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# Post Office Horizon IT

## Defects Management Process

## 0.1 Document Ownership

|                  |  |
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## 0.2 Document Control

| Version Number | Author  | Changes Made   | Date Completed                |
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## 0.3 Document Purpose

The purpose of this document is to describe the process for managing defects internally, and with suppliers to Post Office Ltd., describing how the process assists in controlling the impact of defects on branches.

The document aims to provide understanding of the individual steps undertaken in the Defects Management Process and articulate ownership at each level of the Defects Management lifecycle.

## 0.4 Glossary of Terms and Abbreviations

| Term                   | Definition   |
|------------------------|--|
| Branch                 | The physical Post Office premises/equipment  |
| Horizon                | Point of sale system utilised in branch supported/developed in part by Fujitsu   |
| Postmaster             | The manager/owner of the branch, and responsible for branch accounting   |
| Supplier               | The organisation responsible for providing services to Post Office Ltd   |
| Defect                 | A defect is an issue live in a branch that is inconsistent with the agreed design or service specification and affects, or has the potential to affect, branch or customer financial outcomes or has the potential to affect the way a Postmaster is required to use the system.   |
| Problem                | A problem is a cause, or potential cause, of one or more incidents. Problems can be raised in response to a single significant incident or multiple similar incidents based on trend analysis  |
| ServiceNow (SNow)      | Service Management system tooling used for recording incidents, changes and problems.  |
| Knowledge Article (KA) | Electronic documentation within the Post Office toolset used to document support notes workarounds and provide advice and guidance to Helpdesk Advisors.   |
| Release Notes          | Documentation provided as part of a packaged/release detailing the content of the release.   |
| ITIL                   | Information Technology Infrastructure Library – A methodology used for managing an IT service through a defined service management structure.  |
| HIJ                    | Horizon Issues Judgement   |
| ITSM                   | Information Technology Service Management – The principles used to manage an IT service including Incident, Problem and Change Management.   |
| CSI/CIM                | Continuous Service Improvement – Activities undertaken based on defect and problem findings that improve the service to Postmasters. Continuous Improvement Module – The area within ServiceNow where CSI activities are logged  |
| Root Cause             | The underlying issue that once resolved will prevent recurrence of a specific issue  |
| HDRF/HDR               | Horizon Defects Review Forum – A multi-party meeting held weekly where new defects are discussed, in flight defects are provided updates and challenges can be made to and from suppliers involved in the resolution of any defects. This is not to be confused with the Horizon Design Review Forum where the design of products and services on Horizon are reviewed and remediated. |
| RACI                   | A matrix of activities that make up the flow of a process which indicates which parties are Responsible, Accountable, Consulted and Informed at each stage.  |
| KPI                    | Key Performance Indicator – A measure of success and performance of an element or whole of a process.  |
| RCA                    | Root Cause Analysis. The analysis and documentation of the underlying defect providing details around why failures have been caused. Provided by the supplier of the service.  |

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## 1.0 Defects Management Process Overview

### 1.1 What is Defects Management?

The defects management process was introduced to mitigate the findings and failings highlighted in the GLO Horizon Trial that generated specific issues as part of the HIJ (Horizon Issues Judgement). Some of these findings related directly to the lack of clarity, communication and controlled management of defects in the Horizon system and branch equipment that could potentially impact on a branches accounts or ways of working.

Defects Management is an extension of the Problem Management process created to give greater governance and focus on those issues affecting branches from either a financial or poor experience impact caused by a defect in the delivery and build of a Horizon or branch technology service.

Defects are managed through a set lifecycle which mirrors the ITIL Problem Management methodology, but introduces further tasks and controls specifically designed to mitigate a number of concerns and failings as indicated in the Horizon Issues Judgement (HIJ) for immediate rectification.

The Problem Management process has been mirrored as the process flow meets the requirements of the Defects Management Process and looks to prevent Incidents from happening again through effective Root Cause Analysis.

All Defects are logged in a service management toolset. For Post Office Ltd, the toolset used is the Service Now ITSM module for Problem Management where progress and activity can be tracked and governed, with a complete audit trail. Effective use of a CMDB with clear Business Services, Configuration Items and categories aids in ensuring that effective analysis of existing Incidents to assist in proactive trending, and linking Incidents raised and Defects in flight will help indicate full impact and drive prioritisation.

Each Defect will have a differing impact on different areas across the business. It is important that these impacts are understood and taken into account. A matrix for scoring is sent out to key individuals in impacted areas to understand scoring against set questions. The questions are weighted in favour of the impact felt directly on branches. Where the impact potentially affects financial balancing, the scoring is weighted 300% to ensure this is give a higher focus.

### 1.2 The Defect Lifecycle through ServiceNow

The Defect Management Process follows the lifecycle as prescribed by ITIL V3, driven by the Service Management toolset. The steps provide the structure and governance for managing Defects and the activities required to effectively manage Root Cause and prevent Impact on branches.

