

**Document Title:** POA HNG-X BUSINESS CONTINUITY FRAMEWORK**Document Type:** SERVICE PROVISION PLAN**Release:** Release Independent**Abstract:** This document provides a Service Continuity Framework as required by Schedule B2**Document Status:** APPROVED

This document contains sections that have been identified to POL as comprising evidence to support the assessment of named Acceptance Criteria by Document Review. These sections must not be changed without authority from the FS Acceptance Manager.

**Author & Dept:** Changdev Pawashe, Post Office Account, Business Continuity Manager.**Internal Distribution:** As reviewer list**External Distribution:** As approver list**Security Risk Assessment Confirmed** YES See section 0.10**Approval Authorities:**

Name	Role	Signature	Date
Alex Kemp	Fujitsu Senior Operations Manager		
Anna Schofield	For Post Office Limited: Disaster Recovery Analyst, Atos		



## 0. Document Control

### 0.1 Table of Contents

<b>0.</b>	<b>DOCUMENT CONTROL.....</b>	<b>2</b>
<b>0.1</b>	<b>Table of Contents.....</b>	<b>2</b>
<b>0.2</b>	<b>Document History.....</b>	<b>4</b>
<b>0.3</b>	<b>Review Details.....</b>	<b>5</b>
<b>0.4</b>	<b>Acceptance by Document Review.....</b>	<b>6</b>
<b>0.5</b>	<b>Associated Documents (Internal &amp; External).....</b>	<b>7</b>
<b>0.6</b>	<b>Abbreviations.....</b>	<b>7</b>
<b>0.7</b>	<b>Glossary.....</b>	<b>9</b>
<b>0.8</b>	<b>Changes Expected.....</b>	<b>9</b>
<b>0.9</b>	<b>Accuracy.....</b>	<b>9</b>
<b>0.10</b>	<b>Security Risk Assessment.....</b>	<b>9</b>
<b>1.</b>	<b>INTRODUCTION.....</b>	<b>10</b>
<b>2.</b>	<b>SCOPE.....</b>	<b>11</b>
<b>3.</b>	<b>FRAMEWORK OVERVIEW.....</b>	<b>12</b>
<b>3.1</b>	<b>Introduction.....</b>	<b>12</b>
3.1.1	Business Continuity Plans.....	12
3.1.2	Service Framework.....	13
3.1.3	Business Continuity Management Process.....	13
3.1.4	Test strategy and plans.....	14
3.1.5	Review strategy.....	14
3.1.6	Deliverables and Acceptance Methods.....	14
<b>4</b>	<b>SERVICE FRAMEWORK.....</b>	<b>15</b>
<b>4.1</b>	<b>Introduction.....</b>	<b>15</b>
<b>4.2</b>	<b>HNG-X Service to Plan Relationship Table.....</b>	<b>18</b>
<b>5</b>	<b>BUSINESS CONTINUITY MANAGEMENT PROCESS.....</b>	<b>20</b>
<b>6</b>	<b>TEST STRATEGY AND PLANS.....</b>	<b>21</b>
<b>6.1</b>	<b>Requirements.....</b>	<b>21</b>
<b>6.2</b>	<b>Initial Testing.....</b>	<b>21</b>
6.2.1	Existing Services.....	21
6.2.2	New Services.....	21
<b>6.3</b>	<b>Ongoing testing.....</b>	<b>22</b>
<b>7</b>	<b>REVIEW STRATEGY.....</b>	<b>26</b>
<b>8</b>	<b>BUSINESS CONTINUITY PLANS.....</b>	<b>27</b>
<b>8.1</b>	<b>Ownership of Plans.....</b>	<b>27</b>
<b>8.2</b>	<b>Plan Activation.....</b>	<b>27</b>
<b>8.3</b>	<b>Impact and Risk Assessment.....</b>	<b>27</b>
<b>8.4</b>	<b>Other Requirements.....</b>	<b>28</b>
8.4.1	Preventative Measures.....	28
8.4.2	Preparedness Measures.....	29



8.4.3	Contingency Measures.....	29
8.4.4	Recovery of Normal Service.....	29
8.4.5	Contact List.....	29
<b>9</b>	<b>DELIVERABLES AND ACCEPTANCE METHODS.....</b>	<b>30</b>
<b>9.1</b>	<b>Introduction.....</b>	<b>30</b>
9.1.1	Joint Review.....	30
9.1.2	Document Inspection.....	30
9.1.3	Procedural Walkthrough.....	30
9.1.4	Operational Test.....	30
<b>9.2</b>	<b>Contract Controlled Documents.....</b>	<b>30</b>
9.2.1	Summary.....	30
9.2.2	Deliverables List.....	31
<b>9.3</b>	<b>BCF Referenced Documents.....</b>	<b>33</b>
9.3.1	Summary.....	33
9.3.2	Deliverables List.....	33
<b>9.4</b>	<b>Technical Design Documentation.....</b>	<b>33</b>
9.4.1	Review Method.....	34
<b>9.5</b>	<b>Customer Contingency Plans and Post Office Account Deliverables in Support of Plans..</b>	<b>34</b>
9.5.1	Summary.....	34
9.5.2	Deliverables List.....	34



## 0.2 Document History

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
0.1	02/08/07	First draft using HNG-x template. Created using CS/SIP/002 version 13.0 and focusing upon the Horizon to HNGX transition phase and HNG-x.	None
0.2	09/12/08	Incorporates minor comments received on version 0.1. Also revised for changes in the HNG-X programme over the past year and for organisational changes.	None
0.3	19/12/2008	Changes were made to the document for Acceptance by Document Review with the insertion of the Section containing the table of cross references for Acceptance by Document Review.	None
0.4	03/03/2009	Removed ASS, SMgmtS, TPMS, and Engineering Services from Table 1 as whilst these have Service Descriptions they are not defined as Applicable Services in Schedule 1. These were incorrectly added, by Tony Wicks, to version 0.2 of this BCF. Created a wider review circulation using the list defined in PGM/DCM/ION/0001 for SIP documents.	None
1.0	01/04/2009	Issued for approval – no comments were received from the version 0.4 comment cycle.	None
1.1	22/02/2010	Updated personnel info. Chapter 6.3: Removed reference data test as this is covered under BC1 and BC3. Amended test coverage in line with sampling strategy agreed with Gary Blackburn & John Halfacre.	None
1.2	28/07/2010	Updated personnel info as the document now needs to be made into CCD for HNG-X R1 checkpoint.	None
2.0	03/09/2010	Approval version	None
2.1	1/6/2012	Removed refs to Horizon & Hydra	None
2.2	31/10/2013	Updated Figure 2, Table 2 i.e. included BC30 & BC31/ removed BC28 (POLFS), BC18 (POL NDC Disaster Recovery Gateway-POLFS), BC14 (TLSS) & BC10 (SD-HSD).	
2.3	21-Mar-2014	Issued for internal review	
2.4	16-Apr-2014		
2.5	14-Oct-2014	Updated section 9.4 & 9.4.1	None
2.6	11- Dec-2014	Updated reviewer comments. POL Approver	None





