

**Assessment Control Page**

<b>Assessment Type</b>	Internal	<b>Assessment Reference</b>	GHQ/LPD/PATH/ 1106
<b>Area</b>	Pathway	<b>Processes Assessed</b>	Several
<b>Contact(s)</b>	Jan Holmes	<b>Process Owner(s)</b>	several
<b>Planned Date</b>	11/6/02	<b>Lead Assessor</b>	A McFall
<b>Start Date</b>	11/06/02	<b>Full Report Title</b>	

**Assessment Summary****1. Objectives of Assessment**

This Fujitsu Services Internal Assessment focused on key business functions performed in Fujitsu Services Pathway and considered, through the assessment of local processes and working practice:

- The compliance of those functions with relevant aspects of the ISO 9001:2000 standard.
- The compliance of those functions with relevant Fujitsu Services Corporate Policies and Processes
- Any areas suitable for promotion as good business practice across Fujitsu Services.

In addition, every opportunity was taken to give advice and guidance on ISO 9001 and corporate process deployment.

**2. Scope of Assessment**

This Fujitsu Services Internal Assessment was conducted over 3 days, within the FEL01 and BRA01 offices, and involved the following members of staff :

<b>Function / Role</b>	<b>Interviewee</b>
Top Management	Di Jackson Gill Jackson Peter Jeram Jacqui Zanetti
Commercial/Finance	Bryony Carter
Programme Directorate	Bob Davis Jan Holmes Lisa Oakes

	Matthew Oakley Harvey Potts
Business Development	Mike Earle Chrissie Kennedy
Development Directorate	Alan D'Alvarez Chris Bailey Mike Deverell Lionel Higman Andy Mansfield Mark Scardifield Mark Taylor
Customer Service	Peter Burden Richard Brunskill Mik Peach

### 3. Management Summary

During this Assessment a total of: **4 Observations** and **3 Good Practice Observations** were raised.

In summary, the main findings, and recommendations where appropriate, were as follows:

- A mature management system is in place, exploiting both intranet and PVCS Configuration Management tools for control and publication
- There is significant evidence of improvement initiatives having been successfully pursued, especially in the last 9 months
- Measurement of processes and a formal approach to process management/review are in place, at least from April 2002
- Commitment to adoption of 'corporate' processes and Business Management System is in evidence, although the manner of adoption will (and should) depend on impact on the Pathway business
- Evidence in support of the senior management view of a relatively high state of employee motivation and commitment was observed in all areas visited
- There is considerable challenge to Pathway to continue to operate profitably in the context of a demanding customer facing considerable change and cost-reduction in their own business

### 4. Assessment Commentary

#### 4.1 Business Management System

**Assessment Criteria** : process mgt, document control, adequate resourcing, BMS integrity, process measurement, improvement.

- Fujitsu Services Pathway has a project/unit Business Mgt System which is comprehensive, effectively controlled and in the process of being updated to reflect ICL to Fujitsu Services changes

- Specific resource is assigned to maintain the BMS integrity and to develop the content in line with business development (eg already considering impact of proposals to be made for renewal of contract post-2005)
- Exploits PVCS well for version control and approval of content
- There is a recently launched process to manage and record process review, including use of a review checklist which also serves as a record of decisions
- Operational units (directorates) are involved through use of Directorate Quality Representatives in the review activity
- There is active alignment of processes with recent Fujitsu Services changes (eg CSLC v9) as well as compliance with corporate Process Management Methodology
- All previous assessment corrective actions were reviewed and verified as closed
- Process measurement has been significantly improved – see subsequent sections for details
- Supporting the Pathway BMS are several other web-sites eg Customer Service site, SSC site: care needs to be exercised to avoid the over-proliferation of material and the risks of duplication/contradiction/administrative workload this entails

## 4.2 Document Management

**Assessment Criteria :** document control and approval

- Excellent use of PVCS which is embedded into the project/business for all internal and external documents. This is potentially an example of best practice in Fujitsu Services
- Excellent approach, facilitated by PVCS, for tracking and recording comment/approval cycles of document production, supported by twice-daily monitoring of outstanding items and quality control over material produced
- Measurements include – document template errors; document approval time (NB improved average from 21 days (July'01) to 10 days (Apr'02)); overdue approvals/comments report