#### 1.2.1 In Progress

When a Defect is categorised as “In Progress”, it means the Defect Management Process is within its earliest stages of understanding and no root cause has not been identified. Whilst in this stage the scope and reach of the Defect is defined. Stakeholders are invited to an extraordinary meeting of the Defects Forum to socialise the issue and Suppliers are actively pursuing diagnosis and Root Cause Analysis. The standard actions required for each defect raised to the forum will be raised as Tasks (notification to legal for financial impact, Branch Impact Statement created, Knowledge Articles to be completed for helpdesks, communication to branches drafted and delivered, criticality scoring to be completed, and testing and release documentation to be collated) with clear ownership and

deliverables. Risks and\or Service Improvement initiatives (CSI/CIM) should be considered and raised with the appropriate teams for consideration.

#### 1.2.2 Known Error

When a Defect is in “Known Error” state, the Root Cause is known and understood. This will trigger activities around updating the required information to Helpdesks and service users via KAs (Knowledge Articles) where appropriate.

If a workaround is available, this should be developed and communicated if required to affected branches and recorded in Service Now and as a Knowledge Article for use by the helpdesks.

#### 1.2.3 Pending Change

At this stage, the investigation and Root Cause identification of the Defects process have been completed. The Change and Release processes have been engaged and change references/release schedules and dates should be available or planned.

All testing should be completed and observations signed off by the Test Analyst. All documentation should be collated and reviewed by the Problem Manager or Branch Technology Defects Lead and attached to the Problem record.

At this stage in the process all tasks should be given final review to ensure traction and completion. All references from CIM and Risk Activity are recorded.