		changed to Anna Schofield, as instructed by Sue Stewart	
2.7	09-March-2015	Updated additional comments received from ATOS.	None

### 0.3 Review Details

Review Comments by :	
Review Comments to :	Changdev Pawashe & Post Office Account Document Management
<b>Mandatory Review</b>	
Role	Name
<b>For Post Office Limited</b> , Atos DR Analyst	Anna Schofield, <b>Atos</b>
<b>Post Office Limited</b> , Senior Commercial Manager	Liz Tuddenham
Fujitsu Operational Change Manager	Alan Flack
CISO Fujitsu POA	Keith Smith
POA Release Management Team	Post Office Account Operational Change
Fujitsu Service Transition and Change	Tony Atkinson
Fujitsu Commercial Manager	Sarah Guest
Fujitsu Infrastructure Operations Manager	Andrew Hemingway
Fujitsu Service Architect	Phil Boardman
Fujitsu SSC	Steve Parker; SSC Duty Manager
Fujitsu Service Governance Manager	Yannis Symvoulidis
<b>Optional Review</b>	
Role	Name
<b>Post Office Limited</b> , Senior Service Delivery Manager	Steve Beddoe
<b>Post Office Limited</b> Commercial Manager	Sue Stewart
Fujitsu Security Architect	Dave Haywood
Fujitsu Application Development Manager	Keith Tarran
Fujitsu Systems Management and Global Cloud	Catherine Obeng
Fujitsu Senior Operations Manager	Alex Kemp
Fujitsu Quality and Compliance Manager	Bill Membery
Fujitsu Services Infrastructure Services Disaster Recovery and Backup Architect	Ed Ashford
Fujitsu Network Operations Manager	Roger Stearn
Fujitsu Commercial Manager	Carol Dunford
Fujitsu Operational Security Manager	Stephen Godfrey
Fujitsu Lead SDM Problem & Major Incident	Steve Bansal
Fujitsu Head of End User Services	Leighton Machin



Fujitsu Requirements Management	Steve Evans
Issued for Information – Please restrict this distribution list to a minimum	
Position/Role	Name

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

(\*) = Reviewers that returned comments

## 0.4 Acceptance by Document Review

The sections in this document that have been identified to POL as comprising evidence to support Acceptance by Document review (DR) are listed below for the relevant Requirements:

POL NFR DR Acceptance Ref	Internal FS POL NFR Reference	Document Section Number	Document Section Heading
SER-2156	SER-2156	8.4.1.1.1	Technical Design



## 0.5 Associated Documents (Internal & External)

Reference	Version	Date	Title	Source
SVM/SDM/PLA/0001	2.0	30-Oct-2014	HNG-X Support Services Business Continuity Plan	Dimensions
SVM/SDM/PLA/0002	2.0	06-Nov-2014	HNG-X Services Business Continuity Plan	Dimensions
SVM/SDM/PLA/0003	2.0	14-Oct-2014	HNG-X Business Continuity Test schedule Planner	Dimensions
SVM/SDM/PLA/0031	3.0	04-Nov-2014	HNG-X Security Business Continuity Plan	Dimensions
SVM/SDM/PLA/0030	1.0	13-Oct-2014	HNG-X Engineering Service Business Continuity Plan	Dimensions
DES/PER/HLD/0001	4.0	30-Jan-2014	HNG-X Resilience And Disaster Recovery High Level Design	Dimensions
ISO27001:2005			Information Security Management System Requirements	ISO Standard
SVM/SEC/MAN/0003	5.0	30-Apr-2014	Post Office HNG-X Account ISMS Manual	Dimensions
SVM/SDM/PRO/0025	4.0	17-July-2014	Fujitsu Services (Post Office Account) Problem Management Process	Dimensions
CON/MGM/005 (FUJITSU Ref : BP/DOC/021)	NA	NA	{mentioned in Schedule B2} Operational Level Agreement for Business Continuity Between Post Office Ltd and Fujitsu Services  <b>Replaced by SVM/SDM/PRO/0028</b> "Business Continuity Management Procedure"	Post Office Limited
SVM/SDM/PRO/0028			Fujitsu Services Post Office Account HNG-X Business Continuity Management Process	Dimensions
PGM/DCM/TEM/0001	8.0	18-Oct-2013	Fujitsu Services Post Office Account HNG-X Document Template	Dimensions

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

## 0.6 Abbreviations

Abbreviation	Definition
ACS	Auto Configuration Service
ADSL	Asymmetric Digital Subscriber Line
AP	Automated Payments
AP-ADC	Automated Payments-Advanced Data Capture
APOP	Automated Payments Outpay
APS	Automated Payments System