## 4.3 Programme Directorate

**Assessment Criteria :** Risk Mgt

- Adopted Fujitsu Service Risk Process for Network Banking opportunity (nearing contract agreement now); being reviewed monthly
- Viewed Network Banking Risk Plan v 0.17
- Evidence of determination to control impact of change requests on the business performance through, for example, agreeing assumptive views of requirements and contracting for effort on a Time & Materials basis
- Observation raised identifying need to revise related process material on Pathway BMS to reflect use of corporate process

## 4.4 Business Development

**Assessment Criteria:** Supplier Management, Internal communication

- Reviewed process by which Hypercom were eventually engaged for supply of pin-pad solution (BP/PDN/004 - Service definition supplied by post office,

BD/PRP/004 - Request for Proposal supplied to Suppliers, NB/PRP/003 - Proposal supplied to Post Office)

- A formal well-documented approach was followed, including use of Supplier Questionnaire and investigation of ISO9001 registration status of short-listed suppliers
- Observation raised identifying need to check supplier's plan to achieve registration to ISO9001:2000 before mid-2003
- Example of good practice is Business Development's continued involvement, subsequent to award of contract, to seek exploitation of additional business opportunities
- Reviewed Internal Communications activities which demonstrated full compliance with Fujitsu Services policy/process regarding approvals by business directors, customer and Press Office
- Observation raised recommending subsequent inspection of the planned implementation of a feedback / effectiveness review mechanism for internal communications

#### 4.5 Application Development

**Assessment Criteria:** process compliance, measurement, TickIT compliance, improvement

- APDU, which supports (4<sup>th</sup> line) live applications and develops new business function applications (eg Network Banking, Debit Card Service), was visited
- Opportunity has been taken to introduce to the Network Banking development techniques which proved successful in a previous, smaller development (Key Mgt System), especially in areas of development control, change control and analysis of failures at different stages of test cycle
- Detailed planning of tasks is done using AMS; records of estimates are maintained and reviewed against actuals, with feedback into estimating of next product development
- It was noted that contention between the different demands of time recording and development planning/review can lead to additional administrative effort. Also the provision of the Level 3 plan to the customer has led to difficulties and diversion from the main development task as a result of the reduced flexibility in planning and resourcing this has caused
- Measurements in place include – task achievement v. plan; actual v. estimated workload; test progress v. plan; defects per module from integration test onward
- CP3161, reference NB/LLD/007 was followed from high-level design to unit test record (through low level design, code and unit test plan). Document control was evident. However although code review is “insisted on”, no record of the code review of this particular module could be located. This was subsequently located on the following day and reported to assessor, verified by Jan Holmes.
- There has been a focus established on measurement of test defects since April 2001, analysing by test cycle and seeking to identify causes of unexpected volumes/reasons for defect. Currently investigation is underway into reason for high number of “administrative” closures.
- Use of Test Director has been implemented as an improvement in efficiency and measurement since April 2002

- Observation raised identifying further opportunity to analyse ratio of customer-found failures as opposed to PTU-found failures

#### 4.6 Customer Service

**Assessment Criteria:** Customer satisfaction; measurement, analysis, corrective action; linkage between support teams

- Whilst visiting this area, an example of good practice in the planning and regular testing of business continuity procedures became evident
- The SSC (3<sup>rd</sup> line support) unit is located in a secure area and has effective, intranet-based management control and information systems (ref CS/QMS/007 and CS/QMS/002 as well as local procedures and work instructions)
- Effective control of authorisation of Operational Correction Requests was demonstrated through record of the item "Jsimpkins5924R"
- Relationship with 2<sup>nd</sup> line is good, based on frequent and regular contact and improvement in 2<sup>nd</sup> line filtration from ~50% to ~80% has been facilitated and monitored by the SSC
- Relationship with Development is good, based on combination of Release Mgt forum, development staff regularly on-site and having a specific development contact who focuses on supportability of future releases
- Call ref 65470 traced from initial logging to present date.
- Performance of Customer Service is reviewed at monthly Service Review Forum with the customer, using Service Review Book which contains reports on every SLA (of which 124), future release schedule, alerts and text on aspects of service
- A scorecard has been introduced from April 2002 and actions being taken on low score areas are reviewed during this forum
- As a result of scorecard, an initiative has been introduced to improve the Operational Base Change Forum
- Complaint and Problem management are effectively managed, although there is no interface currently with the Fujitsu Services Customer Satisfaction Support System