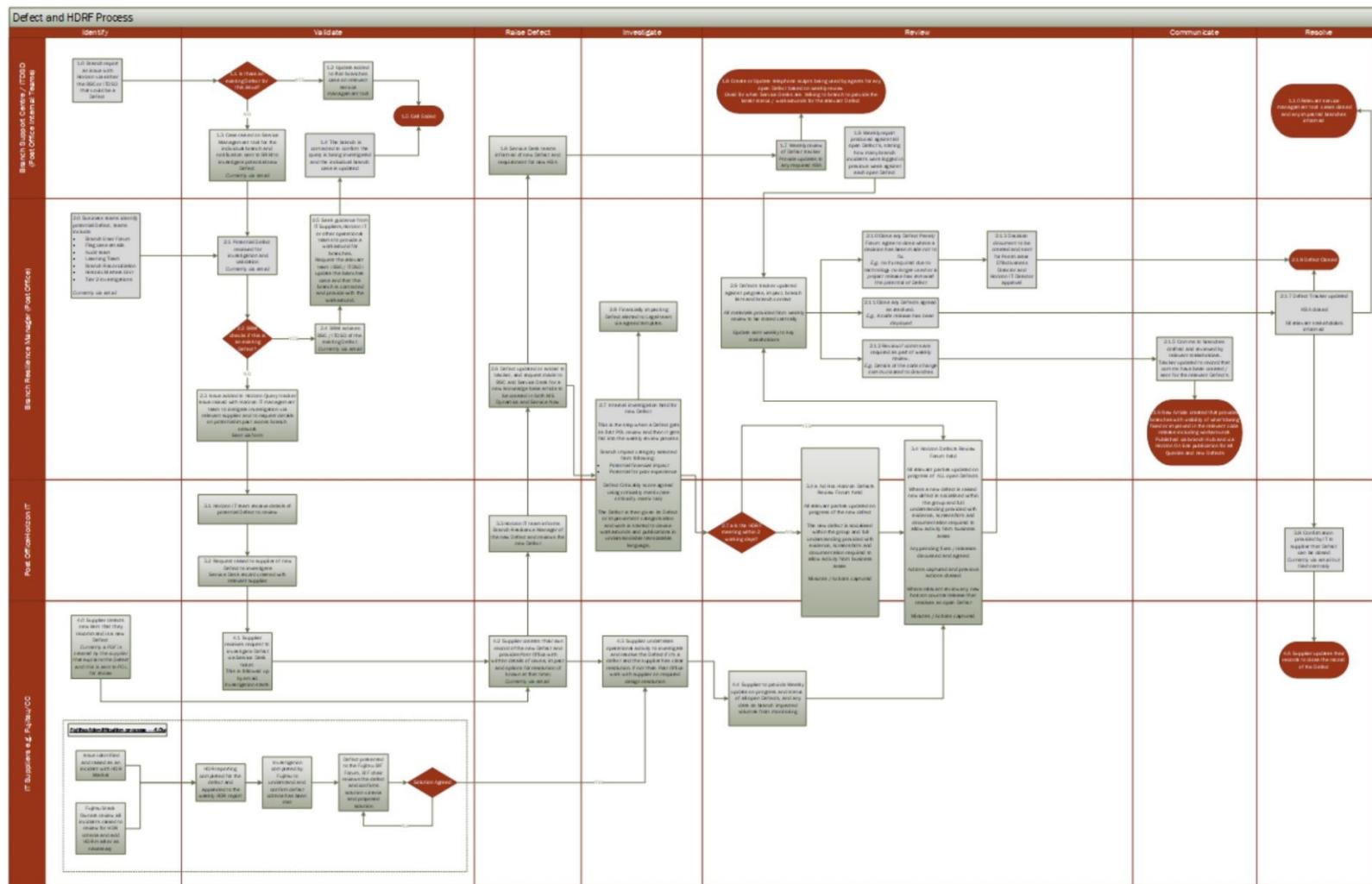
#### 1.2.4 Pending Closure Acceptance

At this stage of the Defect lifecycle, the associated Change or Release has been delivered and the fix is live with service users. Monitoring is undertaken to ensure that the fix has been successful and the symptoms seen are no longer prevalent and associated Incidents are no longer raised or are reduced in line with expected results.

#### 1.2.5 Closed Resolved

Following a period of monitoring, if the Defect is resolved and all tasks closed, the Defect Closure Process can be instigated to get agreement for closure from key Post Office Stakeholders involved in the defect. Once agreement is received from each party, the form is attached to the Defects Management record and the Problem or Defect formally closed down on the Service Management toolset.

## 2.0 Post Office Defects Management Process Diagram



### 3.0 RACI for the Defects Management Process

|   | GE           |   |   |   |   | NFSP                   |   |   |   |   | IT Security Team     |   |   |   |   | Senior Leadership |   |   |   |   |   |
|---|--------------|---|---|---|---|------------------------|---|---|---|---|----------------------|---|---|---|---|-------------------|---|---|---|---|---|
|   | Architecture |   |   |   |   | Post Office Legal Team |   |   |   |   | Horizon Testing Team |   |   |   |   | Operational Teams |   |   |   |   |   |
|   | R            |   |   |   |   | R                      |   |   |   |   | R                    |   |   |   |   | R                 |   |   |   |   |   |
| Identification of Defect                        | R            | R | A | R | R | R                      | R | R | R | R | R                    | R | R | R | R | R                 | R | R | R | R |   |
| Verification of Defect                          |              | R | A |   |   |                        |   |   |   |   |                      |   |   |   |   |                   |   |   |   |   |   |
| Inclusion of Defect into HDRF Documentation     |              | A | R | I |   | I                      | I |   |   |   |                      |   |   |   |   |                   |   |   |   |   |   |
| Socialisation in HDRF or Extraordinary Meeting  |              | R | A | C |   | C                      | C |   |   |   |                      | C | C |   |   |                   |   |   |   |   | C |
| Defect Logged in SNOW                           |              |   | A |   |   |                        |   |   |   |   |                      |   |   |   |   |                   |   |   |   |   |   |
| Branches Notified                               |              |   | A |   |   |                        | R |   | C | R |                      |   |   |   |   |                   |   |   |   |   |   |
| Knowledge Articles Created                      | I            |   | A |   |   |                        | R |   | R |   |                      |   |   |   |   |                   |   |   |   |   |   |
| Investigation and Analysis                      |              | A | R |   |   |                        |   |   |   |   |                      |   |   |   |   | C                 |   |   |   |   |   |
| Legal Teams informed (if financially affecting) |              |   | A |   |   |                        | R |   |   |   |                      |   |   |   |   | C                 |   | R | R | R |   |
| Criticality of the issue scored                 |              |   | A |   |   |                        | R |   | R |   |                      |   |   |   |   | R                 |   | R | R | R |   |
| Impact statement created                        |              | C | R | C |   |                        | C |   |   |   |                      | C | C |   |   | C                 | C | C | C | C | A |
| Progression workshops/meetings                  |              | C | R |   |   |                        | R |   |   |   |                      | R |   |   |   | R                 |   |   |   |   | A |
| HDRF  |              | C | R | C |   | C                      | C |   |   |   |                      | C | C |   |   | C                 | C |   |   |   | A |
| Weekly Supplier formal updates                  |              | A | R | I |   | I                      | I |   |   |   |                      |   |   |   |   |                   |   |   |   |   | I |
| Monthly Reporting of all Defects                |              |   | R |   |   |                        |   |   |   |   |                      |   |   |   |   |                   |   |   |   | A | I |
| Root Cause Analysis                             |              |   | A | R |   |                        |   |   |   |   |                      |   |   |   |   |                   |   |   |   |   |   |
| Workaround Creation                             | I            | A | R |   |   |                        | R |   | R | I |                      |   |   |   |   |                   |   |   |   |   |   |
| Development/Fix                                 |              | A | R |   |   |                        |   |   |   |   |                      |   |   |   |   | R                 |   |   |   |   |   |
| Testing of developed fix                        |              | A | R |   |   |                        |   |   |   |   |                      |   |   |   |   |                   |   |   |   |   | I |
| Agreement/Schedule of deployment                |              | A | C | I | C | R                      | I |   |   |   |                      |   |   |   |   | I                 |   |   |   |   |   |
| Deployment of fix                               |              | A | C |   | C | R                      |   |   |   |   |                      |   |   |   |   |                   |   |   |   |   | C |
| Closure Agreement (includes KE)                 | I            | C | A | C |   |                        | C |   |   |   |                      | C |   |   |   | C                 |   |   |   |   | A |
| Escalation (lack of traction/priority)          |              |   | R | I |   |                        | I |   |   |   |                      | I |   |   |   | I                 |   |   |   |   |   |