ASS	Applications Support Service
BCF	Business Continuity Framework
BNS	Branch Network Service
BRDB	Branch Database
CMTS	Communications Management Team Service
CNS	Central Network Service
CSR	Core System Release
CTF	Critical Time Factor
DCOS	Data Centre Operations Service (includes POLFS)
DCS	Debit Card System
DRDC	Disaster Recovery Data-Centre (IRE19)
DVLA POME	Department of Vehicle Licensing Authority – Post Office MOT Enquiry
DW	Data Warehouse
EPOS	Electronic Point of Sale
ES	Engineering Service
ETS	Electronic Top-ups Service (also known as ETU)
HBS	Horizon Business Server
HNG-X	Horizon Next Generation - X
KMS	Key Management Service
LFS	Logistics Feeder Service
LNS	L2TP Network Server
MBCI	Major Business Continuity Incident
MBS	Message Broadcast Service
MDM	Master Data Management – POLs central reference data system.
MIS	Management Information Service
NBS	Network Banking Service
OBCS	Operational Business Change Service
PAF	Postal Address File
PODG	Post Office Data Gateway
POL	Post Office Limited
POLFS	Post Office Limited Financial Service
POMS	Post Office Managed Switch
RAB	Release Authorisation Board
RS	Reconciliation Service (Data Reconciliation Service)
RD	Reference Data
RDMS	Reference Data Management Service
SDS	Service Desk Service
SIAM	Service Impact Assessment Module
SIS	Service Integration Service
SMgmtS	Service Management Service
SMS	Systems Management Service (Systems Management Centre)
SOS	Systems Operate Service
SPOF	Single Point Of Failure



TLSS	Third Line Support Service (System Support Centre)
TPMS	Third Party Management Service
T&T	Track and Trace

## 0.7 Glossary

Term	Definition
<b>Business Continuity Framework</b>	This document, which has been generated to satisfy the requirement for a Service Continuity Framework.  At a working level, Post Office Limited and Fujitsu Services (Post Office Account) generally recognise the term Business Continuity as having three closely related components: resilience, contingency and recovery
<b>Resilience</b>	May be defined as the steps taken to avert a loss of service or disaster or reduce the likelihood of a disaster or loss of service.
<b>Contingency</b>	May be defined as the interim processes and procedures adopted during the loss of service.
<b>Recovery</b>	May be defined as the business and technical arrangements to restore a lost system or service and manage the process of reversion to normal processing and full resumption of service.

## 0.8 Changes Expected

Changes
None

## 0.9 Accuracy

Not applicable

## 0.10 Security Risk Assessment

Security risks have been assessed and it is considered that there are no security risks relating specifically to this document.





## 1. Introduction

A key requirement in the Post Office Account solution is that of business continuity i.e. ensuring there are operational processes and procedures in place to ensure that any component failure has minimal effect on the services provided.

This will cover failures in the core Fujitsu Services (Post Office Account) services e.g. DCOS, BNS and the underlying services e.g., NBS, TPS, APS, etc, support services and client services where appropriate.

A principle requirement specified within schedule B2 of The Agreement is the provision of Business Continuity Plans which conform to an overall 'Service Continuity Framework'.

It is the objective of this document and associated Business Continuity Plans to satisfy that requirement and Fujitsu Services (Post Office Account) and Post Office Limited have agreed that the title of this document should be 'Business Continuity Framework'.

Specifically this document will cover the following areas.

- a) Provide a baseline definition of the Business Continuity Framework and Business Continuity Plans as specified in Schedule B2.
- b) Provide a detailed definition of Fujitsu Services (Post Office Account) deliverables associated with business continuity and the methods of review and assurance.
- c) Define the contents and format of the Business Continuity Plans.
- d) Define the overall test strategy adopted for testing of the Business Continuity Plans.
- e) Define the management processes for the management of Major Business Continuity Incidents.



## 2. Scope

The scope of this document is targeted towards how Business continuity tests will be conducted and recorded on the Post Office Account, Horizon infrastructure and related applications.

The general framework defined in this document is release-independent.

This document does not include any details in respect of the results of technical testing of the recovery processes.

UNCONTROLLED IF PRINTED



## 3. Framework Overview

### 3.1 Introduction

The Business Continuity Framework defines the methodology agreed between Fujitsu Services (Post Office Account) and Post Office Limited for handling all aspects of Business Continuity.

The constituent elements of the Business Continuity Framework may be represented as follows. Each element will be looked at in more detail below.

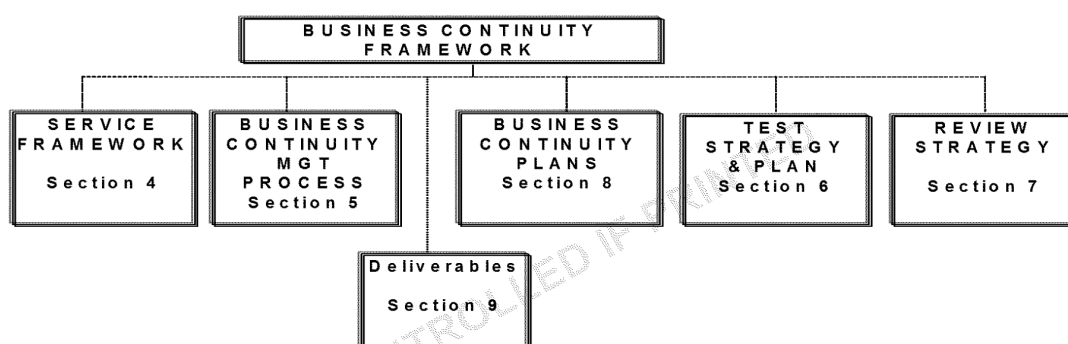


Figure 1 Service Elements

#### 3.1.1 Business Continuity Plans

There shall be four Continuity Plans for HNG-X:

HNG-X Services Business Continuity Plan – (SVM/SDM/PLA/0002)

HNG-X Support Services Business Continuity Plan – (SVM/SDM/PLA/0001)

HNG-X Security Business Continuity Plan – (SVM/SDM/PLA/0031)

HNG-X Engineering Service Business Continuity Plan – (SVM/SDM/PLA/0030)

The HNG-X Business Continuity plans will define the applicable sections of the Horizon Services Business Continuity Plans that support the services and infrastructure being utilised in the data centres to support Horizon counters.

The contents of the Business Continuity Plans are specified within Schedule B2. All plans must be of the document type Business Continuity Plan and shall contain Continuity Plan within the title. Each plan shall have a specified owner. (Further details in section 8)

The Business Continuity Plans shall be based on impact and risk assessments as agreed by Fujitsu Services and Post Office. Such assessments shall be reviewed when agreed by the Parties, such agreement not to be unreasonably withheld.