#### 4.7 HR Management

**Assessment criteria:** closure of previous non-conformity, Performance +, Resource Management

- It was observed that hard copy records are held in the department of last year's objectives, last year's achievement review and current year's objectives along with a spreadsheet tracking completions against a target date
- 100% achievement of last year's reviews was shown and tracking is underway for registration of current year objectives by end-June
- Resource forecasting and management, with a focus on filling approved vacancies and reducing number of freelancers was demonstrated; this is in compliance with recently introduced change to method of control by Fujitsu Services



**5. Observations & Non-conformances**

The following Observations and Non-conformances were raised during the course of this assessment :-

**Observation Details**

<b>Reference / Sequence</b>	/1	<b>Date of Observation</b>	13/6/02	
<b>Category</b>	Observation	<b>Standard / Section</b>	ISO 9001	5.6.6
<b>Corporate Process</b>	N/a	<b>Local Process</b>	Pathway Risk Framework	
<b>Unit</b>	Pathway	<b>Country</b>	UK	
<b>Location</b>	FEL01	<b>Division</b>	Pathway	
<b>Interviewee</b>	B Carter	<b>Interviewee's Role</b>	Controller	
<b>Area Contact</b>	J Holmes	<b>Assessor's Name</b>	A McFall	

**Observation**

Documents Pathway Risk Framework and Risk Analysis & Management on the BMS (References: PA/PRO/012 & RS/PLA/008) no longer reflect the approach being taken to risk management (now using Fujitsu Services Risk Process); they will need to reflect this change as well as the change of company name as soon as practicable.

**Notes**

--

**Corrective Action Details****Corrective Action To Be Taken**

--

<b>Actionee</b>		<b>Reviewing Manager</b>	
<b>Forecast Completion Date</b>		<b>Actual Completion Date</b>	
<b>Verified By</b>		<b>Date Verified</b>	

<b>Reference / Sequence</b>	/2	<b>Date of Observation</b>	13/6/02	
<b>Category</b>	Observation	<b>Standard / Section</b>	ISO 9001	7.4
<b>Corporate Process</b>	Manage Suppliers	<b>Local Process</b>		
<b>Unit</b>	Pathway	<b>Country</b>	UK	
<b>Location</b>	FEL01	<b>Division</b>	Pathway	
<b>Interviewee</b>	J Holmes	<b>Interviewee's Role</b>	Quality & Audit Mgr	
<b>Area Contact</b>	J Holmes	<b>Assessor's Name</b>	A McFall	

### Observation

Whilst 3<sup>rd</sup> party supplier Hypercom currently holds registration to ISO9001:1994, this is likely to expire by mid-2003 unless they re-register to ISO9001:2000. The supplier's plans for re-registration should be verified or their ability and commitment to ongoing quality management determined.

### Notes

--

### Corrective Action Details

#### Corrective Action To Be Taken

--

<b>Actionee</b>		<b>Reviewing Manager</b>	
<b>Forecast Completion Date</b>		<b>Actual Completion Date</b>	
<b>Verified By</b>		<b>Date Verified</b>	

<b>Reference / Sequence</b>	/3	<b>Date of Observation</b>	13/6/02	
<b>Category</b>	Observation	<b>Standard / Section</b>	ISO 9001	5.6.4
<b>Corporate Process</b>	Manage Knowledge Framework	<b>Local Process</b>	Manage Communications	
<b>Unit</b>	Pathway	<b>Country</b>	UK	
<b>Location</b>	FEL01	<b>Division</b>	Pathway	
<b>Interviewee</b>	C Kennedy	<b>Interviewee's Role</b>	Communications Manager	
<b>Area Contact</b>	J Holmes	<b>Assessor's Name</b>	A McFall	

### Observation

There is much good internal communications activity. Although intended, no action has yet been taken to assess the effectiveness of the communications, for example by requesting feedback. Initiating an appropriate feedback mechanism would support analysis of effectiveness and drive possible improvement.