| RACI Defined |                          |
|--------------|--------------------------|
| R            | Responsible for delivery |
| A            | Accountable for delivery |
| C            | Consulted                |
| I            | Informed                 |

## 4.0 Defects Management Process Elements

### 4.1 Identification of a Defect

#### Task Purpose

The identification of a defect usually occurs as part of trending, testing and development or the investigation and resolution of an incident/multiple incidents where an impact has been experienced. Suppliers are expected to bring to the process any branch affecting defects that have potential to impact multiple branches (single instance or branch would indicate an incident) and are suspected to be caused by a defect in the delivery and build of a Horizon or branch technology service.

Internally, Post Office Helplines could identify trends or incidents of concern that they may wish to raise through the Defects process to allow investigation by the relevant supplier

#### Contributors

Both the IT Digital Service Desk/Branch Support Centre and internal and external suppliers are responsible for the identification of any defects found as part of day to day activity in either the incident or problem management processes. The Branch Technology Defects Lead is accountable for ensuring that this is being performed and informed of any issues while they are under investigation.

### 4.2 Verification of a Defect

#### Task Purpose

The verification of a defect is completed by any relevant supplier as part of the ongoing investigation into an incident or issue raised. Verification will likely include understanding the current operation of a transaction or service and comparing to the documented specification and expected outcomes of a transaction. Should this fall outside of the expected result, and the operation of the transaction or service falls outside of the expected design, then this issue is deemed as an implementation defect and should then be included in the HDR Process.

#### Contributors

The supplier responsible for the provision of the service and the investigation into the testing defect and or incident is responsible for verification of the defect and raising to the Branch Technology Defects Lead who is Accountable for ensuring that this happens when informed of the confirmed defect status.

### 4.3 Inclusion of the Defect in the Horizon Defects Review Forum (HDRF)

#### Documentation

#### Task Purpose

The Defect should be included in the weekly defects HDRF documentation provided each Friday to allow discussion in the following Monday's Horizon Defects Management Forum (HDRF) as described in 4.13. Each Defect should be provided with a summary document indicating the cause and effect of the defect and where applicable, root cause, workaround and fix. This is a living document where information is constantly updated until such time as the Defect is either awaiting release or fixed. Where the defect is found internally or via a different supplier, the details are passed via the Service

Manager and an extraordinary meeting is held to understand and socialise the defect with members of the Defects Management Forum.

#### Contributors

It is the Accountability of the verifying party/supplier to provide the details of any defect found to the Branch Technology Defects Lead who is responsible for its inclusion in the meeting, to allow initial engagement with the appropriate Service Manager, Release Manager and Branch Resilience Manager before convening an extra ordinary HDRF.

### 4.4 Socialisation of the Defect in the HDRF/Extraordinary Meeting

#### Task Purpose

Each defect raised is discussed with the members of the Defects Management Forum (HDRF) as described in 4.13. This allows the opportunity for questions and clarification to be gained to ensure that tasks performed post meeting can be completed, i.e. Branch Impact Statements, Branch Communications, Knowledge Base Article creation and notification to the legal teams. All defects that are raised to Post Office as confirmed issues, must be socialised with the HDRF within 2 days of notification. Where Fujitsu raise the defect, there are a number of internal forums that ratify the defect before alerting Post Office, the final forum and documentation process completes each Friday allowing for discussion in the main HDRF on the following Monday to meet the KPI. (KPIs shown in Appendix A)

#### Contributors

It is the Accountability of the Branch Technology Defects Lead to ensure that the HDRF and any extraordinary meetings are held to socialise any new defects. The Service Managers, Release Manager, Branch Resilience Manager, Operational Teams, Test Team, Architecture Team and Head of Live Service are all Informed and Consulted on the Defect to ensure that the right activities, communications and questioning are all completed to deadline with a full understanding of the issue.

### 4.5 Defect Logged in ServiceNow

#### Task Purpose

All Defects must be raised ServiceNow (SNOW). Raising of the Defect in SNOW gives visibility of updates and tasks to all involved and provides an audit trail of activity and progress towards closure including the Root Cause. Any new Incidents raised between Defect identification and resolution can be linked to the Problem record. Each Defect must be raised within 2 days of the defect being formally raised to meet KPI. This work is completed by the Branch Technology Defects Lead. Each Defect Problem record will have a task raised that ties directly to each KPI lead activity to ensure these are completed, tracked and measured.