The Business Continuity Plans shall include without limitation the following:

Prevention measures;

Preparedness measures;



Contingency measures;  
Recovery of normal service;  
Contact lists.

The major elements of the plans are as follows.

### 3.1.1.1 Risk Analysis and Service Impact

Each Business Continuity Plan will identify all potential risks in terms of likelihood and service impact.

Once an incident occurs which has a service continuity impact, there must be a mechanism in place to assess the impact of the incident and the possible effect(s) it will have on the end to end service. This is fairly complex and will be dependent upon time of day and therefore will be a real-time process i.e. the impact of the service failure at 2am will be different from the impact at 8pm. However, a high-level impact statement will be included in the relevant Business Continuity Plan.

### 3.1.1.2 Escalation Contacts

Each Business Continuity Plan will contain escalation routes in conformance to Cross-Domain Business Continuity management processes.

### 3.1.1.3 Resilience Strategy documents

Each Business Continuity Plan will contain, where appropriate, references to the underlying resilience strategy document and/or technical design documents.

### 3.1.1.4 Contingency Procedures

Each Business Continuity Plan will contain a section defining contingency actions.

From an operational perspective contingency actions are documented in a number of places, depending upon the severity of the service element failure.

1. Where appropriate, contingency actions are documented within the Action column of the Risk Analysis (and service impact) section of each plan.
2. Where appropriate, for potential MBCIs and MBCI contingency actions are documented in the contingency section of each plan.

## 3.1.2 Service Framework

The BCF shall be defined in terms of services rather than components of infrastructure. The definitions of the services that are a subject of the BCF are defined in this document.

Section 4 contains details of the service elements and components together with their relationship to each of the Business Continuity Plans.

## 3.1.3 Business Continuity Management Process

The resolution of incidents will be dealt with through the standard Service Desk Incident Management process.

In the event of a Major Business Continuity Incident there will be a need for controlled and co-ordinated activity across Post Office Account and Post Office Limited. (See section 5)



### 3.1.4 Test strategy and plans

The test schedule and method will be defined as a separate document (REF 3) and will be referred to within the Business Continuity Plans. The overall high-level strategy will be defined in this document for agreement. (See section 6)

### 3.1.5 Review strategy

A review strategy defines the joint review mechanism prior to acceptance and also the review mechanism of the processes following acceptance. This is defined in a later section for agreement. (See section 7)

### 3.1.6 Deliverables and Acceptance Methods

Section 9 defines the deliverables required to satisfy the Business Continuity requirements of Fujitsu Services (Post Office Account).

Also included in that section is the method of acceptance planned for each deliverable.

UNCONTROLLED IF PRINTED





## 4 Service Framework

### 4.1 Introduction

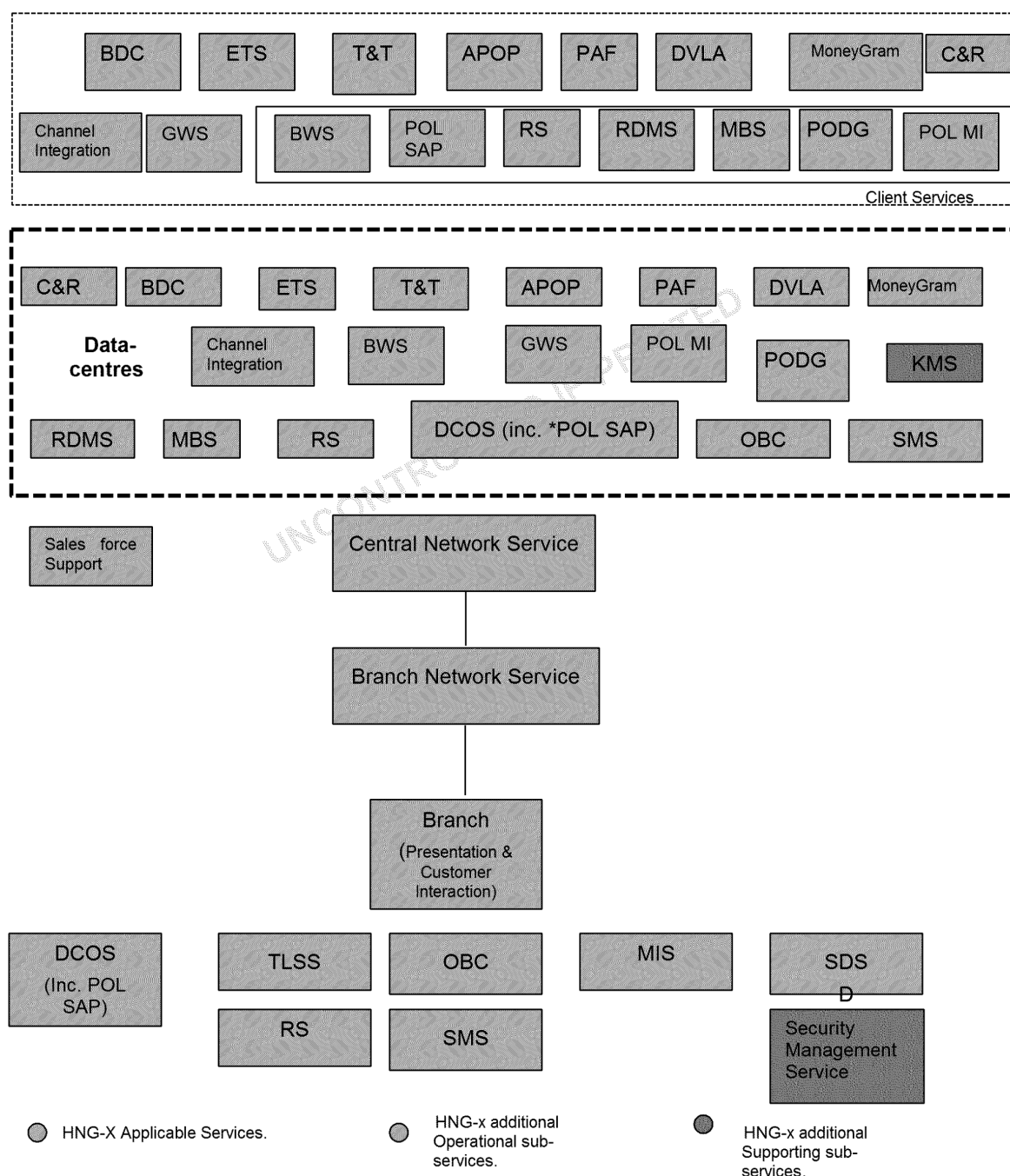
The core service elements and support services for Horizon are shown in Figure 2 below.

