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Abstract:

This document sets out the working relationship between Fujitsu Services and Post Office Limited for the Problem Management interface between POL Network Support and Fujitsu Customer Service. It defines the interaction required between POL and Fujitsu Services when cross-domain problems are raised and reviewed.

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0.0   Document Control

0.1   Document History

Version No.	Date	Reason for Issue	Associated CP/PinICL No.
0.1	07/06/00	Working draft	
0.2	07/07/00	Draft containing input from Dave Fletcher and Kevin Lenihan to address diary notes in V0.1	
0.3	04/09/00	Updated to include 'Problem Outlets' report, and prepared for formal before approval	
0.4	Updated November 2002	Updated jointly by POL and Fujitsu Services to reflect current working relationships but not issued through Fujitsu Services Document library	
0.5	20/11/02	Above version issued through Fujitsu Services Document Library.	
1.0	23/12/02	Updated to include Universal Banking problems and the TSD	

0.2   Approval Authorities

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0.3   Associated Documents

Reference	Version	Date	Title	Source
HOR/BSM/FMK/ 003	1.6	01/07/99	The Service Management Framework – Problem Management	JOINT

0.4   Abbreviations/Definitions

Abbreviation	Definition
ATP	Authorised Temporary Procedure
POL PM	Post Office Limited Problem Manager
FS PM	Fujitsu Services Problem Manager
SMF	Service Management Forum
MBCI	Major Business Continuity Incident
PIR	Post Implementation Review
POL	Post Office Limited
SPMR	Sub-Postmaster
ToR	Terms of Reference
TSD	Technical Service Desk
TP	Temporary Procedure
MBS	Message Broadcast Service
TIP	Transaction Information Process
XDPMF	Cross Domain Problem Management Forum

0.5   Changes in this Version

Version	Changes
1.0	Interim changes for Network Banking
1.0	Updated to include Universal Banking

0.6   Changes Expected

Changes
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0.7   Table of Contents

1   INTRODUCTION

This document is intended to be a working level document that establishes the working practices that exist between POL and Fujitsu Services. The document sets out the guidelines that govern the working relationship at the interface between Fujitsu Services and POL Network Support in relation to problem management. This agreement is owned on behalf of Fujitsu Services by Infrastructure Services. It defines the customer and supplier responsibilities that both POL and Fujitsu Services must undertake in order to support the delivery of problem management to POL.

2   SCOPE

This document defines how POL and Fujitsu Services will report and manage problems that have an impact on the service provided to POL. The document covers problem notification, acceptance, control and resolution. Also contained within this document are the escalation and reviews surrounding problem management.

3   CHANGE CONTROL

This interface agreement is a working level operations document and therefore will not become a contract controlled document. It will however be subject to controlled change once it has become definitive at version 1.0. After which, changes will be managed through formal document review meetings and be subject to agreement by both parties. The signatories to this document will arbitrate upon any disputes concerning subsequent changes to the document required by either party.

This document, nor anything contained within, has any contractual significance nor constitutes an agreement or amendment to any of the Related Agreements between Fujitsu Services and POL.

The document will be reviewed at three monthly intervals as part of the XDPMF.

4   INTENT OF THIS AGREEMENT

The intent of the agreement is to define responsibilities and detail the interactions that must take place, between Fujitsu Services and POL to ensure the successful delivery of a seamless problem management service to the Post Office retail network.

4.1   Definition

Problem - A Problem is an underlying cause of one or more incidents that may result in further incidents.

A Problem potentially exists when a defect in the specification, design, production, implementation, or use of any of the service components results in any aspect of the service not meeting expectations.

A Problem will be raised when the impact of the defect (e.g. the level and severity of the related incidents) is substantial enough to warrant action to eradicate it.

A Problem will be closed when it has been mutually agreed that the underlying cause has been fixed or removed. Root cause analysis will identify the underlying defect and full details will be recorded on the Problem Management database.

A problem may be closed if POL is satisfied that everything has been done to minimise the effect of the problem therefore the impact is negligible.

A problem may be closed if only one solution is available but POL decides not to implement it and agree to live with the problem.

Many problems will have knock-on impacts or effects beyond the organisation/domain in which they occur. These are known as Cross Domain Problems.