#### Contributors

The Branch Technology Defects Lead is accountable for the creation of the initial Defect Problem ticket and maintaining any Defect Problem record.

### 4.6 Branch Notification

#### Task Purpose

To ensure that branches are aware of all known defects that could affect them either financially or cause a detrimental impact on how they work, an article is placed on Branch Hub for all branches to see within 2 days of the defect being formally raised to meet KPI. This work is completed by the Branch Resilience Manager within the operational teams.

#### Contributors

It is the Responsibility of the Branch Resilience Manager to take the outputs of the HDRF and create a branch focussed communication to be published on Branch Hub. The Communications Team are consulted to ensure that the message is worded in the correct manner for branches and meets all organisation criteria. Once agreed, it is the responsibility of the Knowledge Management Team to ensure that this is published on branch hub in time to meet the KPI deadline and inform the Branch Technology Defects Lead of its implementation.

### 4.7 Knowledge Article Creation

#### Task Purpose

To allow branches to receive the right support when a defect is experienced, the Branch Resilience Manager will work with the Knowledge Management team to create and publish information and guides made available to the helpdesks. This ensures that the impact of the issue can be reduced where possible through use of a workaround, or provides assurance that we are aware of the issue and are working to resolve. Where the issue is financially impacting this can also include escalation to the relevant teams. This is to be completed within 2 days of the defect being formally raised to meet KPI. (KPIs shown in Appendix A)

#### Contributors

It is the Responsibility of the Branch Resilience Manager to take the outputs of the HDRF and create a suitable Knowledge article to be published for both the ITDSD and BSC. Once drafted, it is the responsibility of the Knowledge Management Team to ensure that this is published on the knowledge bases in time to meet the KPI deadline and inform the Branch Technology Defects Lead that this has been done.

### 4.8 Investigation/Analysis

#### Task Purpose

Investigation and analysis into the Incident or testing defect underpinning the Defect is undertaken to understand the Root Cause. This may involve engagement of branches or other suppliers to understand the end to end process affected by the Defect.

#### Contributors

Internal and external suppliers are both responsible for investigation and analysis of the Defect. Operations contacts within Post Office may also be consulted to understand any secondary impacts and the range and scope of these as a result of the Defect.

### 4.9 Notification of a Defect to Post Office Legal Team

#### Task Purpose

For each defect that is acknowledged as having the potential to financially impact a branch, notification MUST be made to our legal team to ensure that the HIJ team are fully aware of any defects that have the potential to have a financial impact on our branches. This activity is undertaken using a formal disclosure form indicating the scope and impact of the issue and which branches are affected if known. This disclosure must be made within 5 days of the socialisation of the defect to meet the KPI target. (KPIs shown in Appendix A)

#### Contributors

The Branch Resilience Manager is both responsible and accountable for completing and submitting the legal disclosure form Informing both the legal team (Stuart Lill) and the Branch Technology Defects Lead of the submission.

#### 4.10 Criticality Scoring of the Defect

##### Task Purpose

Each Defect will have a differing impact on different areas across the business. It is important that these impacts are understood and taken into account. A matrix for scoring is sent out to key individuals in impacted areas to understand scoring against set questions. These questions are held in Appendix B.

The questions are weighted in favour of the impact felt directly on branches. Where the impact potentially affects financial balancing, the scoring is weighted 300% to ensure this is given a higher focus.

Each defect record is also prioritised based on its Impact and Urgency to fix giving an overall priority score using the matrix below.

| Impact     | Urgency  |            |         | Priority     |
|------------|----------|------------|---------|--------------|
|            | 1 - High | 2 - Medium | 3 - Low |              |
| 1 - High   | 1        | 2          | 3       | 1 - Critical |
| 2 - Medium | 2        | 3          | 4       | 2 - High     |
| 3 - Low    | 3        | 4          | 4       | 3 - Moderate |
|            |          |            |         | 4 - Low      |

##### Contributors

The below are responsible for the provision of criticality scoring:

- Branch Reconciliation Team : Financial impact on back and front office accounting
- Branch Resilience : Impact on branch and customer experience.
- Comms : Understand if there is any potential for poor press coverage or impact on social media
- Branch Technology Defects Lead : Was this a contributing factor to a Major Incident or will this impact on other business priorities if not fixed immediately.
- Horizon Architecture Team : To assess if the issue could also affect any other products or components, including new deliverables in flight
- IT Security : Does the Defect represent a security risk to data or access
- NFSP : To assess the impact on the membership and federation of the defect manifesting in branch.

#### 4.11 Impact Statement Created

##### Task Purpose

Most defects raised are of a technical nature and the description, root cause and information provided by suppliers does not reflect the impact actually seen or felt by branch. A statement is drafted by the Branch Technology Defects Lead to indicate the impact on a branch to allow non-technical audience to understand what a branch would see or feel to help with prioritisation based on branch impact. This is completed within 5 days of the defect being formally raised to meet KPI. (KPIs shown in Appendix A)

##### Contributors

The Branch Technology Defects Lead is Responsible for the creation of the impact statement. This is usually understood during the initial HDRF meeting where the issue is socialised where input is taken (consulted) from The supplier, Service Manager, Branch Resilience Manager, operational teams, testing, legal and architecture teams to ensure that we fully understand the impact on our branches.