Horizon Service Desk is now moved to ATOS Business Continuity Plan – (2266/FRM/HSD/001)

The HNG-X Services Business Continuity Plan shall document the contingency measures for the primary HNG-X services

The HNG-X Support Services Business Continuity Plan shall document the contingency measures for the supporting HNG-X services

UNCONTROLLED IF PRINTED

**Figure 2 – HNG-x Services Overview**





## 4.2 HNG-X Service to Plan Relationship Table

Table 1 below identifies which Business Continuity Plan addresses each of the service elements in Figure 2 above:

Table 1

Service or Service Element	Expansion of Acronym	Related Business Continuity Plan(s)	Test Ref. (Table 7.2)
BNS	Branch Network Service	HNG-X Support Services	2,
CNS	Central Network Service	HNG-X Support Services	2, 6
CWS	Collect & Returns Web Service	HNG-X Services	2, 26
Channel Integration	Channel Integration Service	HNG-X Services	2, 31
DCOS including POLFS	Data Centre Operations Service	HNG-X Services and HNG-X Support Services	2
MBS	Message Broadcast Service	HNG-X Services	1, 9
MIS	Management Information Systems	HNG-X Support Services	1, 2
OBCS	Operational Business Change Service	HNG-X Support Services	2, 8
RDMS	Reference Data Management Service	HNG-X Support Services	1, 9
RS	Reconciliation Service	HNG-X Support Services	1, 2
SMS	Systems Management Service	HNG-X Support Services	1
TLSS	Third Line Support Service	HNG-X Support Services	14
GWS	Generic Web Service	HNG-X Services	2, 26
PODG	Post Office Data Gateway	HNG-X Services	2
APS	Automated Payment Service	HNG-X Services	2,3,4,5,6,7
DCS	Debit Card System	HNG-X Services	2,25
LFS	Logistics Feeder Service	HNG-X Services	2,3,4,5,6,7
NBX	Network Banking Service	HNG-X Services	2,3,5,6,16,22, 24
TPS	Transaction Processing Service	HNG-X Services	2,3,4,5,6,7, 18
APOP	Automated Payments Outpay	HNG-X Services	2,3,26





BDC	Bureau de Change	HNG-X Services	2,3,4,5,6,7
DVLA (POME)	Department of Vehicle Licensing Authority – Post Office MOT Enquiry	HNG-X Services	2,26
ETS	Electronic Top-ups Service	HNG-X Services	2,25
MoneyGram	MoneyGram	HNG-X Services	2, 6, 26
PAF	Postal Address File (service)	HNG-X Support Services	2,26,27
T&T	Track and Trace	HNG-X Services	2,16,20
Salesforce Support	Salesforce Support Service	HNG-X Services	30
Security Management Service	Security Management Service	HNG-X Security Services & HNG-X Support Services	2,19

UNCONTROLLED IF PRINTED



## 5 Business Continuity Management Process

An incident is an unplanned occurrence that adversely impacts upon the normal service in some important way. The scale of the event can range from a minor fault to a major outage e.g.:

Minor incident e.g. HNG-x counter failure affecting service at an individual Branch.

Major incident e.g. loss of the Active HNG-X Data-centre, outage of key back-end system affecting service at all Branches.

The resolution of minor incidents will be dealt with through the standard Service Desk Incident Management process.

Major Business Continuity Incidents will have a significant impact upon Post Office Limited. In such cases there will be a need for controlled and co-ordinated activity across supplier organisations and Post Office Limited. Consequently all Major Business Continuity Incidents will be managed via the 'Fujitsu Services (Post Office Account) Business Continuity Management' process (SVM/SDM/PRO/0028) and the Post Office Limited and Fujitsu Services Business Continuity Interface Agreement (CON/MGM/005). These documents support the immediate escalation of major incidents to a Cross Domain Business Continuity Management Team (BCMT). The BCMT consists of operational managers from each organisation.

UNCONTROLLED IF PRINTED





## 6 Test Strategy and Plans

### 6.1 Requirements

6.1.1 Schedule B2 requires that:

*'The Business Continuity Plans shall include a testing strategy with two distinct parts*

*a) Initial testing before commencement of Roll-Out of Services*

*b) Regular testing'*

6.1.2 Unless agreed otherwise in accordance with paragraph 6.1.3 below, the Business Continuity Services shall in respect of any new service introduced through the Change Control Procedure:

include the performance of substantially the same business continuity tests as are described in this Business Continuity Framework prior to the introduction of that new service; and

include any specific business continuity tests agreed by the Parties.

6.1.3 The tests referred to in paragraph 6.1.2 above shall be conducted with the business continuity tests conducted for the infrastructure supporting the Applicable Services and scheduled in accordance with working practice for the Applicable Services. The frequency of and method used for all business continuity tests shall be documented in the document entitled "Business Continuity Test Scheduler Planner" (SVM/SDM/PLA/0003).

Business continuity tests to be carried out under this Business Continuity Framework may be cancelled or rescheduled and/or the method used for a test may be varied for operational business reasons by agreement in writing between Post Office and Fujitsu Services (such agreement not to be unreasonably withheld).

### 6.2 Initial Testing

#### 6.2.1 Existing Services

Initial Business Continuity testing was conducted prior to the full operational introduction of the Horizon Service (Core System Release) and the subsequent release of major services, e.g. MBS, NBS and ETS services. Test reports have been produced for this testing and are maintained in SharePoint within BCP directory, the summary of the test reports will be formally e-mailed to POL on annual basis.

#### 6.2.2 New Services

Where services are introduced for HNG-X the Test Plan (SVM/SDM/PLA/0003), (REF3) will be revised to include the Business Continuity testing of those services and define when the initial testing will be conducted.