Example of a Cross Domain Problem:

Problem - 50% of all Horizon Terminals fail once a month:

1.   Potential problem reported, and analysed within the local business unit.
2.   Problem reported to POL Problem Management team.
3.   Problem logged, allocated unique number and prioritised.
4.   Problem referred to Fujitsu Services for analysis and resolution.
5.   POL Problem Management team monitor and review progress.
6.   Fujitsu Services propose solution, e.g.; hardware upgrade for replacement Terminals.
7.   POL Change Management team carry out change control process.
8.   Proposed solution formally approved by POL.
9.   Solution Implemented by Fujitsu Services.
10.   POL Problem Management team monitor ongoing Terminal failure rate.
11.   Problem closed if failure rate returns to normal.
12.   Records maintained for future reference.

5   RESPONSIBILITIES

5.1   Joint

Each party is responsible for maintaining and updating their own problem databases.
Each party will nominate a problem manager for all cross-domain problems.
Each party will ensure their counterpart problem manager is appraised as appropriate of the current situation/status of the problem.
Both parties will authorise ATPs & TPs impacting on the Post Office operating process for Cross Domain problems.
Both parties will provide incident matching from their respective helpdesk calls to the associated Cross-Domain problems.
Each party will ensure their counterpart problem manager is notified if problem ownership changes (i.e. if ownership changes from one POL problem manager to another the original problem manager must notify their counterpart problem manager and vice versa).

5.2   POL specific responsibilities

POL Problem Management will provide Fujitsu Services with weekly problem reports detailing all 'open' problem that have had some activity during the previous week.
The report should show the number of problems having some activity against the total number of Cross Domain Problems.
POL will manage aspects of any problem relating to the operating process within the Post Office front line e.g., office process & back end systems e.g. TIP, etc.
POL own management of any planned communication with the branches, e.g., Operational Focus, MBS.

5.3   Fujitsu Services specific responsibilities

Fujitsu Services will update the Problem Management Database daily (as problems are updated).
Fujitsu Services will provide POL with remote access (via dial up) to the Fujitsu Services problem management database.
Fujitsu Services will manage any problems technical and physical originating in the Fujitsu Services domain.

6   PROBLEM NOTIFICATION

6.1   POL to Fujitsu Services

Any problem arising from within the POL domain will be registered with POL Problem Management and a POL Problem Manager will be assigned to manage the problem.

All problems that are passed from POL into Fujitsu Services are channelled via the Fujitsu Services Duty Manager pager system. This service is available between 0900 to 1700 hours Monday to Friday.

Fujitsu Services Duty Manager pager number: GRO

The POL Problem Manager will send a text message to the pager containing the following information.

- Business name e.g. POL Problem Management

- Contact name and telephone number

The Fujitsu Services Duty Manager will respond to the pager message by ringing the POL Duty Manager within 1 working hour.

The POL Duty Manager will brief the Fujitsu Services Duty Manager on the problem title, problem description, service(s) affected (initial impact), initial priority (see priority matrix) and if the problem is a potential MBCI (early warning).

The POL Duty Manager will confirm the name and problem and telephone number of the POL Problem Manager (POL PM) who is assigned the problem.

The Fujitsu Services Duty Manager will allocate the problem to a suitable Fujitsu Services Problem Manager (FSPM). The FSPM will then register the problem onto the Fujitsu Services problem database and contact the POL Duty Manager to agree that the problem is valid, the problem title, assess the business impact and begin progression of the problem towards resolution. The FSPM should contact the POL PM to agree an update schedule.

6.2   Fujitsu Services to POL

Any problem arising from within the Fujitsu domain will be registered with Fujitsu Services Problem Management and a Fujitsu Services Problem Manager will be assigned to the problem.

All problems that are passed from Fujitsu into POL are channelled via the POL Duty Manager pager system. This service is available between 0900 to 1700 hours Monday to Friday.

POL Duty Manager pager number: GRO

The Fujitsu Services Duty Manager will send a text message to the pager containing the following information.

- Business name e.g. Fujitsu Services

- Contact name and telephone number

The POL Duty Manager will respond to the pager message by ringing the Fujitsu Services Duty Manager within 1 working hour.

The Fujitsu Services Duty Manager will brief the POL Duty Manager on the problem title, problem description, service(s) affected (initial impact) and will confirm the

name and telephone number of the Fujitsu Services Problem Manager who is assigned the problem.