#### 4.12 Host of Bridge calls and Workshops

##### Task Purpose

Some Defects will require more than one supplier to be engaged to diagnose, understand and fix an issue. The Branch Technology Defects Lead is responsible for chairing and documenting any bridge calls to allow multiple suppliers to work together and share information, allowing real time decision making and brain storming of issues.

##### Contributors

The Branch Technology Defects Lead and Service Managers are both responsible for ensuring that any bridge calls are arranged, hosted and chaired by Post Office Ltd. Suppliers, operational contacts and other interested are expected to attend as contributors to the process.

#### 4.13 Horizon Defect review Forum (HDRF)

##### Task Purpose

The Horizon Defects Review is a weekly forum attended by Post Office and Suppliers to govern the process of defect management. This includes reviewing any potential new Defect and managing all open Defects to resolution.

The meeting is held as two distinct parts, the first will focus on the Defects within the Fujitsu scope of responsibility. Fujitsu's attendance is mandatory for this part of the meeting. The meeting will then continue to discuss other non-Fujitsu Defects and Fujitsu will not be expected to attend this part of the meeting unless a defect is managed collaboratively by both Fujitsu and another supplier.

Meetings are led using Microsoft Teams with Post Office ServiceNow as the central record of each Defect. Each action is held as an auditable record and updated after each meeting by the Horizon Defects Review Chair.

The minutes of the meeting are recorded for dissemination to the attendees of the meeting. These notes will be held centrally on the Post Office Teams Site

##### Contributors

The Branch Technology Defects Lead is responsible for chairing and documenting the meeting. Fujitsu and other suppliers are responsible for attending the meeting to socialise and discuss defects within their scope of responsibility with multiple areas of the Post Office invited and consulted during the meeting. Key roles expected to attend as documented in the HDRF terms of reference are:

| Role   | Organisation    |
|--|-----------------|
| <b>Branch Resilience Manager</b>                         | Post Office Ltd |
| <b>Head of Horizon Live Services</b>                     | Post Office Ltd |
| <b>Senior Service Manager IT Retail</b>                  | Post Office Ltd |
| <b>Branch Technology Defects Lead</b>                    | Post Office Ltd |
| <b>BRT Operations Manager Branch Reconciliation Team</b> | Post Office Ltd |
| <b>Head of Branch Operations Engagement Team</b>         | Post Office Ltd |
| <b>Defect &amp; Quality Manager</b>                      | Fujitsu         |
| <b>Service/Technical Management</b>                      | All Suppliers   |

#### 4.14 Weekly Supplier Updates (Formal Notification)

##### Task Purpose

All internal and external suppliers are expected to provide a weekly update on any defects within their scope of responsibility. Internally these updates are likely to be provided via email or verbally during meetings held to discuss progress. External suppliers are expected to provide a written update, with Fujitsu providing a weekly formal update with each defect documented as part of a Peak Extract as per below. Each update is recorded within the weekly minutes and where progressing is indicated, this is updated in the ServiceNow record.

| Horizon Defects Review - Fujitsu update report - 01/04/2022 |   |            |                   |   |                   |            |                            |                     |                |   |  |  |
|---|---|------------|-------------------|---|-------------------|------------|----------------------------|---------------------|----------------|---|--|--|
| HDR Defects   |   |            |                   |   |                   |            |                            |                     |                |   |  |  |
| POL Reference   | POL Title   | Category   | Fujitsu Reference | Fujitsu Title   | Confirmed Defect? | Workaround | Update                     | Target Release Type | Target Release | HDR Extract   | Screenshots  |  |
| PRB0040829  | Counters unable to log in following extended period switched off                            | Experience | PC0298898         | Failure to download Counter MAIN baseline refdata before package expiry                     | Yes               | Yes        | No Change since 04/02/2022 | Targeted At         | HNG-X 21.67.01 |  HDR Export PC0298898.html |  |  |
| PRB0040756  | Cash deposit and other buttons can be pressed while Help is loading leading to system error | Experience | PC0297218         | Cash deposit and other buttons can be pressed while Help is loading leading to system error | Yes               | No         | No Change since 26/11/2021 | Targeted At         | HNG-X 72.10    |  HDR Export PC0297218.html |  Screenshot PC0297218.p |  |
| PRB0040644  | INC8441006 : 489539 - Unable to Print Drop & Go Receipt from a specific Address             | Experience | PC0296979         | INC8441006 : 489539 - Unable to Print Drop & Go Receipt from a specific Address             | Yes               | No         | No Change since 17/09/2021 | Targeted At         | HNG-X 72.10    |  HDR Export PC0296979.html |  |  |

##### Contributors

Formal updates are the accountability and responsibility of any supplier working to resolve the root cause. The Branch Technology Defects Lead will be consulted where required to ensure the right level of detail is being provided, with the Branch resilience Manager, Release manager and Service Manager informed throughout.