For HNG-X SVM/SDM/PLA/003 defines the Test Plan and provides cross reference to the test scripts which have been produced for the Business Continuity initial testing.

The level and schedule of testing is dependent upon operational constraints and is accomplished by a mix of operational tests and procedural walk-through. Where involvement is required from Post Office Limited the test schedule will be agreed in advance.

When services are withdrawn, and infrastructure tests are no longer relevant or are superseded, the applicable tests shall be removed from Business Continuity Test Scheduler Planner (REF3) with the agreement of Post Office Limited. In addition tests may also be withdrawn from the Business Continuity Test Scheduler Planner (REF3) where it is agreed by



Post Office Limited and Fujitsu Services that there no or little value in performing the applicable tests.

In addition customer-initiated test activity may be included, with Post Office Account agreement, within the Business Continuity Test Scheduler Planner (REF3).

## 6.3 Ongoing testing

For ongoing testing, an overall test strategy will be produced defining for each service:

- a) name of service
- b) ownership of testing plan
- c) type of testing i.e. procedural walk-through or operational test
- d) frequency of testing and scheduled dates
- e) test objectives, conditions, script and expected results
- f) other units taking part
- g) criteria for success and failure
- h) test reports and follow-up

On-going business continuity tests will be conducted in accordance with the test methodology and frequency agreed in Schedule B2.



**Table 2**

Test No.	Business Continuity Test	Services	Test Methodology and Frequency	Owner	Ass Doc Ref.
BC1	Loss of POA Primary Site (BRA01)	TLSS ASS RDMS & MBS RS MIS SMgmtS CMT SIS LST	Procedural walk-through once in two years	Fujitsu Services (POA)	1
BC2	Fujitsu Services (POA) Data Centre failure	DCOS RS RDMS SOS	Live operational test once per year and a procedural walk-through once per year.	Fujitsu Services (POA)	1
BC3	Host (Database) server	RS MIS RDMS & MBS	Operational test once per year.	Fujitsu Services (POA)	1
BC4	Branch Database Server Failure	DCOS + BNS	Operational test once per year.	Fujitsu Services (POA)	1
BC5	Branch Network Failure & VPN	BNS	Operational test once per year. (See note 1 below)	Fujitsu Services (POA)	1
BC6	Central Network Failure	CNS	Operational test once per year.	Fujitsu Services (POA)	1
BC8	Estate Management	BNS	Operational test once per year (See note 1 below)	Fujitsu Services (POA)	2
BC9	Reference Data Management Centre and Message Broadcast Service.  (Merged in to BC1)	RDMC & MBS	Procedural walk-through once in two years	Fujitsu Services (POA)	1
BC12	SMC	SMC	Operational test once per year and a procedural walk-through once in two Years.	Fujitsu Services (POA)	1
BC19	Security Management Service	Security Management Service	Operational test once per year. (See note 1 below)	Fujitsu Services (POA)	2
BC14	TLSS (SSC)	Third Line Service	Procedural walk-through once in two	Fujitsu Services	1





	(Merged in to BC1)	Support	years	(POA)	
BC15	Vodafone NMC	DCOS + BNS TPMS + Engineering Service	One procedural walk-through per year.	Fujitsu Services (POA)	2
BC16	Network Banking Service	NBX	DRDC operational test once per year. (See note 1 below)	Fujitsu Services (POA)	1
BC22	Network Banking Clients & Transit LANs	NBX	Operational test once per year. (See note 1 below)	Fujitsu Services (POA)	1
BC25	DCS + ETS	DCS + ETS	DRDC Operational test once per year. (See note 1 below)	Fujitsu Services (POA)	1
BC26	Internal Web Services servers test.	DVLA + PAF + APOP + Helpdesk + Training + MoneyGram+ GWS + CWS	DRDC operational test once per year. (See note 1 below)	Fujitsu Services (POA)	1
BC29	BladeFrame & Storage Fail-over	DCOS	Operational test once per year.	Fujitsu Services (POA)	1
BC30	Salesforce DR	Loss of STE10 Fujitsu Global Cloud Platform	Operational test once per year.	Fujitsu Services (POA)	1
BC31	Channel Integration Service	HBS + Bluecoat	Operational test once per year	Fujitsu Services (POA)	1

Note 1: These operational tests are subject to agreement as performing all of the tests will result in the breach of the 10 days of operational testing in the IRE19 as defined in the HNG-X Data-centre Operations Service Description. Intra test plan sampling will be performed for each of BC16 (sub test 16.1 only), 22 (sub test 22.3 only) and 26. Inter-test plan sampling will be performed across BF5 (sub test 5.3 only), 8, 19 (sub test 19.1, 19.4, 19.5), 20, 22 (sub test 22.1 only), 25.

Note 2: The HNG-X Data-centre Operations operational testing assumes there is access to LST counters and client simulators.

#### Summary of Test Sampling:

The inter test plan sampling relates to blade frame virtual server resilience tests.

The intra test plan sampling relates to auth agent, web server, handoff router tests.

All other business continuity test details, e.g., for the transition phase, will be defined within the Business Continuity Test Scheduler Planner [REF3] where the type of test and frequency of testing shall be specified. The Fujitsu Services (POA) Business Continuity Manager will be responsible for the planning of the other on-going tests, i.e. those not defined in table 2, and



will co-ordinate and schedule activity as appropriate with the Post Office Limited Business Continuity Manager and suppliers.

UNCONTROLLED IF PRINTED





## 7 Review Strategy

A Business Continuity Steering Group has been established between Post Office Limited and Fujitsu Services (Post Office Account). This group reviews the progress of each release against the Fujitsu Services (Post Office Account) delivery and acceptance plans. It also facilitates the co-ordination of joint development review and assurance activities where necessary. This forum also provides an objective feed into the release authorisation process for new releases.

This team, or subset of the team, reviews all aspects of business continuity on an ongoing basis, during Live Trials and beyond. The remit of the team is to continually look at ways of improving cross-domain business continuity processes.

UNCONTROLLED IF PRINTED



## 8 Business Continuity Plans

Throughout section 8, the use of *Italics* denotes the actual words in Schedule B2.