Note: Priority/Severity ratings are applied to incidents and not to problems.

The POL Duty Manager will allocate the problem to a suitable POL Problem Manager. The POL PM will register the problem onto the POL problem database, agree that the problem is valid, as well as the problem title and begin to progress the problem towards resolution. The POL PM should contact the FSPM to agree and update schedule.

7   PROBLEM ACCEPTANCE

Once the problem has been registered and allocated to a Problem Manager in Fujitsu or POL, the Problem Manager in the notified domain will make contact with the Problem Manager in the originating domain and agree acceptance.

Both Problem Managers will ensure that the problem title is the same on both databases, that the reference numbers of both problems are registered on each database and that they both agree that a problem exists.

The originating party should provide evidence to support the case such as incident numbers, impact and extent of the problem and provide information on any Temporary Procedures that are in place.

If a technical problem, Fujitsu Services will document the actual description and impact of the problem to POL PM in 'layman' terms to enable POL to facilitate appropriate impact assessment.

Ownership of the problem (responsibility for resolution) will then be agreed. Both parties must agree for the problem to be accepted. As part of the acceptance the Problem Managers will broker and agree the problem priority, closure criteria, update schedule and a provisional target date. These of course may change as the problem investigation develops.

If the problem is rejected at this stage the originating party may escalate the problem to the 1st level manager who can discuss the issue with his opposite number and provide arbitration.

8   **PROBLEM CONTROL**

Management of any cross-domain problem will include the following stages:

- Analysis (to determine root cause)

- Control (TP or ATP implementation, escalation)

- Resolution (review and closure)

Analysis –

The relevant domain will carry out the analysis to determine the extent and impact of any specific problem. It may also mean the implementation of "traps" to pick up any further occurrences before the root cause can be established. Once the root cause has been established, a description and date identified will be disseminated to the other business as an effective measure of the Problem Management process. As the analysis progresses initial perceived root causes may change.

Incident Matching - Both domains will exchange volumes of incidents to associated problems to an agreed timescale. This would usually be on a weekly basis (dependant on the problem), bearing in mind that in the event of a potential MBCI timescales will be more frequent than usual

Control – This covers escalation of problems as necessary and the introduction of Temporary Procedures (TP - exclusive to each domain but does not impact the other domain in conducting it's business as usual) or Authorised Temporary Procedures (ATP - Agreed between each party). Audit trails will also be maintained within each domain that enable tracking of actions or interaction between the two domains.

Resolution – Cross domain problem can only be closed when both domains agree that the closure criterion has been met without compromising any other services
Both domains will provide a review of all problems to determine if the solution provided has actually removed the problem. Closure may be after a monitoring period and will be in writing by either party.

9   PROBLEM STATUS

The status of any problem will be maintained in one of the following conditions:

Open - A problem has been raised and an assessment of the problem is still underway or evidence is being collected. An update schedule has been agreed & developed. A plan has been developed, agreed and is in progress, this may include the development of diagnostic traps to provide further evidence as required for investigation.

Monitor – The solution has been implemented and the problem is believed to be resolved, it has been placed under monitor to see if the solution is effective.

Closed – All actions have been completed and the both parties agree that the closure criteria have been satisfied. A problem will only be closed when it has been agreed that the underlying root cause has been fixed or removed. This should be agreed between all impacted parties and the originator.

10   PROBLEMS IN UNIVERSAL BANKING EXTERNAL DOMAINS

This section has been added to explain how POL and Fujitsu Services deal with problems that are raised as a result of Universal Banking incidents that are detected or originate in external banking domains.

All Universal Banking technical problems that are reported to the TSD will be recorded in the Fujitsu problem database and given a unique reference number. The TSD will agree and assign problem ownership to the most appropriate domain. If there is a dispute between the TSD and an external banking domain regarding problem acceptance and ownership, the TSD will refer the matter to POL for arbitration.

Following acceptance, the TSD will inform the Fujitsu Services Duty Manager who will brief the POL Duty Manager on the problem. The Fujitsu Services Duty Manager will not allocate the problem to a Fujitsu Services Problem Manager unless the problem is shared between Fujitsu and one or more banking domains. The Fujitsu Services Duty Manger will play no further part beyond the initial communication of the problem to the POL Duty Manager and the allocation of a Fujitsu Services Problem Manager if required.