#### 4.15 Root Cause Analysis

##### Task Purpose

Gold suppliers to Post Office Ltd (Fujitsu, Verizon, DXC and Accenture) provide formal Root Cause Analysis (RCA) documentation/statements and investigation in the event of a Defect being raised. The RCA should describe in detail the exact cause of the issue where known. This information should then feed into the resolution activities and tasks within the Defect Problem record.

##### Contributors

While the Branch Technology Defects Lead and Service Managers are responsible for the receipt and recording of the RCA, it is the internal/external suppliers are accountable for performing analysis to fully understand and document the Root Cause, and understand and document any resolution activities required to resolve the issue. Upon receipt and review it is the responsibility of the Service Manager or Branch Technology Defects Lead to agree and accept the RCA.

#### 4.16 Workaround Creation

##### Task Purpose

To minimise impact on branches a workaround is developed where available to minimise impact while the Root cause is sought and remedial action taken. This will be recorded in the SNOW Problem record with an associated Knowledge Article created to allow support for users if required.

##### Contributors

The Branch Technology Defects Lead is accountable for ensuring that all efforts are made to find and document a workaround by suppliers or internal resolvers. The supplier is responsible for the creation of any workaround. Once devised and understood, this information is made available to branches and included in helpdesk scripts drafted by the Branch Resilience Manager and implemented by the Knowledge Management Team.

#### 4.17 Development of Fixes

##### Task Purpose

Once the root cause has been ascertained of a defect, where the defect is caused by a technical defect that requires remediation internal and external suppliers work to resolve the issue through provision of a fix to the underlying infrastructure or code to prevent recurring issues and incidents for branches including provision of workarounds where available.

##### Contributors

Internal and external suppliers are responsible for the provision of technical fixes to defects. The supplier should consult with the respective architects in their own organisation and within Post Office to ensure that any proposed fix meets any specific guidelines and does not impact any other services. The Branch Technology Defects Lead is informed of any progress and route to fix via the weekly defects update or earlier if required.

#### 4.18 Testing

##### Task Purpose

Any development of new, or change to existing code must be thoroughly and exhaustively tested to ensure that the code is fit for purpose, delivers the expected results and does not cause any adverse effects to other products or services. This testing should be completed before deployment of any fix and should provide clear and detailed testing documentation including a test exit report. This will be

obtained and held on the ServiceNow problem record under a task specifically for collation of Test and Release documentation for audit.

#### Contributors

The testing team Managers of both the supplier and Post Office Ltd are Accountable and the teams themselves Responsible for the thorough testing of any changes and provision of test exit reporting indicating any test defects and observations relevant to the test that may impact on the delivery of the fix. Where there are defects and observations these should be indicated to the supplier for rectification. The Branch Technology Defects Lead will be informed of the status of testing and provided with test exit reports for inclusion in the Defect Problem Record.

### 4.19 Release Management – Scheduling and Deployment

#### Task Purpose

Any fix implemented will require change authorisation via the relevant release/change board, and where the fix is to be included in a data centre/counter/scheduled release will need to be reviewed and allocated to a release by the Release Managers of the supplier and Post Office Ltd. Where a supplier is not part of the IT Change Management process or is a 3<sup>rd</sup> party supplier, best endeavours to maintain links and understand the changes proposed and to be implemented should be made by the Service/Release Manager.

#### Contributors

The Supplier and Release Manager are both responsible for ensuring that the right change governance and release scheduling is completed effectively. The Change Management team are consulted to ensure all change tasks are completed and changes are made through relevant forums, and the Branch Technology Defects Lead, Operational teams and Branch Resilience Manager are all informed of release schedule for each defect.

### 4.20 Fix Deployment

#### Task Purpose

The deployment of the fix developed, tested and scheduled to resolve the root cause of the Defect.

#### Contributors

The supplier and the release managers are responsible for the successful release of the fix in consultation with the Change Management team to ensure that the fix is deployed using the right governance and without impact to other in flight change. The Branch Technology Defects Lead will be informed of the date of deployment and the success of the deployment into the live environment for monitoring and review.

### 4.21 Closure Agreement

#### Task Purpose

Once a Defect has met either of the following criteria :

1. The Root Cause has been resolved and any secondary issues resolved
2. The Root Cause has been identified and it has been agreed that a fix WILL NOT be implemented (Current process is to fix all @ April 2022)
3. Root Cause cannot be ascertained and no further instance has been seen (Inconclusive)

Agreement should be sought to close the Defect through completion of the Defects Closure documentation and circulation to all key stakeholders involved in the defect. Each stakeholder is

expected to read the documentation and respond to the request for closure with their agreement to close or specify which activities require completion before closure can be agreed. Once agreement to close is received from all consulted parties, the form is attached to the ServiceNow Problem record and the defect is moved to Closed Resolved status. A copy of which is attached here



HM%20Assurance%  
20Template.docx

#### Contributors

The Branch Technology Defects Lead is responsible for ensuring that the right individuals are consulted to gain agreement for closure of the Defect and Problem record, and to ensure that any additional tasks requested at the end of the Problem lifecycle are appropriate to an issue that is fixed.