'The Business Continuity Plans shall be based on impact and risk assessments and agreed by Fujitsu Services and Post Office .....

### 8.1 Ownership of Plans

*'Ownership of all contingency actions shall be identified in the Business Continuity Plans.'*

Each Business Continuity Plan will clearly state the owner of the plan who is responsible for the definition, maintenance, testing and review of the plan.

In addition to this, the Fujitsu Services (POA) Business Continuity Manager will have overall responsibility for the development, co-ordination and integration where appropriate of all Business Continuity Plans and providing Post Office Limited with a single point of contact.

### 8.2 Plan Activation

*'The Business Continuity Plans shall include activation procedures and time periods within which the contingency measures shall be activated.'*

Where appropriate Business Continuity Plans will contain a risk and impact assessment for both the core post office day (Monday to Friday 08:00 to 18:00 and Saturday 08:00 to 13:00) and the non-core post office day (18:00 to 08:00) (See 8.3). For services where the impact of the service element failure is common throughout the day, a single risk and impact assessment will be documented.

Alternatively, a single risk statement may be documented throughout the day in the risk table. The Critical Time Factors (CTF) here shall be determined by the criticality of the service activity. I.e. for on-line service, e.g. NBS and DCS the CTF is identified against Post Office Core Day processing, whilst for file transfers, e.g. APS and TPS the CTF is identified against Post Office Non-Core Day processing. The risk assessment identifies the critical time periods for activation of contingency measures and identifies the associated contingency actions.

### 8.3 Impact and Risk Assessment

*'The Business Continuity Plans shall be based on impact and risk assessments by Fujitsu Services and Post Office...'*

Contained within each service are a number of critical components, the failure of which would cause a potential service disruption. Consideration shall also be given to the impact arising from the loss of building or staff. Each of these critical components and the associated failure scenarios will be identified and documented within a risk and impact matrix within the Business Continuity Plan. This matrix is used as a tool to present in a tabular form all risks identified with a service together with the impact of that risk occurring, the time after which that impact becomes critical, and the contingency actions to be taken.

Associated with each of the above elements are impact statements, which will define the likely business impacts of failure of the critical components. To aid in the definition of these, each Business Continuity Plan, where appropriate, will contain a schematic defining the operational day for that particular service. SLA liabilities will be used as an aid in determining business impact. Where the impact triggers either a Potential MBCI or an MBCI, the appropriate action will be identified from within the matrix.

Associated with the impact statement will be a reference to the specific recovery and contingency procedures required.

Business impact assessment will be reviewed jointly with Post Office Limited and will be subject to ongoing review.



The combination of risk and impact will also determine the level of ongoing testing that will form part of the testing strategy.

## 8.4 Other Requirements

*'The Business Continuity Plan shall include, without limitation, the following*

- a) *Prevention measures*
- b) *Preparedness measures*
- c) *Contingency measures*
- d) *Recovery of normal service*
- e) *Contacts list'*

In addition to the above the plans shall include details of the individual services, references to the relevant operations manual and references to the underlying resilience strategy document and/or technical design documents, where appropriate.

### 8.4.1 Preventative Measures

Preventative measures are defined as those measures that are in place to prevent service continuity failures in the first place. There are two aspects that are considered.

#### 8.4.1.1.1 Technical Design

A key element of the design of the service is the elimination of single points of failure and the ability to fail-over to contingency infrastructure, e.g., an alternative live BladeFrame image, an alternative network circuit, and thereby recover the service in a timely manner.

This capability is documented in a number of technical design documents, which in turn are referenced within the relevant Business Continuity Plans.

From an HNG-X service perspective IRE11 is the active data-centre and IRE19 is intended to be used as a HNG-X disaster recovery data-centre and only invoked for major incidents, e.g., fire, flooding. Note from a network perspective IRE11 and IRE19 will be used in a live/live mode of operation.

#### 8.4.1.1.2 Security

Plans and processes will be established to comply with the Business Continuity requirements of ISO27001 and SVM/SEC/MAN/0003.

Another preventative measure is the denial of access to the service to anyone who may wish to deliberately cause disruption. Although not mentioned specifically within Business Continuity Plans, this requirement is met through general conformance to Access Control Policy and the Security Functional Specification.

The Security Business Continuity plan (SVM/SDM/PLA/0031) has been produced to meet the requirements of ISO 27001 and should be used in conjunction with the HNG-X Services, Support Services (SVM/SDM/PLA/0001) and Engineering Services (SVM/SDM/PLA/0030) business continuity plans.

### 8.4.2 Preparedness Measures

Preparedness measures are implemented in a number of ways:

- a) The provision of risk and impact assessments, along with references to appropriate recovery and contingency procedures will allow appropriate actions to be carried out in a pre-prepared manner.



- b) Initial technical testing and the operational testing of Business Continuity Plans will ensure all activation of the Business Continuity Plans will have been carefully rehearsed.
- c) Joint process and procedure walk-through will, as above, ensure all Cross-Domain (multi-party) Business Continuity processes are tested thoroughly.

### 8.1.3 Contingency Measures

Contingency measures may be defined as the actions to be performed in the event of a service break to enable business impact to be minimised during the service outage prior to recovery being completed.

Contingency measures will include the recognition, activation, incident management and initiation of recovery procedures. These will be documented within the Business Continuity Plan and also as references to supporting documentation.

An example of contingency measures is failing over the host server in the event of the prime server experiencing a failure.

### 8.1.4 Recovery of Normal Service

These procedures will be mainly of a technical operational nature and there may be references to other activities that may impact across service boundaries. Where appropriate these will be referenced within the plan.

### 8.1.5 Contact List

Each Business Continuity Plan will document the contacts for initial contact and technical liaison where appropriate, together with details of escalation contacts. This will be in accordance with the Business Continuity Management process.





## 9 Deliverables and Acceptance Methods

### 9.1 Introduction

This section defines the deliverables required to satisfy the Business Continuity requirements of Fujitsu Services (Post Office Account).

Also included within this section is the method of acceptance planned for each deliverable.

Methodologies used in the acceptance process include those identified below:

#### 9.1.1 Joint Review

Joint review is by circulation of, discussion about and agreement upon the structure and content of a document by Fujitsu Services (Post Office Account) and Post Office Limited.