### Notes

--

### Corrective Action Details

#### Corrective Action To Be Taken

--

<b>Actionee</b>		<b>Reviewing Manager</b>	
<b>Forecast Completion Date</b>		<b>Actual Completion Date</b>	
<b>Verified By</b>		<b>Date Verified</b>	



<b>Reference / Sequence</b>	/4	<b>Date of Observation</b>	13/6/02	
<b>Category</b>	Observation	<b>Standard / Section</b>	ISO 9001	8.4
<b>Corporate Process</b>	CSLC stage 8	<b>Local Process</b>	Manage Development	
<b>Unit</b>	Pathway	<b>Country</b>	UK	
<b>Location</b>	FEL01	<b>Division</b>	Pathway	
<b>Interviewee</b>	Mike Deverell	<b>Interviewee's Role</b>	PTU Manager	
<b>Area Contact</b>	J Holmes	<b>Assessor's Name</b>	A McFall	

### Observation

Use of PINICL gives access to a wealth of statistics on incidents, not only occurring during testing by development but also from customer test and live operation. It is suggested that it could be beneficial to analyse ratio of incidents found by customer test/live use to those found by PTU testing as a possible indicator of areas for improvement in the development process.

### Notes

--

### Corrective Action Details

#### Corrective Action To Be Taken

--

<b>Actionee</b>		<b>Reviewing Manager</b>	
<b>Forecast Completion Date</b>		<b>Actual Completion Date</b>	
<b>Verified By</b>		<b>Date Verified</b>	

<b>Reference / Sequence</b>	/5	<b>Date of Observation</b>	13.6.02	
<b>Category</b>	Good Practice Observation	<b>Standard / Section</b>	ISO 9001	5.6.6
<b>Corporate Process</b>	all	<b>Local Process</b>	all	
<b>Unit</b>	Pathway	<b>Country</b>	UK	
<b>Location</b>	FEL01	<b>Division</b>	Pathway	
<b>Interviewee</b>	M Oakley	<b>Interviewee's Role</b>	Document Manager	
<b>Area Contact</b>	J Holmes	<b>Assessor's Name</b>	A McFall	

### Observation

Excellent use of PVCS, embedded into entire project's working practices, to effect control of documents, record and manage approval/comment and being extended to facilitate formal management review of key processes.

### Notes

--

### Corrective Action Details

### Corrective Action To Be Taken

--

<b>Actionee</b>		<b>Reviewing Manager</b>	
<b>Forecast Completion Date</b>		<b>Actual Completion Date</b>	
<b>Verified By</b>		<b>Date Verified</b>	

<b>Reference / Sequence</b>	/6	<b>Date of Observation</b>	13.6.02	
<b>Category</b>	Good Practice Observation	<b>Standard / Section</b>	ISO 9001	7.4
<b>Corporate Process</b>	Manage Suppliers & procurement	<b>Local Process</b>	Manage Procurement	
<b>Unit</b>	Pathway	<b>Country</b>	UK	
<b>Location</b>	FEL01	<b>Division</b>	Pathway	
<b>Interviewee</b>	M Earle	<b>Interviewee's Role</b>	General Manager	
<b>Area Contact</b>	J Holmes	<b>Assessor's Name</b>	A McFall	

### Observation

Although contract for product supply has now been agreed and delivery underway, the manager is continuing to develop the relationship with the new supplier, seeking to develop new business opportunities.

### Notes

--

### Corrective Action Details

#### Corrective Action To Be Taken

--

<b>Actionee</b>		<b>Reviewing Manager</b>	
<b>Forecast Completion Date</b>		<b>Actual Completion Date</b>	
<b>Verified By</b>		<b>Date Verified</b>	

<b>Reference / Sequence</b>	/7	<b>Date of Observation</b>	13.6.02	
<b>Category</b>	Good Practice Observation	<b>Standard / Section</b>	ISO 9001	7.5
<b>Corporate Process</b>	N/a	<b>Local Process</b>	Manage Business Continuity	
<b>Unit</b>	Pathway	<b>Country</b>	UK	
<b>Location</b>	FEL01	<b>Division</b>	Pathway	
<b>Interviewee</b>	M Peach	<b>Interviewee's Role</b>	SSC Manager	
<b>Area Contact</b>	J Holmes	<b>Assessor's Name</b>	A McFall	

### Observation

During this interview it became clear that Pathway has a comprehensive and regularly tested business continuity plan.

### Notes

This assessor has not seen anything similar elsewhere and so this may be a good source of process and best practice which can be adopted in other parts of Fujitsu Services

### Corrective Action Details

#### Corrective Action To Be Taken

--

<b>Actionee</b>		<b>Reviewing Manager</b>	
<b>Forecast Completion Date</b>		<b>Actual Completion Date</b>	
<b>Verified By</b>		<b>Date Verified</b>	