### 4.22 Escalation

#### Task Purpose

Where traction has not been gained or there is reluctance to engage in the Defects Management process, escalation to senior leadership should be considered. Initial escalation should be considered to the Horizon IT Head of Live Service, with further escalation to the Horizon IT Director should it be required.

#### Contributors

The Branch Technology Defects Lead is responsible for ensuring that the all avenues are explored before escalating the issue to senior leadership, including providing an understanding of supplier priorities. Upon escalation and handover, the senior leadership member become accountable for ensuring the right focus is maintained by suppliers and stakeholders.

## Appendix A – KPIs for Defects Management

All KPIs are expected to be met at 100%

| Activity                                   | Target | Red  | Amber    | Green     |
|--|--------|------|----------|-----------|
| <b>Notification to branches</b>            | 2 days | <80% | 80 - 89% | 99 - 100% |
| <b>Knowledge Base Articles completed</b>   | 2 days | <80% | 80 - 89% | 99 - 100% |
| <b>Notification to legal team</b>          | 2 days | <80% | 80 - 89% | 99 - 100% |
| <b>Criticality scoring completed</b>       | 5 days | <80% | 80 - 89% | 99 - 100% |
| <b>SNOW record completed</b>               | 2 days | <80% | 80 - 89% | 99 - 100% |
| <b>Impact statement completed</b>          | 5 days | <80% | 80 - 89% | 99 - 100% |
| <b>Meeting to be held with HDR members</b> | 2 days | <80% | 80 - 89% | 99 - 100% |

## Appendix B – Criticality Scoring Questions, Weighting and Owners

|           |  |  |  |  |   |  |   |   |  |  |   |  |  |   |  |
|-----------|--|--|--|--|---|--|---|---|--|--|---|--|--|---|--|
| Questions | Does this Defect cause branch accounting discrepancies in GL/Vendor accounts?<br>Are large volumes of Transaction Corrections Caused by this defect?<br>Will this defect generate write off of losses? | Are manual adjustments and/or enquiries generated by this defect?<br>Has the defect caused greater branch engagement and queries/disputes? | How many branches are impacted by this Defect? | Are customers financially impacted by this defect? | Is this defect causing an impact on the BSC?  | Likelihood of the defect causing adverse reactions on social media | Has a major incident been caused by or identified a defect in live service? | Has a large volume of increased demand detected by the relevant supplier? | Is this defect causing impact on planned change or future release? | Does the defect raise concerns over a potential vulnerability? | Does the defect have impacts outside of the current product | Is there shared architecture or scripting that will need to be assessed? | Does the defect require use of the Elevated Access process | Does this defect impact on in flight change   | Will this defect drive calls and enquiries to the Federation |
| Owner     | Andres - Branch Reconciliation Team  | Andres - Branch Reconciliation Team  | Annamarie - Branch Resilience Manager          | Annamarie - Branch Resilience Manager              | Annamarie - Branch Resilience Manager         | Communications Team  | Paul - Branch Technology Defects Lead                                       | Paul - Branch Technology Defects Lead                                     | IT Security Team   | Branch IT Architecture Team                                    | NPSP  |  |  |   |  |
| Scoring   | High = 5<br>Medium = 3<br>Low = 1<br>None = 0  | High = 5<br>Medium = 3<br>Low = 1<br>None = 0  | High = 5<br>Medium = 3<br>Low = 1<br>None = 0  | High = 5<br>Medium = 3<br>Low = 1<br>None = 0      | High = 5<br>Medium = 3<br>Low = 1<br>None = 0 | High = 5<br>Medium = 3<br>Low = 1<br>None = 0                      | Yes (main issue) = 10<br>Yes (But not the major issue) = 5<br>No = 0        | High = 5<br>Medium = 3<br>Low = 1<br>None = 0                             | High = 5<br>Medium = 3<br>Low = 1<br>None = 0                      | High = 5<br>Medium = 3<br>Low = 1<br>None = 0                  | High = 5<br>Medium = 3<br>Low = 1<br>None = 0               | High = 5<br>Medium = 3<br>Low = 1<br>None = 0                            | High = 5<br>Medium = 3<br>Low = 1<br>None = 0              | High = 5<br>Medium = 3<br>Low = 1<br>None = 0 |  |
| Weighting | 300%   | 100%   | 200%   | 100%   | 100%  | 100%   | 100%  | 100%  | 100%   | 300%   | 100%  |  |  |   | 100%   |