#### 9.1.2 Document Inspection

Formal inspection of a paper copy, by Post Office Limited, of a commercially sensitive (i.e. technical design) or Service Provider (i.e. Fujitsu Services Core Services) operational document, by the appropriate reviewing authorities, whilst under supervision by the document owner. No paper or electronic copies must be taken. Objective of this process is to verify the existence of the document; no approval rights are associated with this activity.

Inspection to take place at the premises of the document owner.

#### 9.1.3 Procedural Walkthrough

A paper based technique whereby a scenario is selected and the actions and procedures of those Service Delivery Units (SDU) impacted followed through to ensure that both individual service delivery unit procedures, and cross boundary SDU procedures, are both complete and fully integrated. Where appropriate, i.e. affecting Post Office Limited services, Post Office Limited will be invited to procedural walkthroughs.

#### 9.1.4 Operational Test

An exercise using live operational service components, or where more appropriate and agreed by Post Office Limited a test environment, whereby a scenario is selected and the actions and procedures of those Service Delivery Units (SDU) impacted are followed through. This is to ensure that both individual service delivery unit procedures, and cross boundary SDU procedures are both complete and fully integrated, and that the desired outcome on the operational service components is achieved. This is then followed by the total regression of any changes made to the live service components.

An example of live operational functionality testing was the Campus Fail-over test that was conducted during CSR Live Trial. An example of a business continuity operational test in a test environment is the verification of recovery procedures for the Reference Data RDT Host.

## 9.2 Contract Controlled Documents

### 9.2.1 Summary

This section includes all references to current Contract Controlled Documents relating to, and/or containing Business Continuity requirements.

### 9.2.2 Deliverables List



Document	Document Reference	Remarks/Acceptance Method
HNG-X Business Continuity Framework	SVM/SDM/SIP/0001	Joint Review and sign-off
Service Desk Service: Service Description - WITHDRAWN	SVM/SDM/SD/0001- WITHDRAWN	Joint review and sign-off.
Engineering Service: Service Description	SVM/SDM/SD/0002	Joint review and sign-off.
Data Centre Operations Service: Service Description	SVM/SDM/SD/0003	Joint review and sign-off.
Third Line Support Service: Service Description	SVM/SDM/SD/0004	Joint review and sign-off.
Applications Support Service (Fourth Line Support): Service Description	SVM/SDM/SD/0005	Joint review and sign-off.
Systems Management Service: Service Description	SVM/SDM/SD/0006	Joint review and sign-off.
Service Management Service: Service Description	SVM/SDM/SD/0007	Joint review and sign-off.
Branch Network Service: Service Description	SVM/SDM/SD/0011	Joint review and sign-off.
Central Network Service: Service Description	SVM/SDM/SD/0012	Joint review and sign-off.
Reference Data Management Service: Service Description	SVM/SDM/SD/0013	Joint review and sign-off.
Operational Business Change (Branch Change) Service: Service Description	SVM/SDM/SD/0014	Joint review and sign-off.
Reconciliation Service: Service Description	SVM/SDM/SD/0015	Joint review and sign-off.
Management Information Service: Service Description	SVM/SDM/SD/0016	Joint review and sign-off.
Message Broadcast Service: Service Description	SVM/SDM/SD/0018	Joint review and sign-off.
Communications Management Team: Service Description	SVM/SDM/SD/0019	Joint review and sign-off.



The following table lists all Service Descriptions which do not specify any Business Continuity requirements.

Document	Document Reference	Remarks/Acceptance Method
Security Management Service: Service Description	SVM/SDM/SD/0017	There are no business continuity requirements within this Service Description
End to End Reconciliation Reporting : Service Description	SVM/SDM/SD/0020	There are no business continuity requirements within this Service Description
Third Party Management Service: Service Description	SVM/SDM/SD/0021	There are no business continuity requirements within this Service Description

UNCONTROLLED IF PRINTED



## 9.3 BCF Referenced Documents

### 9.3.1 Summary

This section summarises all the business continuity deliverables specified within the BCF:

### 9.3.2 Deliverables List

Plan	Document Reference	Owner	Review method
Fujitsu Services (POA) HNG-X Business Continuity Operational Test Plan	SVM/SDM/PLA/0003	Fujitsu Services (POA)	Joint review
Fujitsu Services Post Office Account HNG-X Business Continuity Management Process	SVM/SDM/PRO/0028	Fujitsu Services (POA)	Not Applicable
HNG-X Support Services Business Continuity Plan	SVM/SDM/PLA/0001	Fujitsu Services (POA)	Document inspection to verify compliance with BCF
HNG-X Services Business Continuity Plan	SVM/SDM/PLA/0002	Fujitsu Services (POA)	Document inspection to verify compliance with BCF
HNG-X Security Business Continuity Plan	SVM/SDM/PLA/0031	Fujitsu Services (POA)	Document inspection to verify compliance with BCF
HNG-X Engineering Service Business Continuity Plan	SVM/SDM/PLA/0030	Fujitsu Services (POA)	Document inspection to verify compliance with BCF
SU/MAN/018- this is no longer in use. Now procedures for recovery can be found on the web pages that make up UNIX & NT operational documentation.	Web pages used by NT, Unix, contain Procedures, Work instructions & Recovery steps etc.	Fujitsu Services (Core Services)	Document inspection to verify existence of procedures

## 9.4 Technical Design Documentation

All the technical documents are cross referenced in the PLA documents where applicable in section 9.3, and are available for review where required.





### 9.4.1 Review Method

NOTE	METHOD	SUCCESS CRITERIA
1	Document inspection to verify compliance with BCF if required by customer.  Confidentiality Restrictions apply. Inspection on Fujitsu Services (Post Office Account) site by suitable qualified customer staff with no copying of document	Not applicable

## 9.5 Customer Contingency Plans and Post Office Account Deliverables in Support of Plans

### 9.5.1 Summary

This section summarises the deliverables produced by Fujitsu Services (Post Office Account) in support of external contingency plans. It also contains reference to the associated external Contingency Plan for completeness.

### 9.5.2 Deliverables List

No documents are required in support of external contingency plans.