000
Details:	Change Request CP4143, the addition of RIP command !z !Z and !G The unit test plan did not show the CP reference for additional testing required for XML data and new !z rip commands.	

Ref	Area/Process	Clause
A88325/2	Integration Manager - (30 May 07) David Hinde	4.2.1 ISO 9001:2000
Details:	Evolving integration process documents at the local level are yet to be aligned with core processes.	

Ref	Area/Process	Clause
A88325/3	Test Manager - (30 May 07) Peter Dweatt	7.2.2 ISO 9001:2000
Details:	Presently there is no formal method of recording where actions from lessons learned are transferred to or closed, i.e. where records of resolution of these issues lay.	

Ref	Area/Process	Clause
A88325/4	Security Manager - (30 May 07) Brian Pinder, Peter Sewell	7.2.2 ISO 9001:2000
Details:	The vulnerability register records system vulnerabilities, these are recorded in the PEAK system and are evaluated by the appropriate operational team to evaluate the actual or perceived risk to the system. Presently there are a number of vulnerability issues that have not been recorded as being resolved; in some cases this appears to be due to the fact that some teams asked to evaluate vulnerabilities do not have access to PEAK. Records need to be generated to demonstrate that actual or potential risks have either been considered and dismissed or rectified.	

Assessment Participants

The assessment was conducted on behalf of BSI by:

Name	Role
John Cooper	Team leader

... and on behalf of the organisation:

Name	Position
Jan Holmes	Assurance Manager

Next Visit Plan

Visit objectives:

As detailed in the published plan, recommendations to be found in appendix to this report.

Visit scope:

Continuing assessment against the requirements of both ISO9001:2000 and the TickIT Guide version 5.0. aligned to the agreed arrangements outlined in the Fujitsu Service UK 2007/8 delivery plan. Emphasis on the Software development process around the Royal Mail Account and associated measurements.

Date	Assessor	Time	Area/Process	Clause
	John Cooper		Recommendation for the next visit have been detailed in the appendix to this report. However these will be confirmation will be in the published schedule of audits for 2007/8. Once agreed the visit plan will be notified to the location so that appropriate timings can be assigned to each portion of the schedule.	

Please note that BSI reserves the right to apply a charge equivalent to the full daily rate for cancellation of the visit by the organisation within 30 days of an agreed visit date. It is a condition of Registration that a deputy management representative be nominated. It is expected that the deputy would stand in should the management representative find themselves unavailable to attend an agreed visit within 30 days of its conduct.

Notes

The assessment was based on sampling and therefore issues may exist which have not been identified.

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Appendices

This account requires a TickIT auditor.

Assessment Record and Future Plan (TBC)		
	Assessed 2007	Next Plan Date TBA
Account Directorate / Manager		P
Sales	A	
Bid Management		P
Service Delivery Manager	A	
Change Management		
Quality Management	A	
Risk Management		P
Local Process Owner		
Communications Manager		
Core Service Delivery areas		
Solutions Architect (CSA) - IDBM		P
Technical Strategy		P
Prog / Project Management	A	
Consultancy		P
S/W design & dev (ADBM)	A	
S/W Support		P
Tech Support	A	
Test	A	
Integration / Release	A	
Infrastructure (IDBM)		P
Network Design Support	A	
Call Centres/ Helpdesk		P
Field Engineers		P
Deskside Engineering		P
Supply Chain / Logistics	A	
Data Centres		
Procurement / Supplier Management		P
Security Requirements (sample any IS area)	A	
Shared Services		
HR	A	
Commercial		P
Marketing	A	
Finance		
links to Core		
Potential Projects for sampling (Confirm during assessment planning)		
Assessment Themes		
Local processes link BMS	A	P
Cascade of Strategy / Objectives	A	P
Management Review activities	A	P
Process Approach	A	P
Third party supplier management		
Resource planning	A	P
Performance Measures	A	P
Sense & Respond Accredited ?		
		HNG-X Horizon