POL will assign a POL Problem Manager to liaise directly with the problem owner to agree the problem closure criteria, provisional target dates and manage the problem through to resolution.

The TSD will seek problem updates at agreed periods (at least weekly) from the domain owning the problem, and progress will be tracked to resolution and closure in the Fujitsu Services problem database. The TSD will also keep other external banking domains informed of progress should their service be directly impacted upon by the problem.

All external Universal Banking domain business problems will be managed by PO Ltd. PO Ltd will manage these problems directly with the appropriate domain(s), and

neither Fujitsu Services nor the TSD will be involved, unless it is found during investigation, that the fault lies within the technical infrastructure of the banking service.

11   REVIEW MEETINGS

11.1   Problem Management Operational Review Forum

The Cross Domain Problem Management Forum (XDPMF) is held monthly prior to the Service Management Forum (SMF) and is intended to highlight and discuss all problems if time allows. If there are more than 15 cross domain problems open at the time, including those owned by external banking domains and recorded by the TSD, only those causing concern that may potentially be escalated at the SMF should be discussed.

The XDPMF chair alternates each month and the chair determines the location. The chair is also responsible for constructing the agenda and producing minutes.
Either party can identify specific items to be included in the agenda, which should include discussion of specific problems, process issues and progression of outstanding actions.

Refer to appropriate ToR for this meeting.

11.2   Post Implementation Review Meeting (PIR)

A PIR is carried out if the Problem Manager from either domain or any impacted party was the unhappy with the way the problem was resolved or managed.

The PIR reviews the way the problem was handled and looks to highlight the areas that did not operate well and require improvement, either within the operation of the process or the process itself.

The output of the PIR is to initiate improvement actions to ensure that the process is operated as it should be or ultimately improved.

A PIR should be held at an appropriate time after the fault has either been placed on monitor or as near to the problem solution as possible.

The requesting Problem Manager chairs the PIR. The attendees should include the major players within the resolution of the problem being reviewed.

Details of the PIR will be documented in the 'closed' problem record. Any action points arising from a PIR will become agenda items of the XDPMF.

12   ESCALATION

Any problem requiring escalation will be as per the table below initially to the 1st level manager. Each manager escalated to will then be responsible for escalating to the next manager listed, it is also expected that escalation to the next level on either side

will be agreed with the opposite manager so that Managers of similar levels in either domain are made aware of any issues. The Problem Manager should notify the Problem Manager in the other domain before the escalation process is initiated.

The escalation process is also used if there is debate over the validity of a problem.

Escalation Level	POL	Fujitsu Services	Timescales
1st Level	Service Quality Manager	Senior Problem Manager	Immediate dependent on business impact
2nd Level	Service Operations Manager	Infrastructure Services Manager	The lower level manager will judge timing based on business impact
3rd Level	Head of Network Support	Customer Services Director	The lower level manager will judge timing based on business impact
4th Level	POL Operations Director	Fujitsu Services Managing Director	The lower level manager will judge timing based on business impact

13   MAJOR BUSINESS CONTINUITY INCIDENTS

An MBCI is an incident that seriously affects the delivery of normal service to most or all of the live estate. An MBCI is categorised as a Priority A or Severity 1 incident. The Business Continuity Manager in Fujitsu Services and/or Post Office Ltd and/or other supplier/client domains to manage the relevant domain(s) has the responsibility of managing the MBCI until normal service is restored.

In many cases an MBCI will trigger the problem management process to investigate the root cause of the incident so that action can be taken to eliminate further occurrences.

A potential MBCI is an incident that significantly reduces operational contingency, or a fault that could potentially affect a significant proportion of the live estate. A potential MBCI will be identified within the incident and problem management teams in Fujitsu services and/or Post Office Ltd and/or other supplier/client domains, and managed as a normal incident until normal service is restored. A potential MBCI is catagorised as Priority A or Severity 2.

In many cases a potential MBCI offers the opportunity for preventative action by raising a problem to investigate the root cause. At this stage the problem will be

managed within the Problem Management process, but the respective Business Continuity Manager(s) will be kept informed. If the incident becomes an MBCI, the process for managing MBCIs will be followed.